

1 **Analytical Insight into “Breathing” Crack-induced**  
2 **Acoustic Nonlinearity with An Application to**  
3 **Quantitative Evaluation of Contact Cracks**

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20 **Abstract**

21 To characterize fatigue cracks, in the undersized stage in particular, preferably in a  
22 quantitative and precise manner, a two-dimensional (2D) analytical model is developed for  
23 interpreting the modulation mechanism of a “breathing” crack on guided ultrasonic waves  
24 (GUWs). In conjunction with a modal decomposition method and a variational principle-  
25 based algorithm, the model is capable of analytically depicting the propagating and  
26 evanescent waves induced owing to the interaction of probing GUWs with a “breathing”  
27 crack, and further extracting linear and nonlinear wave features (*e.g.*, reflection, transmission,  
28 mode conversion and contact acoustic nonlinearity (CAN)). With the model, a quantitative  
29 correlation between CAN embodied in acquired GUWs and crack parameters (*e.g.*, location  
30 and severity) is obtained, whereby a set of damage indices is proposed via which the severity  
31 of the crack can be evaluated quantitatively. The evaluation, in principle, does not entail a  
32 benchmarking process against baseline signals. As validation, the results obtained from the  
33 analytical model are compared with those from finite element simulation, showing good  
34 consistency. This has demonstrated accuracy of the developed analytical model in  
35 interpreting contact crack-induced CAN, and spotlighted its application to quantitative  
36 evaluation of fatigue damage.

37

38 **Keywords:** “breathing” crack; contact acoustic nonlinearity; guided ultrasonic waves;  
39 analytical model; crack evaluation

## 40 **1. Introduction**

41 Fatigue damage, pervasive in engineering structures, has posed tremendous jeopardy to  
42 structural integrity and durability. Without timely awareness and subsequent remedial  
43 actions, fatigue damage can potentially lead to tragic consequences, incurring immense  
44 monetary wastage and even loss of life. Amongst various modalities of fatigue damage, the  
45 contact fatigue cracks are prevailing but most insidious. This sort of fatigue damage is  
46 usually initiated by deteriorative changes in material microstructures due to local  
47 accumulation of dislocations, high stress concentration, plastic deformation around  
48 inhomogeneous inclusions or other inherent imperfection, when a structure is subject to  
49 cyclic rolling and/or sliding contact loads. Progressive crack propagation from a microscopic  
50 to macroscopic degree subsequently leads to permanent damage at an observable extent[1].

51

52 The longer an engineering structure in service the more contact fatigue cracks it may  
53 develop. The presence of contact fatigue cracks in pivotal structural components (*e.g.*,  
54 aircraft engine turbine, rolling bearings or junction components in power plants) can be  
55 extraordinarily detrimental. Exemplarily, a train owned by Norfolk Southern in Columbus,  
56 the United States, detailed on July 11, 2012[2], leading to an urgent evacuation of hundreds  
57 of residents and vast economic loss. Later investigation has revealed that the fracture of a  
58 rail section, initiated by numerous contact fatigue cracks caused by rolling train wheels after  
59 years of service of the rail section, was the culprit of this disastrous case.

60

61 To detect contact fatigue cracks at an embryo stage, qualitatively at least if not  
62 quantitatively, is an imminent task to warrant a reliable service of key engineering structures,  
63 and a rigorously defined and functionally deployed structural health monitoring (SHM)  
64 technique can accommodate such a need. Amongst existing SHM techniques [3-7] the

65 guided ultrasonic wave (GUW)-based SHM[8-11] has proven its superb capability to strike  
66 a balance among resolution, detectability, practicality and cost, by taking advantage of  
67 appealing features of GUWs including long-range and quick probing, omnidirectional  
68 dissemination, high penetration, great sensitivity to damage of small dimensions, and cost-  
69 effective implementation.

70

71 The majority of existing GUW-based SHM approaches evaluate material deterioration  
72 or structural damage based on changes in linear signal features[12, 13] related with present  
73 damages, such as delay in time-of-flight (ToF)[14], wave reflection and transmission[15],  
74 energy dissipation[16] and mode conversion[17]. Nevertheless, as commented earlier, the  
75 damage in real-world engineering structures usually initiates from imperceptible contact  
76 fatigue cracks that become conspicuous quite late. These fatigue cracks (with its  
77 characteristic dimension much smaller than the wavelength of the probing GUW) may not  
78 engender remarkable changes in linear GUW features. Therefore, when dealing with contact  
79 fatigue cracks, the SHM approaches relying on the use of linear GUW features may be out  
80 of their depth.

81

82 Recognition of the inefficiency of linear GUW features towards evaluating contact  
83 fatigue cracks has motivated alternative attempts to explore nonlinear features extracted  
84 from GUW signals at frequencies other than the excitation frequency of the probing  
85 GUW[18-20]. The nonlinear GUW features are commonly typified by the second-[18, 21,  
86 22]/sub-harmonics[19], mixed frequency responses[23] (*e.g.*, nonlinear wave modulation  
87 spectroscopy), and shift of resonance frequency (*e.g.*, nonlinear resonant ultrasound  
88 spectroscopy)[24] to name a few, as comprehensively surveyed elsewhere[25]. Nonlinear  
89 GUW features have been proven capable of rendering enhanced detectability, sensitivity and

90 accuracy compared with their linear counterparts. As an extra merit, nonlinear G UW features,  
91 deployed in a frequency domain, can bypass possible spatial interference from the inspected  
92 structure, therefore possessing good immunity to wave reflections and mode conversion at  
93 structural boundaries.

94

95 Various sources of nonlinearity have been scrutinized[14, 26, 27], on which basis the  
96 nonlinear G UW features, generated when a probing G UW interacts with a contact fatigue  
97 crack, are interpreted. The commonly recognized nonlinear sources include the contact  
98 acoustic nonlinearity (CAN), bi-linear stiffness, hysteresis, Hertzian contact,, thermo-elastic  
99 coupling effect, *etc.*, as reviewed by D. Broda *et al.*[28]. These sources of nonlinearity jointly  
100 contribute to the manifestation of nonlinearities in captured G UW signals. In particular, the  
101 CAN has been recognized as one of the major sources to introduce nonlinearity, and has  
102 been the core of intensive research. Numerically, Wan *et al.*[29] studied the interaction  
103 between fundamental symmetric Lamb waves and a buried micro-crack in a thin plate using  
104 a finite-element method (FEM), showing a monotonic increasing relationship between the  
105 CAN and the length of the micro-crack. Shen and Giurgiutiu[30] adopted FEM to simulate  
106 the interaction between Lamb waves and a surface-breathing crack in a plate, giving similar  
107 results. Analytically, Solodov *et al.*[31] has examined the interaction between a contact crack  
108 and probing waves. By assuming a step-change in the material stiffness at the crack location,  
109 the generation of high-order harmonics induced by the crack was calibrated. Richardson[32],  
110 from an analytical perspective, explored the high-order harmonic generation, by depicting  
111 the motion of two surfaces of a crack (an unbonded interface between two media) under the  
112 modulation of traversing waves. In both studies, the probing waves were modelled as  
113 longitudinal waves, and this has essentially limited the investigation into a one-dimensional  
114 (1D) scenario. On the other hand, a two-dimensional (2D) G UW behaves differently from a

115 1D longitudinal wave, and it embraces both propagating and evanescent waves, each of  
116 which features multiple modes co-existing simultaneously. Superposition of individual wave  
117 modes affects the crack when a GUW traverses the crack, under which the motion of crack  
118 surfaces, in a 2D manner, is not a uniform motion throughout the entire crack surfaces as  
119 hypothesized in a 1D case. These diatheses jointly lead to a mechanism of CAN generation  
120 that is substantially different from 1D scenarios, making the existing 1D models largely fail  
121 to construe the modulation of contact fatigue cracks on propagating GUWs accurately.

122

123         With this motivation, the present work is aimed at achieving an analytical insight into  
124 the modulation of a 2D contact fatigue crack with “breathing” behaviors on GUWs. An  
125 analytical model is developed, to quantitatively interpret the underlying mechanism of CAN  
126 generation induced by a contact fatigue crack. With the model, both the propagating and  
127 evanescent waves, along with the converted modes at crack surfaces, can be depicted  
128 explicitly. An analytical prediction of the CAN generation, subjected to the severity of the  
129 crack, is obtained, on which basis a quantitative correlation between CAN embodied in  
130 acquired GUW signals and crack parameters (*e.g.*, location and severity) is ascertained. With  
131 such a correlation, the severity of a contact fatigue crack can be evaluated quantitatively.

132

133         This paper is organized as follows: modulation of a 2D “breathing” crack on  
134 propagating GUWs is modeled analytically, and detailed in the second section. The model  
135 illuminates the generation of high-order harmonics induced by the crack and predicts the  
136 crack-induced wave fields. In this section, a quantitative correlation between the nonlinear  
137 features of GUWs and crack parameters is derived; a set of linear and nonlinear indices is  
138 defined, for evaluating the severity of a contact fatigue crack. In the third section, the  
139 developed analytical model is validated against finite element simulation. Concluding

140 remarks are presented in the last section.

141

## 142 **2. Modulation of “breathing” crack on probing GUWS – a nonlinear perspective**

143 Consider a 2D plate-like waveguide, as illustrated schematically in Fig. 1, in which a  
144 contact crack exists along the waveguide thickness, A probing GUW is introduced into the  
145 waveguide with a transmitter (*e.g.*, a piezoelectric wafer) from the upper surface of the  
146 waveguide, left to the crack; and the probing GUW, guided by the waveguide, takes the  
147 modality of Lamb waves, to interact with the crack and accordingly produces transmitted  
148 and reflected waves that are acquired via wave receivers (or other non-contact means such  
149 as laser interferometry), respectively right and left to the crack. GUWs in the waveguide  
150 encompass multiple wave modes including symmetric and antisymmetric Lamb modes.

151

152 Limit the discussion to a lower thickness-frequency product – the highlighted region in  
153 the dispersion curves of GUWs in the waveguide shown in Fig. 2, where only the  
154 fundamental symmetric ( $S_0$ ) and anti-symmetric ( $A_0$ ) Lamb modes exist. For this region, the  
155  $S_0$  mode features a higher velocity than that of the  $A_0$  mode, which can be beneficial to avoid  
156 the contamination from the waves reflected by structural boundaries, and therefore is  
157 selected to trigger the “breathing” behavior of the crack and introduce nonlinearity into  
158 GUWs. The interaction between the probing GUW and the contact crack embraces the  
159 following two steps in a “breathing” cycle of the crack:

160 (1) when the crack closes during wave compression, the propagating GUW is  
161 transmitted without inducing wave scattering; and

162 (2) when the crack opens during wave dilation – the case shown in Fig. 1 – the  
163 propagating GUW is partially decoupled, producing wave reflection and  
164 transmission in the waveguide.

165 These two steps jointly introduce the “breathing” behavior of the crack, and consequently  
166 incurs wave scattering and mode conversion (*e.g.*, conversion of the  $S_0$  mode to the  $A_0$  mode,  
167 or generation of the first-order symmetric mode ( $S_1$ ) if the frequency is larger than the cut-  
168 off frequency of the  $S_1$  mode), to distort the probing GUW. It is therefore that a “breathing”  
169 crack can be deemed as a second wave source in the waveguide to introduce a new wave  
170 field that modulates the original wave field – called “*crack-induced second source*” (CISS  
171 hereinafter) in this study.

172

173 It is the time-dependent traits of CISS – present when the crack opens and absent  
174 otherwise – lead to the generation of CAN. In the following, the amplitude of the CISS-  
175 induced CAN is to be ascertained analytically, via a modal decomposition method, Fourier  
176 transform analysis and a variational principle-based algorithm, based on which a set of linear  
177 and nonlinear indices can be defined for quantitative evaluation of the crack severity. Such  
178 a framework is recapitulated in Fig. 3, and as detailed as below.

179

### 180 2.1. High-order harmonics induced by “breathing” crack

181 Assume that the crack in Fig. 1 opens at a particular moment,  $t_{open}$ , when the stress at  
182 the crack interface turns from the compressional to tensile status in a cycle of interaction  
183 between the probing GUW and the crack. Upon crack opening, the crack interface behaves  
184 the same as it does when the probing GUW traverses a fully opened, notch-like crack of the  
185 same through-thickness depth, in which both the propagating and evanescent waves are  
186 generated. Although the evanescent waves transfer no energy and decay exponentially as  
187 waves propagating, the evanescent waves do influence the stress and displacement fields in  
188 the vicinity of the crack[33] (to be demonstrated in what follows).



189

190 Mathematically, the propagating and evanescent waves correspond to the roots of the  
191 dispersive equations of Lamb waves in a 2D waveguide, defined as

$$192 \quad \frac{\tan(qh)}{\tan(ph)} = \frac{4k^2 qp\mu}{(\lambda k^2 + \lambda p^2 + 2\mu p^2)(k^2 - q^2)}. \quad (1)$$

193 In the above,  $p^2 = \frac{\omega^2}{c_L^2} - k^2$  and  $q^2 = \frac{\omega^2}{c_T^2} - k^2$ ;  $\omega$  is the angular frequency,  $h$  the half the  
194 thickness of the waveguide, and  $k$  the wavenumber;  $\mu$  and  $\lambda$  are the shear modulus and  
195 Lamé constant, respectively;  $c_L$  and  $c_T$  denote velocities of the longitudinal and  
196 transverse/shear modes, respectively.

197

198 Using a Newton-Raphson method [34], the solutions to Eq. (1) can be obtained, which  
199 comprise a finite number of real roots (corresponding to propagating waves) and pure  
200 imaginary roots (associated with evanescent waves), along with an infinite number of  
201 complex roots (also relevant to evanescent waves), in Fig. 4. The root with a negative  
202 imaginary value is physically meaningless, and only those with positive imaginary values  
203 (corresponding to evanescent waves) and the ones with pure real values (propagating waves)  
204 can be acquired in experiment. The stress and displacement fields of all the propagating and  
205 evanescent waves form a complete set of bases[35]. Via appropriate superposition of the  
206 bases, the stress ( $\tilde{\sigma}(x_3)$ ) and particulate displacement ( $\mathbf{u}(x_3)$ ) fields across the entire  
207 thickness of the waveguide ( $x_3$ ) can be depicted as

$$208 \quad \begin{aligned} \tilde{\sigma}(x_3) &= \sum_n a_n \tilde{\sigma}^n, \\ \mathbf{u}(x_3) &= \sum_n a_n \mathbf{u}^n, \end{aligned} \quad (2a)$$

209 where

210 
$$\begin{aligned}\tilde{\sigma}^n &= \tilde{\sigma}^n(x_3) e^{i(\omega t - k^n x_1)}, \\ \mathbf{u}^n &= \mathbf{u}^n(x_3) e^{i(\omega t - k^n x_1)}.\end{aligned}\tag{2b}$$

211 In the above,  $x_1$  and  $x_3$  represent directions of the probing GUV propagation and  
 212 waveguide thickness, respectively (Fig. 1);  $t$  is the time, and  $N$  an index to distinguish the  
 213 order of Lamb wave modes in the waveguide;  $\tilde{\sigma}^n$  and  $\mathbf{u}^n$  are the stress tensor and  
 214 displacement vector for the  $n^{\text{th}}$ -order Lamb wave mode, respectively;  $a_n$  and  $k^n$  are the  
 215 amplitude and wavenumber of the  $n^{\text{th}}$ -order Lamb wave mode, respectively.

216

217 When the crack opens, the crack surfaces are stress-free, while the stress and  
 218 displacement fields remain continuous in the waveguide underneath the crack tip. In Fig. 1,  
 219 the stress tensor (throughout the entire thickness including the cracked region and the part  
 220 underneath the crack tip) can be represented in terms of three normal components (*viz.*,  $\sigma_{11}$ ,  
 221  $\sigma_{33}$  and  $\sigma_{13}$ ), and the displacement vector can be depicted with two orthotropic  
 222 components (*i.e.*,  $u_1$  and  $u_3$ ). Using a modal decomposition[36], taking into account all  
 223 the propagating and evanescent waves, and applying boundary conditions at the location of  
 224 the crack, it has

225 
$$\tilde{\sigma}^{Crack+}(x_3) \cdot \mathbf{x}_1 = \begin{cases} \sum_n a_n \sigma_{11}^n \\ \sum_n a_n \sigma_{13}^n \end{cases} = \begin{cases} 0 \\ 0 \end{cases}, \quad (\text{for the right-side crack surface}) \tag{3}$$

226 
$$\tilde{\sigma}^{Crack-}(x_3) \cdot \mathbf{x}_1 = \begin{cases} a_{Inc} \sigma_{11}^{Inc} + \sum_n a_{-n} \sigma_{11}^{-n} \\ a_{Inc} \sigma_{13}^{Inc} + \sum_n a_{-n} \sigma_{13}^{-n} \end{cases} = \begin{cases} 0 \\ 0 \end{cases}, \quad (\text{for the left-side crack surface})$$

227 
$$\tag{4}$$

228 
$$\sum_n a_n \mathbf{u}^n = a_{Inc} \mathbf{u}^{Inc} + \sum_n a_{-n} \mathbf{u}^{-n}, \quad (\text{for the part underneath the crack})$$

229 
$$\tag{5}$$

$$\begin{cases} \sum_n a_n \sigma_{11}^n \\ \sum_n a_n \sigma_{33}^n \\ \sum_n a_n \sigma_{13}^n \end{cases} = \begin{cases} a_{Inc} \sigma_{11}^{Inc} + \sum_n a_{-n} \sigma_{11}^{-n} \\ a_{Inc} \sigma_{33}^{Inc} + \sum_n a_{-n} \sigma_{33}^{-n} \\ a_{Inc} \sigma_{13}^{Inc} + \sum_n a_{-n} \sigma_{13}^{-n} \end{cases} \quad (\text{for the part underneath the crack})$$

(6)

Note that the index  $n$  is applicable to both the propagating and evanescent waves, and in particular  $-n$  indicates those wave modes propagating opposite to the probing GUV.  $\mathbf{x}_1$  is a direction vector.  $\tilde{\sigma}^{Crack-}(x_3)$  and  $\tilde{\sigma}^{Crack+}(x_3)$  signify stress tensors on the left- and right-side cross-sections of the waveguide at the location of crack (including both the cracked region and the part underneath the crack), respectively. The incident probing GUV is labelled with the superscript “*Inc*” in equations. The coefficient  $a_n$ , an unknown complex to be correlated with the amplitude of the incident GUV, is denoted by  $a_{Inc}$ .

To solve Eqs. (3)-(6) numerically, a singular value decomposition (SVD) method[37] is recalled. In SVD, the infinite evanescent modes in Eqs. (3)-(6) are truncated up to the first  $N$  modes. A total of 20 modes (*i.e.*,  $N=20$ ), as demonstrated in this study, suffice to embody the majority of the energy carried by the GUV propagating in the waveguide and therefore guarantee the accuracy of solutions. The cross-section of the waveguide at the location of crack is numerically discretized, and the distance between any two adjacent, discretized points measures 1/25 of the waveguide thickness. To examine the accuracy of such a discretization, an energy balance-based criteria is applied, in accordance with the fact that the total energy carried by all the scattered wave modes, including transmitted and reflected modes, is supposed to approximate to the energy of the incident probing GUV. In this study, the energy difference between the scattered wave modes and the probing GUV, during SVD with the current discretization resolution, is less than 5%, validating the accuracy of the model in depicting the stress and displacement fields in the crack vicinity.

253

254 With Eqs. (3)-(6), the amplitude of each wave mode ( $a_n$ ) – a function of  $a_{Inc}$  – can be  
 255 obtained. It can be seen that the stress and displacement fields at the crack are indeed the  
 256 superposition of the stress and displacement fields of the incident probing GUW and those  
 257 of the crack-induced waves (*viz.*, by CISS), as

$$\begin{aligned}
 \mathbf{u}^{Crack-}(x_3, t) &= a_{Inc} \mathbf{u}^{Inc} + \sum_n a_{-n} \mathbf{u}^{-n} \\
 \mathbf{u}^{Crack+}(x_3, t) &= \sum_n a_n \mathbf{u}^n \\
 \tilde{\sigma}^{Crack-}(x_3, t) &= a_{Inc} \tilde{\sigma}^{Inc} + \sum_n a_{-n} \tilde{\sigma}^{-n} \\
 \tilde{\sigma}^{Crack+}(x_3, t) &= \sum_n a_n \tilde{\sigma}^n,
 \end{aligned} \tag{7}$$

259 where  $\mathbf{u}^{Crack-}$  and  $\mathbf{u}^{Crack+}$  are the displacement vectors of discretized points on the left-  
 260 and right-side cross-sections at the location of the crack, respectively.

261

262 With explicit depiction of the stress and displacement fields at the crack in the above,  
 263 the CISS during the crack opening can be defined as,

$$\begin{aligned}
 CISS^{open+} &= (\tilde{\sigma}^{Crack+} - a_{Inc} \tilde{\sigma}^{Inc}) \cdot \mathbf{x}_1, \\
 CISS^{open-} &= (\tilde{\sigma}^{Crack-} - a_{Inc} \tilde{\sigma}^{Inc}) \cdot \mathbf{x}_1,
 \end{aligned} \tag{8}$$

265 where  $CISS^{open+}$  and  $CISS^{open-}$  denote the CISS (a force vector) on the right- and left-  
 266 side cross-sections at the location of crack, respectively.  $CISS^{open+}$  and  $CISS^{open-}$  are of  
 267 the identical amplitude yet opposite orientation. Considering the amplitude is of interest in  
 268 the model,  $CISS^{open+}$  and  $CISS^{open-}$  are consolidated into  $CISS^{open}$  in what follows.

269 With Eq. (7), the gap of two crack surfaces can be attained by calculating the difference  
 270 between the in-plane ( $x_1$ ) displacement of the right- ( $u_1^{Crack+}(x_3, t)$ ) and left-side  
 271 ( $u_1^{Crack-}(x_3, t)$ ) crack surfaces. When such a distance retreats to zero, namely

$$u_1^{Crack+}(x_3, t) - u_1^{Crack-}(x_3, t) = 0, \tag{9}$$

273 the crack closes, and this particular moment is denoted as  $t_{close}$ . To solve Eq. (9) makes  $t_{close}$   
274 available. Up to this point, both  $t_{open}$  and  $t_{close}$  of a “breathing” cycle of the contact crack  
275 have been determined, upon taking the influence of CISS-induced wave fields on the  
276 incident probing GUW into account.

277

278 When the probing GUW is continuously emitted into the waveguide via transmitter and  
279 cyclically interacts with the “breathing” crack, CISS periodically introduces wave fields in  
280 accordance with the above analysis. In the 2D scenario, the displacement of each discretized  
281 point on the crack surface is, under a general circumstance, different from the others at a  
282 moment, while, from Eq. (9), the closer to the crack tip the earlier the point on the crack  
283 surface closes in a “breathing” cycle. For convenience of discussion, the moment at which  
284 the two points, which are respectively located at the center of the left- and right-side crack  
285 surfaces (called *mid-point pair* in what follows), commence to be in contact is adopted as  
286 the moment that the entire crack, as a whole, begins to close.

287

288 With the developed analytical model, Figure 5 shows the displacement history of the  
289 mid-point pair when the probing GUW is continuously emitted into the waveguide, to  
290 observe that:

- 291 (1) the crack is about to open when the displacement of mid-point pair (both have the  
292 same displacement before crack opens) reaches the maximum along the  
293 propagation direction of the probing GUW, which corresponds to the moment when  
294 the stress field at the crack turns from a compressional into a tensile phase; and  
295 (2) the crack intends to close when the gap between the mid-point pair retreats to zero.

296

297 Note that the CISS-induced wave fields distort the incident probing GUW, influencing

298 the “breathing” behaviors of the crack, and under such an influence the  $t_{close}$  is determined.  
 299 By way of illustration, Figure 5 also compares the displacement history of the mid-point pair  
 300 with (using the developed model) and without (using existing 1D models) consideration of  
 301 the influence of CISS-induced wave fields, when the crack is at two representative degrees  
 302 of severity (50% and 75% of the waveguide thickness). Discrepancy can be seen between  
 303 models. The discrepancy, though at a slight degree, imposes significant effect on the  
 304 amplitude of the “breathing” crack-induced high-order harmonics in the spectrum which is  
 305 to be extracted at double excitation frequency – that is because the magnitude of the crack-  
 306 induced CISS in frequency domain is sensitive to  $t_{open}$  and  $t_{close}$ , and a slight difference in  
 307  $t_{close}$  (due to ignorance of CISS-induced wave fields) can result in remarkable difference in  
 308 accordingly ascertained magnitude of CAN. It is noteworthy that in a 1D scenario, the  $t_{open}$   
 309 and  $t_{close}$  are linked with the pre-stress which is prerequisite to close the interface, while  
 310 that is not the case in a 2D scenario because the waveguide remains continuous (via the part  
 311 underneath the crack) when the probing waves are traversing.

312

313 Further, to reflect the above periodical “breathing” behaviors of the contact crack, an  
 314 indicator function,  $f(t)$ , is introduced to modulate  $CISS^{open}$ , as

$$315 \quad CISS^{bre} = CISS^{open} \cdot e^{i\omega_0 t} \cdot f(t), \quad (10a)$$

316 where

$$317 \quad f(t) = \begin{cases} 1, & t_{open} < t < t_{close} \\ 0, & t_{close} < t < t_{open} + T. \end{cases} \quad (10b)$$

318 In Eq. (10a),  $CISS^{bre}$  is the modulated CISS featuring “breathing” traits.  $T$  is the duration  
 319 of a cycle of the probing GUW.  $\omega_0$  is the angular excitation frequency. The spectrum of

320  $CISS^{bre}$  can be obtained by convoluting incident wave period function  $e^{i\omega_0 t}$  with the  
 321 indicator function  $f(t)$ , as

$$322 \quad F(\omega) = F(CISS^{bre}) = CISS^{open} \cdot F(e^{i\omega_0 t}) \otimes F(f(t)), \quad (11)$$

323 where  $F$  denotes the operation of Fourier transform. The notation  $\otimes$  represents the  
 324 convolution operation. With Eq. (11), the harmonics of various orders can be obtained from  
 325 the spectrum, as shown in Fig. 6.

326

327 In the spectrum,  $CISS^{bre}$  features a series of CISS, each respectively existing at  
 328 multiples of  $\omega_0$ . In particular, at  $\omega_0$  and  $2\omega_0$ ,  $CISS^{bre}$  is

$$329 \quad CISS^{bre-\omega_0} = A_{\omega_0} \cdot CISS^{open} \cdot e^{i\omega_0 t}, \quad (\text{at } \omega_0), \quad (12a)$$

$$330 \quad CISS^{bre-2\omega_0} = A_{2\omega_0} \cdot CISS^{open} \cdot e^{i2\omega_0 t}. \quad (\text{at } 2\omega_0), \quad (12b)$$

331 where  $A_{\omega_0}$  and  $A_{2\omega_0}$  signify amplitudes of the excitation ( $\omega_0$ ) and double excitation  
 332 frequency ( $2\omega_0$ ) components obtained from the spectrum.  $CISS^{bre-\omega_0}$  and  $CISS^{bre-2\omega_0}$   
 333 defined by Eq. (12) analytically interpret the generation of the reflected and transmitted wave  
 334 fields at  $\omega_0$ , and generation of the second harmonic at  $2\omega_0$ , respectively.

335

336 The model shown in Fig. 1 can be deemed as a jointed waveguide, comprising two  
 337 semi-infinite parts that are jointed via the continuous part underneath the crack tip. For each  
 338 semi-infinite part, an CISS functions as an independent excitation source applied on the free  
 339 end, whose through-thickness distribution can be obtained using Eq. (8) and is plotted in Fig.  
 340 7. In a “breathing” cycle of the crack, the second harmonic produced by  $CISS^{bre-2\omega_0}$   
 341 embraces both the propagating and evanescent waves, superposition of whose stress fields

342 on the free end yields to  $CISS^{bre-2\omega_0}$ , as

$$343 \quad \begin{cases} CISS_1^{bre-2\omega_0} \\ CISS_3^{bre-2\omega_0} \end{cases} = \begin{cases} \sum b_n^{2\omega_0} \sigma_{11}^{n-2\omega_0} \\ \sum b_n^{2\omega_0} \sigma_{13}^{n-2\omega_0} \end{cases}, \quad (13)$$

344 where  $b_n^{2\omega_0}$  is the amplitude of the  $n^{th}$ -order Lamb wave mode at  $2\omega_0$ , to be ascertained  
 345 in the next step (Section 2. 2);  $CISS_1^{bre-2\omega_0}$  and  $CISS_3^{bre-2\omega_0}$  represent two decompositions  
 346 of  $CISS^{bre-2\omega_0}$  in the  $x_1$  and  $x_3$  directions, respectively.  $\sigma_{11}^{n-2\omega_0}$  and  $\sigma_{13}^{n-2\omega_0}$  are the two  
 347 decompositions of the stress tensor of the  $n^{th}$ -order Lamb wave mode at  $2\omega_0$ . For  
 348 convenience of discussion, the location of the crack, where the two semi-infinite parts are  
 349 jointed, is set as the origin of the coordinate system, as highlighted in Fig. 7 (*viz.*,  $x_1 = 0$  at  
 350 the original location of the crack before its interaction with the probing GUW).

351

352 Based on the above derivation, it can be seen that the generation of the second harmonic of  
 353 the probing GUW can be attributed to  $CISS^{bre-2\omega_0}$ , and the generated wave fields can fully  
 354 be depicted analytically using Eq. (13).

355

## 356 2.2. Propagating waves induced by CISS

357 With Eq. (13), one can further delineate the reflection and transmission wave fields at  
 358  $\omega_0$  or  $2\omega_0$ , from which CISS-induced propagating waves can be isolated from other wave  
 359 modes. To this end, the variational principle[38] is recalled in the model. With  $CISS^{bre-2\omega_0}$ ,  
 360 the variational principle for the motion of the waveguide is given by

$$361 \quad \int_V \text{Re}(\sigma_{ij,j}^{2\omega_0} - \rho \dot{u}_i^{2\omega_0}) \text{Re}(\delta u_i^{2\omega_0}) dv + \int_S \text{Re}(CISS_i^{bre-2\omega_0} - \eta_j \sigma_{ji}^{2\omega_0}) \text{Re}(\delta u_i^{2\omega_0}) ds = 0,$$

$$362 \quad (i = 1, 3, j = 1, 3) \quad (14a)$$



363 where  $\rho$  is the density. “Re” denotes the real part of a complex number.  $V$  and  $S$  stand  
364 for the volume and surface of the waveguide, respectively.  $i$  denotes a dummy index ( $i=1$  or  
365 3).  $u_i^{2\omega_0}$  and  $\sigma_{ji}^{2\omega_0}$  ( $\sigma_{ji}^{2\omega_0} = \sum b_n^{2\omega_0} \sigma_{ji}^{n-2\omega_0}$ ) are the excited displacement and stress fields in  
366 the waveguide when subjected to  $CISS_i^{bre-2\omega_0}$ .  $\delta u_i^{2\omega_0}$  signifies the variation of  $u_i^{2\omega_0}$ .  $\ddot{u}_i^{2\omega_0}$   
367 is the second-order derivative of  $u_i^{2\omega_0}$  with respect to time.  $\sigma_{ij,j}^{2\omega_0}$  is the partial derivative of  
368  $\sigma_{ji}^{2\omega_0}$  in the direction of  $x_j$ . Specifically, on the upper and lower surfaces of the waveguide,  
369  $\eta_j = 1$  (when  $j = 3$ ) and  $\eta_j = 0$  (when  $j = 1$ ); at the free end of each semi-infinite part  
370 where the CISS is applied,  $\eta_j = 1$  (when  $j = 1$ ) and  $\eta_j = 0$  (when  $j = 3$ ). Given the fact  
371 that the stress ( $\sigma_{ji}^{2\omega_0}$ ) and displacement ( $u_i^{2\omega_0}$ ) fields induced by  $CISS^{bre-2\omega_0}$  in Eq. (14a)  
372 are the superposition of the wave modes propagating in an infinite waveguide as mentioned  
373 earlier (Section 2. 1), all the volume integrals in Eq. (14a) vanish because each term in the  
374 superposition satisfies the differential equations of equilibrium, and this leads to

$$375 \quad \int_S \text{Re} \left( CISS_i^{bre-2\omega_0} - \eta_j \sigma_{ji}^{2\omega_0} \right) \text{Re} \left( \delta u_i^{2\omega_0} \right) ds = 0, \quad (i = 1, 3, j = 1, 3). \quad (14b)$$

376 According to the variational principle[38], namely

$$377 \quad \delta u_i^{2\omega_0} = \delta \left( b_m^{2\omega_0} \right) \cdot u_i^{m-2\omega_0}, \quad (m = 1, \dots, N) \quad (15)$$

378 where  $b_m^{2\omega_0}$  is the amplitude of the  $m^{\text{th}}$ -order Lamb wave mode,  $u_i^{m-2\omega_0}$  signifies the  
379 particulate displacement of the  $m^{\text{th}}$ -order Lamb wave mode along the  $i^{\text{th}}$  direction at  $2\omega_0$ ,  
380 the surface integral in Eq. (14b) gives rise to

$$381 \quad \int_S \text{Re} \left\{ \left[ CISS_i^{bre-2\omega_0} - \eta_j \sum_n b_n^{2\omega_0} \cdot \sigma_{ji}^{n-2\omega_0} e^{ik_n x_j} \right] e^{i2\omega_0 t} \right\} \cdot \text{Re} \left\{ \left[ \delta \left( b_m^{2\omega_0} \right) \cdot u_i^{m-2\omega_0} e^{ik_m x_j} \right] e^{i2\omega_0 t} \right\} ds = 0.$$

$$382 \quad (16)$$

383 Further, integrating Eq. (16) with respect to  $t$  spanning a complete period of the Lamb

384 waves at  $2\omega_0$ , and in the meantime obtaining the value at the free end (when  $x_1 = 0$  in Fig.  
385 7), one has

$$386 \quad \operatorname{Re} \left\{ \int_{-h}^h \left[ \overline{CISS}_i^{bre-2\omega_0} - \eta_j \cdot \sum_n (\overline{b}_n^{2\omega_0} \cdot \overline{\sigma}_{ji}^{n-2\omega_0}) \right] \delta(b_m^{2\omega_0}) \cdot u_i^{m-2\omega_0} dx_3 \right\} = 0, \quad (17)$$

387 where the bar over a variable denotes its complex conjugate. Using the dummy index defined  
388 earlier, it has

$$389 \quad \overline{CISS}_i^{bre-2\omega_0} \cdot u_i^{m-2\omega_0} = u_1^{m-2\omega_0} \overline{CISS}_1^{bre-2\omega_0} + u_3^{m-2\omega_0} \overline{CISS}_3^{bre-2\omega_0}, \quad \text{and}$$

$$390 \quad \eta_j \cdot \sum_n (\overline{b}_n^{2\omega_0} \cdot \overline{\sigma}_{ji}^{n-2\omega_0}) \cdot u_i^{m-2\omega_0} = \sum_n (u_1^{m-2\omega_0} \overline{\sigma}_{11}^{n-2\omega_0} + u_3^{m-2\omega_0} \overline{\sigma}_{13}^{n-2\omega_0}) \overline{b}_n^{2\omega_0}, \quad \text{whereby Eq. (17) can be}$$

391 re-written as

$$392 \quad \operatorname{Re} \left\{ \int_{-h}^h \left[ \left( u_1^{m-2\omega_0} \overline{CISS}_1^{bre-2\omega_0} + u_3^{m-2\omega_0} \overline{CISS}_3^{bre-2\omega_0} \right) - \sum_n (u_1^{m-2\omega_0} \overline{\sigma}_{11}^{n-2\omega_0} + u_3^{m-2\omega_0} \overline{\sigma}_{13}^{n-2\omega_0}) \overline{b}_n^{2\omega_0} \right] \delta(b_m^{2\omega_0}) dx_3 \right\} = 0. \quad (18)$$

393 Considering that  $\delta(b_m^{2\omega_0})$  can be an arbitrary complex, Eq. (18) is tenable only when the  
394 following condition is met

$$395 \quad \int_{-h}^h \left( u_1^{m-2\omega_0} \overline{CISS}_1^{bre-2\omega_0} + u_3^{m-2\omega_0} \overline{CISS}_3^{bre-2\omega_0} \right) dx_3 = \int_{-h}^h \sum_n (u_1^{m-2\omega_0} \overline{\sigma}_{11}^{n-2\omega_0} + u_3^{m-2\omega_0} \overline{\sigma}_{13}^{n-2\omega_0}) \overline{b}_n^{2\omega_0} dx_3. \quad (19)$$

397 For the same reason as stated earlier, the wave modes considered is limited to the first 20  
398 modes (*i.e.*,  $N=20$ ) which carry the majority of the wave energy in the waveguide. To further  
399 simplify Eq. (19), let

$$400 \quad \int_{-h}^h (u_1^{m-2\omega_0} \overline{\sigma}_{11}^{n-2\omega_0} + u_3^{m-2\omega_0} \overline{\sigma}_{13}^{n-2\omega_0}) dx_3 = [M_{mn}]_{N \times N}, \quad (m=1, \dots, N; n=1, \dots, N) \quad (20a)$$

401 where  $[M_{mn}]$  is a matrix with a dimension of  $N \times N$ , and define the inverse of  $[M_{mn}]$  as

$$402 \quad [M_{mn}]^{-1} = [R]. \quad (20b)$$

403 Multiplying  $[R]$  with both sides of Eq. (19) yields

404 
$$\left[ \bar{b}_n^{2\omega_0} \right]_{N \times 1} = [R] \cdot \int_{-h}^h \left( u_1^{m-2\omega_0} \overline{CISS}_1^{bre-2\omega_0} + u_3^{m-2\omega_0} \overline{CISS}_3^{bre-2\omega_0} \right) dx_3. \quad (21)$$

405 Using Eq. (21) and then substituting the analytical depiction of  $CISS^{bre-2\omega_0}$  (ascertained  
 406 via Eq. (12b)) into Eq. (21), one can get the conjugate of the amplitude of every single wave  
 407 mode (either propagating or evanescent wave) at  $2\omega_0$  (*i.e.*,  $\bar{b}_n^{2\omega_0}$ ), excited by the  
 408  $CISS^{bre-2\omega_0}$ .

409

410 It is noteworthy that  $[M_{mn}]$  in Eq. (20a), in terms of its physical interpretation,  
 411 represents the average rate at which the work is done by the stress of  $m^{th}$ -order Lamb wave  
 412 mode when this wave mode acts through the particulate displacement of the  $n^{th}$ -order Lamb  
 413 wave mode – a coupling correlation between two wave modes propagating in the waveguide.

414

415 Along the same line of analysis, the reflected and transmitted wave fields at  $\omega_0$ , which  
 416 is attributed to the CISS induced by the crack at the excitation frequency (*i.e.*,  $CISS^{bre-\omega_0}$ ),  
 417 can also be obtained.

418

419 Although both the propagating and evanescent waves are generated by the contact crack,  
 420 the evanescent waves exist only in the vicinity of the crack and decay exponentially as wave  
 421 propagating [33]. Thus, only the propagating waves (*e.g.*,  $S_0$  mode), to be captured with a  
 422 far-field receiver in experiment, are exploited in what follows. Bearing this in mind, the  
 423 amplitudes of the propagating  $S_0$  mode (in far field) at  $\omega_0$  induced by the  $CISS^{bre-\omega_0}$  and  
 424 at  $2\omega_0$  induced by  $CISS^{bre-2\omega_0}$  are denoted by  $b_1^{\omega_0}$  and  $b_1^{2\omega_0}$  (*viz.*, for  $S_0$  mode,  $n=1$ ),  
 425 respectively. Thus, the displacement fields ( $U_1^{\omega_0}$ ,  $U_3^{\omega_0}$ ,  $U_1^{2\omega_0}$  and  $U_3^{2\omega_0}$ ) of the  
 426 propagating crack-induced  $S_0$  mode can be ascertained, as

427 
$$U_1^{\omega_0} = b_1^{\omega_0} u_1^1(x_3), \quad U_3^{\omega_0} = b_1^{\omega_0} u_3^1(x_3), \quad (22a)$$

428 
$$U_1^{2\omega_0} = b_1^{2\omega_0} u_1^{1-2\omega_0}(x_3), \quad U_3^{2\omega_0} = b_1^{2\omega_0} u_3^{1-2\omega_0}(x_3), \quad (22b)$$

429 where  $U_1^{\omega_0}$  ( $U_3^{\omega_0}$ ) and  $U_1^{2\omega_0}$  ( $U_3^{2\omega_0}$ ) are the in-plane (out of plane) displacement fields of the  
 430 propagating  $S_0$  mode at  $\omega_0$  and  $2\omega_0$ , respectively.  $u_1^1(x_3)$  ( $u_3^1(x_3)$ ) and  $u_1^{1-2\omega_0}(x_3)$   
 431 ( $u_3^{1-2\omega_0}(x_3)$ ) are the mode shape functions of the in-plane (out-of-plane) displacement fields  
 432 of the propagating  $S_0$  mode at  $\omega_0$  and  $2\omega_0$ , respectively.

433

434 Note that the magnitudes of CISS-generated second harmonics, as defined by Eq. (22b),  
 435 in the reflected and transmitted waves are identical, because the magnitudes of the two  
 436 **CISS**<sup>bre-2 $\omega_0$</sup>  in both semi-infinite parts are the same. This implies that, in principle, during  
 437 the evaluation of a contact crack using the crack-induced second harmonic, a ‘‘pulse-echo’’  
 438 configuration (for capturing reflected waves) and a ‘‘pitch-catch’’ configuration (for  
 439 capturing transmitted waves) are equally feasible, with comparable sensitivity and accuracy.  
 440 In a ‘‘pulse-echo’’ configuration, the reflected wave fields can be illustrated with Eq. (22a),  
 441 while in a ‘‘pitch-catch’’ configuration, the influence of the incident probing GUW on the  
 442 transmitted wave fields must be taken into account – that is to say the displacement fields of  
 443 the propagating  $S_0$  mode are the superposition of the incident probing GUW and the  
 444 transmitted waves. Considering the probing GUW in this study takes the modality of  $S_0$  mode  
 445 (*viz.*,  $u_i^{inc} = u_i^1$ ), the said superposition is

446 
$$U_1^{\omega_0} = a_{inc} u_1^1(x_3) - b_1^{\omega_0} u_1^1(x_3), \quad U_3^{\omega_0} = a_{inc} u_3^1(x_3) - b_1^{\omega_0} u_3^1(x_3). \quad (23)$$

447

448 2.3. Damage index for evaluating crack severity

449 Based on Eqs. (22) and (23), a set of dimensionless damage indices, making use of the  
 450 nonlinear (extracted at  $2\omega_0$ ) and linear (at  $\omega_0$ ) G UW features, is proposed, aimed at  
 451 quantitatively evaluating the severity of a contact crack, defined as

$$452 \quad NI = \frac{U_1^{2\omega_0}}{(a_{inc} u_1^1(x_3))} = \frac{(b_1^{2\omega_0} u_1^{1-2\omega_0}(x_3))}{(a_{inc} u_1^1(x_3))}, \quad (24a)$$

$$453 \quad LI^R = \frac{b_1^{\omega_0}}{a_{inc}}, \quad LI^T = \frac{(a_{inc} - b_1^{\omega_0})}{a_{inc}}, \quad (24b)$$

454 where  $NI$  indicates a nonlinear index – a ratio of (i) the amplitude of the propagating  $S_0$   
 455 mode at  $2\omega_0$ , induced by  $CISS^{bre-2\omega_0}$ , to (ii) the amplitude of the probing G UW ( $S_0$  mode).  
 456 Linear-wise, for the purpose of comparison, two linear indices are defined:  $LI^R$  is the ratio  
 457 of the amplitude of the crack-induced, reflected  $S_0$  mode to the amplitude of the probing  
 458 G UW ( $S_0$  mode), and  $LI^T$  the ratio of the amplitude of the crack-induced, transmitted  $S_0$   
 459 mode to the amplitude of the probing G UW ( $S_0$  mode). In particular, for the case shown in  
 460 Fig. 1, where the wave receiver is placed on the upper surface of the waveguide,  $NI$  can  
 461 be evaluated at the upper surface when  $x_3 = h$ , as

$$462 \quad NI = \frac{U_1^{2\omega_0}}{a_{inc} u_1^1(x_3)} = \frac{b_1^{2\omega_0} u_1^{1-2\omega_0}(h)}{a_{inc} u_1^1(h)}. \quad (25)$$

463 With Eqs. (24) and (25), the nonlinear and linear indices can be obtained using the amplitude  
 464 captured with a receiver, to evaluate the severity of a contact crack.

465

466 **3. Validation using finite element-based simulation**

467 To validate the developed analytical model, finite element (FE)-based simulation was

468 performed. ABAQUS®/CAE was employed for modeling and ABAQUS®/EXPLICIT for  
469 simulation. An aluminum medium, 8 mm in thickness, 1000 mm in length and infinite in  
470 width – a 2D waveguide – was considered and modeled using both the FE and the analytical  
471 model. The material properties of the medium are listed in Table 1. The contact crack in the  
472 waveguide was modeled as a seam with different length – an edge with overlapping nodes  
473 that can be either in contact or apart under the modulation of the probing GUW. To model  
474 the contact interaction between the two crack surfaces, a surface-surface contact-pair  
475 definition, which prohibits the penetration of nodes into opposite surface was adopted to  
476 model the “breathing” behaviors of the contact crack. To ensure accuracy of simulation, at  
477 least ten FE nodes were allocated per wavelength of the GUW at  $2\omega_0$ . The simulations  
478 were carried out for cracks with different depth.

479

480 Hanning-window modulated 5-cycle sinusoidal tone bursts with a central frequency of  
481 100 kHz were excited, by applying forces at a pair of FE nodes whose locations were  
482 symmetric about the middle plane of the waveguide, as illustrated schematically in Fig. 8.  
483 Two nodes on the top surface of the waveguide, respectively left and right to the crack, as  
484 shown in Fig. 8, were selected as wave receivers to capture GUW, on which the nodal  
485 displacements were acquired along  $x_1$  (corresponding to the  $S_0$  mode). Allowing for the  
486 dispersive and multimodal properties of GUWs, the thickness-frequency product of the  
487 probing GUW was selected to be 800 kHz·mm, as highlighted in Fig. 2, at which only  $S_0$   
488 and  $A_0$  Lamb modes co-exist – two propagating wave modes which are barely dispersive at  
489 this frequency.

490

491 With the developed FE model, a representative cycle of the crack opening (in tensile  
492 phase of probing GUW) and closing (in compressional phase) is shown in Fig. 9, to observe

493 that the tensile stress causes the crack to open and consequently the G UW traversing is  
494 interrupted (crack surfaces are stress-free), while the compressional stress drives the crack  
495 to close and G UW traverses the crack continuously without introducing conspicuous  
496 additional wave fields. Both jointly introduce nonlinearities to G UW signals captured by the  
497 receivers. For illustration, the time-series nodal displacement, captured by the receiver left  
498 to the crack – the reflected G UW from the crack, is displayed in Fig. 10. Applied with a  
499 short-time Fourier Transform (STFT) analysis, the signal spectrum is plotted in Fig. 11 (for  
500 two representative degrees of crack severity). From the spectrum, individual wave modes  
501 can be isolated by making a reference to the analytical dispersive curves, in Fig. 12(a). In  
502 the meantime, the amplitude of each wave mode at  $\omega_0$  and  $2\omega_0$  are determined from the  
503 spectrum, exhibited in Fig. 12(b) (after normalized to the amplitude of the incident probing  
504 G UW).

505

506 With the known amplitude of each wave mode, the linear and nonlinear damage indices  
507 were calculated using Eqs. (24) and (25). A variety of degrees of crack depth, from 12.5%  
508 up to 98.75% of the waveguide thickness, was explored, in order to calibrate the relation  
509 between the crack depth and the linear/nonlinear G UW features induced by the contact crack.  
510 Such a correlation is shown in Fig. 13 (linear indices in Fig. 13(a), and nonlinear index in  
511 Fig. 13(b)). Good agreement can be observed between FE and analytical results, indicating  
512 the validity and accuracy of the developed analytical model.

513

514 At the embryo stage of a contact crack, for two linear indices,  $LI^R$  is noted to be trivial,  
515 while  $LI^T$  remains unchanged. This observation has corroborated an earlier statement in  
516 Section 1 that the linear features of G UWs are barely discernable for fatigue damage in an  
517 undersized stage, and this sort of signal features can become remarkable only when the

518 severity of the damage crack reaches a certain extent – (30%) as observed in Fig. 13(a). For  
519 the nonlinear index, it can be seen from Fig. 13(b) that the severer a crack, the greater  $NI$  it  
520 will be, and the increasing rate of the nonlinear index tends to decrease when the crack depth  
521 reaches a certain degree (*i.e.*, 60% of the waveguide thickness). Similar trends were reported  
522 by Shen and Giurgiutiu[30], and Wan *et al.*[29], respectively, both concluding that the  
523 amplitude of CAN increased monotonically to a peak value and then tended to reach a  
524 plateau or decrease slightly. Inversely, the magnitude of the extracted CAN can be used to  
525 estimate the parameters of the crack. The monotonous correlation between the  $NI$  and crack  
526 depth indicates that the defined  $NI$  is capable of quantifying the severity of a contact crack.  
527 Compared with the material nonlinearity-induced second harmonic whose magnitude is  
528 usually three orders lower than that of the incident probing G UW, the CAN induced by a  
529 contact crack is prominent. It is also noteworthy that, from the analytical modeling, the  
530 position of the crack along the waveguide thickness is not a factor to affect the evaluation  
531 precision, and therefore the proposed detection framework is applicable to both surface and  
532 buried cracks.

533

534 Moreover, in conjunction with the use of the time-of-flight of the second harmonic, the  
535 location of the contact crack can be pinpointed using appropriate methods, such as the  
536 probability-based diagnostic imaging method[39]. In addition, in contrast to the methods  
537 based on the use of linear G UW features, the detection of the contact fatigue crack using  
538 CAN is immune to the adversity caused by the reflections and mode conversion at the  
539 boundaries. It is also noteworthy that upon the interaction of the contact crack with probing  
540 G UW, accompanying the generation of reflection and transmission, mode conversion is also  
541 to be induced, *e.g.*,  $A_0$  can be generated when the symmetric waves traversing the crack, due  
542 to the antisymmetric geometry of the crack, as evident in Fig. 12. This has offered an



543 alternative to define other types of damage indices in conjunction with the use of these  
544 converted wave modes.

545

#### 546 **4. Concluding remarks**

547       Aimed at characterizing fatigue cracks in a quantitative manner, a dedicated analytical  
548 model is developed to interpret the modulation mechanism of a 2D “breathing” crack on  
549 probing GUWs. In conjunction with a modal decomposition method and a variational  
550 principle-based algorithm, the model is capable of scrutinizing the “breathing” behavior of  
551 the crack when the probing GUW traversing, and analytically depicting the “breathing”  
552 behavior-induced propagating and evanescent waves, from which linear and nonlinear signal  
553 characteristics (*e.g.*, CAN) can be extracted. With the model, a quantitative correlation  
554 between CAN embodied in acquired GUW signals and the crack parameters (*e.g.*, location  
555 and severity) is obtained, whereby a set of damage indices is proposed, able to quantitatively  
556 evaluate the severity of a contact crack. The evaluation, in principle, does not entail a  
557 benchmarking process. FE results well corroborate the analytical model. Further study will  
558 be focused on experimental validation and also the inclusion of internal stress, crack gaps,  
559 slanted incidence and crack roughness in the analytical model.

560

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664 **Tables**

665 **Table 1** Material and physical properties of the aluminum used in FE validation

Density [kg/m <sup>3</sup> ]	Elastic modulus [GPa]	Poisson's ratio	$C_L$ [m/s]	$C_T$ [m/s]
2660	71.8	0.33	6324	3185

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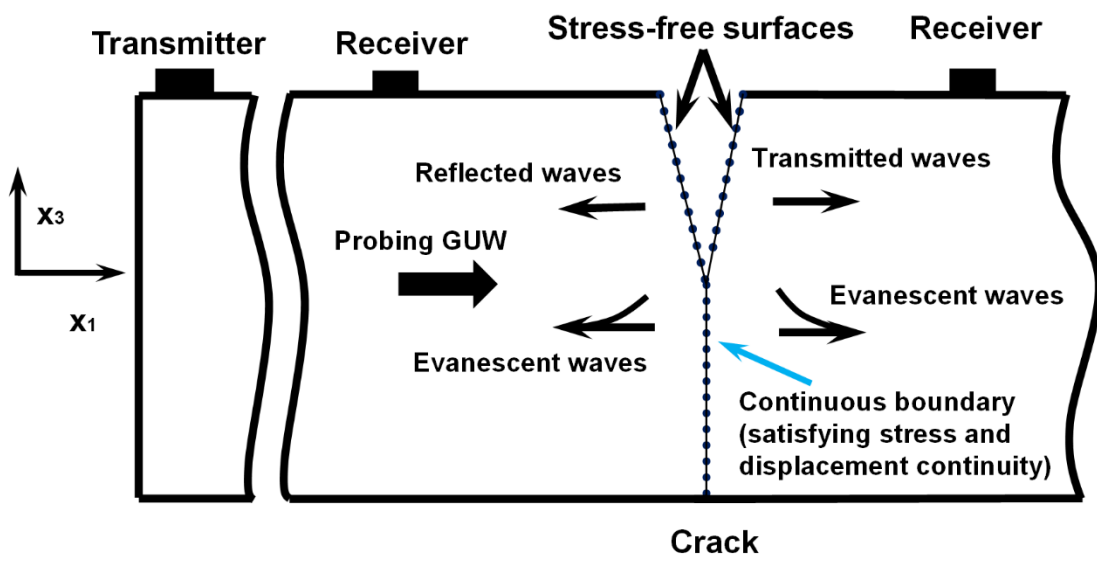
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668 **Figure Captions**

- Fig. 1** Schematic of a 2D infinite waveguide bearing a “breathing” crack when the crack is open
- Fig. 2** Dispersion curve of Lamb waves in an aluminium waveguide
- Fig. 3** Flowchart of the proposed framework to quantitatively analyse CAN induced by a “breathing” crack
- Fig. 4** Roots to dispersive equation in a complex wavenumber domain
- Fig. 5** Displacement history of a mid-point pair when the crack depth is (a) 50%; and (b) 75% of the waveguide thickness (with and without consideration of the influence of CISS-induced wave fields)
- Fig. 6** (a) Indicator function based on Eq. (10); and (b) Spectrum of signal in (a)
- Fig. 7** (a) Cross-thickness distribution of CISS; (b) two semi-infinite parts of the waveguide with CISS applied on the free end of each part
- Fig. 8** The FE model for validation
- Fig. 9** Snapshots of calculated stress fields when probing GUW traversing a “breathing” crack: (a) tensile stress causes crack to open and GUW traversing is interrupted; (b) compressional stress makes crack to close and GUW traverses continuously
- Fig. 10** Nodal displacement history: black solid—in-plane; red dash—out-of-plane
- Fig. 11** Spectra of the signal shown in Fig. 10 obtained using STFT when the crack depth is (a) 50%; and (b) 75% of the waveguide thickness
- Fig. 12** (a) Spectra of the acquired reflection wave fields compared with the analytical dispersion curves; (b) comparison between the amplitude of incident GUW and the amplitude of the crack-induced waves at  $\omega_0$  and  $2\omega_0$
- Fig. 13** Defined linear/nonlinear indices vs. ratio of crack depth to the waveguide thickness: (a) linear indices; (b) nonlinear index



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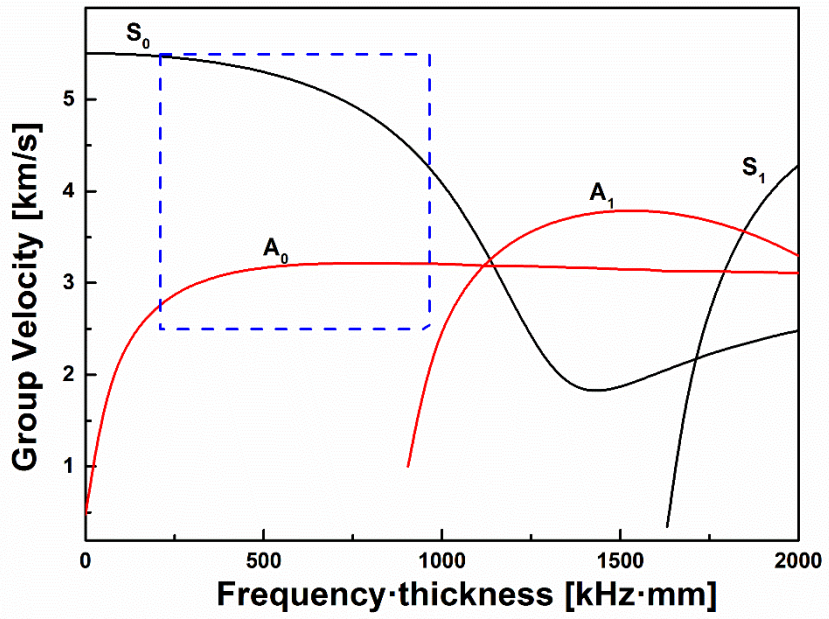
Fig.1.

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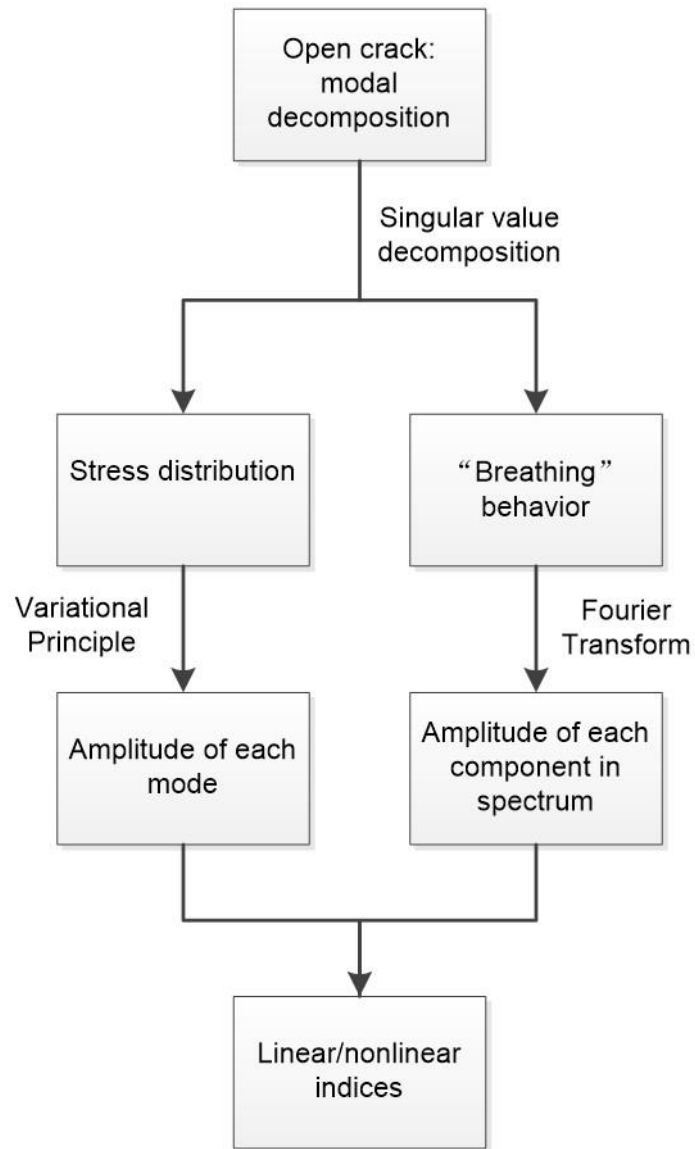
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Fig. 2.



**Fig. 3.**

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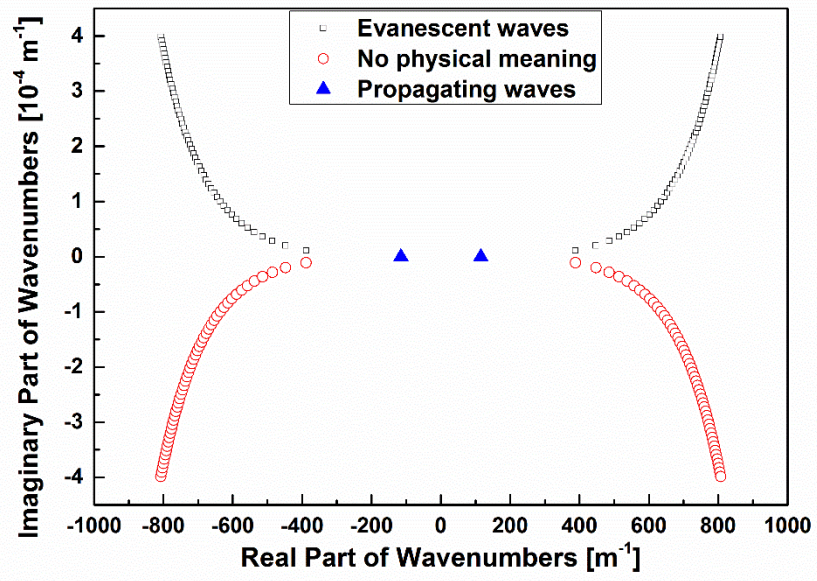
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Fig. 4.

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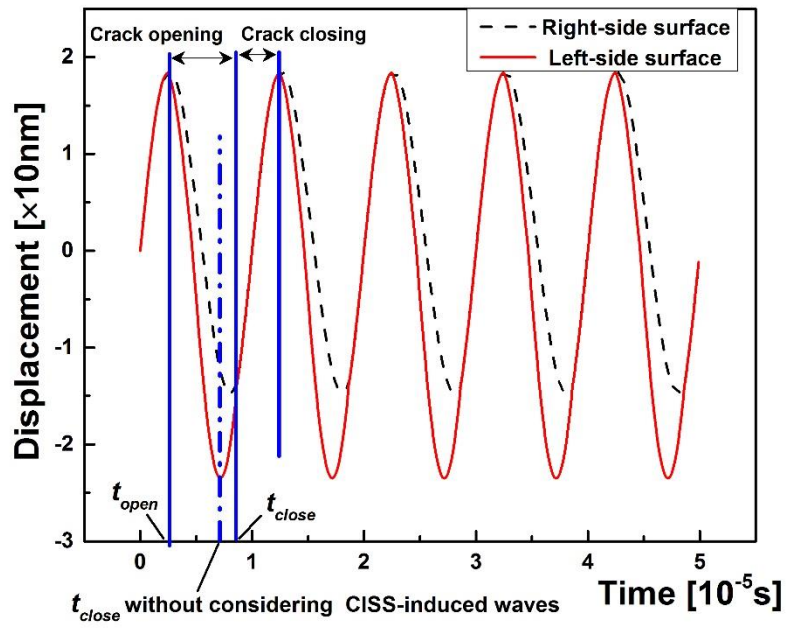
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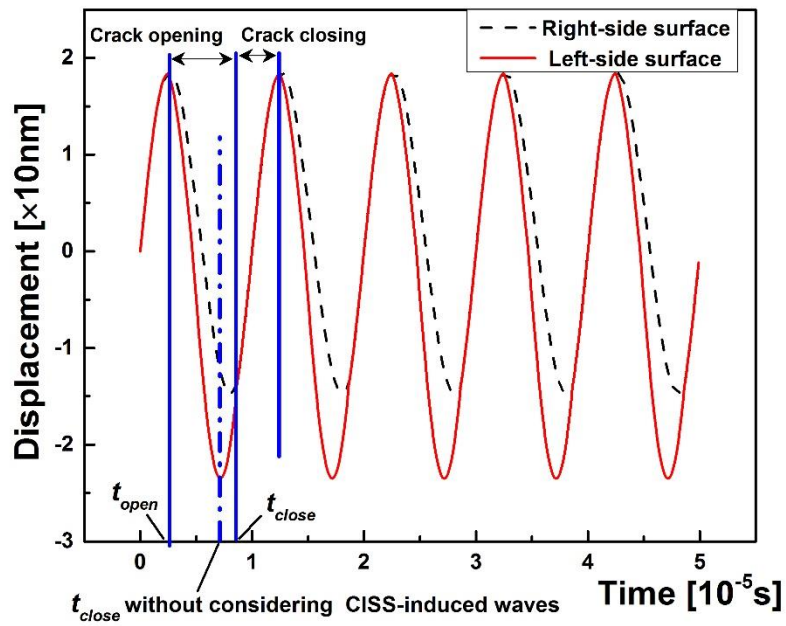
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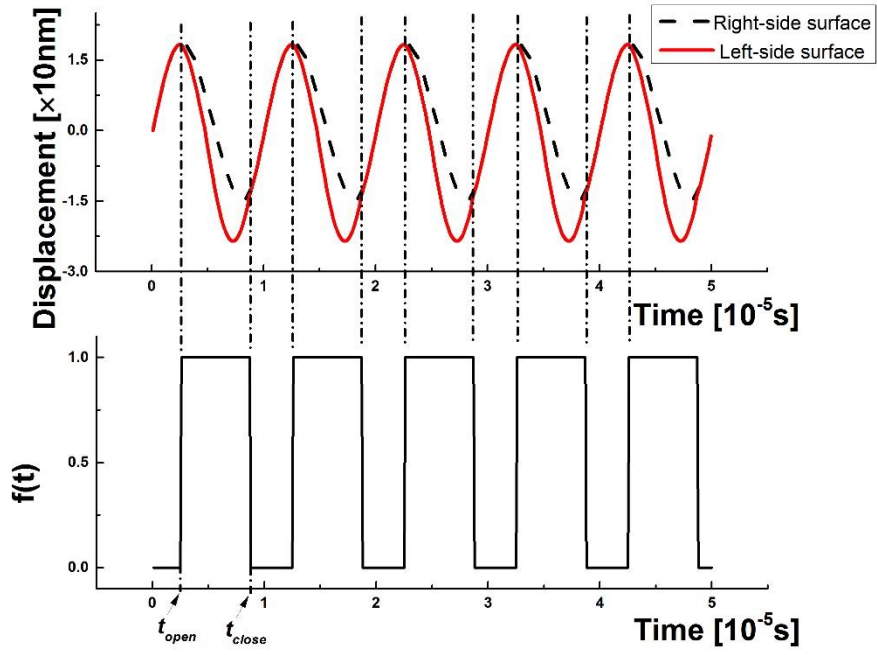
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Fig. 5(a)



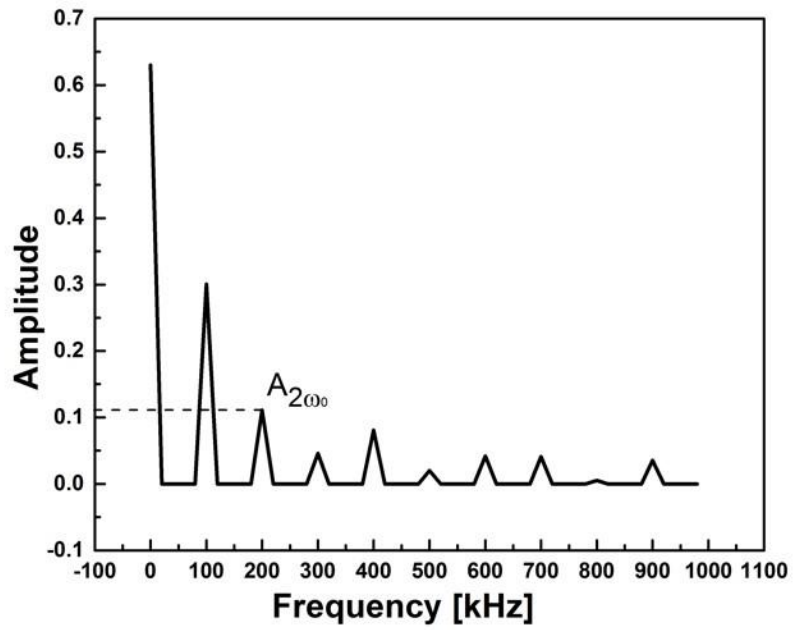
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Fig. 5(b)



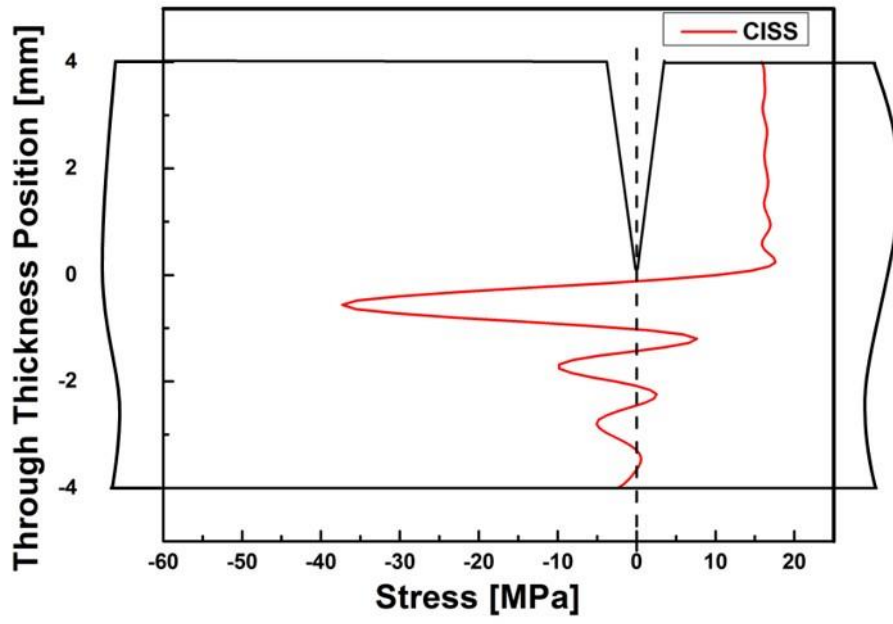
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Fig. 6 (a)



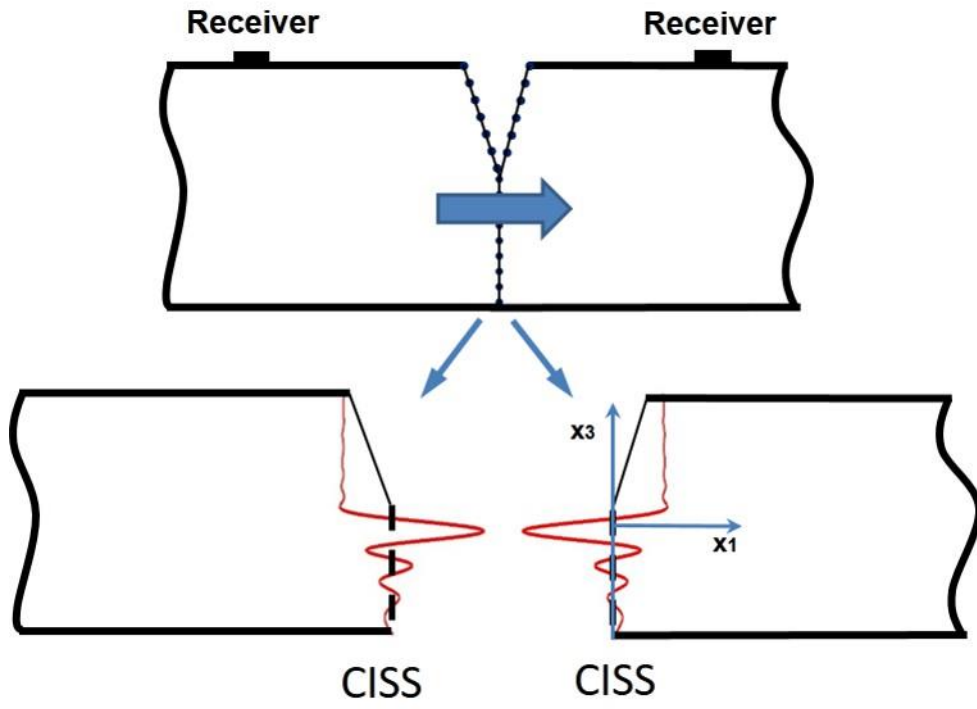
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Fig. 6(b)



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Fig. 7(a)



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Fig. 7(b)

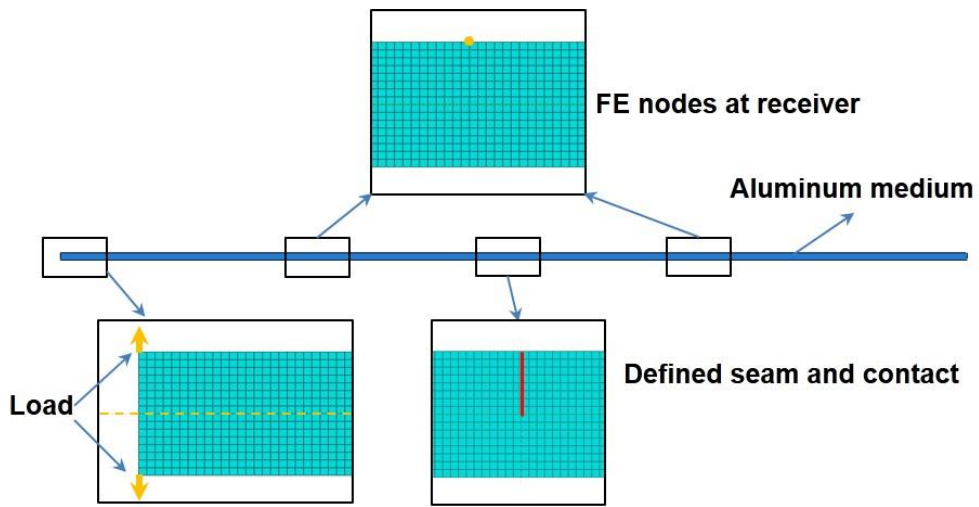
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Fig. 8

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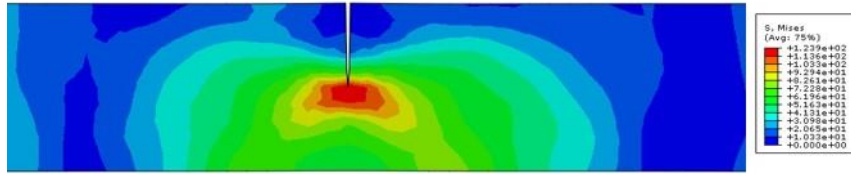
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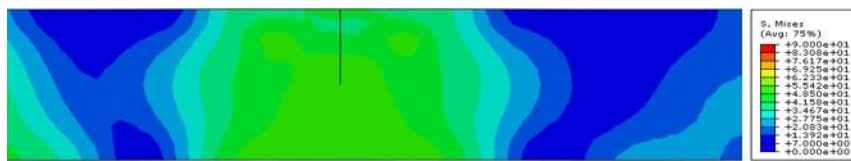
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Fig. 9(a)

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Fig. 9(b)

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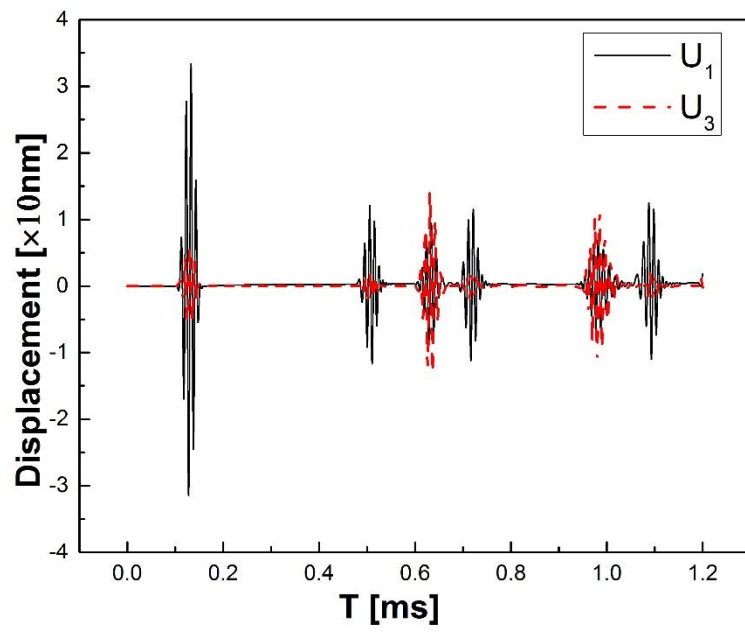
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**Fig. 10**

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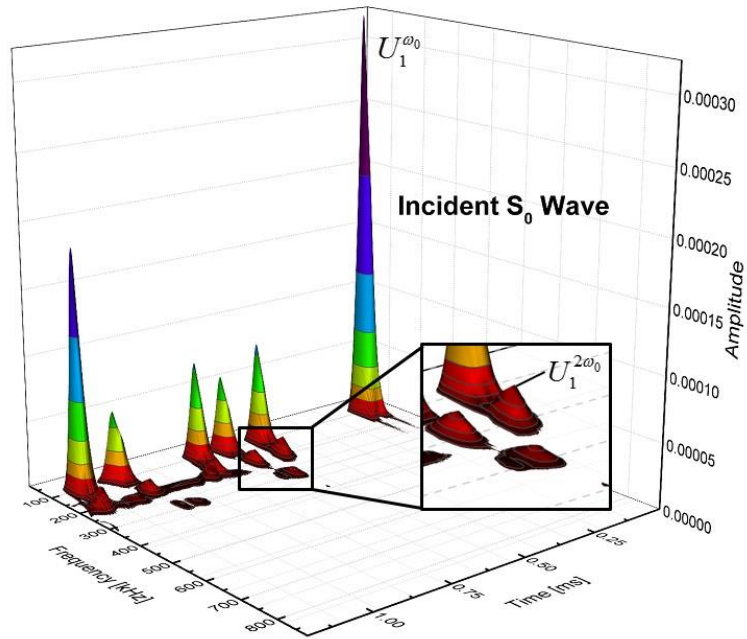
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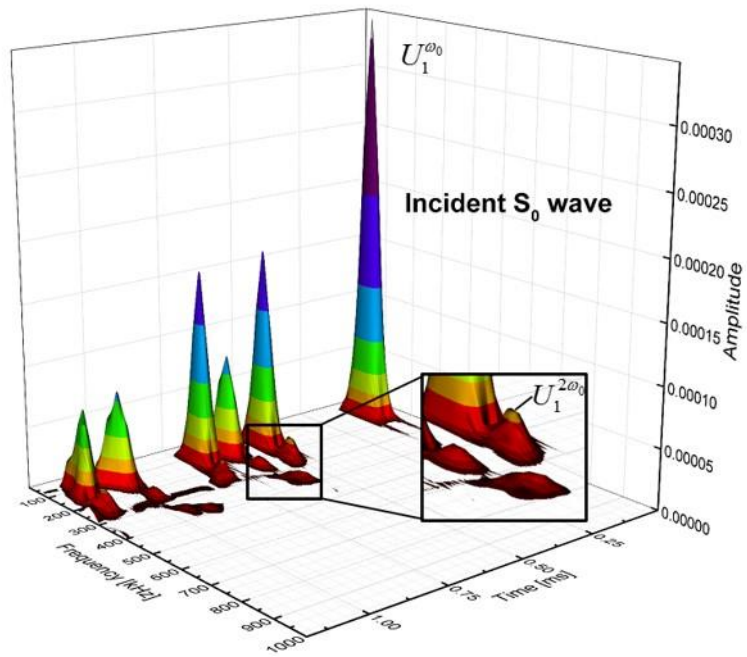
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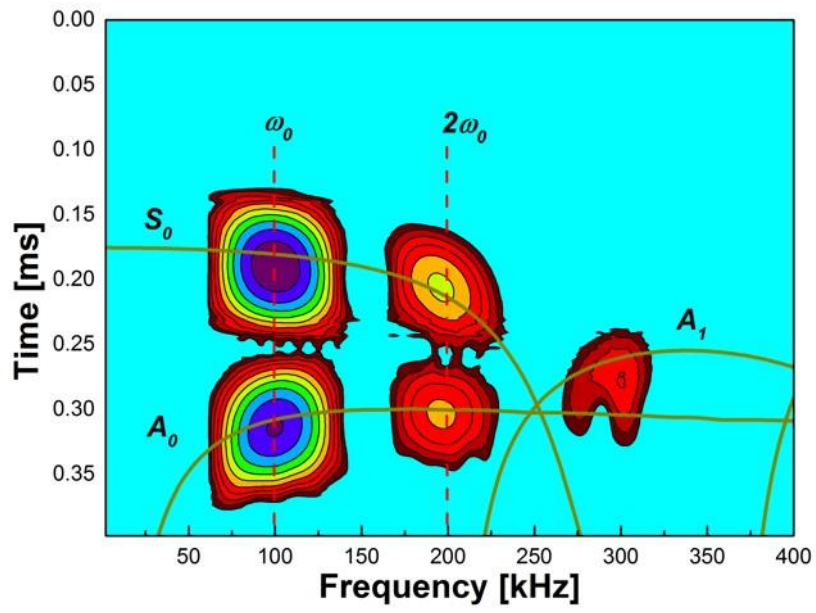
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Fig. 11(a)



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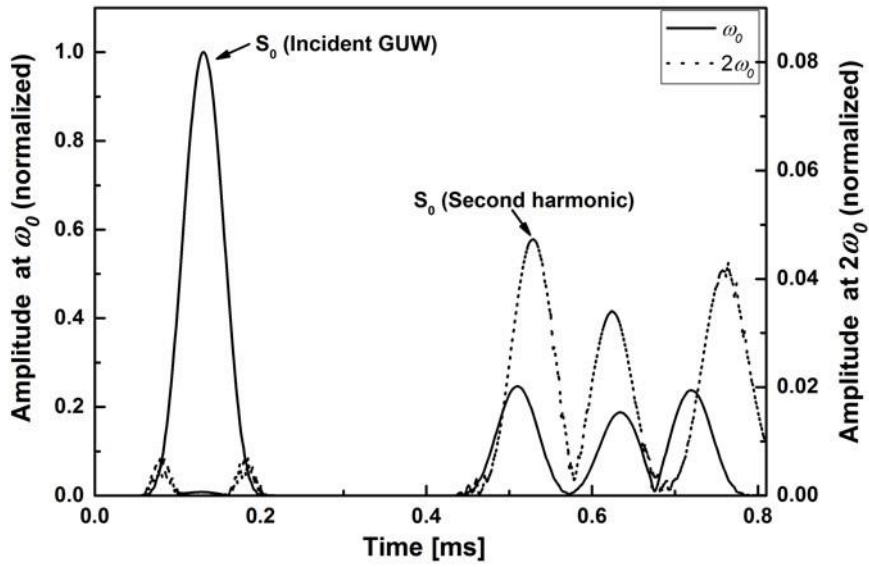
Fig. 11(b)



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Fig. 12(a)



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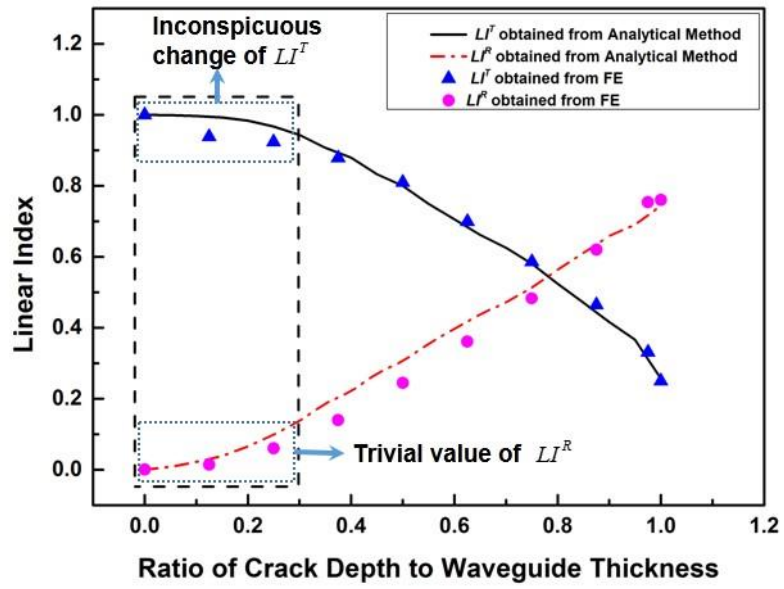
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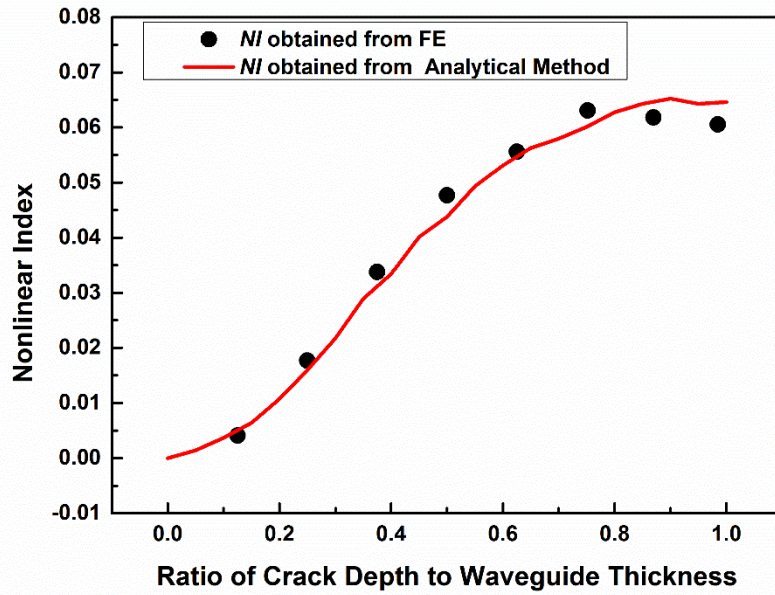
Fig. 12(b)



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Fig. 13(a)



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Fig. 13(b)