

# Damage evolution of red-bed soft rock: Progressive change from meso-texture to macro-deformation

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**Abstract.** Many foundation projects are built on red-bed soft rocks, and the damage evolution of this kind of rocks affects the safety of these projects. At present, there is insufficient research on the damage evolution of red-bed soft rocks, especially the progressive process from mesoscopic texture change to macroscopic elastoplastic deformation. Therefore, based on the dual-porosity characteristics of pores and fissures in soft rock, we adopted a cellular automata model to simulate the propagation of these voids in soft rocks under an external load. Further, we established a macro-mesoscopic damage model of red-bed soft rocks, and its reliability was verified by tests. The results indicate that the relationship between the number and voids size conformed to a quartic polynomial, whereas the relationship between the damage variable and damage porosity conformed to a logistic curve. The damage porosity was affected by dual-porosity parameters such as the fractal dimension of pores and fissures. We verified the reliability of the model by comparing the test results with an established damage model. Our research results described the progressive process from mesoscopic texture change to macroscopic elastoplastic deformation and provided a theoretical basis for the damage evolution of these rocks.

**Keywords:** damage evolution; elastoplastic deformation; fissures; pores; red-bed soft rocks

## 1. Introduction

Red-bed, defined as rocks that have generally higher contents of hematite and are red in appearance, are the most widely distributed formations in South China. Most infrastructure projects in South China (e.g., expressways, tunnels, and bridges) are built on red-bed, especially red-bed soft rocks such as mudstone and sandstone (Liu *et al.* 2020, Xie *et al.* 2021, Zhou *et al.* 2021). Initially, these red-bed soft rocks were considered strong enough to meet engineering requirements. However, South China is a tropical-subtropical region that experiences high annual temperatures and rainfall (Fischer *et al.* 2012, Chen and Luo 2018). Once the red-bed soft rocks are excavated, they will be damaged in the external environment and their mechanical strength will decrease, gradually affecting the safety of infrastructure (Margherita *et al.* 2018, Zhou *et al.* 2020). Therefore, research on the damage evolution of red-bed soft rocks becomes important to engineering practices.

Damage evolution of red-bed soft rocks is a process of change of macroscopic mechanical properties caused by voids (mesoscopic pores and fissures, etc.) of mesoscopic texture under external load and environment (Bruning *et al.*

2018, Li *et al.* 2018a, Zhang *et al.* 2020). At present, there are many studies on rock damage evolution (Zhou and Zhu 2010, Liu *et al.* 2014, Wang *et al.* 2020a, Wang *et al.* 2020b). For example, Xie *et al.* (2011) and Chen *et al.* (2019) studied the damage evolution mechanism of hard rocks such as biotite granite or soft rocks such as mudstone from the perspective of energy conversion through cyclic loading and unloading tests or uniaxial/triaxial compression tests. Liu *et al.* (2017) established the functional relationship between damage variables and time by introducing Kachanov creep damage rate, obtained the nonlinear creep damage constitutive model of soft rocks, and studied the creep damage characteristics of mica-quartz schist. Based on the nonlinear damage creep characteristics of rock and damage variable, Ping *et al.* (2016) used the improved Burgers model, Hooke model and St. Venant model to define the nonlinear damage creep constitutive model of high stress soft rocks. However, the research on the damage evolution of red-bed soft rocks is limited, especially the progressive process from mesoscopic texture change to macroscopic elastoplastic deformation, which is difficult for the safe construction and operation of soft rock engineering (Zhang and Cai 2010). Of course, there are also studies involving the changes of mesoscopic texture. For example, Nejati and Ghazvinian (2014) studied the effect of brittleness on the fatigue damage evolution of onyx marble, sandstone and soft limestone, and studied the propagation of mesoscopic voids using acoustic emission (AE) technology. Wang *et al.* (2022) conducted a series of uniaxial compression AE tests on hollow red sandstone and

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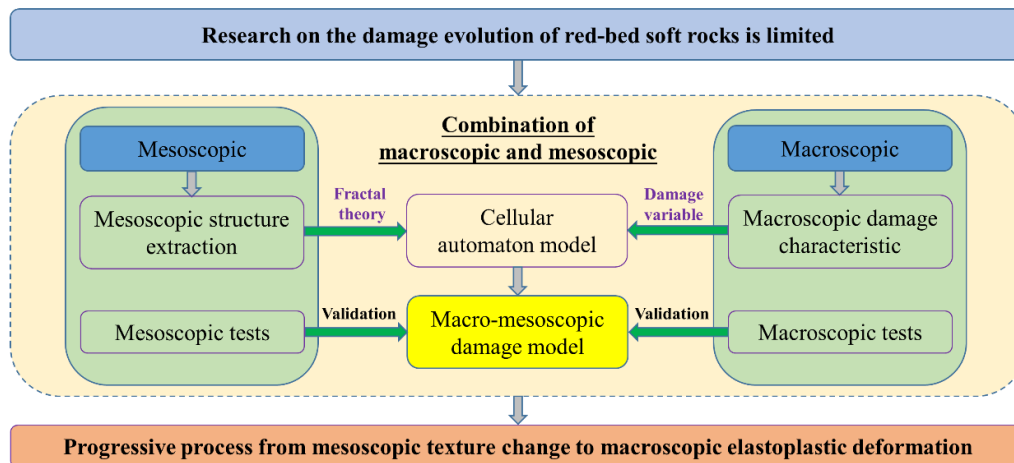


Fig. 1 Block diagram illustrating the steps involved in this study

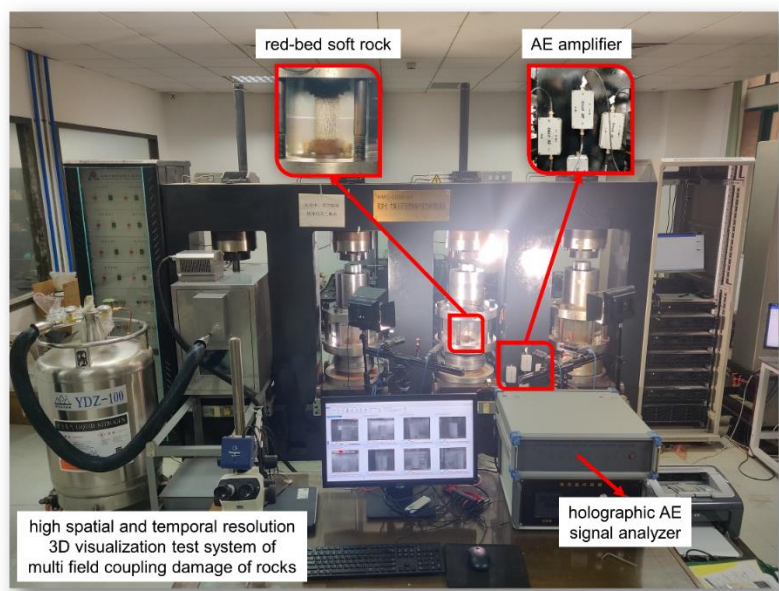


Fig. 2 Testing equipment

granite with different bore diameters, and established a damage constitutive model based on the AE ring count. But they did not establish a damage evolution relationship between the change of mesoscopic texture and macroscopic elastoplastic deformation.

Therefore, in order to study the damage evolution of red-bed soft rocks from the perspective of the progressive process of mesoscopic texture change to macroscopic elastoplastic deformation, the mesoscopic texture of the sample was extracted first, and then the change of mesoscopic texture in the process of macroscopic elastoplastic deformation of the sample was calculated by cellular automata model, which was correlated with the macroscopic damage model to obtain the macroscopic-mesoscopic damage model of red-bed soft rocks. Finally, the reliability of the model was verified by macroscopic and mesoscopic tests, and the progressive process from mesoscopic texture change to macroscopic elastoplastic deformation of red-bed soft rocks was explained.

## 2. Methods

The study contents, methods, and steps are shown in Fig. 1.

### 2.1 Macroscopic and mesoscopic tests

This study includes macroscopic test (uniaxial compression test) and mesoscopic tests (AE test and scanning electron microscope (SEM) test). The SEM test data is mainly used for the identification and feature extraction of the mesoscopic texture of red-bed soft rocks. Uniaxial compression test and AE test are carried out simultaneously, and the data are used to verify the macroscopic and mesoscopic damage evolution model of red-bed soft rocks.

### 2.2 Identification and feature extraction of mesoscopic texture



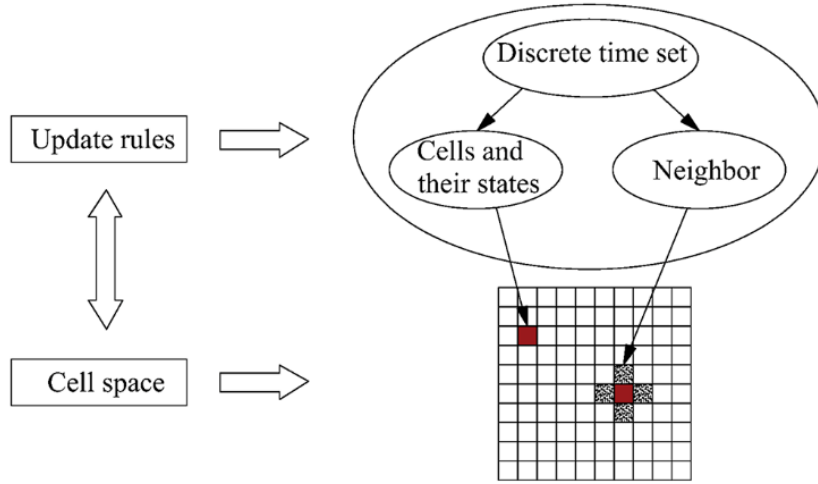
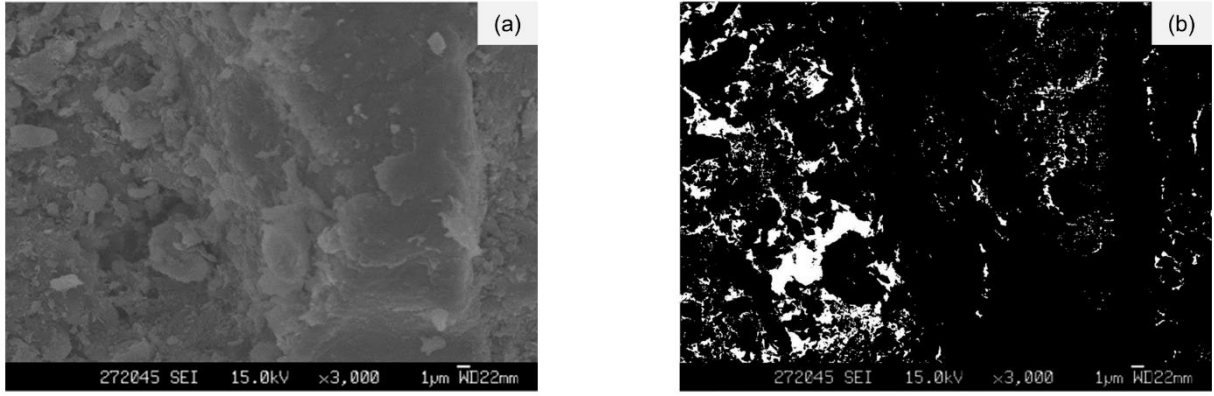


Fig. 3 Schematic diagram of a cellular automata simulation



(a) Original image

(b) image after grayscale and binarization processing

Fig. 4 SEM image processing results. The black areas in (b) show particles and the white areas show pores and fissures

where,  $\tilde{C}_{ijkl}$  is the effective stiffness matrix.

Then, Eq. (6) can be rewritten as

$$\begin{aligned} d\varepsilon_{ij} &= \tilde{C}_{ijkl}^{-1} d\sigma_{kl} - \tilde{C}_{ijkl}^{-1} d\tilde{C}_{ijkl} (\varepsilon_{ij} - \varepsilon_{ij}^p) + d\varepsilon_{ij}^p \\ &= \tilde{C}_{ijkl}^{-1} d\sigma_{kl} + d\tilde{C}_{ijkl}^{-1} \sigma_{kl} + d\varepsilon_{ij}^p \\ &= \tilde{C}_{ijkl}^{-1} d\sigma_{kl} + \frac{\partial \tilde{C}_{ijkl}^{-1}}{\partial D} dD \sigma_{kl} + d\varepsilon_{ij}^p \end{aligned} \quad (7)$$

where,  $\tilde{C}_{ijkl}^{-1} d\sigma_{kl}$  represents the strain increment due to elastic deformation,  $\frac{\partial \tilde{C}_{ijkl}^{-1}}{\partial D} dD \sigma_{kl}$  represents the increment of damage, and  $d\varepsilon_{ij}^p$  represents the strain increment due to plastic deformation. Therefore, the total strain of soft rock elastoplastic deformation consists of three increments: elastic, damage, and plastic.

#### 2.4 Cellular automata model of the soft rock mesoscopic texture change

A cellular automata is a mathematical model for describing the overall evolution of a discrete dynamic system under random initial conditions by developing mathematical rules (Pan *et al.* 2015, Yan *et al.* 2018) and

has been widely applied in various fields (Nishiyama *et al.* 2014, An *et al.* 2019). The self-replication, chaos, and other characteristics of a cellular automata often lead the spatial configurations of cellular automata models to show similar fractal characteristics. Thus, complex fractal phenomena can be simulated by cellular automata (Yan *et al.* 2014). The relationship between cellular automata and fractal dimension theory can simulate the energy change during soft rock damage. There are four components in a cellular automata model: cell, cell space, neighbor, and local rule (Fig. 3).

Assuming  $r$  is the radius of the cell neighbor and  $Z$  is the set of integers, the change in the state of cells over time  $t$  based on the overall evolution  $F$  can be expressed as

$$F : S_Z^t \rightarrow S_Z^{t+1} \quad (8)$$

where,  $S_Z$  is the distribution of state  $S$  in integer set  $Z$ , and  $F$  is the complex dynamic evolution that is determined by the local evolution rule  $f$  of each cell. For a one-dimensional space, the cell and its neighbors can be described as  $S_{2r+1}$ , and the local function can be denoted as

$$F(S_i^{t+1}) = f(S_{i-r}^t, \dots, S_i^t, \dots, S_{i+r}^t) \quad (9)$$

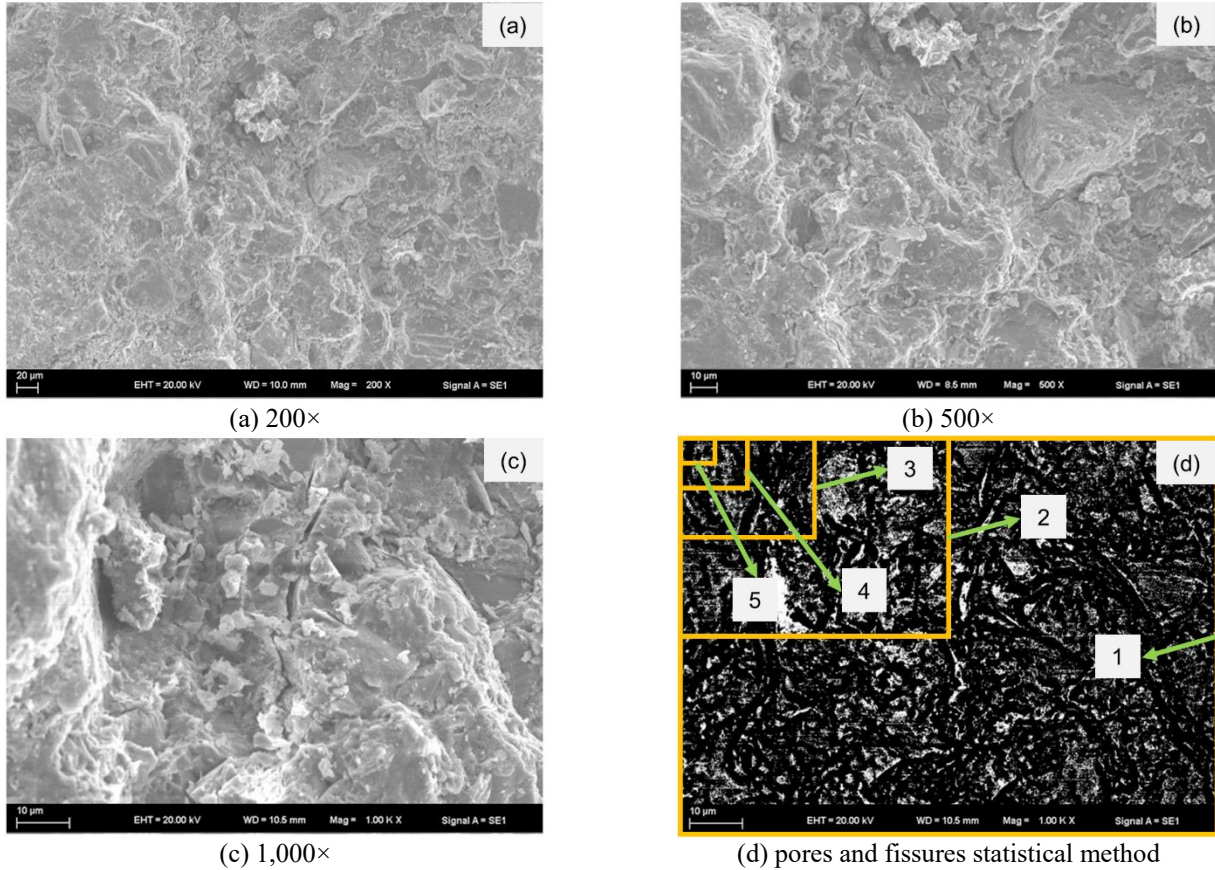


Fig. 5 SEM images of the red-bed soft rocks at different magnifications

where,  $S_i^t$  represents the state of the cell at position  $i$  at time  $t$ .

### 3. Results and discussion

In this section, firstly, red-bed soft rock's mesoscopic textures were quantitatively characterized by identifying the pores, fissures, and particles. Then, based on the double porosity theory, the damage evolution of red-bed soft rocks was described, the relationship between damage variables and mesoscopic texture was established, and the macroscopic-mesoscopic elastoplastic damage model was constructed. Finally, the model was validated by using test data.

#### 3.1 Quantitative characterization of red-bed soft rock's mesoscopic textures

The voids of red-bed soft rocks, containing pores and fissures, in the SEM images can be clearly distinguished (Fig. 4). To further distinguish the pores and fissures, the binary images were processed using morphological methods. Fig. 5 shows multiple SEM images at different magnifications from the same area of a sample. There are many studies on the process of calculating pores and fissures distribution by grid method (Zhao 2010). Firstly, the image with side length  $L$  is divided into a grid with side

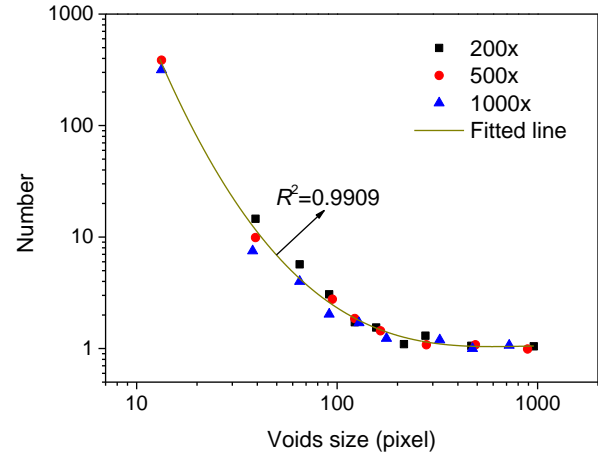


Fig. 6 Number of voids of different sizes

length of  $L$  (Fig. 5(d)). If the grid is occupied by pores or fissures, it is set to 0, otherwise it is set to 1. Then, the image with side length  $L$  is further divided into grids with side length of  $L/m$ ,  $m$  is 2, 3, 4, ..., until the ratio of 0 to 1 in step  $i$  is equal to that in step  $i + 1$ . At this time, a grid is a pixel. Finally, according to the connectivity of adjacent grid boundaries, the grids belonging to the same pores or fissures are combined, and the size and number of pores or fissures are calculated (Fig. 6, Eq. (10)).

$$y = -0.035x^4 - 0.104x^3 + 2.682x^2 - 9.540x + 10.097 \quad (10)$$

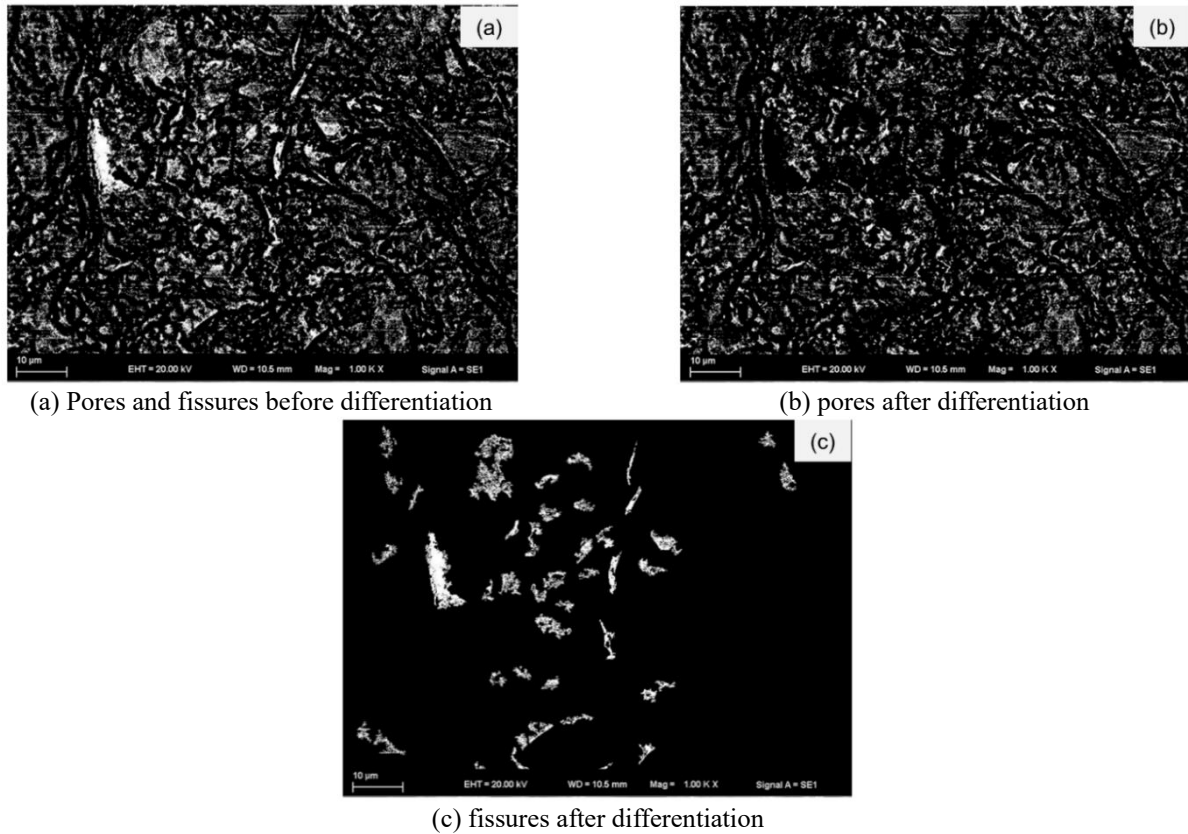


Fig. 7 Differentiation of pores and fissures in SEM images

By analyzing the statistical data in Fig. 6, we concluded that (1) the number of small-sized voids was larger than relatively large-sized voids, and (2) the sizes of red-bed soft rocks voids were similar regardless of scale.

Based on the derivative of Eq. (10), after trial calculation, we set a threshold of  $-1$ , which can better distinguish pores and fissures in the image (Fig. 7). Porosity  $n$  was then calculated using a ratio of the void area to total area. On this basis, the fractal dimension of pores and fissures was analyzed by the box dimension method. The statistical results are shown in Table 1.

### 3.2 Evolution of pores and fissures damage in red-bed soft rocks mesoscopic textures

By extracting information from the SEM images, we were able to extract the mesoscopic pores and fissures information by using pixel points to reconstruct a damage model. Similarly, a two-dimensional grid was used to characterize the pores and fissures (Fig. 8). When a two-dimensional grid represents voids, the fractal geometry distribution and grid scale are

$$N_a = N_0 \cdot a^{-D_f} \quad (11)$$

where,  $N_a$  is the degree of disorder in void distribution corresponding to grid scale  $a$ ,  $N_0$  is the initial distribution of the fissures, and  $D_f$  is the fractal dimension of the fissures. Here, the fractal dimension of pores  $D_p$  can be substituted for  $D_f$  to obtain a similar expression for the

Table 1 Mesoscopic texture parameters extracted from binary images of the different red-bed soft rocks samples

Sample number	Pores and fissures (%)	Pore fractal dimension	Fissure fractal dimension
1	13.2	0.66	1.21
2	16.6	0.75	1.29
3	13.7	0.68	1.29
4	14.8	0.75	1.14
5	13.1	0.70	1.24
6	16.9	0.62	1.25
7	13.2	0.61	1.24
8	14.4	0.65	1.25
9	14.2	0.76	1.27
10	16.8	0.68	1.11
11	15.0	0.58	1.30
12	14.6	0.62	1.29
13	15.2	0.84	1.09
14	14.8	0.78	1.29
15	14.2	0.72	1.24
<b>Average value</b>	<b>14.7</b>	<b>0.69</b>	<b>1.23</b>

Note: "Pores and fissures (%)" is the ratio of the area of pores and fissures to total area

degree of disorder in the void distribution. We note that some other interpretations of Eq. (11) can be found in (Bour *et al.* 2002). In practice,  $a$  is generally a fixed value. Then, the fissures distribution degree of disorder  $N_a$  is only

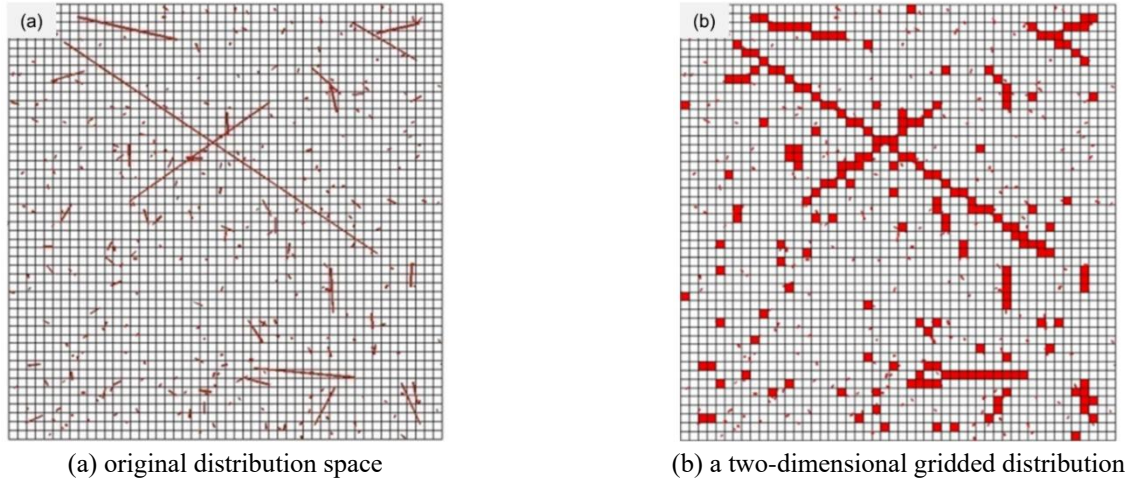


Fig. 8 Voids distribution

 Table 2 Fitting results for the initial and final values ( $A_1$  and  $A_2$ , respectively), center ( $x_0$ ), and power of the curve ( $p$ ) that shows the relationship between damage porosity ( $n$ ) and damage variable ( $D$ ) under various fissures distribution values ( $N_0$ )

Fitted parameter	$N_0 = 0.1$	$N_0 = 0.2$	$N_0 = 0.4$	Average value	Variance
$A_1$	-0.019	-0.018	-0.018	-0.018	2.222E-7
$A_2$	1.141	1.223	1.127	1.164	1.793E-3
$x_0$	0.599	0.627	0.628	0.618	1.807E-4
$p$	3.345	2.946	3.978	3.423	0.181

related to the initial distribution value  $N_0$  and fractal dimension  $D_f$  of the fissures. That is,  $N_a$  is a function of  $N_0$  and  $D_f$ .

The damage evolution of red-bed soft rocks was analyzed by defining the damage variable and studying the fractal geometry of the disorder degree in mesoscopic voids distribution and the grid scale, combined with the cellular automata model. We used this procedure to study the relationship between porosity, the initial fissures distribution, the fractal dimension of fissures, and the damage variable.

Initially, we set the initial distribution value and fractal dimension of fissures, and studied the evolutionary relationship between simulated porosity and damage variable by changing the porosity (Fig. 9).

The functional relationship between the damage porosity and damage variable can be fitted with a logistic curve

$$D = A_2 + (A_1 - A_2) / (1 + (n / x_0)^p) \quad (12)$$

where,  $n$  is the damage porosity,  $D$  is the damage variable, and  $A_1$ ,  $A_2$ ,  $x_0$  and  $x_0$  are all fitted parameters corresponding to the initial value, final value, center, and power of the curve, respectively. The fitting results are shown in Table 2.

We determined that the initial values of the fissures distribution and fractal dimension had little influence on the relationship between the damage variable and damage porosity. However, the fractal dimension of fissures

influenced the range or initial value of the damage porosity (Fig. 10). The relationship between the fractal dimension of fissures and the initial damage porosity conformed to a quadratic polynomial fitting equation, which had an indirect effect on the damage variable

$$n = B_3 + B_1 \cdot D_f + B_2 \cdot D_f^2 \quad (13)$$

where,  $B_1$ ,  $B_2$ , and  $B_3$  are all fitted parameters, equal to -2.153, 1.011, and 1.179, respectively.

By substituting Eq. (13) into Eq. (12) and then into the macroscopic damage model (Eqs. (6) or (7)), we obtained the damage model expressed by the mesoscopic texture parameters. In this way, we described the damage extent within mesoscopic damage mechanics and established the relationship between macroscopic deformation/damage and mesoscopic texture parameters.

### 3.3 Model validation

The model validation needs to be carried out from the macroscopic and mesoscopic scales. According to the macroscopic and mesoscopic damage evolution Eqs. (7), (11), (12), and (13), we selected 3 representative model verification parameters (initial fractal dimension  $D_f$ , initial distribution value  $N_0$ , and initial damage porosity  $n$ ). Based on the previously developed rock fractal model (Zhao 2010, Zhang *et al.* 2019) and the mesoscopic test results: (1) with the average value of the initial fractal dimension  $D_f$  in Table 1 and the  $D_f$  value in Fig. 9, we finally obtained the fractal

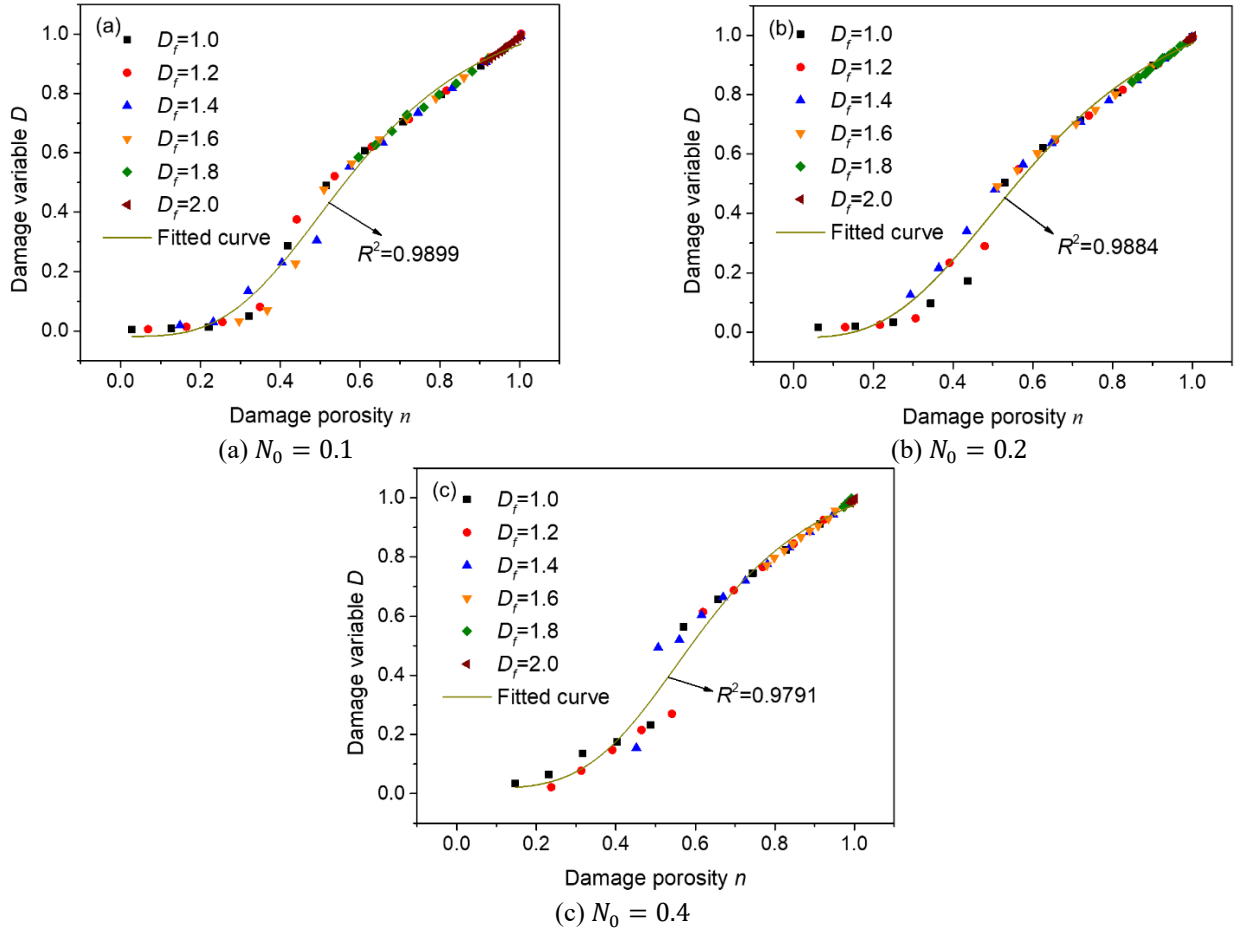


Fig. 9 The damage variable  $D$  as a function of damage porosity  $n$  under various fractal dimensions of fissures  $D_f(1\sim 2)$  and initial values of fissures distribution  $N_0$

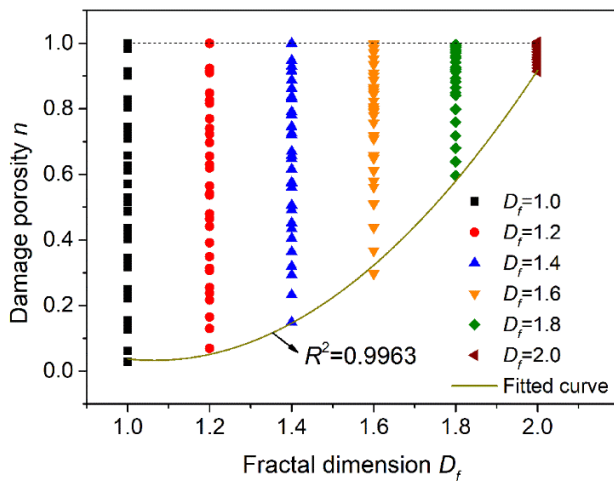


Fig. 10 Relationship between fractal dimension of fissures and damage porosity

dimension  $D_f = 1.2$ . (2) Since there are relatively few fissures in Fig. 7(c), we got the initial fissures distribution value  $N_0 = 0.1$ . (3) With the average proportion of pores and fissures in Table 1 and the initial damage porosity in Fig. 7 (the proportion of pores is larger than fissures) and Fig. 9, we selected the initial damage porosity  $n$  as 8.26%.

The rock damage was simulated with a cellular automata model to investigate the evolution of fissures. We formed a cellular space by treating a local mesoscopic image as a cell and other local images as neighbors of the cell. The elastoplastic model of soft rocks (Eq. (7)) was considered an update rule. The model size was  $50 \text{ mm} \times 50 \text{ mm}$ , which was divided into 2,500 cells. Fig. 11 shows the relationship between AE frequency and the loading step, as well as the relationship between damage variables, loading step, and axial strain. Fig. 12 shows the comparison of the theoretically predicted stress-strain curve with the test results.

From a mesoscopic point of view, higher AE frequencies lead to more rapid inter-particle fracturing within the rock, and as more mesoscopic voids were generated, the corresponding damage grew faster (Fig. 10). The highest AE frequency corresponds to the highest slope of the damage variable curve (Fig. 10). From the macroscopic point of view, the theoretical model and test data were consistent in terms of peak stress and peak strain, as well as the development and changes in the curve (Fig. 11). In order to facilitate comparison, the stress-strain curve in the test results is a representative curve that is closest to the average value of the test results among the five groups of test results. These results show that the theoretical predictions fit the test results reasonably well.

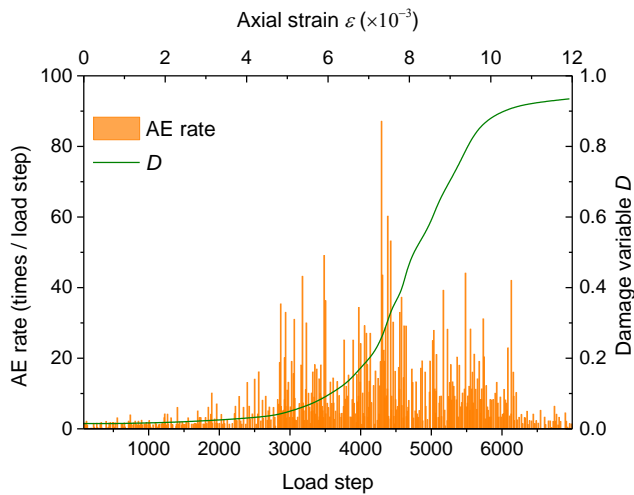


Fig. 11 AE rate and evolution of soft rock damage

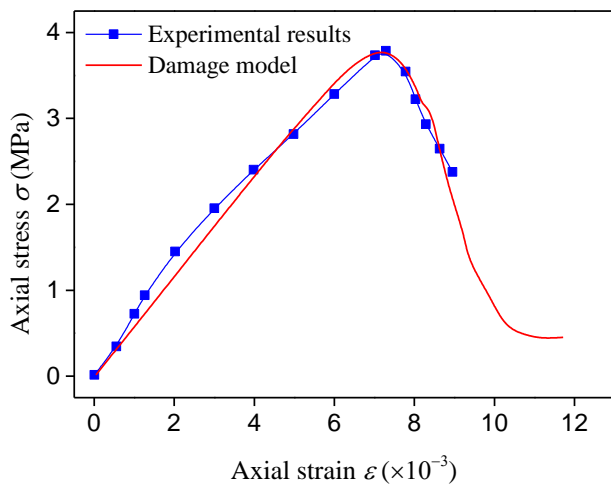


Fig. 12 Comparison of the theoretically predicated stress–strain curve with the test results

#### 4. Conclusions

At present, the macroscopic-mesoscopic damage evolution of red-bed soft rocks is not clear, especially the progressive process from mesoscopic texture change to macroscopic elastoplastic deformation. In this study, we established the relationship between mesoscopic texture change and macroscopic elastoplastic deformation of red-bed soft rocks by studying their textural evolution coupled with a macroscopic damage model; the reliability of the model was verified by test data.

Our results indicate that the relationship between the number and voids size conformed to a quartic polynomial through mesoscopic textural feature extraction. The cellular automata model showed that the relationship between the damage variable and damage porosity conformed to a logistic curve, whereas the relationship between damage porosity and fractal dimension of fissures conformed to a quadratic polynomial.

The reliability of the model was verified by comparing the test results with an established macroscopic-mesoscopic damage model. Our results described the mechanism of macroscopic elastoplastic deformation caused by

mesoscopic textural changes in red-bed soft rocks and provided a theoretical basis for the damage evolution of these rocks.

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