Chapter 1

Kinematic ray tracing in anisotropic layered media

The first step toward estimating tomographically elliptical velocities in heterogeneous anisotropic media is to be able to do ray tracing. In this chapter, I review a procedure to trace rays in layered transversely isotropic models with dipping interfaces. Group velocities are used to propagate the ray across each homogeneous layer, and phase velocities are used to find out how a given ray changes its direction when impinging on an interface. The equation that relates the ray parameter of the incident ray with the angle of the emergent phase at each interface is studied in detail. Finally, examples of ray tracing in simple anisotropic models are shown.

1.1 Introduction

Estimating velocity anisotropy tomographically from cross-well traveltime data is a process that often has two kinds of nonlinearity: the anisotropy itself and the ray bending from one iteration to the next. Under certain conditions one of these nonlinearities can be neglected while the computations related to other one are simplified. For example, assuming weak anisotropy, Pratt and Chapman (1992), and Chapman and Pratt (1992) proposed to do the ray tracing in isotropic media and to use those rays to back project in the anisotropic model. As I show in chapter 4, the problem can be simplified even more if the velocity contrasts are small enough that the rays traced on the anisotropic model are straight and the only nonlinearity that remains is in the estimation of the anisotropy. Unfortunately, these simplifications are not generally valid and therefore the problem needs to be solved by tracing rays appropriately in inhomogeneous anisotropic media.

Methods for dynamic ray tracing in inhomogeneous anisotropic media have been proposed by Červený (1972), Hanyga (1982), Jech and Pšenčík (1989), and Gajewski and Pšenčík (1990), among others. These methods are based on the solution of the dynamic ray tracing equations. To solve only the kinematic problem (what is needed to do traveltime tomography), Byun (1982, 1984) proposed a different technique based on the application of Snell's law at each interface.

In this chapter, I review and implement Byun's procedure for kinematic, anisotropic ray tracing. From the boundary conditions at each interface, I derive the equation that relates the ray parameter p of the incident phase to the angle of the transmitted phase. Using this equation and the equations that relate phase and group velocities, I describe a procedure that alternatively uses each type of velocity to propagate a ray across a layer and to figure out how it changes direction when impinging on an interface. The last section gives examples of P-wave ray tracing for a cross-well geometry in different layered transversely isotropic models. In chapter 4, I use this ray tracing procedure to do traveltime tomography in elliptically azimuthally anisotropic media.

1.2 Boundary conditions

A wave impinging on a plane interface between two media must satisfy the kinematic boundary condition

$$\mathbf{v}_1 = \mathbf{v}_1, \tag{1.1}$$

which states that the particle velocity must be continuous at all points on the boundary between medium 1 and medium 2 (Auld, 1990).

If the wave field is described as a superposition of functions of the form $\exp(i\mathbf{k}\mathbf{r})$, the condition (1.1) implies that for both incident and scattered waves the component of $\mathbf{k}$ tangential to the boundary ($\mathbf{k}_{||}$) must be the same. If we divide $\mathbf{k}$ by the frequency ω of the incident wave and define a vector $\tilde{\mathbf{k}}$ of magnitude $1/v$ (where v is the phase velocity) as follows:

$$\tilde{\mathbf{k}} = \frac{\mathbf{k}}{\omega} = \frac{\mathbf{k}}{||\mathbf{k}||}\frac{1}{v}, \tag{1.2}$$

the continuity of $\mathbf{k}_{||}$ implies the continuity of $\tilde{\mathbf{k}}_{||}$, usually called ray parameter $\mathbf{p}$ for which

$$\mathbf{p_1} = \mathbf{p_2}. \tag{1.3}$$

Since we know that $\mathbf{p}$ is parallel to the interface, the ray parameter is usually considered as a scalar p with a positive or negative sign in front to indicate the sign of the angle of the incident phase with respect to the normal.

Auld (1990) examines condition (1.3) by looking at the corresponding slowness surfaces (a plot of $||\tilde{\mathbf{k}}||$ as a function of its direction), as Figure 1.1 shows. In this figure the slowness surfaces for both P- and S-waves are represented for each isotropic medium. The vector $CA = AB = \mathbf{p}$ is the projection on the interface of the point on the slowness surface that corresponds to the incident P-wave phase. From the construction of Figure 1.1 it is possible to derive easily Snell's law that gives the angles of the scattered phases for both P- and S-waves:

$$p = \frac{1}{v_{1_P}}\sin(\theta_{P_i}) = \frac{1}{v_{2_P}}\sin(\theta_{P_t}) = \frac{1}{v_{2_S}}\sin(\theta_{S_t})$$

$$= \frac{1}{v_{1_S}} \sin(\theta_{S_r}) = \frac{1}{v_{1_P}} \sin(\theta_{P_r}). \tag{1.4}$$

Figure 1.1: Plane-wave scattering at a plane boundary between two isotropic media. From this construction Snell's law can be easily derived. Ray and phase directions are equal. $\boxed{\text{slow-surf}}$ [NR]

Snell's law tells us how a given phase changes its direction when it crosses the interface between two media. It also tells us how rays change direction when crossing an interface, but the medium must be isotropic for this to be true, as in Figure 1.1. In isotropic media, since rays and waves travel in the same direction with the same velocity, boundary conditions valid for waves are also used to predict the behavior of rays. In anisotropic media, however, this simplification is no longer valid because, in general, rays and waves travel with different velocities in different directions as shown in Figure 1.2.

1.3 Initial value ray tracing

When the medium is horizontally layered and isotropic, tracing a ray across the different interfaces is easy. From the medium's velocities and the direction of the ray at the source (p), successive applications of (1.4) tell us how a ray changes its direction as it travels. The only angles that matter are those of the incident and refracted rays. If the layers dip the problem is slightly more complicated because p has to be calculated every time the ray reaches a new interface and we have to consider with three instead of two angles at each boundary.

When the medium is anisotropic, we have to consider with seven angles at each interface to figure out how a ray changes its direction. All these angles (positive

Figure 1.2: Plane-wave scattering at a plane boundary between two anisotropic media. The slowness surfaces are separated and nonspherical. Ray directions (dashed arrows at the slowness surfaces) and phase directions (continuous arrows) are no longer the same.(Modified from Aki and Richards, 1980.) $\boxed{\text{slow-surf-ani}}$ [NR]

counterclockwise) are shown in Figure 1.3. The continuity of the slowness across the interface [equation (1.3)] is expressed as follows:

$$p = \frac{\sin(\theta_i + \gamma_1)}{v_1(\theta_i)} = \frac{\sin(\theta_t + \gamma_2)}{v_2(\theta_t)}, \tag{1.5}$$

where $v_1(\theta_i)$ and $v_2(\theta_t)$ are the phase velocities in the corresponding media evaluated at the incident and transmitted phase angles, respectively. The sums $(\theta_i + \gamma_1)$ and $(\theta_t + \gamma_2)$ have to be calculated considering the proper signs of the angles. From equation (1.5) we can see that when $p = 0$ (normal incidence) the angle of the transmitted phase does not depend on the phase velocity and is $\theta_t = -\gamma_2$. Any other relation derived from (1.5) must reproduce this simple result.

Given the function $v(\theta)$ for each medium, equation (1.5) describes how the incident phase $\tilde{\mathbf{k}}$ changes its direction when crossing the interface between two media. However, (1.5) does not show what happens to the direction and velocity of the associated ray. These two quantities can be calculated from the equations that relate phase and ray velocities (Byun, 1984):

$$v(\theta) = V(\phi)\cos(\phi - \theta), \tag{1.6a}$$

$$\tan(\phi - \theta) = \frac{1}{v(\theta)}\frac{dv(\theta)}{d\theta}, \tag{1.6b}$$

$$V^2(\phi) = v^2(\theta) + \left(\frac{dv(\theta)}{d\theta}\right)^2, \tag{1.6c}$$

where $V(\phi)$ is the ray velocity along the ray angle ϕ.

Figure 1.3: Incident (i) and transmitted (t) group and phase angles of a ray impinging on a plane interface between two transversely isotropic media. all-angles [NR]

Equations (1.5) and (3.6) are the basic relations for tracing a ray in a medium where $v(\theta)$ and γ are given for each layer. Byun (1984) proposes the following procedure to do so: (1) Assign a value to $\theta = \theta_i$ at the source position. (2) Repeat the next steps for each layer: (a) Evaluate $v(\theta)$ and $\frac{dv(\theta)}{d\theta}$ at the corresponding θ. (b) Find ϕ_t and $V(\phi_t)$ from equation (3.6). (c) Trace a ray along the angle ϕ_t until it reaches the next interface. (d) Find p of the incident wave using equation (1.5). (e) Solve equation (1.5) for θ_t. (3) Return to step 2a.

The previous ray tracing procedure is valid for any phase velocity function $v(\theta)$. What changes from one choice of the velocity function to another is how to solve step 2e [to find θ_t as a function of p using equation (1.5)]. The next section focuses on how to accomplish this step when the medium is transversely isotropic.

1.4 Solving for the phase angle

1.4.1 P- and SV-waves

In a transversely isotropic medium, the phase velocity $v(\theta)$ for P- and SV-waves is expressed as follows (Auld, 1990):

$$\begin{aligned} 2\rho v^2(\theta) &= c_{11}\sin^2(\theta) + c_{33}\cos^2(\theta) + c_{44} \qquad (1.7)\\ &\pm \sqrt{[(c_{11}-c_{44})\sin^2(\theta) + (c_{44}-c_{33})\cos^2(\theta)]^2 + (c_{13}+c_{44})^2\sin^2(2\theta)}, \end{aligned}$$

where c_{ij} are four of the five elastic constants that describe a homogeneous transversely isotropic medium. The plus sign (+) in front of the square root corresponds to P-waves and the minus sign (−) to SV-waves. ρ is the density.

An equation for the transmitted phase angle θ_t as a function of the incident p can be obtained by substituting equation (1.7) into equation (1.5) which results in the following fourth-order polynomial in $\tan(\theta_t)$:

$$a_0 + a_1 \tan(\theta_t) + a_2 \tan^2(\theta_t) + a_3 \tan^3(\theta_t) + a_4 \tan^4(\theta_t) \;=\; 0, \tag{1.8}$$

where the coefficients a_i are given in appendix **??**. A similar expression obtained by Byun (1984) is not correct because $\theta_t = -\gamma_2$ is not a root of the polynomial when $p = 0$, as equation (1.5) predicts.

As shown in appendix **??**, the coefficients a_i are the same for both P- and SV-waves [the $\pm$ in front of the square root in equation (1.7) is lost in the derivation of (1.8)], and they are independent of the sign of p. In principle, by solving this equation at each interface, it should be possible to find the angle of the transmitted phase by computing the arctangent of one of its roots. However, the procedure is not straightforward. On the one hand, we have to identify the solutions that correspond to p or $-p$ and P- or SV-waves. On the other hand, finding an angle from its tangent is not a one-to-one transformation because $\tan(\theta) = \tan(\theta + n\pi)$ and therefore infinite angles satisfy equation (1.8). Aside from these problems, we usually have to deal with the difficulties of solving equation (1.8) numerically.

Let's first examine the numerical problems. It is well known that most algorithms used to find roots of polynomials fail in the presence of multiple (or close to multiple) roots. This is the case with equation (1.8) when $p = 0$. From equation (1.5), we find that in this case the transmitted phase angle is $\theta_t = -\gamma_2$ and therefore it is not necessary to solve equation (1.8) when $p = 0$. Problems may also arise when $p \approx 0$ because the roots are close to being multiple. The way I found around this problem is based on the assumption that the slowness surface is a smooth function of θ and that therefore when $p \approx 0$, $v_2(\theta_t) \approx v_2(-\gamma)$. If this is true, $\theta_{t_0} = -\gamma_2$ can be used as starting point to find θ_t by successive applications of equation (1.5) as follows:

$$\theta_{t_{i+1}} \;=\; \sin^{-1}(p v_2(\theta_{t_i})) - \gamma_2. \tag{1.9}$$

Typically, only one iteration is required.

Figure 1.4 shows how to solve equation (1.8) graphically. From the construction with the slowness surfaces, we can see that the infinite roots of equation (1.8) mentioned earlier in this section correspond to only eight different points in the slowness surfaces for both P- and SV-waves. In this figure I also assume that the incident phase (not shown) is crossing the interface from medium 1 to medium 2. For simplicity, I assume that both media are isotropic. The slowness surfaces in medium 2 are represented half by continuous circles and half by dotted circles. The slowness surfaces in medium 1 are not shown. For a given $\pm p$ value at the interface, this figure shows the position of all the possible points in the P and SV slowness surfaces whose angle measured from the symmetry axis satisfies equation (1.8). These points are obtained by simple application of the kinematic boundary condition (1.3). The points A, B, C, and D are the solutions for negative p and the points H, G, F, and E, obtained by adding $\pm\pi$ to the previous solutions are the solutions for positive p. If $|p| > \frac{1}{v_p}$, two of the roots of (1.8) are complex and there are no transmitted P-waves. If $|p| > \frac{1}{v_s}$, the four roots are complex and there are no transmitted SV-waves either. I assume that when the transmitted ray travels parallel to the interface, it doesn't go back to the previous medium, which is a simplification of the actual behavior of head waves.

If we take "1" as the axis of symmetry in Figure 1.4, we see that when the axis of symmetry and the normal to the interface are parallel, the arctangent of the roots of equation (1.8) give the angles of the points A, B, E, and F. This is because the FORTRAN function ATAN gives its results in the interval $(-\pi/2, +\pi/2)$, which is exactly the domain of the phase angle measured from the axis of symmetry. "2" is also an axis of symmetry in this example because the medium is isotropic. If we take "2" as the axis of symmetry, the roots of equation (1.8) give the points E, F, G, and H. None of these points is the correct one when, for example, a P-wave impinges on the interface with negative p. In this case, the point B is the solution.

The preceding example tells us that when the axis of symmetry and the normal to the interface are not parallel, the roots of equation (1.8) may not give the expected direction for the refracted phase. For this reason, it is necessary to examine all eight angles and pick the one that verifies equation (1.5) for the desired wave type (with this, the number of possible angles is reduced from eight to two) and produces a ray pointing toward the expected direction (which further reduces the number of angles from two to one). This procedure will be explained in more detail in the next section, which concerns SH-waves.