

29 **Abstract**

30 Characterization of small-scale damage (with dimensions smaller than 1/10 of the probing
31 wavelength) using nonlinear guided ultrasonic waves (GUWs) has been practiced over years,
32 numerically and experimentally. To compensate for the insufficiency of analytical solutions that
33 are able to interpret the underlying physical aspects of nonlinearity in GUWs induced by the
34 small-scale damage and in particular fatigue damage, a new theoretical model based on the
35 elastodynamic reciprocity theorem is developed. The model yields a closed-form solution to the
36 modulation mechanism of a fatigue crack with ‘breathing’ attributes on Lamb wave propagation,
37 gaining insight into the generation of second harmonics in Lamb waves. The model depicts the
38 ‘breathing’ crack as an additional wave source imposing extra forces on crack surfaces that is
39 equivalent to the integral of the stress tensor, and the source interferes with the wavefield of the
40 original probing wave. In a time-frequency domain, this additional wave source is linked to the
41 second harmonic generation in spectra. By virtue of the model, a nonlinear damage indicator,
42 governed by the quantified second harmonic generated by the crack, is defined, to calibrate crack
43 severity quantitatively. Finite element simulation is performed to verify the analytical model and
44 demonstrate its accuracy when used for evaluating damage onset. Proof-of-concept experimental
45 validation is conducted to verify the proportional trend of the damage indicator with respect to
46 damage severity. This elastodynamic reciprocity-driven model and the closed-form solution shed
47 light, from an analytical perspective, on the nonlinear interaction of GUWs with damage of small
48 scale featuring ‘breathing’ attributes.

49
50 **Keywords:** damage detection; contact acoustic nonlinearity; second harmonic generation; fatigue
51 crack; elastodynamic reciprocity; Lamb wave

52 **1. Introduction**

53 The superior sensitivity of higher order harmonics embodied in guided ultrasonic waves (GUWs)
54 to the microstructural evolution and material degradation has been broadly exploited, to develop
55 high-precision nondestructive evaluation, condition monitoring, material state awareness and
56 structural health monitoring techniques [1-8]. The higher order harmonics can be generated upon
57 nonlinear interaction between a probing wave and microstructural degradation in a waveguide
58 that is associated with dislocation, phase change, void nucleation and plastic deformation. There
59 is a rich body of literature, in numerical or experimental natures [9-12], to reveal that the higher
60 order harmonics of GUWs are more sensitive to contact-type defect (*e.g.*, fatigue cracks or
61 delamination under the modulation of external loads), yet less affected by ambient variations (*e.g.*,
62 environmental noise or temperature fluctuation) than the linear features of GUWs including the
63 coefficients of wave transmission/reflection, distortion of waveform, and delay in wave arrival
64 time [13-21]. Amongst the higher order harmonics, the second order harmonics are extensively
65 explored, owing to their relatively stronger magnitudes and easier acquisition, compared with
66 harmonics of higher orders.

67
68 Approaches making use of the second harmonics of GUWs and in particular those of Lamb waves,
69 for the purposes of material characterization and damage evaluation, have primarily been
70 developed based on the premise that the second harmonic generation can be attributed to two
71 sources: i) the nonlinear material elasticity of the waveguide [22-24], and ii) the damage-induced
72 contact acoustic nonlinearity (CAN) [25, 26]. For the former, the continuous material
73 deterioration under cyclic loads (*e.g.*, dislocation dipoles, slip bands and micro-cracks) leads to
74 deviation in intrinsic constitutive properties of the waveguide material, and the nonlinearity in
75 constitutive properties consequently induces the second harmonic generation. This phenomenon
76 can be rigorously interpreted by physics-based models. Representatively, the Hikata model, first
77 established by Hikata *et al.* [27, 28] and further extended by Cash and Cai [29], links the

78 contribution of screw and edge dislocations in the material to the magnitude of generated second
79 harmonics. Chen and Qu [30] extended the Hikata model and proposed a solution to the pure and
80 mixed dislocations in anisotropic crystals with orientation-dependent line energy, and the model
81 was proven accurate in molecular dynamic simulation when it was used to evaluate variable
82 dislocation lengths. Cantrell [31] investigated the effect of dislocation dipoles mutually trapped
83 in wavy-slip on the generation of nonlinearity in GUWs propagating in various metals including
84 crystalline nickel, aluminium alloys and copper single crystals, and revealed the correlation of
85 acoustic nonlinearity with the density of dislocation dipoles and the dipole height. Based on that,
86 Cantrell predicted the rise in the magnitude of the second harmonics by considering the interaction
87 between precipitates and dislocations [32].

88
89 As far as the CAN concerned, the modulation of a contact-type defect, for instance a fatigue crack,
90 on propagating GUWs is a key driving force to trigger the generation of nonlinear wave features.
91 When a probing GUW traverses a contact-type crack or when the crack is modulated by an
92 external excitation, the crack opens and closes, respectively during the tensile and compressive
93 phases of the probing GUW, and such a crack is impersonated as the ‘breathing’ crack. Good
94 supply of research has rigorously examined the scattering and second harmonic generation by a
95 ‘breathing’ crack. Rose *et. al.* [33] represented the crack as a displacement discontinuity in the
96 waveguide. The displacement discontinuity induces equivalent forces at the crack location, which
97 generate additional wave to interfere in the original global wavefield. Achenbach *et. al.* [34, 35]
98 investigated the scattering of elastic waves by a small-scale crack, and depicted the scattered
99 waves from the crack as the radiated waves generated by an equivalent force, considering the
100 sufficient small characteristic dimensions of the crack when compared with the wavelength of the
101 incident wave. Shen and Giurgiutiu [36] simulated the nonlinear interaction between Lamb waves
102 and a ‘breathing’ crack using a finite element (FE) method, and clarified a monotonic increase of
103 the generated second harmonic against the crack severity. Yang *et al.* [6, 37] conducted numerical

104 and experimental research on the second harmonic generation in low-frequency Lamb waves that
105 was triggered by fatigue cracks, to conclude that the magnitude of the second harmonic induced
106 by the interaction between the fundamental symmetric Lamb mode (S_0) and fatigue crack is much
107 higher than that by the fundamental antisymmetric Lamb mode (A_0). Zhao *et al.* [38, 39]
108 constructed a numerical model containing randomly distributed micro-cracks, to explore the
109 second harmonic generation in low-frequency S_0 caused by these micro-cracks using a Monte
110 Carlo simulation method. The simulation illuminated that the magnitude of the second harmonic
111 is proportional to the crack density and propagation distance of Lamb waves in the cracking
112 region, but is not correlated to the friction state of the micro-crack surfaces.

113
114 With that being said, most approaches exploring the second harmonic generation in GUWs are of
115 a nature of either numerical simulation or experimental observation, and there is obvious lack of
116 analytical interrogation to shed light on underlying physical aspects of nonlinearity in Lamb
117 waves induced by small-scale damage and ‘breathing’ fatigue cracks in particular. Compared with
118 the acoustic nonlinearity arising from the nonlinear elasticity of materials which can be thoroughly
119 interpreted by physics-based models, rigorous theoretical derivation on the crack-induced second
120 harmonic generation is still deficient. Among limited effort, Nazarov and Sutin [40] proposed a
121 physical model to explain the phenomena observed in experiment and illustrated the high acoustic
122 nonlinearity in the medium containing uniformly distributed and randomly oriented penny-shape
123 micro-cracks. The model describes the crack behavior as an elastic contact of two rough surfaces,
124 pressing one to the other under the action of internal stress in the surrounding solids. It has also
125 been demonstrated that the presence of cracks results in strong variation in the quadratic and cubic
126 nonlinearity parameters. The above model was later used to quantitatively determine the
127 contribution of an evolving fatigue crack in a wavy slip metal to the acoustic nonlinearity in
128 GUWs [41]. In the model, the distributed cracks were simplified as a single, holistic damage to
129 alter the mechanical properties of the medium. However, when extended to scenarios in which a

130 localized crack, rather than a multitude of distributed cracks, exists in the medium (*e.g.*, a corner
131 crack near a fastener hole), the model becomes not tenable.

132

133 In recognition of the insufficiency of analytical solutions able to interpret the underlying physics
134 of nonlinearity in GUWs induced by small-scale damage and in particular a fatigue crack with
135 ‘breathing’ attributes, an analytical model is proposed in this study, based on the elastodynamic
136 reciprocity theorem [33, 42-44]. The crack considered in the model is of a microscopic degree
137 and under a stress-free state, namely in the absence of any external load. The model equates the
138 ‘breathing’ crack as an additional wave source to impose extra forces equivalent to the integral of
139 the stress on the crack surfaces, which interferes with the wavefield of the original probing Lamb
140 wave. By performing a time-frequency analysis, this additional source is linked to the second
141 harmonic generation in spectra. Residing on the elastodynamic reciprocity theorem, a closed-form
142 solution to the magnitude of the ‘breathing’ crack-induced second harmonic is obtained. A
143 nonlinear damage indicator is further defined by virtue of the closed-form solution, to calibrate
144 the crack severity in a quantitative manner. FE simulation and experimental validation are
145 respectively conducted to validate the model and examine its accuracy when used for evaluating
146 embryonic fatigue cracks.

147

148 **2. Elastodynamic Reciprocity-driven Model and Closed-form Solution**

149 To analytically scrutinize the generation mechanism of second harmonic in a probing Lamb wave,
150 upon the nonlinear interaction between the wave and a ‘breathing’ fatigue crack, an analytical
151 model, based on the elastodynamic reciprocity theorem, is developed.

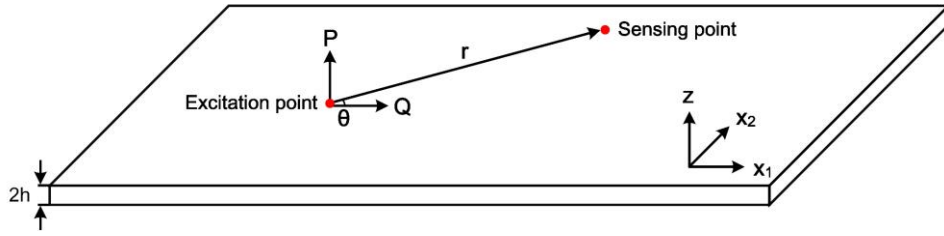
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153 **2.1 Lamb Waves Generated by A Time-harmonic Point Force**

154 When a probing Lamb wave interacts with a ‘breathing’ crack, the wave can traverse through the
155 crack without being distorted during the compressive phase of the wave; in the contrast, the wave

156 is intercepted by the crack during the tensile phase of the wave [45-47]. To depict such two
 157 alternate periods in a wave cycle, a *second excitation force* is introduced in the analytical model,
 158 to supplant the stress generated on the crack surfaces during this interaction. To facilitate this, the
 159 probing Lamb wave generated by a time-harmonic point force is defined first.

160
 161 Comprising symmetric and antisymmetric modes, a Lamb wave in a thin plate-like waveguide in
 162 a stress-free state, can be excited using a time-harmonic vertical point force P and a horizontal
 163 point force Q applied simultaneously, see **Fig. 1**, as [48, 49]



164
 165
 166 **Figure 1.** Schematic of Lamb wave generation by a point force.

167
 168
$$u_{\alpha}^n = \frac{1}{k_n^{\omega}} V^n(z) \frac{\partial \varphi(x_1, x_2)}{\partial x_{\alpha}} e^{i\omega t}, \quad (1)$$

169
$$u_z^n = W^n(z) \varphi(x_1, x_2) e^{i\omega t}. \quad (2)$$

170 In the above, u_{α}^n ($\alpha=0$ or 1) and u_z^n denote the in-plane displacement (within the x_1x_2 -plane)
 171 and out-of-plane displacement of the n^{th} -order Lamb wave mode, respectively. ω and t are the
 172 angular frequency of the time-harmonic point force and the time, respectively. i is the imaginary
 173 unit. k_n^{ω} is the wavenumber of the n^{th} -order Lamb wave mode at ω . $\varphi(x_1, x_2)$ signifies the
 174 solution of the membrane equation in the x_1x_2 -plane, which satisfies

175
$$\nabla^2 \varphi(x_1, x_2) + (k_n^{\omega})^2 \varphi(x_1, x_2) = 0. \quad (3)$$

176 $V^n(z)$ and $W^n(z)$ represent the in-plane and out-of-plane displacement functions of the n^{th} -
 177 order Lamb wave mode, respectively, which can be separated into the symmetric ($V_S^n(z)$ and
 178 $W_S^n(z)$) and antisymmetric ($V_A^n(z)$ and $W_A^n(z)$) modes, as

179 *for symmetric modes*

$$180 \quad V_S^n(z) = s_1 \cos(pz) + s_2 \cos(qz) \quad (4)$$

$$181 \quad W_S^n(z) = s_3 \sin(pz) + s_4 \sin(qz) \quad (5)$$

182 *for antisymmetric modes*

$$183 \quad V_A^n(z) = a_1 \sin(pz) + a_2 \sin(qz) \quad (6)$$

$$184 \quad W_A^n(z) = a_3 \cos(pz) + a_4 \cos(qz), \quad (7)$$

185 where

$$186 \quad p^2 = \frac{\omega^2}{c_L^2} - (k_n^\omega)^2, \quad c_L^2 = \frac{2\mu(1-\nu)}{\rho(1-\nu)}, \quad (8a)$$

$$187 \quad q^2 = \frac{\omega^2}{c_T^2} - (k_n^\omega)^2, \quad c_T^2 = \frac{\mu}{\rho}. \quad (8b)$$

188 s_1, s_2, s_3, s_4 and a_1, a_2, a_3, a_4 are two series of coefficients, depending on p , q , and k_n^ω . c_L and c_T
 189 are the velocities of the longitudinal and transverse wave modes, respectively, which jointly
 190 constitute the Lamb wave. μ is the shear modulus of the plate, ν the Poisson's ratio, and ρ the
 191 density.

192
 193 In a cylindrical coordinate system, the wavefield of the outgoing symmetric Lamb wave modes
 194 (using symmetric modes as an example – the mode to be explored in the analytical model)
 195 generated by the time-harmonic point force can be written as

$$196 \quad u_r^n = V_S^n(z) \phi'(k_n^\omega r) \cos \theta, \quad (9)$$

$$197 \quad u_\theta^n = \left(-\frac{1}{k_n^\omega r}\right) V_S^n(z) \phi(k_n^\omega r) \sin \theta, \quad (10)$$

198
$$u_z^n = W_S^n(z)\phi(k_n^\omega r)\cos\theta, \quad (11)$$

199 where u_r^n , u_θ^n and u_z^n are the radial, circumferential and out-of-plane displacement components
 200 of the n^{th} -order Lamb wave mode, respectively. r and θ are coordinates of the sensing point, at
 201 which the propagating wave signal is captured. ϕ and ϕ' are the first-order Hankel function of
 202 the second kind and its derivative, respectively. The stress component along the radial direction
 203 induced by the probing wave for the n^{th} -order Lamb wave mode, σ_{rr}^n , can be expressed as [48]

204
$$\sigma_{rr}^n = \sum_{rr}^{S_n}(z)\phi(k_n^\omega r)\cos\theta - \overline{\sum_{rr}^{S_n}(z)} \left[\frac{1}{r}\phi'(k_n^\omega r) - \frac{1}{k_n^\omega r^2} \right] \cos\theta. \quad (12)$$

205 $\sum_{rr}^{S_n}(z)$ and $\overline{\sum_{rr}^{S_n}(z)}$ are two functions of μ , p , q and waveguide thickness ($2h$).

206
 207 Recalling the elastodynamic reciprocity theorem relating two elastodynamic states of the same
 208 body V and surface S , which can be expressed as

209
$$\int_V (f_i^A u_i^B - f_i^B u_i^A) dV = \int_S (u_i^A \sigma_{ij}^B - u_i^B \sigma_{ij}^A) n_j dS, \quad (13)$$

210 where A and B represent two elastodynamic states, f_i^A (f_i^B), u_i^A (u_i^B) and σ_{ij}^A (σ_{ij}^B) are body
 211 force, displacement and stress, respectively. n_j is the component of outward normal to S . The
 212 amplitudes of the symmetric Lamb wave modes of different orders, generated by a time-harmonic
 213 point force, can be determined explicitly at a given circular frequency. Based on the recursive
 214 relation of the Hankel function, the Lamb wave modes can be obtained as a function of the time-
 215 harmonic vertical point force P and horizontal point force Q , wave propagation distance and
 216 direction [48], as follows,

217
$$u_r^{PS} = f_v^r(P, r) = -\sum_{n=0}^m C_n^{S,\omega} V_S^n(z) H_1^{(2)}(k_n^\omega r) P, \quad (14a)$$

218
$$u_z^{PS} = f_v^z(P, r) = \sum_{n=0}^m C_n^{S,\omega} W_S^n(z) H_0^{(2)}(k_n^\omega r) P, \quad (14b)$$

219
$$u_r^{QS} = f_h^r(Q, r, \theta) = \sum_{n=0}^m A_n^{S,\omega} V_S^n(z) [H_0^{(2)}(k_n^\omega r) - \frac{1}{k_n r} H_1^{(2)}(k_n^\omega r)] Q \cos \theta, \quad (15a)$$

220
$$u_z^{QS} = f_h^z(Q, r, \theta) = \sum_{n=0}^m A_n^{S,\omega} W_S^n(z) H_1^{(2)}(k_n^\omega r) Q \cos \theta. \quad (15b)$$

221 Here, f_v^r (or f_h^r) and f_v^z (or f_h^z) are the magnitude functions of the in-plane and out-of-plane
 222 displacement of the symmetric Lamb wave modes, generated by a vertical (or horizontal) point
 223 force – namely P (or Q). m is the number of Lamb wave modes generated in the waveguide.
 224 Superscripts PS and QS indicate the symmetric modes generated by vertical force P and horizontal
 225 force Q , respectively. $H_p^{(2)}(\cdot)$ denotes the p^{th} -order Hankel function of the second kind ($p = 0$
 226 or 1). $C_n^{S,\omega}$ and $A_n^{S,\omega}$ are the magnitude coefficients which can be expressed as a function of the
 227 applied point force and the modal energy flux as follows

228
$$C_n^{S,\omega} = \frac{k_n^\omega W_S^n(z)}{4i I_{nm}^S}, \quad (16a)$$

229
$$A_n^{S,\omega} = \frac{k_n^\omega V_S^n(z)}{4i I_{nm}^S}. \quad (16b)$$

230 In the above, I_{nm}^S is the energy carried by the n^{th} -order symmetric Lamb wave mode which can
 231 be expressed as

232
$$I_{nm}^S = \mu [c_1 \cos^2(ph) + c_2 \cos^2(qh)], \quad (17)$$

233 where

234
$$c_1 = \frac{(k_n^2 - q^2)(k_n^2 + q^2)}{2q^3 k_n^3} [2qh(k_n^2 - q^2) - (k_n^2 + 7q^2) \sin(2qh)]$$

$$c_2 = \frac{k_n^2 + q^2}{pk_n^3} [4k_n^2 ph + 2(k_n^2 - 2p^2) \sin(2ph)].$$

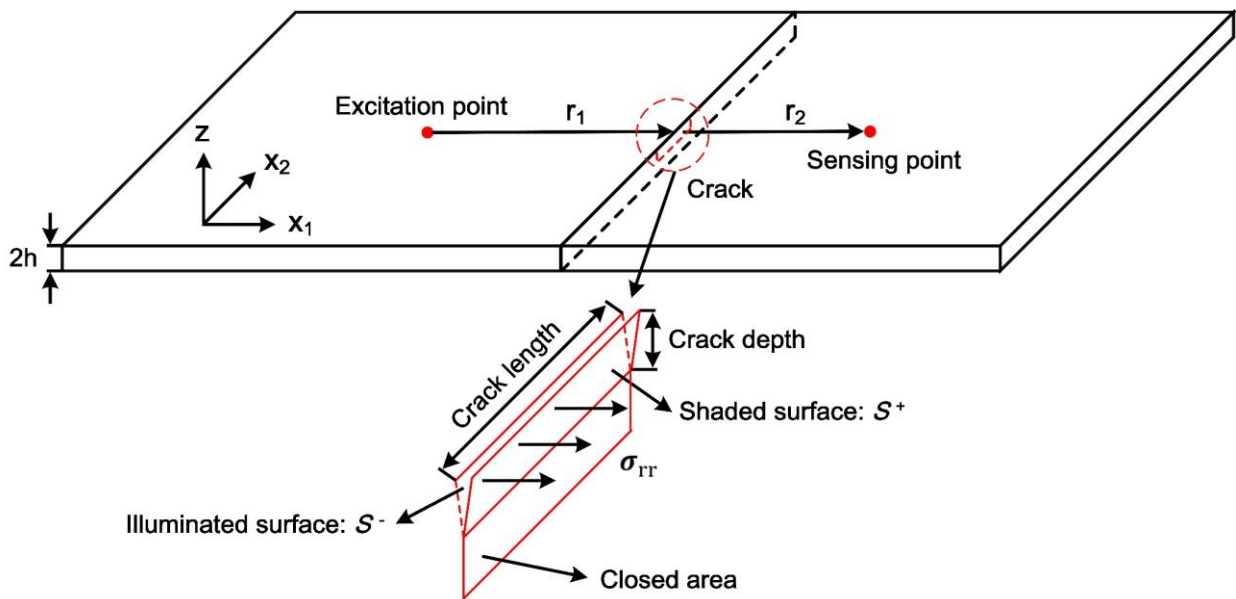
235 Validity of the above theoretical derivation is to be verified in Section 4.1.

236

237 **2.2 ‘Breathing’ Crack-induced Second Harmonic**

238 Consider a 3-D, thin plate-like waveguide under a stress-free state, on the upper surface of which
 239 there exists a non-penetrating (occupying partial thickness of the waveguide), small-scale fatigue
 240 crack (with length and depth of the crack being smaller than 1/10 of the wavelength of the probing
 241 Lamb wave) with ‘breathing’ attributes. The crack locates between the excitation point and a
 242 sensing point from which Lamb waves, upon interaction with the crack, are captured. The center
 243 of the crack is r_1 from the excitation point, and r_2 from the sensing point, as schematically
 244 illustrated in **Fig. 2**.

245



246

247 **Figure 2.** Schematic of Lamb wave excitation and acquisition in a plate waveguide containing a ‘breathing’
 248 crack.

249

250 During the tensile phase of wave propagation, the two crack surfaces are apart one from the other,
 251 partially or entirely. The crack surfaces are deemed smooth due to the fairly small dimensions of
 252 the crack, as a consequence of which the effect of vertical force at the crack on the second
 253 harmonic generation is not considered. Let S stand for the opening area of the crack surface,
 254 which can further be divided as S^+ and S^- , referred to as the *shaded* and *illuminated* surfaces,

255 respectively, in **Fig. 2**. As a result of the traction-free state on S^+ and S^- , the normal stress in x_1
 256 direction on S^+ satisfies the following criterion during wave propagation:

$$257 \quad \sigma(x, t) \geq 0, \quad x \in S^+ \quad (18)$$

258 The probing wave can propagate through the crack without distortion during the compressive
 259 phase in a wave cycle, while the wave is intercepted by the crack during tensile phase. Allowing
 260 for the small scale of the crack (with dimensions smaller than 1/10 of the probing wavelength), a
 261 pair of time-harmonic, concentrated, horizontal point forces, F^+ and F^- , is introduced to
 262 supplant the effect of the stress on S^+ and S^- , respectively, to investigate the crack-induced
 263 second harmonic. F^+ and F^- are equal in amplitude but opposite in direction. Taking F^+ as an
 264 example, the amplitude of F^+ equals to the difference between (i) the integral value of the normal
 265 stress in x_1 direction on S^+ when the waveguide is intact, and (ii) the integral value of the normal
 266 stress in x_1 direction on S^+ when the waveguide is cracked, as

$$267 \quad F^+ = \int_{S^+} |\sigma_{rr}^n(x, t)|_{intact} ds - \int_{S^+} |\sigma_{rr}^n(x, t)|_{cracked} ds \quad (19)$$

$$= \begin{cases} 0, & \text{during compressive phase} \\ \int_{S^+} |\sigma_{rr}^n(x, t)|_{intact} ds, & \text{during tensile phase.} \end{cases}$$

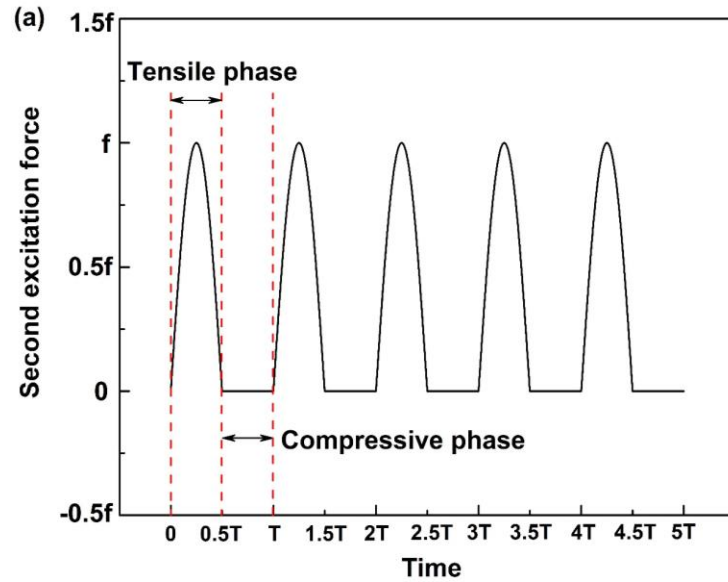
268 The identical manipulation is also applied to F^- on S^- . In the above, $|\sigma_{rr}^n(x, t)|_{cracked}$ represents
 269 the absolute value of the normal stress component on crack surface in the cracked waveguide, and
 270 $|\sigma_{rr}^n(x, t)|_{intact}$ signifies the absolute value of the normal stress component on the same surface in
 271 an intact waveguide. The pair of F^+ and F^- serves as an equivalent second excitation on the
 272 crack surface, to interfere with the original wavefield in the waveguide, and therefore it is referred
 273 to as *the second excitation force* hereinafter. Considering the second excitation force is defined
 274 based on the stress component under intact scenario, all other stress components on the two crack
 275 surfaces, as well as the sliding effect of the crack, are ignored here, as the normal stress in x_1

276 direction dominates the stress field in the intact waveguide, and is higher than other stress
277 components by several orders of magnitude [48].

278
279 The stress component along the radial direction induced by the probing wave, as analytically
280 obtained in Section 2.1 (i.e., Eq. (12)), is substituted into Eq. (19). With Eq. (19), the amplitude
281 of the second excitation force on the crack surface, in pace with the cyclic probing wave, is
282 obtained analytically and shown in **Fig. 3(a)**. The second excitation force exists in the tensile
283 phase of the probing Lamb wave propagation only, and otherwise vanishes. The force is then
284 scrutinized in the frequency domain, in which it is decomposed into two equivalent forces,
285 respectively at fundamental frequency (ω) and at the double excitation frequency (2ω): **i)** the
286 first equivalent force, F_{eq1}^+ , which is a sinusoidal signal at ω , **Fig. 3(b)**; and **ii)** the second
287 equivalent force, F_{eq2}^+ , which is the absolute value of F_{eq1}^+ at 2ω , as shown in **Fig. 3(c)**. Both
288 the magnitudes of F_{eq1}^+ and F_{eq2}^+ are the half of that of F^+ . Such decomposition warrants that
289 the summation of F_{eq1}^+ and F_{eq2}^+ equates F^+ . Applied with the continuous-time Fourier
290 transform (FT), it can be observed in **Fig. 4** that F_{eq1}^+ corresponds to a wave component at the

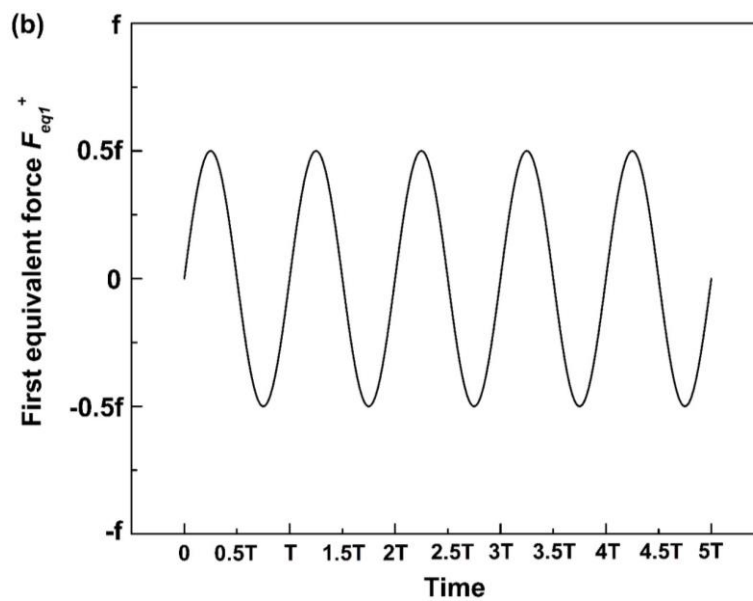
291 fundamental frequency (ω) and F_{eq2}^+ to a wave component at 2ω – the source to generate the
 292 second harmonic.

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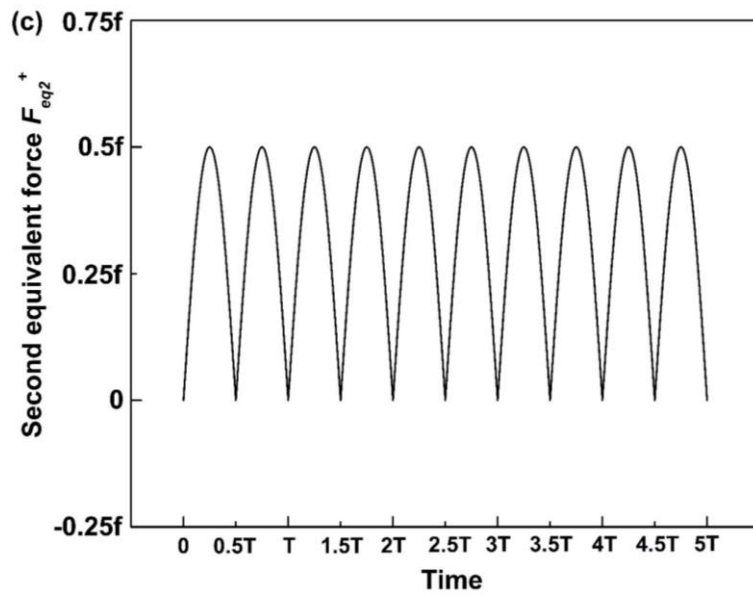
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298 **Figure 3.** (a) The second excitation force ($F(t)$) generated by the ‘breathing’ crack, (b) F_{eq1}^+ and (c) F_{eq2}^- (f :

299 the second excitation force ($F(t)$) calculated when the crack opens entirely during the tensile phase; T : the

300

period of a wave cycle).



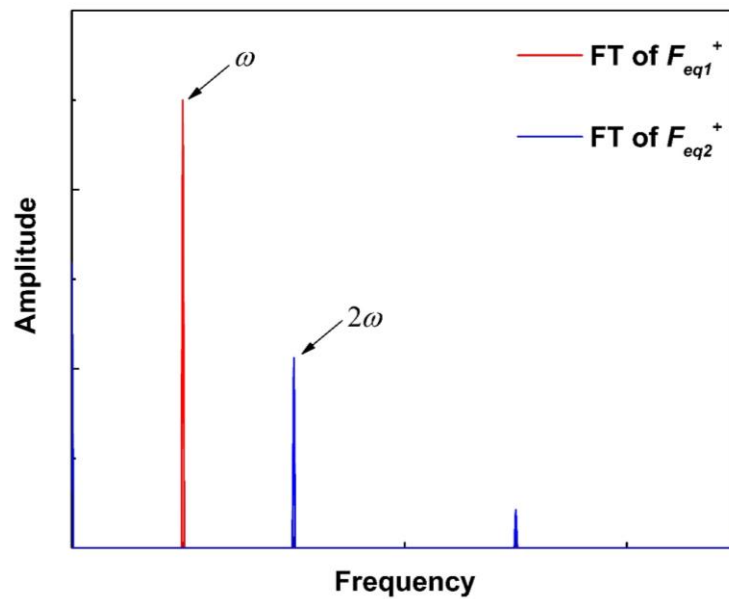
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304

Figure 3. Cont.



305

306 **Figure 4.** Spectra of F_{eq1} and F_{eq2} (ω : the fundamental frequency; 2ω : the double excitation frequency).

307

308 **Knowing the source of the second harmonic generation, the amplitude of the second harmonic**

309 **induced by the crack with 'breathing' attributes can be quantified explicitly and analytically.**

310 **According to the magnitude functions of Lamb wave generated by a time-harmonic horizontal**

311 point force as described in Eqs. (15a) and (15b), the magnitude (u_r^{sh} and u_z^{sh}) of the second
 312 harmonic induced by F_{eq2}^+ and F_{eq2}^- can be determined, in the cylindrical coordinate system, as

$$313 \quad u_r^{sh} = f_h^r(2F_{eq2}^+, r_2, \theta) = \sum_{n=0}^{\infty} A_n^{S,2\omega} V_S^n(z) [H_0^{(2)}(k_n^{2\omega} r_2) - \frac{1}{k_n r_2} H_1^{(2)}(k_n^{2\omega} r_2)] |F_{eq2}^+| \cos \theta, \quad (20a)$$

$$314 \quad u_z^{sh} = f_h^z(2F_{eq2}^+, r_2, \theta) = \sum_{n=0}^{\infty} A_n^{S,2\omega} W_S^n(z) H_1^{(2)}(k_n^{2\omega} r_2) |F_{eq2}^+| \cos \theta, \quad (20b)$$

315 where

$$316 \quad A_n^{S,2\omega} = \frac{k_n^{2\omega} V_S^n(z)}{2i I_{mn}^S}. \quad (21)$$

317 In the above, $k_n^{2\omega}$ signifies the wavenumber of n^{th} -order Lamb wave mode at 2ω , and $|F_{eq2}^+|$ the
 318 magnitude of F_{eq2}^+ . Validity of the above theoretical derivation is to be verified in Section 4.2.

319

320 3. Nonlinear Damage Indicator

321 Equation (20) – a closed-form solution to the magnitude of the second harmonic generated by a
 322 ‘breathing’ crack, analytically depicts the CAN induced by the crack in Lamb waves. It offers
 323 possibility to inversely characterize a fatigue crack by virtue of the quantified second harmonic
 324 extracted from a captured Lamb wave signal. With such a philosophy, a nonlinear damage
 325 indicator is developed, for calibrating the severity of a fatigue crack quantitatively. The nonlinear
 326 damage indicator, β , is defined as the ratio of the magnitude of the generated second harmonic
 327 to that of the fundamental wave of the probing Lamb wave. Using the in-plane displacement of
 328 the fundamental symmetric mode (S_0) under the in-plane excitation as an example, β reads

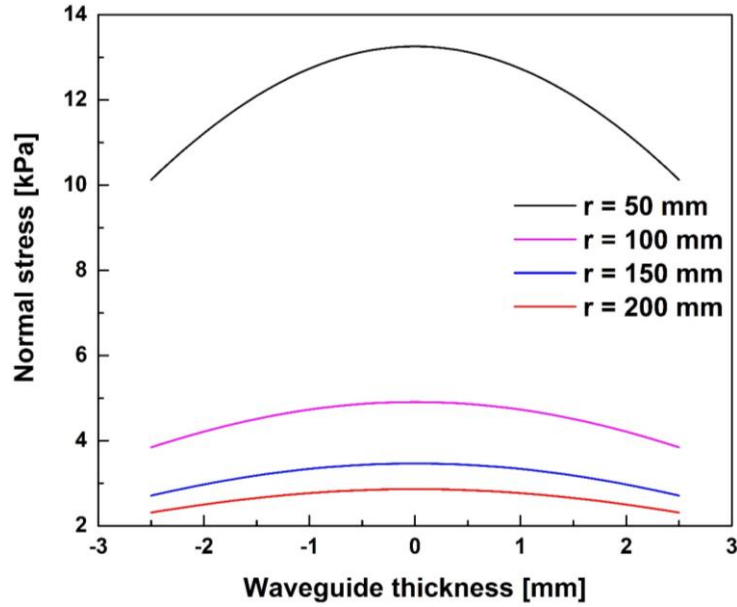
$$329 \quad \beta = \frac{|u_r^{sh,0}|}{|u_r^0|} \quad (22)$$

330 where $|u_r^0|$ and $|u_r^{sh,0}|$ are the magnitudes of the in-plane displacement of the fundamental S_0
331 mode and the ‘breathing’ crack-triggered S_0 mode second harmonic, respectively, which can be
332 calculated based on Eqs. (15a) and (20a).

333
334 Allowing for the micro-dimensions of an embryonic fatigue crack under investigation, the normal
335 stress at the crack surface (S^+ and S^-) is constant across the entire crack surface (including the
336 opening area and the closed area, see **Fig. 2**), and consequently the second excitation force
337 introduced by the crack, as defined by Eq. (19), can be simplified as

$$338 \quad F(t) = S_{Opening\ area} \cdot \sigma_{rr}^n(t), \quad (23)$$

339 where $S_{Opening\ area}$ is the opening surface area of the crack. In addition, the normal stress is
340 primarily constant along the entire thickness of the waveguide (including the cracked and
341 uncracked parts), provided the crack is not in the vicinity of the excitation point. To put it into
342 perspective and by way of illustration, the normal stress in a 5-mm thick plate along x_1 direction
343 that is generated by a time-harmonic point force with a magnitude of 1 N, is calculated using Eq.
344 (12), in **Fig. 5**. It is noted in the figure that the normal stress, respectively measured at different
345 locations (50, 100, 150 and 200 mm away from the excitation point), remains largely constant
346 along the entire waveguide thickness when the crack is not in the vicinity of the excitation point.
347



348

349 **Figure 5.** Normal stress along x_1 direction through waveguide thickness, measured at locations of different
 350 distances from the excitation point.

351

352 With a quasi-constant distribution of normal stress across the waveguide thickness, F_{eq2}^+ , – the
 353 source to generate the second harmonic, is proven proportional to the surface area of the crack.
 354 Therefore, the magnitude of the second harmonic generated by the crack, as well as the damage
 355 indicator β , are also proportional to the area of the whole crack surface (including the opening
 356 area and the closed area). Such a conclusion is conducive to continuous monitoring and
 357 quantitative evaluation of a fatigue crack during its growth (to be detailed in simulation (Section
 358 4) and experiment (Section 5)).

359

360 In conclusion, an elastodynamic reciprocity-driven model is proposed, on which basis the
 361 wavefields of a probing Lamb wave that is generated by a time-harmonic point force in both intact
 362 waveguide and the waveguide with a crack with ‘breathing’ attributes are respectively obtained,
 363 in an explicit and analytical manner. A closed-form solution to the magnitude of the generated
 364 second harmonic is established. With the magnitude of the generated second harmonic, a

365 nonlinear damage indicator is defined, which is proven proportional to the crack surface area, to
366 be used for quantitative evaluation of a fatigue crack in sequent sections.

367

368 **4. Validation Using Three-dimensional Finite Element (FE) Simulation**

369 The above analytical model and the closed-form solution are first validated using FE simulation.

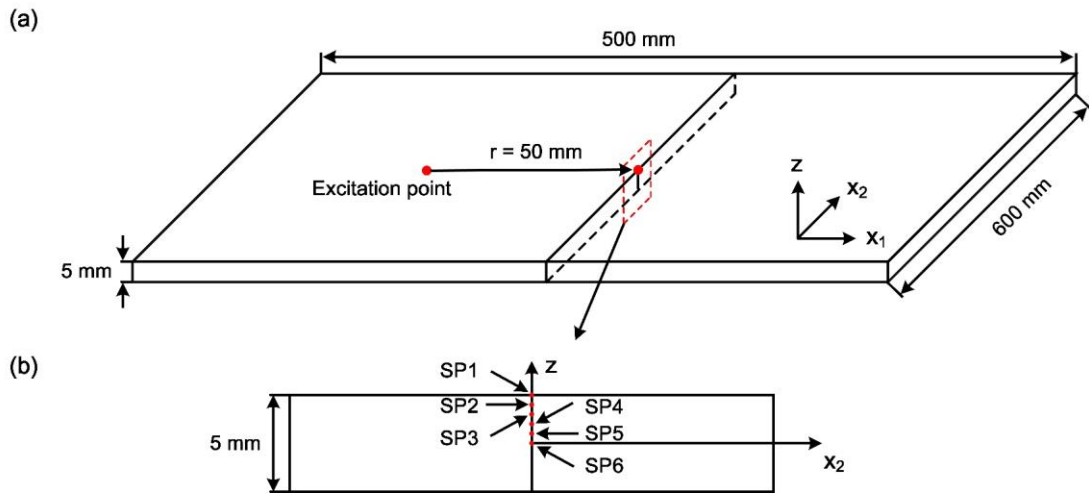
370 The magnitudes of both fundamental wave and crack-induced second harmonic, as well as the
371 defined damage indicator, are calculated based on the magnitude functions of Lamb waves
372 generated by a time-harmonic point force. In this section, the magnitude of the Lamb waves
373 generated by a point force in an intact waveguide is first validated, followed by the verification
374 of the magnitude of crack-induced second harmonic.

375

376 **4.1 Validation of Lamb Waves Generated by A Time-harmonic Point Force**

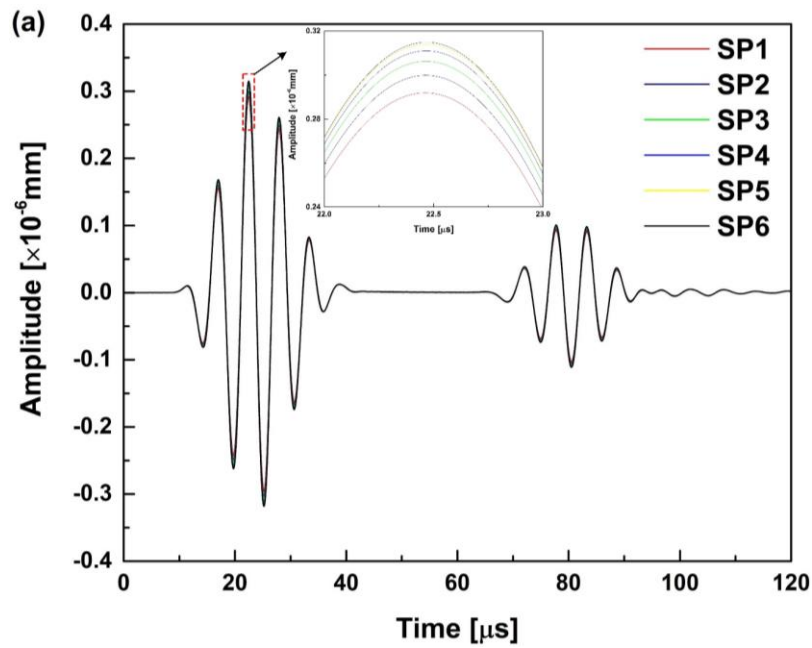
377 To validate Eqs. (14) and (15) derived based on the elastodynamic reciprocity theorem, a three-
378 dimensional (3-D), plate-like waveguide (Young's modulus: 73 GPa; Poisson's ratio: 0.33;
379 density: 2700 kg/m³) is considered and modeled in ABAQUS[®]/EXPLICIT. The waveguide
380 measures 600 mm long, 500 mm wide and 5 mm thick. A 5-cycle Hanning-windowed sinusoidal
381 toneburst at a central frequency of 180 kHz is excited, by simultaneously applying a pair of point
382 forces with the magnitude of 1 N on the upper and lower surfaces of the waveguide, as a result of
383 which only the symmetric Lamb wave modes are excited in the waveguide. Lamb wave signals are
384 captured 50 mm from the excitation point, at up to six sensing points along the waveguide
385 thickness (as illustrated in **Fig. 6**). These sensing points, labeled as SP1 – SP6, are scattered evenly
386 with an interval of 0.5 mm between the upper and middle planes of the waveguide.

387



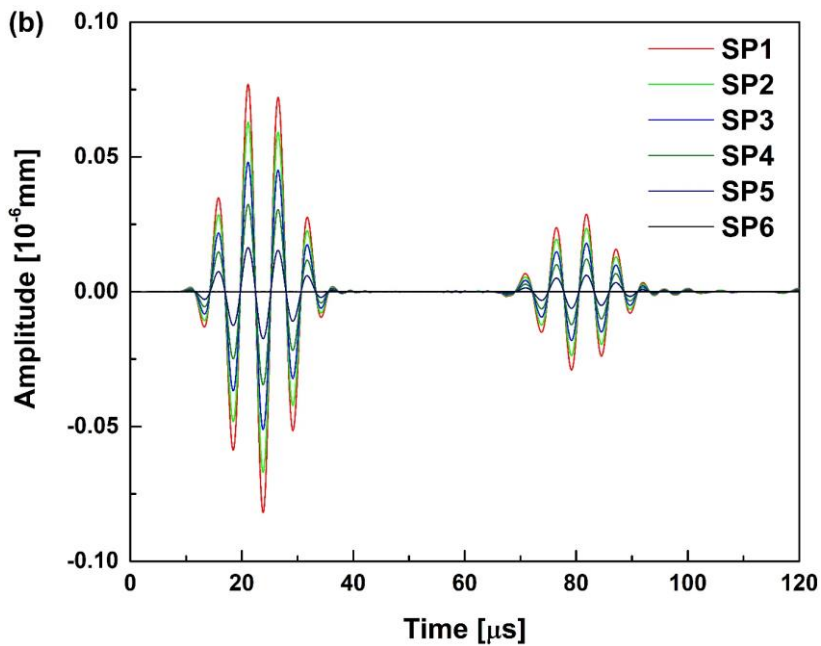
388
 389 **Figure 6.** (a) Schematic of the 3-D FE model, and (b) locations of sensing points (right side-view).
 390

391 An in-plane horizontal point force excitation (corresponding to Q in the analytical model) and an
 392 out-of-plane vertical excitation (P in the model) are respectively applied in FE. The radial
 393 component of the in-plane displacement along x_1 direction and the out-of-plane displacement
 394 along z direction at each sensing point are numerically captured, both of which constitute the
 395 symmetric Lamb wave mode. The in-plane and out-of-plane wave signals captured at SP1 – SP6
 396 under the in-plane excitation scenario are presented in **Fig. 7**, and it can be observed that
 397 amplitudes of the radial displacement at different locations along waveguide depth remains largely
 398 unchanged; while amplitudes of the out-of-plane displacement changes remarkably, decreasing to
 399 zero at the middle plane of the waveguide, which is in agreement with the stress distribution of a
 400 symmetric Lamb wave mode. The second pulses in the wave signals are the boundary reflection.



401

402



403

404 **Figure 7.** (a) In-plane, and (b) out-of-plane displacement captured at SP1– SP6, obtained from FE simulation

405

under an in-plane excitation.

406

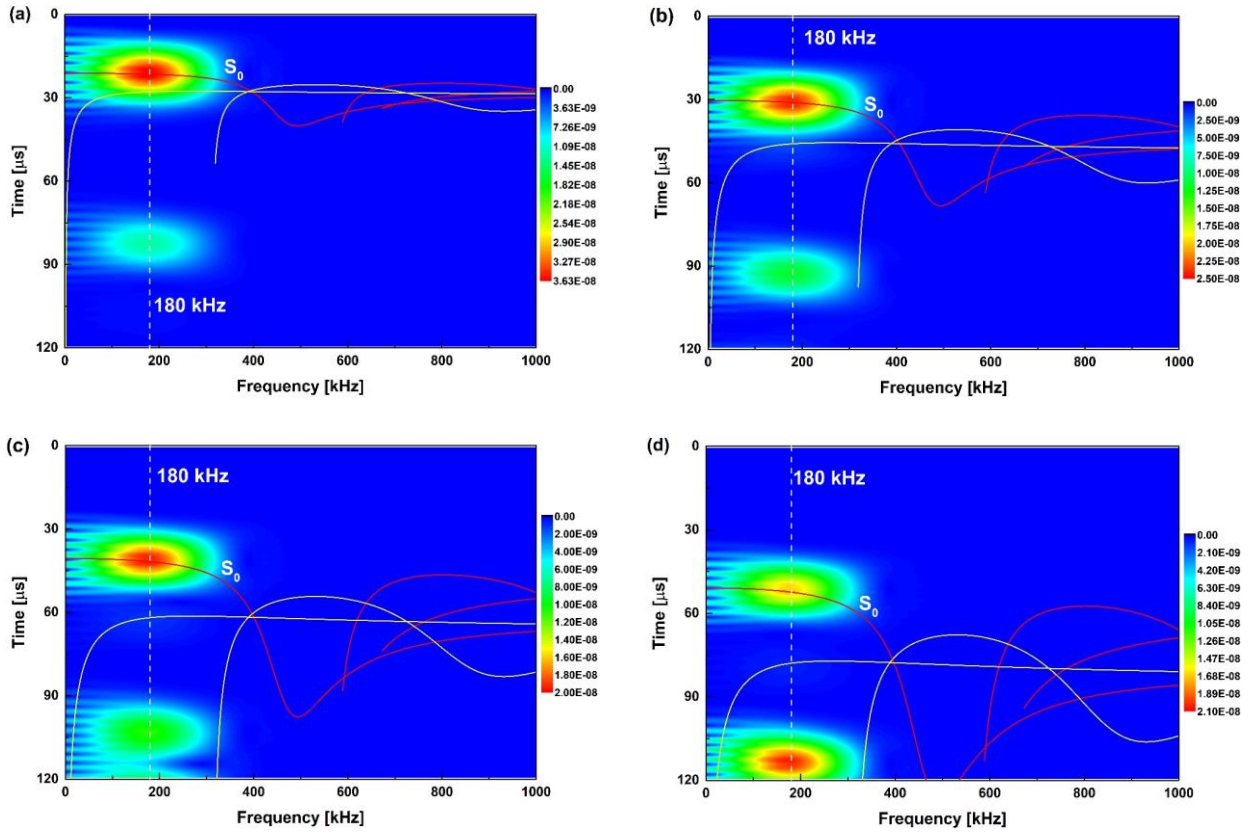
407 To evaluate the Lamb wave mode generated by the in-plane point force, the time-frequency

408 analysis is performed, to obtain the spectra of the in-plane displacement of sensing points which

409 are 50, 100, 150 and 200 mm away from the excitation point, as shown in **Figs. 8(a-d)**. Comparing

410 the spectra with the dispersion curve of Lamb waves, it can be clearly observed that only S_0 mode
411 is generated in the waveguide by the applied point force.

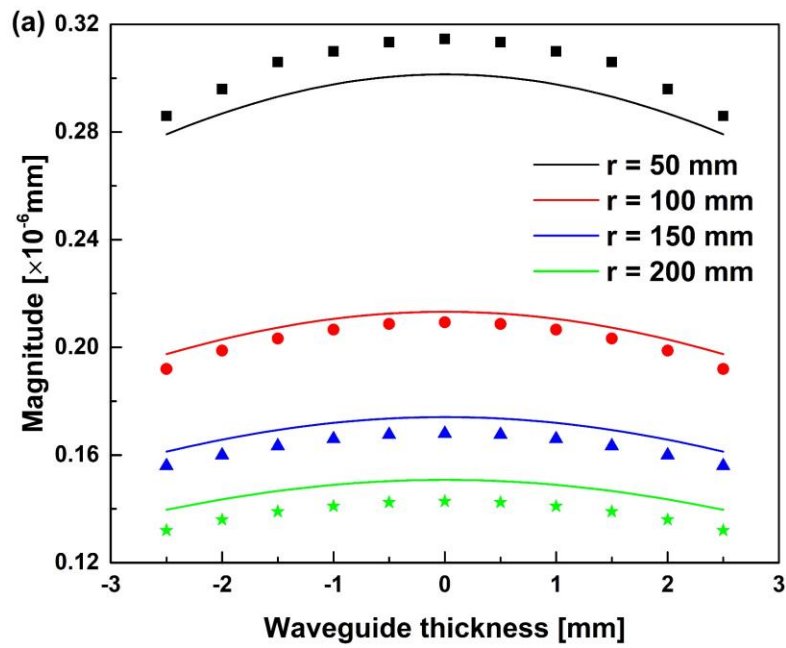
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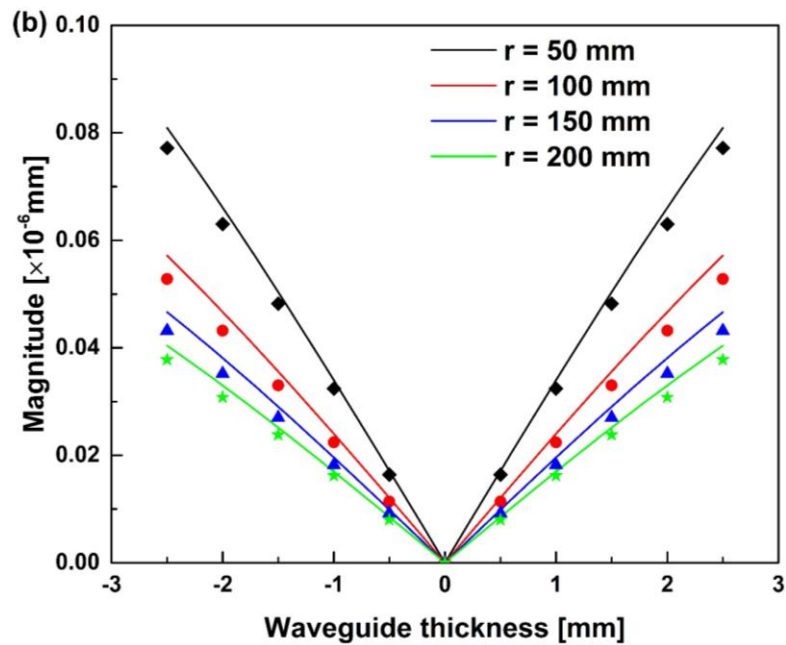
416 **Figure 8.** Spectra of the in-plane displacement of the sensing points which are (a) 50, (b) 100, (c) 150, and (d)
417 200 mm away from the excitation point.

418

419 Further, the magnitudes of symmetric Lamb wave modes at different depths of the waveguide,
420 numerically obtained using FE and analytically derived using the theoretical model, are compared
421 in **Fig. 9**. In **Fig. 9**, wave signals respectively captured 100, 150 and 200 mm away from the
422 excitation point are also included for comparison.



423



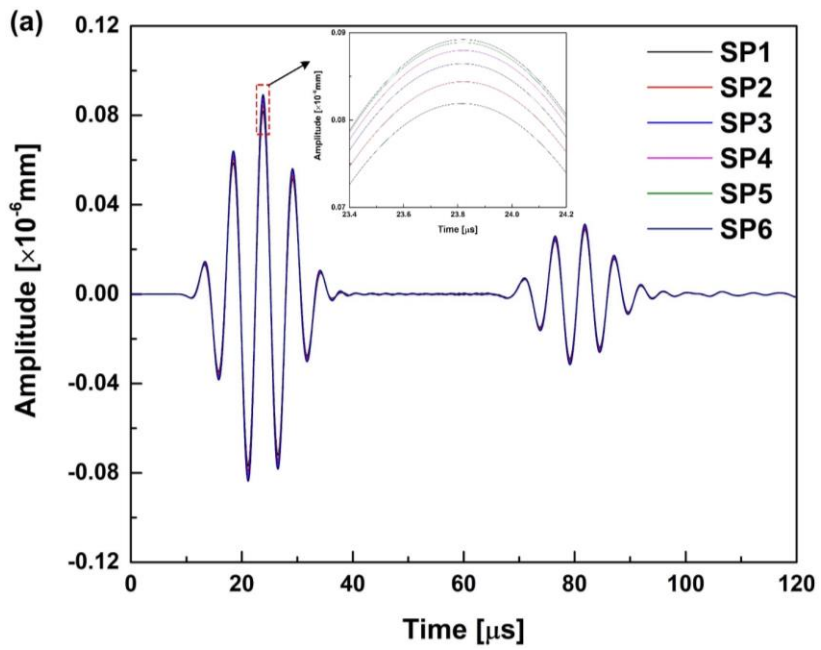
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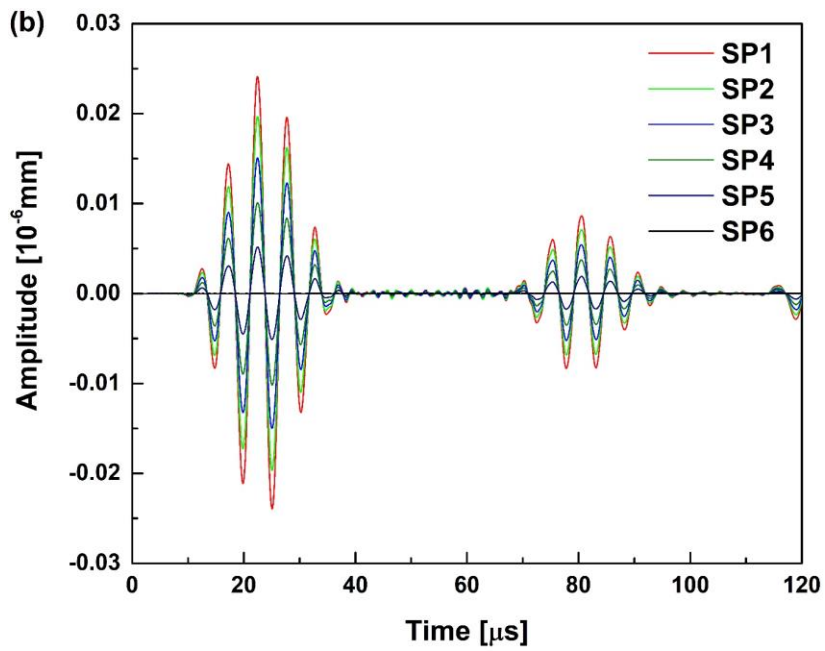
426 **Figure 9.** Comparison between the elastodynamic reciprocity-based analytical results and FE simulation: (a)
 427 in-plane, and (b) out-of-plane displacement magnitudes captured at different sensing points under an in-plane
 428 excitation. (solid: analytical results dots: numerical results)

429

430 Analogously, **Fig. 10** and **Fig. 11** compare the results obtained when an out-of-plane excitation is
 431 applied.



432



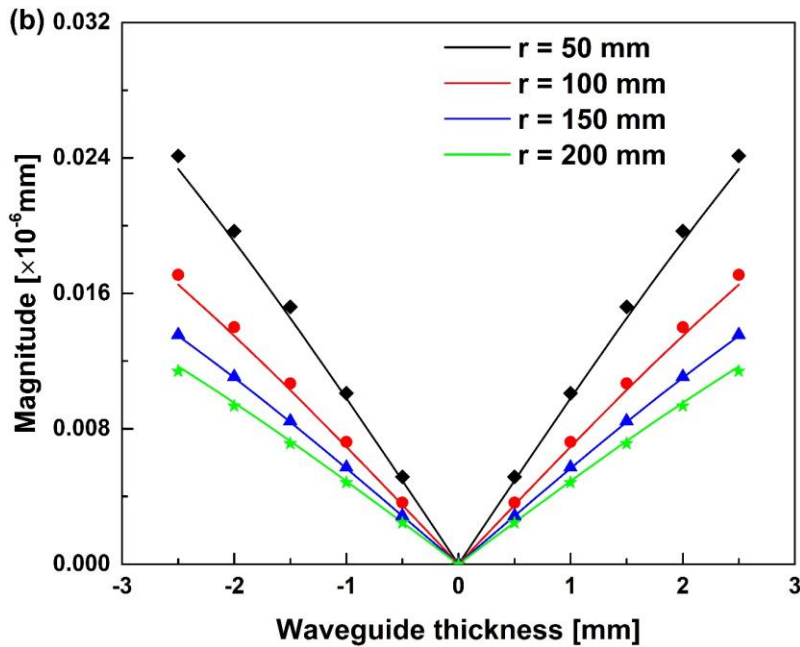
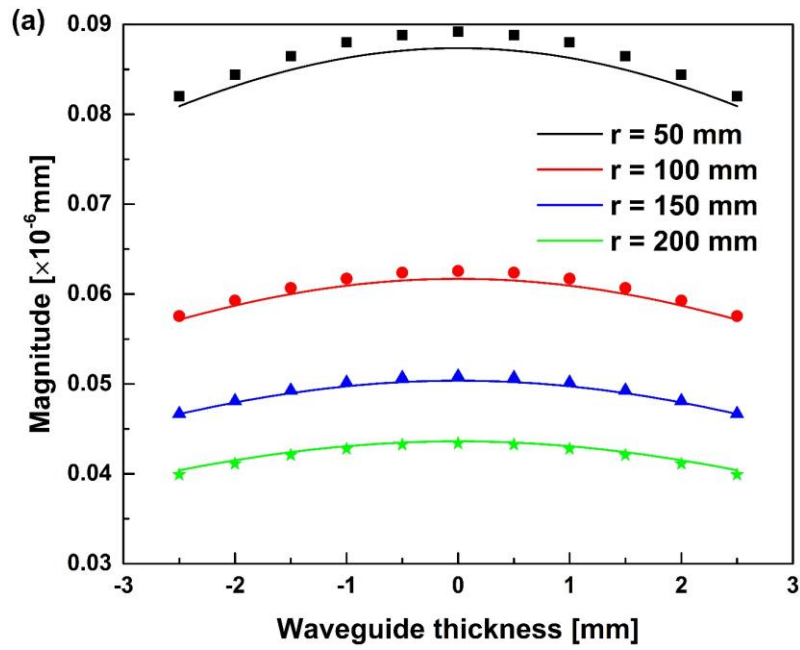
433

434

435 **Figure 10.** (a) In-plane, and (b) out-of-plane displacement captured at SP1– SP6, obtained from FE simulation

436

under an out-of-plane excitation.



437

438

439 **Figure 11.** Comparison between the elastodynamic reciprocity-based analytical results and FE simulation: (a)
 440 in-plane, and (b) out-of-plane displacement magnitudes captured at different sensing points under an out-of-
 441 plane excitation. (solid: analytical results; dots: numerical results)

442

443 It is apparent that the numerical results are in good coincidence with the analytical results for both
 444 the in-plane (Eq. 14(a) and Eq.15(a)) and the out-of-plane (Eq.14(b) and Eq. 15(b)) scenarios,
 445 under either an in-plane or an out-of-plane excitation. This has validated the analytical model
 446 developed in Section 2.1.

447

448 **4.2 Validation of ‘Breathing’ Crack-induced Second Harmonic**

449 To validate the closed-form solution defined by Eq. (20), a surface-breaking, non-penetrating
450 seam crack is modeled at the center of the above waveguide with the crack surface lying in x_2z -
451 plane, see **Fig. 2**. The length of the crack is set to be 1 mm yet with different depths. To introduce
452 the nonlinear ‘breathing’ behavior, the contact-pair interaction-based boundary condition is
453 applied on the two crack surfaces [10], which permits separation of two surfaces but prohibits the
454 penetration of FE nodes on each surface to the other. The seam crack with nonlinear ‘breathing’
455 behavior well reflects the dynamic attributes of a true fatigue crack in reality. As a consequence,
456 the CAN due to the presence of a ‘breathing’ crack is introduced into the FE model. A sensing
457 point, positioned 200 mm from the excitation point, captures the propagating Lamb waves in the
458 waveguide in a ‘pitch-catch’ configuration with the excitation point. The crack is 100 mm from
459 the excitation point and the sensing point, respectively.

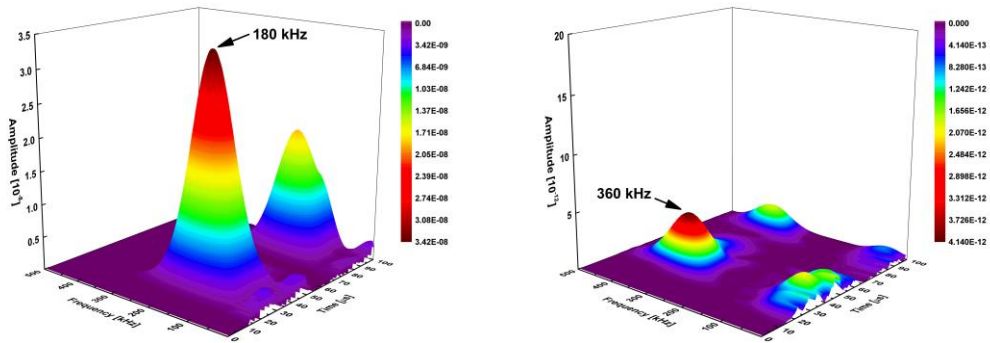
460

461 As revealed numerically and experimentally [6, 7, 36, 38], the crack-induced second harmonic is
462 lower than a fundamental wave mode by several orders of magnitude. To facilitate extraction of
463 the weak second harmonic from a raw wave signal, the pulse-inversion approach [50, 51] is
464 utilized in simulation, in which the excitation with the same magnitude but in an opposite phase,
465 are applied respectively in two simulated cases, whereby to double the crack-induced second
466 harmonic, and in the meantime cancel the fundamental wave mode – a numerical measure to
467 enhance the extraction and quantification of second harmonics.

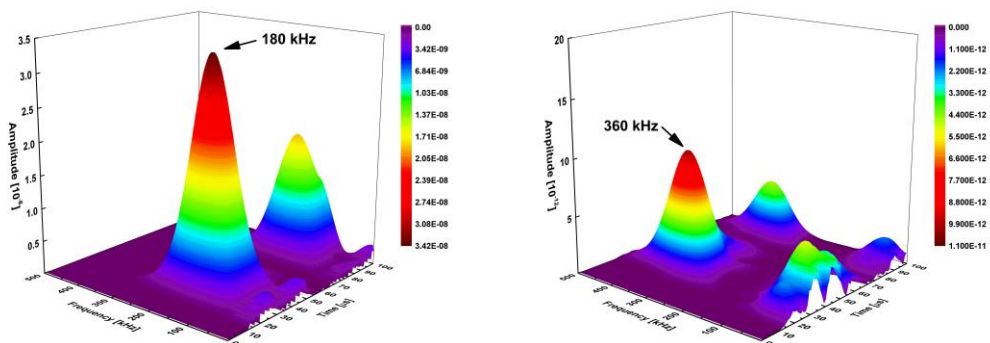
468

469 Applying the short-time Fourier transform (STFT) [52, 53], **Figs. 12 (a-d)** show the spectra of the
470 fundamental waves and the strengthened second harmonics generated by the crack (of different
471 depths). Using the pulse-inversion approach, the fundamental wave modes are numerically
472 cancelled, leaving the doubled second harmonic modes. As observed, the severer the crack, the

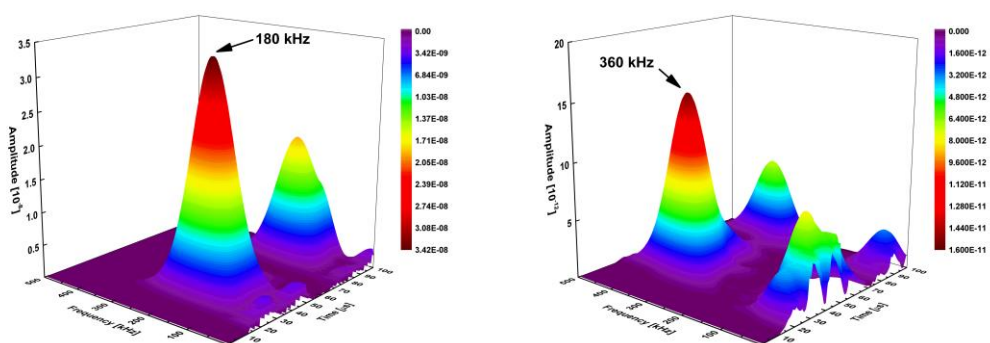
473 more intense the second harmonic generation it will be. On the other hand, the amplitudes of the
 474 fundamental waves remain largely unchanged regardless of the change in crack depth, implying
 475 that the signal magnitude, a linear characteristic of GUW, is not sensitive to a small-scale crack.
 476



477 (a)

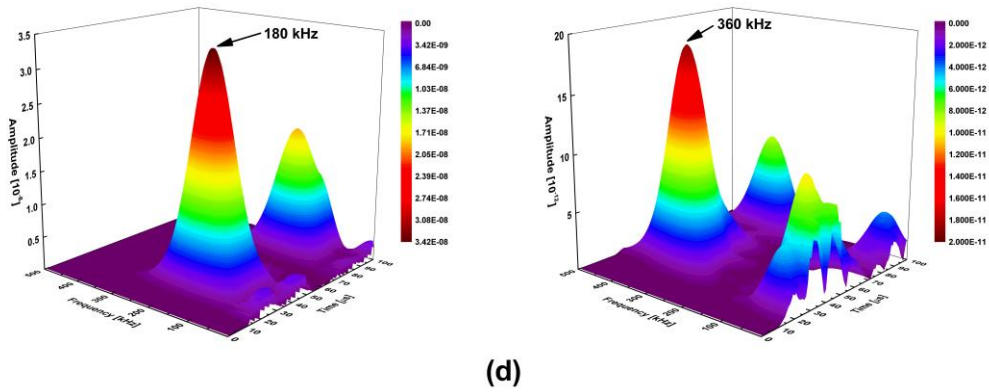


478 (b)



479 (c)

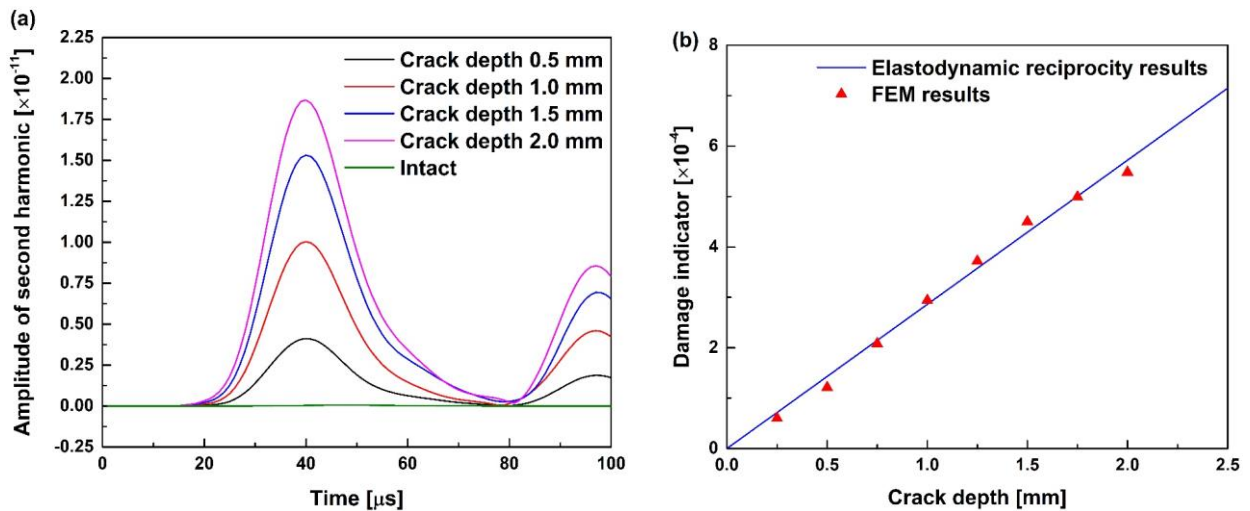
480
 481 **Figure 12.** Spectra of the fundamental waves (left) and the enhanced second harmonics (right, in which the
 482 fundamental wave modes are numerically cancelled using the pulse-inversion approach [50]) induced by a
 483 ‘breathing’ crack (1mm long), when its depth is (a) 0.5 mm, (b) 1.0 mm, (c) 1.5 mm, and (d) 2.0 mm.
 484



(d)

Figure 12. Cont.

485
 486
 487
 488 With the current excitation of 180 kHz, the amplitudes of the second harmonics at the double
 489 excitation frequency (360 kHz) are extracted and displayed in **Fig. 13(a)**, clearly suggesting that
 490 the magnitudes of the generated second harmonics increase as crack grows. By relating the
 491 magnitudes of the second harmonics to the fundamental wave, the nonlinear damage indicator,
 492 defined in Eq. (22), can be ascertained.



493
 494
 495 **Figure 13.** (a) Amplitudes of the generated second harmonic at double excitation frequency; (b) comparison
 496 of the nonlinear damage indicator when the crack has different dimensions, obtained from FE simulation and
 497 from the analytical model.

498
 499 **Figure 13(b)** reveals the nonlinear damage indicator obtained from FE simulation and calculated
 500 using Eq. (22), to confirm that the numerical results agree with analytical results. With the

501 magnitude of the fundamental wave using Eq. (15), this analytical model facilitates quantitative
502 estimate of the magnitude of crack-induced second harmonic. In addition, **Fig. 13(b)** argues that
503 the nonlinear indicator is proportional to the crack depth, validating the conclusion drawn in
504 Section 3 that the nonlinear indicator is proportional to the area of the crack surface.

505

506 **5. Proof-of-concept Validation Using Experiment**

507 Subsequent to FE validation, the analytical model and the closed-form solution are examined
508 experimentally. In experiment, the growth of a non-penetrating corner crack emanating from a
509 fastener hole (a typical embryonic fatigue crack) in its early stage is monitored and calibrated
510 continuously, using the captured second-harmonics in Lamb wave signals.

511

512 **5.1 Specimen Preparation and Experimental Set-up**

513 Three aluminum (7075-T6) plates (labeled as T1, T2 and T3; each measuring 500 mm long, 80
514 mm wide and 3 mm thick) are prepared, in each of which a through-thickness fastener hole
515 (diameter: 6 mm) is centralized. The plate is installed on a fatigue testing platform (GP[®]
516 SDF2000), to perform the fatigue crack growth testing. A triangle notch along the plate thickness
517 is pre-treated (~0.6 mm in both the out-of-plane and in-plane directions) at the fastener hole, in
518 **Fig. 14(a)**, to initiate a non-penetrating fatigue crack under the cyclic fatigue load. A 10 Hz pre-
519 cracking cyclic load with the maximum tensile load of 30 kN and the stress ratio of 0.1 is applied
520 on each sample plate to initiate a corner crack from the tip of the triangle notch. The length and
521 depth of the corner crack are measured using a microscope and a slender mirror inserted into the
522 fastener hole, **Fig. 14(a)**. The pre-cracking process is completed when a quarter-elliptical corner
523 crack of ~1.0 mm in its length and depth from the notch tip, respectively, is reached. Subsequently,
524 the maximum tensile load of the pre-cracking cyclic load is regulated to 20 kN, to perform fatigue
525 crack growth testing. The test is paused after every 1,000 cycles of the fatigue load, and during
526 the interval the length and depth of the corner crack are measured. The nonlinear ultrasonic testing

527 is conducted on an ultrasonic testing system (RITEC[®], RAM-5000 SNAP) for determining the
 528 magnitudes of the fundamental wave and second harmonics induced by the corner crack. The
 529 fatigue crack growth testing is terminated when the fatigue crack penetrates the entire thickness
 530 of the plate. Details of the fatigue crack growth testing are summarized in **Tab. 1**.

531

532

Table 1. Key observations in fatigue crack growth testing.

Specimen #	Length of the initial fatigue crack (mm)	Depth of the initial fatigue crack (mm)	Cycles to formation of the initial crack	Cycles to formation of a penetrating crack
T1	0.95	0.95	8,000	18,000
T2	0.9	1.0	10,000	23,000
T3	0.85	0.85	6,000	22,000

533

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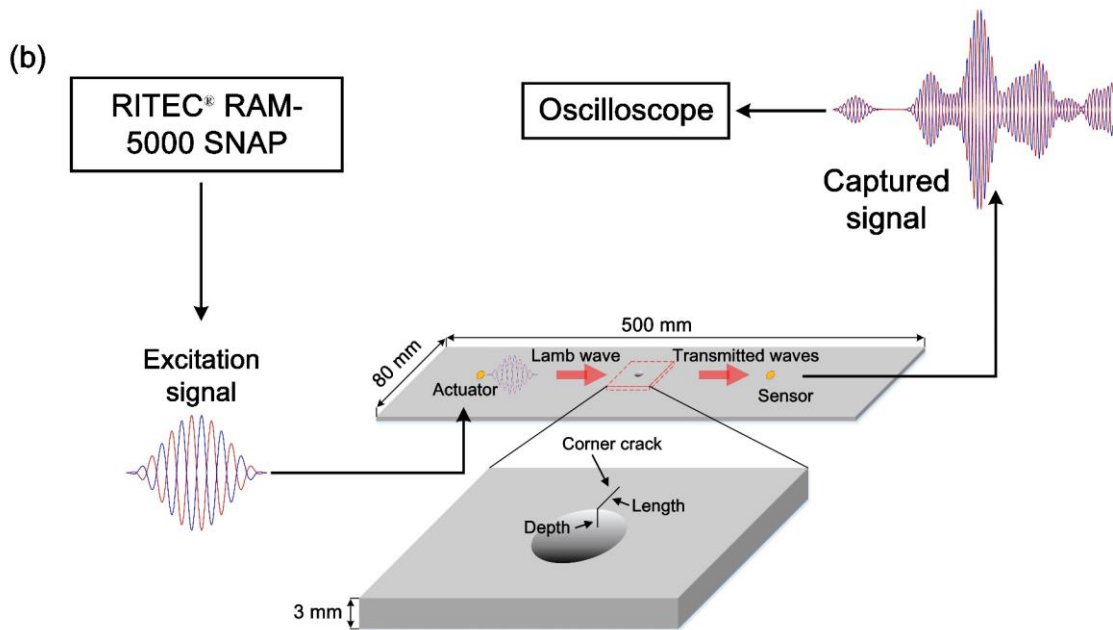
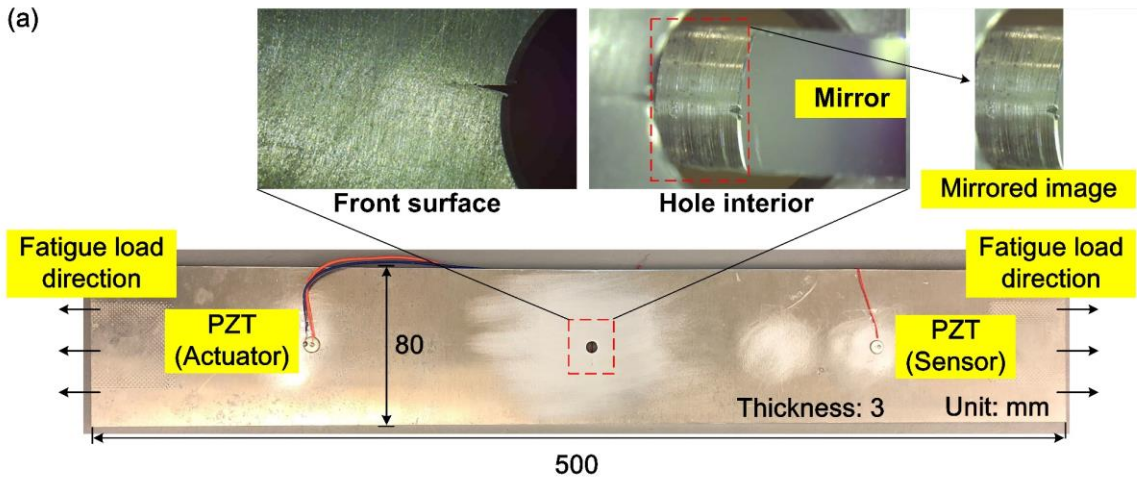
535 A lead zirconate titanate (PZT) wafer (PSN-33, diameter: 8 mm; thickness: 0.48 mm), functioning
 536 as a wave actuator, is mounted on the surface of each plate, 100 mm from the center of the fastener
 537 hole; another PZT wafer, serving as the wave sensor, is mounted 100 mm from the fastener hole,
 538 to form a ‘pitch-catch’ configuration, in **Fig. 14(b)**. The excitation – a 5-cycle Hanning-windowed
 539 sinusoidal toneburst, is generated by the testing system at a central frequency of 250 kHz, and the
 540 crack-triggered wave signals are captured by the sensor using an oscilloscope at the sampling
 541 frequency of 200 MHz and averaged for 1,024 times to minimize the measurement uncertainty.

542

543 **5.2 Results and Discussion**

544 The corner crack progresses continuously in both the length and depth under the cyclic fatigue
 545 load, before it develops to a penetrating manner. The length and depth of the corner crack are
 546 measured using a microscope and an inserted slender mirror, in **Fig. 15**. It can be observed that in
 547 each specimen the corner crack progresses slowly in the pre-cracking stage, behaves a stable
 548 growth, and then advances rapidly before it penetrates the thickness of specimen.

549



553 **Figure 14.** (a) Photographic illustration of the specimen in fatigue testing, and (b) schematic of experimental
 554 set-up of nonlinear ultrasonic testing.

555

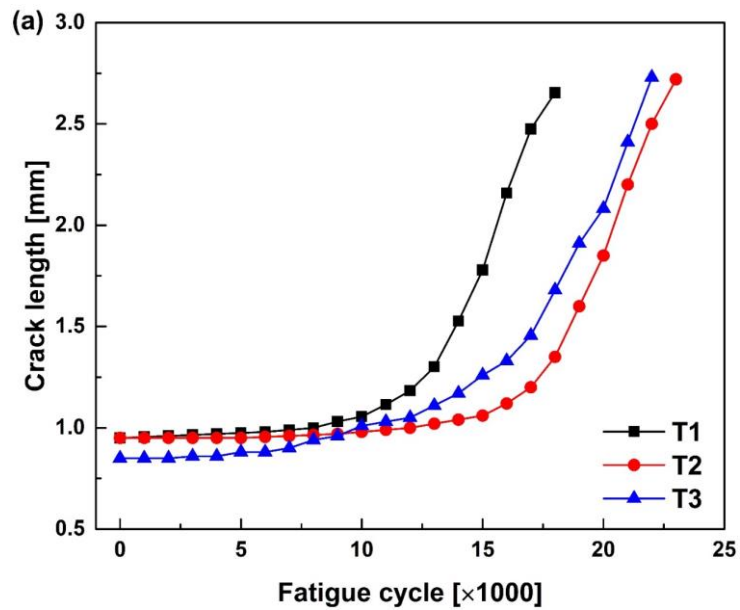
556 The second harmonic induced by the corner crack is extracted from the captured wave signals

557 using the ‘pulse-inversion’ approach during the crack initiation and growth stages. Applied with

558 the STFT-based time-frequency analysis, the amplitudes of both the fundamental wave and the

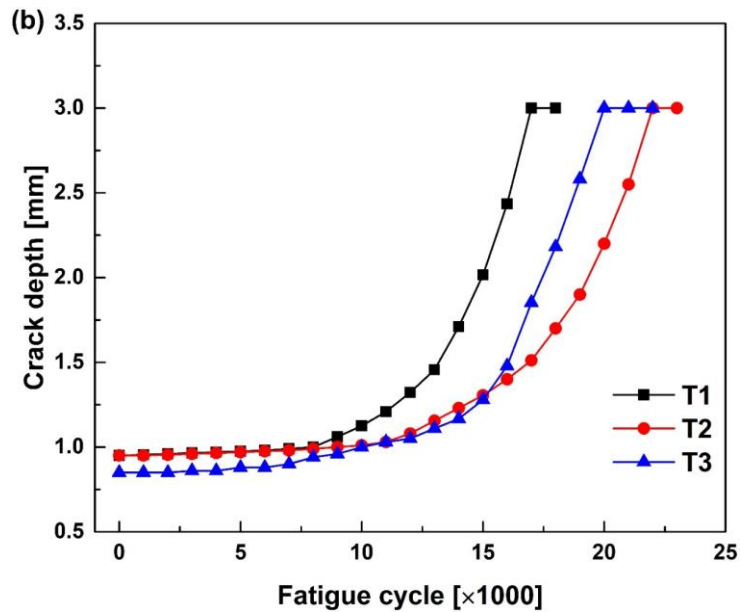
559 crack-induced second harmonic are obtained, and consequently the nonlinear indicator is

560 calculated using Eq. (22), to calibrate the severity of the crack.



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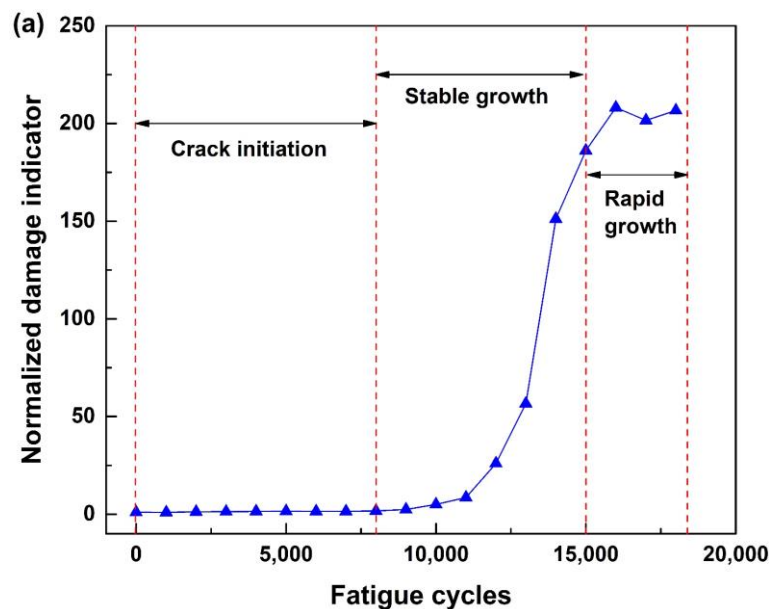
566 **Figure 15.** Measured length and depth of the corner crack in specimen (a) T1, (b) T2 and (c) T3.

567

568 By way of illustration using specimen T1, **Fig. 16(a)** shows the normalized β as fatigue cycle
 569 increases (normalized with regard to its initial value when fatigue testing commences),
 570 accentuating three stages which correspond to different stages of the crack growth: crack initiation,
 571 stable growth and rapid growth. i) The indicator primarily remains largely unchanged within the
 572 first 8,000 fatigue cycles, corresponding to the crack initiation stage during which the crack

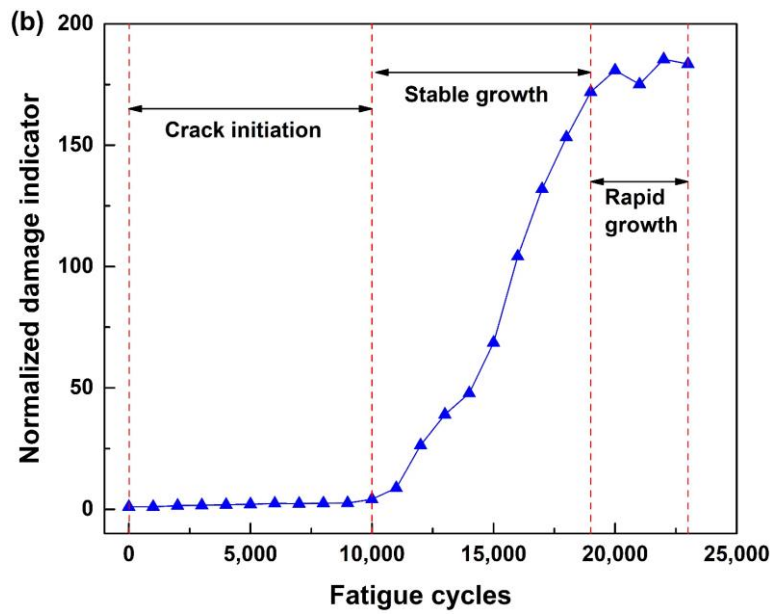
573 progresses slowly; ii) from 8,000 to 15,000 fatigue cycles, the indicator increases significantly
574 due to the continuously augmented surface area of the crack during its stable growth stage. In this
575 stage, the corner crack develops steadily in its surface and depth. As a result of the small
576 dimensions, the crack performs the ‘breathing’ behavior when the probing Lamb wave interacts
577 with the crack; iii) beyond the stable growth (>15,000 cycles), the indicator fluctuates within a
578 small range, which corresponds to the rapid growth stage of the crack. The crack deteriorates at a
579 high rate until it penetrates the plate thickness. In this stage, dimensions of the crack are relatively
580 large, and the large crack opening displacement can hardly perform the ‘breathing’ behavior.
581 Therefore, part of the wake region of the crack, especially that near the pre-introduced notch, has
582 ignorable contribution to the second harmonic generation. In another word, although the crack
583 surface area increases rapidly in the last stage, the large crack area contributes insignificant
584 generation of the second harmonic, leading to inapplicability of the nonlinear damage indicator.
585 The same phenomenon is also observed in specimen T2 and T3, as depicted in **Figs. 16(b-c)**.

586

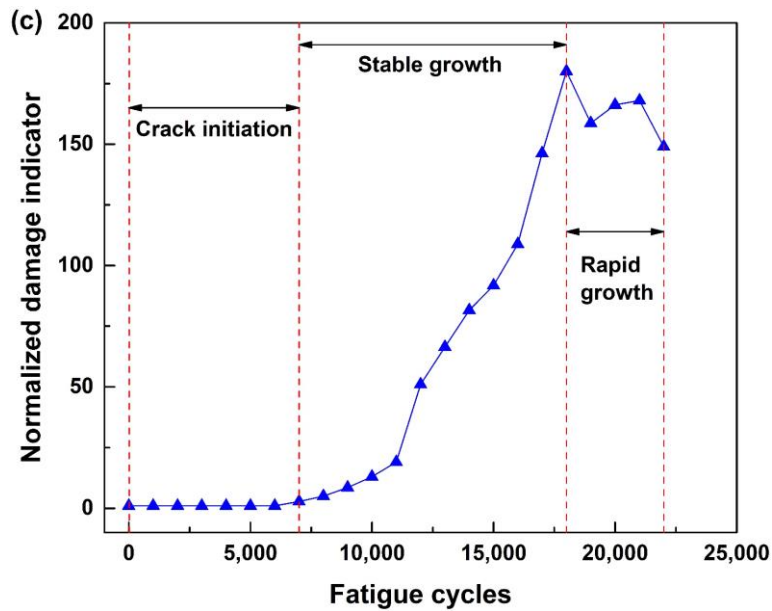


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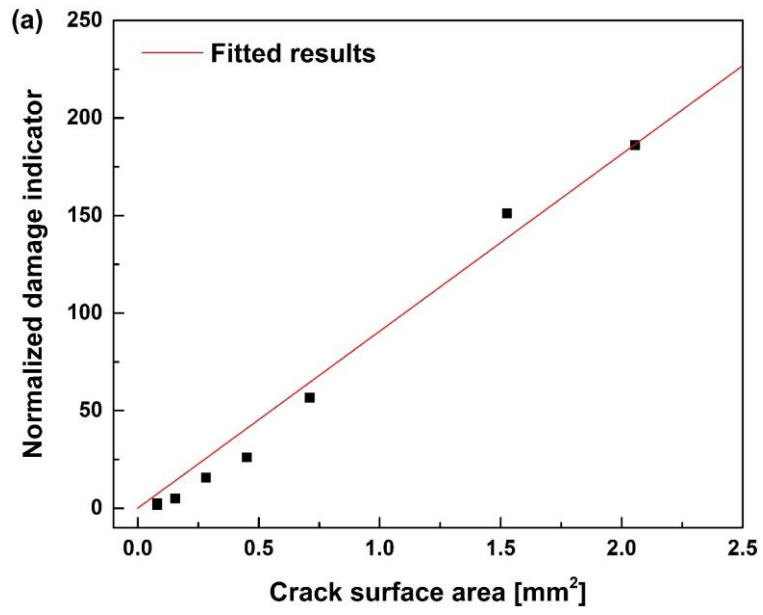
591

592 **Figure 16.** Normalized nonlinear damage indicator against fatigue cycles for specimen (a) T1, (b) T2 and (c)
 593 T3.

594

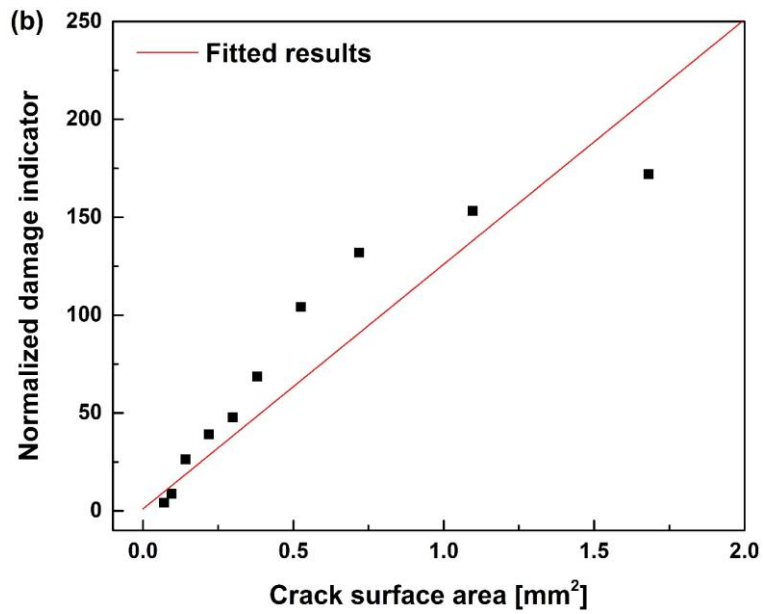
595 **Figures 17(a-c)** present the crack surface area (estimated using measured length and depth) versus
 596 normalized β measured during the stable crack growth stage. Here, to eliminate the effect of the
 597 irregular crack growth from the triangle notch to the quarter-elliptical fatigue crack during the
 598 crack initiation stage, the initial crack surface area is subtracted.

599



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604

Figure 17. Normalized nonlinear damage indicator against crack surface area during the stable crack growth

605

stage for specimen (a) T1, (b) T2 and (c) T3.

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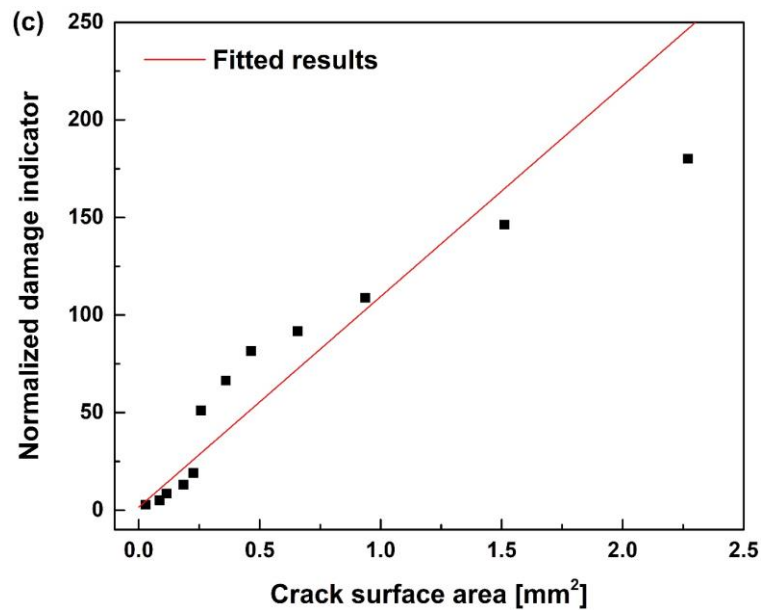


Figure 17. Cont.

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Figure 17 reveals that the nonlinear indicator increases linearly as the crack surface area expands, validating the conclusion drawn in the theoretical analysis in Section 3 and in FE simulation in Section 4.2 – the magnitude of the second harmonic and the nonlinear indicator are proportional to the crack surface area as a fatigue crack progresses. The deviation of the experimental results from the fitted linear results is mainly caused by i) the bonding condition between the PZT wafers and specimens; and ii) irregular crack initiation from the introduced triangle notch, which leads to error in the measurement of crack surface area. This finding can be beneficial to early awareness and quantitative evaluation of a contact-type defect.

621

6. Concluding Remarks

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623

624

625

In this study, an elastodynamic reciprocity theorem-driven analytical model is developed, aimed at gaining insight into the second harmonic generation by an embryonic fatigue crack with ‘breathing’ attributes. A second excitation force with time-dependent traits is introduced to supplant the stress at the crack surfaces generated by the probing Lamb wave, to interfere with the original wavefield in the waveguide. By performing the time-frequency analysis, the second

626 excitation force is linked to the generation of the second harmonic in spectra. The magnitudes of
627 the symmetric Lamb wave modes generated by a time-harmonic point force are obtained
628 analytically and explicitly. A closed-form solution to the magnitude of the ‘breathing’ crack-
629 induced second harmonic is derived, on which basis a nonlinear damage indicator is defined and
630 proven proportional to the crack surface area. The indicator has demonstrated effective in
631 evaluating embryonic fatigue cracks quantitatively. It is noteworthy that the material plasticity-
632 driven increase in the wave nonlinearity is neglectable when compared with that generated by a
633 ‘breathing’ crack. FE simulation is conducted to verify the analytical model, and the results have
634 demonstrated the validity and accuracy of the model. Experimental results validate the
635 proportional trend of the indicator with respect to crack severity. This new analytical model and
636 the closed-form solution shed light, from the analytical perspective, on the nonlinear interaction
637 between Lamb waves and a small-scale fatigue damage featuring ‘breathing’ attributes. The
638 developed model facilitates continuous monitoring and quantitative evaluation of an embryonic
639 fatigue crack.

640

641 **Acknowledgement**

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644 from the Hong Kong Research Grants Council via General Research Funds (Nos. 15202820,
645 15204419 and 15212417).

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