# ASKI

Analysis of

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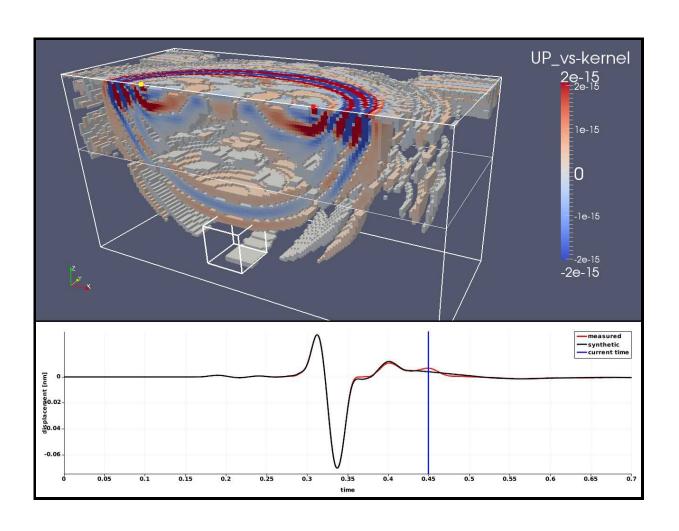
Kernel

Inversion

User Manual

ASKI - version 1.1

Mar 2016 Florian Schumacher Ruhr-Universität Bochum, Germany



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If you use ASKI for your own research, please cite our paper [SFL16]:

F. Schumacher, W. Friederich and S. Lamara,

"A flexible, extendable, modular and computationally efficient approach to scattering-integral-based seismic full waveform inversion",

*Geophysical Journal International*, (February, 2016) 204 (2): 1100-1119 http://dx.doi.org/10.1093/gji/ggv505

This documentation was written in the hope that it will be useful to the user, but it *cannot be assured* that it is accurate in every respect or complete in any sense. In fact, at some places *this manual is work in progress*.

lease do not hesitate to report any inconsistencies via http://www.rub.de/aski or to improve this documentation by incorporating your experiences with ASKI and your personal experience of getting used to it (plus, let us know about it! Thanks). When you have developed new ASKI components or have modified existing once, please extend / modify this document accordingly.

Furthermore, I am aware of the poor LaTeXcoding of this document. There is a lot of potential to improve the document style, hence the readability of the manual as a whole, as well as the coding style of the particular .tex files. *Please do not hesitate to improve!* 

The LATEX source files and all related components of this document are available via http://www.rub.de/aski

Florian Schumacher, Mar 2016

# How to use this manual

Only chapter Guide (page 11) is intended to be read through which, for this reason, is held as compact as possible. This chapter may itself be regarded as "the manual", with the appending chapters only containing more specific detail on processes or objects which chapter Guide refers to. After all, the very modular character of ASKI requires documentation which itself is modular.

In other words: just start reading the respective section of chapter Guide, which you are interested in and whenever you feel the need for more detail follow the respective references. This way, we try to focus the user on necessary information and successfully guide through the lot of details contained in this document.

When you conduct a specific ASKI operation for the first time, we recommend you to first fully read through the respective guiding list and the referred basic steps before you start running any programs. This way you will get an impression of the repuirements for your operation.

All chapters appending chapter Guide are not intended to be read through section by section but may well serve the user as a reference. Especially section 3.1 (page 55) can provide the experienced user with additional executables that conduct some more features which are not referenced somewhere in the document.

# What is ASKI?

ASKI is a modularized software package written by the main authors Florian Schumacher and Wolfgang Friederich (Ruhr-University Bochum, Germany). It offers sensitivity and regularization analysis tools for seismic datasets as well as a scattering-integral-type full waveform inversion (FWI) concept based on waveform sensitivity kernels (i.e. Fréchet derivatives of seismic waveform data functionals) derived from Born scattering theory, having Gauss-Newton convergence properties. This inversion concept is presented in our paper [SFL16] and in Florian's doctoral dissertation [Sch14].

ASKI does not implement an intrinsic code for simulation of seismic wave propagation in order to solve the forward problem, but instead provides generalized interfaces to different external wave propagation codes. At the moment, the 1D semi-analytical code Gemini [FD95] and the 3D spectral element code SPECFEM3D [TKL08] are supported in *both*, Cartesian and spherical framework. Additionally ASKI supports the 3D nodal discontinuous Galerkin code NEXD [Lam15b] and plan to implement support for the Finite Difference code SOFI [Boh02] in the near future. Please do not hesitate to add your own forward code, we are happy to support you during that process.

The resulting very modular concept of ASKI allows us to keep the spatial description of the inverted models completely independent of the spatial description of the model used for solving the forward problem. This way, the overall iverse problem can be approached and regularized more physically compared with using the forward grid also for inversion. The normally very fine spatial discretization of the model domain is employed by the forward solver. This discretization is usually weigh too fine to be used directly for inversion since usually seismic data can only resolve much coarser structures and the resolution also varies throughout the model domain. The separation concept of ASKI *naturally* alows to choose the spatial model resolution heterogeneously and *anew* in each iteration of FWI.

Instead of using time-dependent values of ground motion (i.e. samples of a time-series of seismic data), ASKI uses frequency-dependent complex values of ground motion, recorded at a certain receivers excited by a certain seismic sources. This, mainly, has reasons of computational feasibility. For time-domain forward methods, we implement an on-the-fly Fourier Transform in order to provide the required spectral waveforms.

Using sensitivity kernels K, data residuals  $\delta d_i$  are connected to model uptdates  $\delta m$  by an integral relation  $\delta d_i = \int_{\text{earth}} \delta \vec{m} \cdot \vec{K}_i$ . In order to build a linear system, the model update  $\delta \vec{m}$ 

is assumed to be constant throughout small scattering volumes  $\Omega_j$ , where  $\Omega = \bigcup_j \Omega_j$ . These volumes constitute the cells of the volumetric inversion grid and the sensitivity matrix contains entries of preintegrated kernels  $\int_{\Omega_i} K_i$ .

The sensitivity kernels K are computed from forward wavefields and strains produced on a set of points in space, which is dependent on the particular forward method. This set of points is referred to as *wavefield points*. The wavefields are written to file, by the respective forward

method, which may require large discspace. Providing methods for constructing quadrature rules for arbitrary point sets contained in arbitrary volumes, ASKI computes integration weights for integration of functions on the wavefield points over the volumetric cells of the inversion grid. The inversion grid takes care of the localization of wavefield points inside the inversion grid cells and, if requested, the transformation of cells to a hexahedral (or tetrahedral) standard cell for the computation of the integration weights. Hence, some combinations of wavefield points (i.e. forward methods), integration weight types and inversion grid types are not possible.

The preintegrated kernel values are also written to files, which may be flexibly read in for arbitrary subsets of data by the independent binary programs conducting any sensitivity analysis or an interation step in the iterative full waveform inversion. Those tools work on the sensitivity matrix, which in the FWI is used in a linear system of equations which relates data residua  $\delta d_i$  to a model improvement  $\delta m$ . In the course of the iterative full waveform inversion, it is naturally possible by ASKI to gradually increase the frequency content of the inverted data and to choose smaller inversion grid cells in each iteration, i.e. increasing the spatial resolution dependent on frequency.

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# Chapter 0

# Guide

This chapter is intended to guide you, dependent on what you want to do, through all necessary steps to achieve your goals.

If you don't know about ASKI yet, we recommend you to quickly read through the previous section entitled "What is ASKI?", which explains some basic terminology in ASKI and the concepts it is based on.

The sections below address possible operations you can conduct with ASKI. For every operation, we only refer to the necessary basic steps (by  $\rightarrow$ ), which are described in chapter 1 (page 21).

Make sure to have a complete read-through before hastily doing anything!

Good Luck!

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# Full Waveform Inversion using pre-integrated spectral Waveform Sensitivity Kernels

Iterative inversion scheme which uses waveform sensitivity kernels to gain model updates form data residua.

In addition to ASKI  $\rightarrow$  1.1 (page 21), you will need to install a supported software which solves the forward problem  $\rightarrow$  1.11 (page 37).

## **Before The First Iteration Step**

- Create a main parameter file (e.g. in the parent directory of your specific inversion directory, or where you collect main parameter files for all your inversion projects) → 1.2 (page 21). You will need this file as an input argument to almost all programs/scripts.
   Set MAIN\_PATH\_INVERSION to a correct value. The directory does not need to exist yet, if not, then it will be created.
   You should keep the default values of ITERATION\_STEP\_PATH and PARFILE\_ITERATION\_STEP unless you know what you are doing. If you wish to use different values for the complete inversion process, it makes senese to adjust them now.
   All other parameters can be adjusted later.
- Create a directory structure for the expected number of iteration steps of your inversion
   → 1.4 (page 21)
- Make yourself familiar with the form of data used in ASKI  $\rightarrow$  1.5 (page 22). Set APPLY\_EVENT\_FILTER, APPLY\_STATION\_FILTER, PATH\_MEASURED\_DATA, PATH\_EVENT\_FILTER, PATH\_STATION\_FILTER, FILE\_EVENT\_LIST, and FILE\_STATION\_LIST, as well as MEASURED\_DATA\_FREQUENCY\_STEP, MEASURED\_DATA\_NUMBER\_OF\_FREQ and MEASURED\_DATA\_INDEX\_OF\_FREQ in your main parameter file, before preparing your data in the required form  $\rightarrow$  1.6 (page 23), as well as any filters  $\rightarrow$  1.7 (page 24).
- Set FORWARD\_METHOD in your main parameter file to the value of your choice. If you
  want to use different methods in the course of inverting one dataset (e.g. starting with a
  1D method, continuing with a 3D method), then it may make sense to create a different
  directory structure for each method and using the final model of one method as the starting
  model for the next method.
- Choose a model parametrization by setting MODEL\_PARAMETRIZATION in the main parameter file to a value of your choice (which is supported by your forward method).

# Before Each Iteration Step (including the first one)

• Set CURRENT\_ITERATION\_STEP in your main parameter file to the correct value. When continuing your inversion with a different method, you may also keep the current iteration step index (in order for you not to get confused) and leave subdirectories of your MAIN\_PATH\_INVERSION empty (or delete them after creation if they are not needed): e.g. an inversion with one method could start with iteration step 4 (and respective subdirectory), if you have already conducted 3 iteration steps with other methods.

- Define the inversion grid of the current iteration  $\rightarrow$  1.8 (page 24).
- Set all parameters in the specific iteration step parameter file to correct values → 1.3 (page 21), including the correct reference to your inversion grid. Refer to the documentation of your forward method on how to set filenames FILE\_WAVEFIELD\_POINTS and FILE\_KERNEL\_REFERENCE\_MODEL (as the handling of these file are method dependent).
- Dependent on your method and model parametrization, take care about communicating the current model (inverted in the previous iteration) to your forward method → 1.10 (page 36). Before the first iteration, however, you need to define some starting model → 1.9 (page 36).

#### **Conducting An Iteration Step**

- Compute forward wavefields and Green tensor components w.r.t. the current model by your method. Refer to the respective documentation of your method.

  After that, you may prepare the synthetic data in the way ASKI expects it (see sections 1.5 (page 22) and 2.6 (page 50)). Refer to the documentation of your method on how to do it.
- Set TYPE\_INTEGRATION\_WEIGHTS in the iteration specific parameter file → 1.12 (page 37). You should keep the default values of FILE\_INTEGRATION\_WEIGHTS, unless you know what you are doing (can be any name, will be created, but is referred to, afterwards. You could compute different types of weights and store them in different files, this way).
- Initiate basic requirements for all programs and scripts  $\rightarrow$  1.14 (page 39).
- Define data and model space, where the paths are mainly important for now  $\rightarrow$  1.13 (page 38).
- Compute sensitivity kernels for your specific set of paths and your set of model parameters → 1.15 (page 39).
   If desired, you may have a look at your kernels → 1.17 (page 40).
- Choose a specific data and model space. You may well play around with different subsets
  of data or smoothing (next step) in the course of inverting for different models → 1.13
  (page 38).
- Finally compute the inverted model by solving the kernel system  $\rightarrow$  1.19 (page 41), possibly varying the regularization constraints.
- After deciding whether or not to do another iteration of full waveform inversion and choosing a model for the next iteration → 1.20 (page 41), repeat all operations beginning with "Before Each Iteration Step (including the first one)".

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# **Cross Borehole Example**

This section describes the synthetic cross borehole example presented in Florian's dissertation [Sch14] (chapter 5.1) as well as in our GJI paper [SFL16] (section 4.1). It is an example of lull waveform inversion using pre-integrated spectral waveform sensitivity kernels (as described in the first recipe of this chapter Guide (page 11).

The example files referred to in the following, were computed with ASKI version 1.0, which however should not pose any problem since the changed from version 1.0 to 1.1 do not effect the computations or compatibility of any output files. It may, however, occur that numbers might not be reproduced in a numerically equal way, which is also likely to happen when a different compiler (version) is used.

Install ASKI  $\rightarrow$  1.1 (page 21).

Then download the example files ASKI\_inversion\_cross\_borehole.tar.gz via http://www.rub.de/aski (566 MB). In this package, all files of the first 2 iterations (plus illustrating extras) are provided. In order to keep the download small, wavefield output is not provided for iterations 3 to 12. You should be able to reproduce the wavefields immendiately for any iteration step from the provided inverted models without reproducing all preceding iterations. The pre-integrated sensitivity kernel files are only provided for iterations 1 to 3. Kernel files for the other iterations can be downloaded by interested users seperately via http://www.rub.de/aski (package
ASKI\_inversion\_cross\_borehole\_sensitivity\_kernels\_iter04-iter12.tar.gz, (907 MB).

Most importantly, you must change the value of MAIN\_PATH\_INVERSION in file ASKI\_inversion\_cross\_borehole/main\_parfile\_cross\_borehole to "your\_base\_path/" in order for all the example directory to work. If you do not want to overwrite the existing output, alternatively you should create a separate inversion directory from

write the existing output, alternatively you should create a separate inversion directory from scratch  $\rightarrow$  1.4 (page 21) and leave ASKI\_inversion\_cross\_borehole/ as a reference only.

This example was generated using SPECFEM3D\_Cartesian 3.0 for ASKI. Even if you intend to use a different forward method, you can still practice the operations of the main ASKI package and, thus, learn about how to conduct any steps in the full waveform inversion *after* the forward problem is solved. Just read the description of the contained files in ASKI\_inversion\_cross\_borehole/README.

If you want to reproduce also the forward wavefields from SPECFEM3D\_Cartesian 3.0, you need to install it, of course  $\rightarrow$  1.11 (page 37).

# **Time-Domain Sensitivity Kernels**

This section describes, how to compute time-domain waveform sensitivity kernels for a specific set of sources receivers with respect to a certain background earth model as an operation seperate of any other ASKI operations. The kernels in time-domain are much more intuitive to look at for human beings, than the standard frequency-domain sensitivity kernels. You may, as well, compute time-domain sensitivity kernels from the kernels produced in any iteration step of a full waveform inversion (page 12). For this purpose, apply the steps "Transforming to Time-Domain Sensitivity Kernels" (below) after you computed the spectral kernels in you iteration step, as the time-domain waveform kernels are produced by an inverse Fourier transform from the standard frequency-domain waveform sensitivity kernels on which ASKI is based.

Please do not get confused by the general terminology of *inversion* and *iteration*, etc. Technically you will be conducting an incomplete first iteration step of a full waveform inversion, using all the program infrastructure which is also used for a full waveform inversion.

In addition to ASKI  $\rightarrow$  1.1 (page 21), you will need to install a supported software which solves the forward problem  $\rightarrow$  1.11 (page 37).

### **Preceding Considerations**

Create a main parameter file (e.g. in the parent directory of your specific inversion directory, or where you collect main parameter files for all your inversion projects or analyses)
 → 1.2 (page 21). You will need this file as an input argument to almost all program-s/scripts.

Set MAIN\_PATH\_INVERSION to a correct value. The directory does not need to exist yet, if not, then it will be created.

Set ITERATION\_STEP\_PATH and PARFILE\_ITERATION\_STEP to desired values, or leave the default values, if present.

All other parameters can be adjusted later.

- Create a directory structure for only one iteration step  $\rightarrow 1.4$  (page 21)
- Even if you do not have any measured data, it might still be beneficial for you to make yourself (roughly) familiar with the form of data used in ASKI  $\rightarrow$  1.5 (page 22). In your main parameter file, set the following values:
  - Set FILE\_EVENT\_LIST and FILE\_STATION\_LIST to define the sources and receivers which are involved in the paths that you would like to compute the kernels for.
  - Dependent on the (length of the) time series you want to deal with, define the frequency discretization of the spectral kernels that will be produced first. This must be done by MEASURED\_DATA\_FREQUENCY\_STEP, MEASURED\_DATA\_NUMBER\_OF\_FREQ and MEASURED\_DATA\_INDEX\_OF\_FREQ.

In general, for the pure kernel computation you do not need any measured data. So, here you do not need to prepare data in the ASKI required form.

• Set APPLY\_EVENT\_FILTER, APPLY\_STATION\_FILTER (and if required PATH\_EVENT\_FILTER and PATH\_STATION\_FILTER) in your main parameter file. In case the forward wavefields were calculated w.r.t. an impulse source time function (or the source-time function was deconvolved), you should apply filters → 1.7 (page 24) that

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taper down the amplitude spectrum before the maximum frequency used. Otherwise, the inverse Fourier transform below can create artefacts.

- Set FORWARD\_METHOD in your main parameter file to the value of your choice.
- Choose a model parametrization by setting MODEL\_PARAMETRIZATION in the main parameter file to a value of your choice (which is supported by your forward method).
- Set CURRENT\_ITERATION\_STEP in your main parameter file to value 1, as you are technically starting to conduct the first (and only) iteration step of a full waveform inversion.
- It is highly recommended to set DEFAULT\_VTK\_FILE\_FORMAT to BINARY in the main parameter file, since a lot of vtk files might be generated (one for every time step). Using the binary format significantly reduces storage.
- Define the inversion grid 

  1.8 (page 24), which controls the spacial volumetric discretization (resolution) of the computed sensitivity kernels. In case of just computing (time) kernels to look at, it is not crucial to regard this resolution as the resolution of some inverted model, as no inversion will be conducted on the inversion grid. Since there might be a lot of vtk files generated (one for every time step), it is highly recommended to set
  - VTK\_GEOMETRY\_TYPE = CELL\_CENTERS in the inversion grid parameter file (if your type of inversion grid supports that functionality). This significantly reduces the amount of geometry information written to the vtk files, hence their size.
- Set all parameters in the specific iteration step parameter file to correct values → 1.3 (page 21), including the correct reference to the inversion grid. Set ITERATION\_STEP\_NUMBER\_OF\_FREQ and ITERATION\_STEP\_INDEX\_OF\_FREQ to the same values as the MEASURED\_DATA\_NUMBER\_OF\_FREQ and MEASURED\_DATA\_INDEX\_OF\_FREQ in the main parameter file! Refer to the documentation of your forward method on how to set filenames FILE\_WAVEFIELD\_POINTS and FILE\_KERNEL\_REFERENCE\_MODEL (as the handling of these file are method dependent).
- Dependent on your method and model parametrization, define your background model with respect to which the kernels will be computed. If you have some inverted model file, use → 1.10 (page 36). For defining a starting model, see → 1.9 (page 36).

## **Computing Spectral Waveform Sensitivity Kernels**

- Compute forward wavefields and Green tensor components w.r.t. the current model by your method. Refer to the respective documentation of your method.

  After that, you may prepare the synthetic data in the way ASKI expects it (see sections 1.5 (page 22) and 2.6 (page 50)). Refer to the documentation of your method on how to do it.
- Set TYPE\_INTEGRATION\_WEIGHTS in the iteration specific parameter file → 1.12 (page 37). If you intend to compute the time kernels on wavefield points only, you will technically never use the integration weights, but nevertheless they need to be correctly created (in that case use a simple type of weights like 5 or 0). You should keep the default values of FILE\_INTEGRATION\_WEIGHTS, unless you know what you are doing (can be any name, will be created, but is referred to, afterwards. You could compute different types of weights and store them in different files, this way).

- Initiate basic requirements for all programs and scripts  $\rightarrow$  1.14 (page 39).
- If you have many paths, you may define a data and model space concentrating on defining paths → 1.13 (page 38). If you have only one path or just a few, it is possible (and propably also convenient) to just continue to the computation of the kernels.
- Compute the standard frequency-domain sensitivity kernels for your specific set of paths (or the one or few paths, one after another). In case you want to transform to time-domain kernels on wavefield points (and not pre-integrated kernels on inversion grid), use option −wp → 1.15 (page 39)

If desired, you may have a look at the standard frequency-domain kernels  $\rightarrow 1.17$  (page 40).

## **Transforming to Time-Domain Sensitivity Kernels**

- Transform the standard frequency-domain waveform kernels to time domain. In case you want to get time-domain kernels on wavefield points, (and not pre-integrated kernels on inversion grid), you must use option −wp (in this case, you already should have used −wp to compute spectral kernels) → 1.16 (page 40).
   Make sure that the wavefield spectra have a sufficiently small amplitude spectrum at high frequencies, in order for the inverse Fourier Transform to work satisfactorily. Otherwise
- Plot the time kernels  $\rightarrow 1.18$  (page 40).

use filters.

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# **Analysis of Acquisition Geometry using Kernel Focussing**

#### THIS SECTION IS WORK IN PROGRESS!

The general concept of Backus-Gilbert-based focussing of sensitivity kernels on a defined focussing region in the model space is published in [Sch14], Chapter 7.1. On the basis of this way of finding linear combinations of data which are sensitive only to changes in a model subspace, the dataset can be analysed w.r.t. finding event-station paths (and components / frequencies) which optimally illuminate the model subspace.

Executable focusSpectralKernels  $\rightarrow$  3.1.13 (page 67) produces the coefficients of the linear combination of data required for the analysis. However, this section does not yet give a detailed list of steps how to conduct such an analysis.

- step 1
- step 2
- ...

# **Full Waveform Inversion - Focused Waveform Sensitivity Kernels**

#### THIS SECTION IS WORK IN PROGRESS!

The general concept of Backus-Gilbert-based focussing of sensitivity kernels on a defined focussing region in the model space is published in [Sch14], Chapter 7.1. On the basis of this way of finding linear combinations of data which are sensitive only to changes in a model subspace, different disjoint subdivisions of the model space can be chosen, finding the finest subdivision that is resolved by the data (i.e. where focussing of sensitivity on each subdivision cell is still successfull). This gives the finest model space that the data can resolve. Also this gives a set of "new" data consisting of linear combinations of the original data, for which each of this new data is sensitive only to a certain spot in the model space. Doing inversion steps of full waveform inversion with the focussed kernels and the focussed data, the hope is to overall conduct a waveform inversion at the maximum resolving power of the data. This can also be seen as a sophisticated form of regularizing the overall inverse problem.

Such a "focussed waveform inversion" still remains an idea and was not yet approached to be implemented in ASKI. Please don't hesitate to implement and test this concept.

todo list:

- step 1
- step 2
- ...

# Chapter 1

# **Basic Steps**

In general, in this chapter we provide only basic information. For more detail on specific steps or objects, we always refer to the respective sections below in this document.

# 1.1 Installing ASKI

- Download main package ASKI\_1.1.tar.gz from http://www.rub.de/aski
- Unpack tar ball (containing the directory ASKI\_1.1/) somewhere
- Follow the directions in file ASKI\_1.1/README

# 1.2 Create Main Parameter File

The simplest way to create a specific main parameter file for your operation is to modify / adjust a copy of the template file template/main\_parfile\_template.

Refer to the commented documentation in main\_parfile\_template or to sections 2.1 (page 43) and 2.1.1 (page 43).

# 1.3 Iteration Step Parameter Files

Having created a directory environment for your operation, as described in section 1.4 (page 21), there should automatically have been created template parameter files in each directory of an iteration step, having filenames as defined by parameter PARFILE\_ITERATION\_STEP in the main parameter file.

Refer to the commented documentation in those template files or to sections 2.1 (page 43) and 2.1.2 (page 46).

# 1.4 Create Directory Environment

Call python script create\_ASKI\_dir.py

```
USAGE: please give 2 arguments:
[1] main parmeter file of inversion
[2] number of iteration steps

EXAMPLE:
create ASKI dir.py ./main parfile Aegean1 10
```

Put your main parameter file (see 1.2 (page 21)) as the first, and the expected number of iteration steps as the second argument.

You can always *recall this script at any later time* with a larger number of iteration steps. All existing directories *will not be affected*, only additional non-existing objects will be created. Recalling this script with a smaller number of steps will not delete anything.

#### 1.5 Data in ASKI

One certain data sample in ASKI is characterized by a seismic *source*, a *component* of a seismic *station* (receiver), and a *frequency*, as well as if it is *real* or *imaginary* part of the complex spectral values. It has the value of displacement of the ground in the unit of meters.

#### **Events and Stations**

The events file (2.2 (page 48)) and stations file (2.3 (page 49)) constitute a collection of *all* events (stations) which will be involved *in any way* in your ASKI operation.

All programs/scripts will refer to a specific event (station) by its event-ID (station-name).

#### **Station Components**

All programs/scripts will refer to a specific station component by the following abbreviatory names.

Dependent on the coordinate system in which the stations are defined (Cartesian or spherical, which is defined by the first line of the station list file), the supported names of station components may have a different meaning:

#### **Cartesian stations**

```
CX: Cartesian X-coordinate (first Cartesian coordinate)
CY: Cartesian Y-coordinate (second Cartesian coordinate)
CZ: Cartesian Z-coordinate (third Cartesian coordinate)
N: same as -CX
S: same as CX
E: same as CY
W: same as -CY
```

UP: same as CZ

DOWN: same as -CZ

#### **Spherical stations**

CX: Cartesian X-coordinate with X-axis through equator and 0°-meridian

CY: Cartesian Y-coordinate with Y-axis through equator and 90°E-meridian

CZ: Cartesian Z-coordinate with Z-axis through north pole

N: local north

S: local south

E: local east

W: local west

UP: local up

DOWN: local down

## **Frequency Discretization**

In ASKI, frequencies are given by a frequency step  $\Delta f[Hz]$  and by a set of integer valued frequency indices.

For specific frequency index  $k \in \mathbb{N}$ , the corresponding real-valued frequency  $f_k$  [Hz] computes as  $f_k = k \cdot \Delta f$ . E.g.  $\Delta f = 10$  Hz and frequency indices k = 2, 3, 5, 7, 10 define the set of discrete frequencies  $f_k = 20.0, 30.0, 50.0, 70.0, 100.0$  [Hz].

Some forward methods (at the moment only Gemini) implicitely use *complex* frequencies, which are related to the above definition of real-valued frequencies  $f_k = k \cdot \Delta f$ . Gemini, e.g., adds to these real-valued frequencies a constant imaginary part  $\sigma = -5\Delta f/2\pi$ , thus implicitely using the complex frequencies  $f_k = k \cdot \Delta f + i \cdot \sigma$ , where i is the imaginary unit.

## 1.6 Prepare Measured Data

For measured data given in some basic data formats like Seismic Unix and time-series given as textfiles per trace, the executable <code>createMeasuredData</code>  $\rightarrow$  3.1.9 (page 59) converts the time-domain data to the special frequency-domain form required by ASKI. Executing <code>createMeasuredDate</code> (without arguments), will print a short help message how to use it.

Otherwise you might well prepare measured data files on your own as required by ASKI, see sections 1.5 (page 22) and 2.4 (page 49).

## 1.7 Prepare Frequency-Domain Filters

In ASKI, synthetic wavefields (for synthetic data and sensitivity kernels) are preferred to be modelled as impulse responses, i.e. w.r.t. an impulsive Dirac source-time-function, and filtered afterwards in the frequency domain (by multiplication of wavefield spectra and spectral filter) before being compared to measured data. Therefore, ASKI uses spectral filters, independently associated with each seismic source and each station component. This way, independent source-time-functions for each event, as well as independent instrument responses for each station component can be modelled. Whether or not to use event-associated filters or station-associated filters at all, is controlled in the main parameter file via flags APPLY\_EVENT\_FILTER, APPLY\_STATION\_FILTER  $\rightarrow 2.1.1$  (page 45).

Executable createSpectralFilters  $\rightarrow$  3.1.10 (page 61) provides means to generate event filters from time-domain wavelets (i.e. specific source-time-functions) or as Butterworth filters. Executing createSpectralFilters (without arguments) will print a short help message how to use it. For now, there is no possibility to generate station filters by this executable, since it is assumed that instrument responses were already deconvolved from the data.

If you need station filters, or require filters that cannot be generated by createSpectralFilters, you would have to generate filter files by yourself in the required format, see section 2.5 (page 50). Even if you want to use the same filter for each event (station component), you would need to create a filter file for each event (station component), e.g. by copy-paste-rename operations.

At the moment, ASKI does *not* support to have an independent filter for each event-station path (i.e. for each seismogram seperately).

#### 1.8 Define an Inversion Grid

There are different types of ASKI inversion grids suitable for different geometries, forward methods, hence, applications.

All inversion grids are defined by setting parameters TYPE\_INVERSION\_GRID and PARFILE\_INVERSION\_GRID in the parameter file of the current iteration step.

In the following, we present the supported inversion grid types and explain the particular parameters in the respective inversion grid parameter file.

#### 1.8.1 chunksInversionGrid

The chunks inversion grid consists of 1, 2, 3 or 6 chunks of a cubed sphere (such as the schunk inversion grid). The chunk width is always 90 degrees, except for 1-chunk grids where smaller chunks are allowed. The inversion grid base cells are equi-angularly distributed, resulting in cells which are more or less evenly distributed in size (by contrast to the schunk inversion grid, where the lateral projections of the cells onto the tangential plane have an equi-distant distribution on the plane).

2 chunk grids consist of two neighbouring 90-degree chunks, 3 chunk grids of three chunks which are ALL neighbours of each other (i.e. essentially half of the Earth).

Inside the chunks, the inversion grid cells are constructed on the basis of regularly distributed base cells in the fashion of the schunk inversion grid, having a certain number of refinement

blocks in depth inside which a fixed regular lateral resolution and depth resolution can be chosen. (THE FOLLOWING FEATURE IS NOT YET IMPLEMENTED: thereafter, by certain mechanisms, the base cells can be locally refined, e.g. due to ray coverage of the data)

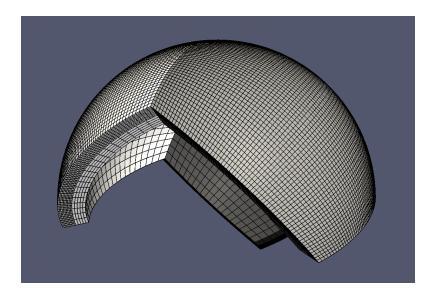


Figure 1.1: Example of a chunks inversion grid (with 3 chunks in global projection)

The inversion grid is defined via a paramter file, a template of which is file template/chunksInversionGrid\_parfile\_template (the template file defines the inversion grid shown in the above figure). The meaning of the keywords in the parameter file defining an inversion grid of type chunksInversionGrid are as follows:

#### CHUNKS\_INVGRID\_GEOM\_NCHUNK

Number of chunks (1, 2, 3, or 6).

#### CHUNKS\_INVGRID\_GEOM\_RMAX

Maximum radius (upper boundary of the chunk(s)) [must be the same unit in which wavefield points are given, usually be in km]

#### CHUNKS\_INVGRID\_GEOM\_CLAT, CHUNKS\_INVGRID\_GEOM\_CLON

Center of cubed-sphere chunk in degrees.

#### CHUNKS\_INVGRID\_GEOM\_WLAT, CHUNKS\_INVGRID\_GEOM\_WLON

Assuming ROT = 0.

Width of cubed-sphere chunk in degrees (must be 90.0 for NCHUNK > 1).

#### CHUNKS\_INVGRID\_GEOM\_ROT

Rotation of chunk around local vertical counterclockwise in degrees.

#### CHUNKS\_INVGRID\_BASE\_NREF\_BLOCKS

Number of blocks of layers within which lateral cell width remains comstant. (compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### CHUNKS\_INVGRID\_BASE\_NLAY

Number of layers within each block (integer array).

(compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### CHUNKS\_INVGRID\_BASE\_THICKNESS

Thickness of layers in each block in km (real array).

(compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### CHUNKS\_INVGRID\_BASE\_NLAT, CHUNKS\_INVGRID\_BASE\_NLON

Number of cells in latitude/longitude direction for each layer block.

(compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### CHUNKS\_INVGRID\_FILE

Filename of binary inversion grid file (relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/) to which a newly created inversion grid will be written and from which the inversion grid will be read if it exists and if not recreating the inversion grid.

#### VTK\_PROJECTION

VTK PROJECTION is one of:

'GLOBAL': center of chunk(s) in CLAT, CLON, with applied CHUNKS\_INVGRID\_GEOM\_ROT

'LOCAL\_CURV': center of chunk in x=y=0, NO CHUNKS\_INVGRID\_GEOM\_ROT applied, but with curvature

'LOCAL\_FLAT': center of chunk in x=y=0, NO CHUNKS\_INVGRID\_GEOM\_ROT, NO curvature, i.e. projection of each depth onto the tangential x-y-plane

'LOCAL\_NORTH\_CURV': same as 'LOCAL\_CURV', but WITH CHUNKS\_INVGRID\_GEOM ROT applied, i.e. x really points to south

'LOCAL\_NORTH\_FLAT': same as 'LOCAL\_FLAT', but WITH CHUNKS\_INVGRID\_ GEOM\_ROT applied, i.e. x really points to south

#### VTK\_GEOMETRY\_TYPE

Select the geometry type. VTK\_GEOMETRY\_TYPE is one of:

'CELLS': data on inversion grids will be written on the volumetric inversion grid CELLS (hexahedral) to vtk files (as UNSTRUCTURED\_GRID datasets)  $\rightarrow$  intuitive volumetric view

'CELL\_CENTERS': data on inversion grids will be written on the cell center POINTS to vtk files (as POLYDATA datasets)  $\rightarrow$  smaller files, better to apply filters in ParaView

#### SCALE\_VTK\_COORDS, VTK\_COORDS\_SCALING\_FACTOR

Scale vtk geometry coordinates by factor VTK\_COORDS\_SCALING\_FACTOR, if SCALE\_VTK\_COORDS = .True. this may be helpful if coordinate values (e.g. in m) get so large that they cause problems in paraview.

#### 1.8.2 schunkInversionGrid

The spherical chunk inversion grid is derived from a simple planar cartesian grid by projection of each grid plane onto a spherical shell, assuming that the cartesian grid plane touches the spherical shell at its center. Since cells have uniform size in the planar cartesian grid plane, cells on the spherical shell become successively smaller with distance from the center of the spherical chunk. Radially, the inversion grid may consist of several layer blocks each of which may have its own cell size.

To describe points in the spherical chunk, we either use LOCAL cartesian coordinates with the center of the chunk at x=y=0 and z=r, or GLOBAL cartesian coordinates with z pointing towards the north pole, x pointing towards the equator at lon=0 and y pointing towards the equator at lon=90.

The center of the chunk may be shifted to any place on the sphere and, in addition, may be rotated counterclockwise around its local vertical.

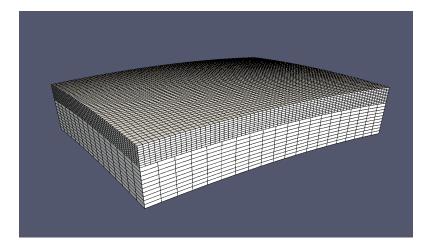


Figure 1.2: Example of a simple chunk inversion grid (global projection, note the slight curvature of the small chunk)

The inversion grid is defined via a paramter file, a template of which is file template/ schunkInversionGrid\_parfile\_template (the template file defines the inversion grid shown in the above figure). The meaning of the keywords in the parameter file defining an inversion grid of type schunkInversionGrid are as follows:

#### SCHUNK\_INVGRID\_CLAT,SCHUNK\_INVGRID\_CLON

Geographic latitude/longitude of center of spherical chunk in degrees.

#### SCHUNK\_INVGRID\_RMAX

Maximum radius (upper boundary of spherical chunk) in km.

#### SCHUNK\_INVGRID\_WLAT, SCHUNK\_INVGRID\_WLON

Assuming ROT = 0.

Width of spherical chunk parallel to longitude/latitude in degrees.

#### SCHUNK\_INVGRID\_ROT

Rotation of chunk around local vertical counterclockwise in degrees.

#### SCHUNK INVGRID NREF BLOCKS

Number of blocks of layers within which lateral cell width remains constant. (compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### SCHUNK\_INVGRID\_NLAY

Number of layers within each block (integer array).

(compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### SCHUNK\_INVGRID\_THICKNESS

Thickness of layers in each block in km (real array).

(compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### SCHUNK\_INVGRID\_NLAT, SCHUNK\_INVGRID\_NLON

Number of cells in latitude/longitude direction for each layer block.

(compare scartInversionGrid 1.8.3 (page 29): definition and usage of NREF\_BLOCKS, NLAY, THICKNESS, NX, NY)

#### VTK PROJECTION

VTK\_PROJECTION is one of:

'GLOBAL': center of chunk in CLAT, CLON, with applied SCHUNK\_INVGRID\_ROT

'LOCAL\_CURV': center of chunk in x=y=0, NO SCHUNK\_INVGRID\_ROT applied, but with curvature

'LOCAL\_FLAT': center of chunk in x=y=0, NO SCHUNK\_INVGRID\_ROT applied, NO curvature, i.e. projection of each depth onto the tangential x-y-plane

'LOCAL\_NORTH\_CURV': same as 'LOCAL\_CURV', but WITH SCHUNK\_INVGRID\_ROT applied, i.e. x really points to south

'LOCAL\_NORTH\_FLAT': same as 'LOCAL\_FLAT', but WITH SCHUNK\_INVGRID\_ROT applied, i.e. x really points to south

#### VTK\_GEOMETRY\_TYPE

Select the geometry type. VTK\_GEOMETRY\_TYPE is one of:

'CELLS': data on inversion grids will be written on the volumetric inversion grid CELLS (hexahedral) to vtk files (as UNSTRUCTURED\_GRID datasets)  $\rightarrow$  intuitive volumetric view

'CELL\_CENTERS': data on inversion grids will be written on the cell center POINTS to vtk files (as POLYDATA datasets)  $\rightarrow$  smaller files, better to apply filters in ParaView

#### SCALE\_VTK\_COORDS, VTK\_COORDS\_SCALING\_FACTOR

Scale all VTK point coordinates by an additional factor, if SCALE\_VTK\_COORDS = .false., then VTK\_COORDS\_SCALING\_FACTOR is ignored.

#### 1.8.3 scartInversionGrid

A Simple CARTesian inversion grid covers a Cartesian cuboid which can be shifted to a certain location in Cartesian space and may be rotated about the local vertical axis. Its cells are distributed in layers. Each layer has a certain thickness and a regularly distributed number of inversion grid cells along each lateral direction of the cuboid.

Please consult the documentation of your forward method (1.11 (page 37)) if it supports inversion grids of type scartInversionGrid.

All coordinates, e.g. of events and stations or wavefield points, are interpreted by this type of inversion grid as X (first coordinate), Y (second coordinate), Z (third coordinate). Their units (e.g. meters or kilometers) are not assumed by the inversion grid and are essentially defined by the wavefield points, hence, they might be method dependent and must be overall consistend. Every type of integration weights is supported by this type of inversion grid, except weights of type 6 (external integration weights).

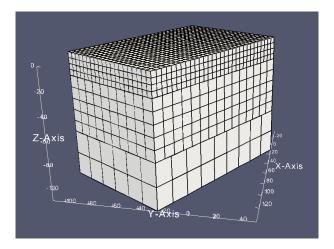


Figure 1.3: Example of a simple Cartesian inversion grid

The shape of the cuboid, as well as the distribution of inversion grid cells, are defined via a paramter file, a template of which is file template/scartInversionGrid\_parfile\_template. In the following, the particular parameters are explained, with the example values always referring to the inversion grid as displayed in figure 1.3 (page 30).

#### SCART\_INVGRID\_CX

X-coordinate of center of cuboid (real number)

Example:

 $SCART_INVGRID_CX = 50.0$ 

#### SCART\_INVGRID\_CY

Y-coordinate of center of cuboid (real number)

Example:

 $SCART_INVGRID_CY = -30.0$ 

#### SCART\_INVGRID\_ZMAX

Maximum Z-coordinate of cuboid (real number), i.e. Z-coordinate of the "surface" of the inversion grid

Example:

 $SCART_INVGRID_ZMAX = 0.0$ 

#### SCART\_INVGRID\_WX

Width of cuboid in X-direction (real number)

Example:

SCART\_INVGRID\_WX = 100.0

#### SCART\_INVGRID\_WY

Width of cuboid in Y-direction (real number)

Example:

 $SCART_INVGRID_WY = 150.0$ 

#### SCART INVGRID ROT

Angle in degrees of anti-clockwise rotation about the local Z-axis through the lateral center of the cuboid (real number)

Example:

 $SCART_INVGRID_ROT = 60.0$ 

#### SCART\_INVGRID\_NREF\_BLOCKS, SCART\_INVGRID\_NLAY, SCART\_INVGRID\_THICKNESS

For an arbitrary number of SCART\_INVGRID\_NREF\_BLOCKS blocks of layers, the vectors SCART\_INVGRID\_NLAY (integer values) and SCART\_INVGRID\_THICKNESS (real values), both of length SCART\_INVGRID\_NREF\_BLOCKS, define the Z-direction refinement of each block, whereby SCART\_INVGRID\_NLAY(i) defines the number of layers in block i, and SCART\_INVGRID\_THICKNESS(i) defines the thickness of all layers contained in block i.

Hence, the overall Z-direction coverage of the inversion grid is defined by SCART\_INVGRID\_ZMAX (which is the coordinate of the top of the first layer in the first refinement block) and SCART\_INVGRID\_ZMAX - SUM\_i (THICKNESS(i) \* NLAY(i)) (coordinate of the bottom of the last layer in last refinement block).

#### Example:

```
SCART_INVGRID_NREF_BLOCKS = 3
SCART_INVGRID_NLAY = 4 5 2
SCART_INVGRID_THICKNESS = 5.0 10.0 20.0
```

#### SCART INVGRID NX

Vector (of length SCART\_INVGRID\_NREF\_BLOCKS) of integer values, defining number of inversion grid cells in X-direction, one value for each refinement block

Example:

```
SCART_INVGRID_NX = 20 10 6
```

#### SCART INVGRID NY

Vector (of length SCART\_INVGRID\_NREF\_BLOCKS) of integer values, defining number of inversion grid cells in Y-direction, one value for each refinement block

Example:

```
SCART_INVGRID_NX = 30 15 9
```

#### USE LOCAL INVGRID COORDS FOR VTK

Logical value to indicate whether to use local inversion grid coordinates for vtk geometry, i.e. no rotation by SCART\_INVGRID\_ROT and no shift by SCART\_INVGRID\_CX, SCART\_

```
\label{local_equation} \begin{subarray}{ll} INVGRID\_ZMAX \mbox{ (cuboid centered in } X=Y=0 \mbox{ and } ZMAX=0) \\ Example: \end{subarray}
```

```
USE_LOCAL_INVGRID_COORDS_FOR_VTK = .false.
```

#### VTK\_GEOMETRY\_TYPE

Select the geometry type. VTK\_GEOMETRY\_TYPE is one of:

'CELLS': data on inversion grids will be written on the volumetric inversion grid CELLS (hexahedral) to vtk files (as UNSTRUCTURED\_GRID datasets)  $\rightarrow$  intuitive volumetric view

'CELL\_CENTERS': data on inversion grids will be written on the cell center POINTS to vtk files (as POLYDATA datasets)  $\rightarrow$  smaller files, better to apply filters in ParaView

#### SCALE\_VTK\_COORDS, VTK\_COORDS\_SCALING\_FACTOR

Scale vtk geometry coordinates by factor VTK\_COORDS\_SCALING\_FACTOR (real number), if SCALE\_VTK\_COORDS = .true.. This may be helpful if coordinate values (e.g. in meters) get so large that they cause problems when plotting in paraview.

#### Example:

```
SCALE_VTK_COORDS = .false.
VTK_COORDS_SCALING_FACTOR = 1.0
```

#### 1.8.4 ecartInversionGrid

**EXPERIMENTAL FEATURE:** so far, this type of inversion grid works for tetrahedral cells only, since support for hexahedreal cells is not completed throughout. However, even for tetrahedra the automatic detection of neighbours did not work properly in some test cases! So if you intend to use this inversion grid, please have a look at the grid and all neighbours (neighbours only required for model smoothing in case of solving the Kernel system of equations). You can do that by using executable invgrid2vtk along with option -nb . Execute invgrid2vtk (without arguments)  $\rightarrow$  3.1.16 (page 69) for further details on how to use it.

An External CARTesian inversion grid is defined by several text files containing the definintion of nodes (i.e. essentially the corner points, or rather the control nodes of the inversion grid cells) and the definition of cells by referring to the nodes. At the moment, 4-node tetrahedral cells are fully supported, and 8-node hexahedral cells are partly supported. Those files may be produced by any meshing tool. In case you are interested to export meshes your own way, section 2.9 (page 53) defines the required file formats.

ASKI provides the python module cubit2ASKIecartInversionGrid.py which can be used with the meshing software Cubit in a python script by first importing the module:

```
import cubit2ASKIecartInversionGrid
```

and at the very end of your meshing process calling:

```
cubit.cmd('compress all')
cubit2ASKIecartInversionGrid.export2ASKI('EXPORT_PATH')
```

whereby you may replace EXPORT\_PATH by some location where the output files will be written.

Please consult the documentation of your forward method (1.11 (page 37)) if it supports inversion grids of type ecartInversionGrid.

All coordinates, e.g. of events and stations or wavefield points, are interpreted by this type of inversion grid as X (first coordinate), Y (second coordinate), Z (third coordinate). Their units (e.g. meters or kilometers) are not assumed by the inversion grid and are essentially defined by the wavefield points, hence, they might be method dependent and must be overall consistend. Every type of integration weights is supported by this type of inversion grid, except weights of type 6 (external integration weights).

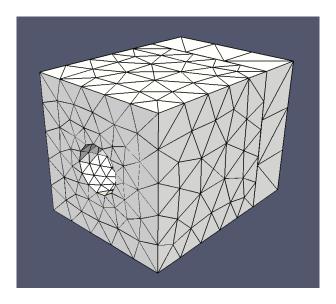


Figure 1.4: Example of an external Cartesian inversion grid created by Cubit

The nodes and cell files, e.g. produced by Cubit, are referred to in a parameter file, a template of which is file template/ecartInversionGrid\_parfile\_template. In the following, the particular parameters are explained. An example inversion grid of this type is displayed in figure 1.4 (page 33).

#### ECART\_INVGRID\_USE\_NODES\_COMMON

Logical value to indicate whether to use one common nodes coordinates file for all cell types (only use parameter ECART\_INVGRID\_FILE\_NODES below), or to use an individual nodes coordinates file for each cell type (use parameters files ECART\_INVGRID\_FILE\_NODES\_TET4, ECART\_INVGRID\_FILE\_NODES\_HEX8, ... below).

When using module cubit2ASKIecartInversionGrid you should set:  $\texttt{ECART\_INVGRID\_USE\_NODES\_COMMON} = .\mathsf{True}.$ 

#### ECART\_INVGRID\_FILE\_NODES\_COMMON

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of nodes coordinates file to be commonly used for definition of cells of all types in case of ECART\_INVGRID\_USE\_NODES\_COMMON = .True.

When using module cubit2ASKIecartInversionGrid you should set: ECART\_INVGRID\_FILE\_NODES\_COMMON = node\_coordinates

#### ECART\_INVGRID\_FILE\_NODES\_TET4

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of nodes coordinates file to be used for definition of tet4-type cells in case of ECART\_INVGRID\_USE\_NODES\_COMMON = .False.

#### ECART\_INVGRID\_FILE\_NODES\_HEX8

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of nodes coordinates file to be used for definition of hex8-type cells in case of ECART\_INVGRID\_USE\_ NODES\_COMMON = .False.

#### ECART\_INVGRID\_FILE\_CELLS\_TET4

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of cell connectivity file for definition of tet4-type cells.

When using module cubit2ASKIecartInversionGrid you should set: ECART\_INVGRID\_FILE\_CELLS\_TET4 = cell\_connectivity\_tet4

#### ECART\_INVGRID\_FILE\_CELLS\_HEX8

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of cell connectivity file for definition of hex8-type cells.

When using module cubit2ASKIecartInversionGrid you should set: ECART\_INVGRID\_FILE\_CELLS\_HEX8 = cell\_connectivity\_hex8

#### ECART\_INVGRID\_FILE\_NEIGHBOURS

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of cell neighbours file. If not present, this file will be created when first using the inversion grid. If present, its content defines the neighbour structure of the inversion grid cells. If, however, the inversion grid is to be recreated (e.g. when calling initBasics -recr, see section 1.14 (page 39)), this file is recreated.

#### ECART\_INVGRID\_FILE\_NEIGHBOURS\_IS\_BINARY

Logical value to indicate whether ECART\_INVGRID\_FILE\_NEIGHBOURS should be binary or not.

#### VTK\_GEOMETRY\_TYPE

Select the geometry type. VTK\_GEOMETRY\_TYPE is one of:

'CELLS': data on inversion grids will be written on the volumetric inversion grid CELLS (hexahedral) to vtk files (as UNSTRUCTURED\_GRID datasets)  $\rightarrow$  intuitive volumetric view

'CELL\_CENTERS': data on inversion grids will be written on the cell center POINTS to vtk files (as POLYDATA datasets)  $\rightarrow$  smaller files, better to apply filters in ParaView

#### SCALE\_VTK\_COORDS, VTK\_COORDS\_SCALING\_FACTOR

Scale vtk geometry coordinates by factor VTK\_COORDS\_SCALING\_FACTOR (real number), if SCALE\_VTK\_COORDS = .true.. This may be helpful if coordinate values (e.g. in meters) get so large that they cause problems when plotting in paraview. Example:

```
SCALE_VTK_COORDS = .false.
VTK_COORDS_SCALING_FACTOR = 1.0
```

#### 1.8.5 specfem3dInversionGrid

An inversion grid of type <code>specfem3dInversionGrid</code> is method dependent and is to be used with <code>METHOD = SPECFEM3D</code> only. Whole spectral elements are used as inversion grid cells and all GLL points inside such an element as the wavefield points. All information regarding the element geometry, including information on neighbour cells and the values of the jacobian for every wavefield point contained in an element are read from files which are produced by <code>SPECFEM3D</code> methods.

Every type of integration weights is supported by this type of inversion grid, including weights of type 6 (external integration weights, i.e. the very integration weights that already SPECFEM3D uses to integrate over spectral elements).

Please refer to the documentation of your SPECFEM3D forward method (1.11 (page 37)) on how to generate any files required for using an inversion grid of type specfem3dInversionGrid.

As with all other types of inversion grids, a parameter file defines any details of the grid, a template of which is file template/specfem3dInversionGrid\_parfile\_template. In the following, the particular parameters are explained.

#### SPECFEM3D\_ASKI\_MAIN\_FILE

File name relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/ of file from SPECFEM3D containing all information about the inversion grid (any .main output file) Example:

SPECFEM3D\_ASKI\_MAIN\_FILE = kernel\_displacements/kernel\_displ\_S001.
main

#### VTK\_GEOMETRY\_TYPE

Select the geometry type. VTK\_GEOMETRY\_TYPE is one of:

'CELLS': data on inversion grids will be written on the volumetric inversion grid CELLS (hexahedral) to vtk files (as UNSTRUCTURED\_GRID datasets)  $\rightarrow$  intuitive volumetric

view

'CELL\_CENTERS': data on inversion grids will be written on the cell center POINTS to vtk files (as POLYDATA datasets)  $\rightarrow$  smaller files, better to apply filters in ParaView

#### SCALE\_VTK\_COORDS, VTK\_COORDS\_SCALING\_FACTOR

Scale vtk geometry coordinates by factor VTK\_COORDS\_SCALING\_FACTOR (real number), if SCALE\_VTK\_COORDS = .true.. This may be helpful if coordinate values (e.g. in meters) get so large that they cause problems when plotting in paraview.

#### Example:

```
SCALE_VTK_COORDS = .false.
VTK_COORDS_SCALING_FACTOR = 1.0
```

#### SPECFEM3D R EARTH KM

In case of using SPECFEM3D\_GLOBE, define here the maximum radius [km] of the sphere, by which Earth is approximated (only used to interpret "depth" and "altitude" of events and stations when plotting to vtk files; ignored for SPECFEM3D\_Cartesian applications). Example:

```
SPECFEM3D R EARTH KM = 6371.0
```

# 1.9 Define a Starting Model

There are two possibilities to define an earth model for the forward wave propagation in your first iteration:

On the one hand you may use any (standard) earth model provided by the forward method you are using, if appropriate.

If this is not possible, or the models provided do not meet your needs, you may use executable createStartmodelKim along with the inversion grid of your first iteration (which you should have already defined) to produce an inverted model file containing some simple model on this inversion grid. Executing createStartmodelKim (without arguments) will print a short help message how to use the program  $\rightarrow 3.1.11$  (page 64). Afterwards you may export the produced model file to your forward method as explained in section 1.10 (page 36). Template files of starting model descriptions may be found in template/.

## 1.10 Export Inverted Model

The executable exportKim exports an inverted model file ("kim" stands for "K"ernel "I"nverted "M"odel) along with the respective inversion grid specifications to a text file, which may be used to communicate such a model to a forward method or postprocess the model values in any way. Executing exportKim (without argument) will print a short help message how to use it  $\rightarrow 3.1.12$  (page 65).

## 1.11 Solving the Forward Problem

In the following, all wave propagation codes which are supported by ASKI are listed. Refer to the given documentation on any details regarding the interaction of the forward codes with ASKI.

#### Gemini II

Gemini II (by [FD95]) is supported in this release version, for Cartesian as well as spherical setting. The Gemini routines producing spectral output for ASKI, however, might not yet be available. We hope to be able to provide them in due time. Until now, please contact us via http://www.rub.de/aski if you want to use Gemini II as a forward solver for ASKI.

## SPECFEM3D\_Cartesian

The Cartesian spectral element code SPECFEM3D\_Cartesian (by [TKL08]), version 3.0 is fully supported by this ASKI release version, cf. [Sch15].

## SPECFEM3D GLOBE

The global spectral element code SPECFEM3D\_GLOBE (by [TKL08]), version 7.0.0, is fully supported by this ASKI release version, cf. [Sch16].

#### **NEXD**

The nodal discontinous Galerkin code NEXD (by [Lam15b]) is fully supported by this ASKI release version. NEXD, including ASKI support, will be available under terms of the GPL in the near future via http://www.rub.de/nexd.

## 1.12 Choose Integration Weights

In order to numerically integrate the sensitivity kernels, which are computed on the wavefield points, over the inversion grid cells by a weightet summation of values, there are different types of integration weights provided, following different rules of integration.

The integer values of the type have the following meaning:

- $0 \rightarrow \text{all weights are the same, weight} = 1/\text{number\_of\_points\_in\_box}$ , i.e. no integration(!), just building the average sensitivity value (e.g. convenient for comparison of sensitivities computed with different methods on different forward grids)
- $1 \rightarrow$  Scattered Data Integration, as in [Lev99], polynomial degree 1
- $2 \rightarrow$  Scattered Data Integration, as in [Lev99], polynomial degree 2, i.e. approximation order 3 (?)

- $3 \rightarrow$  Scattered Data Integration, as in [Lev99], polynomial degree 3, i.e. approximation order 4 (?)
- $4 \rightarrow$  for each cell, compute the highest possible order of Scattered Data Iintegration integration after [Lev99] (trying types 3,2,1 (in that order) until computation was successful)
- $5 \rightarrow$  average of function values, multiplied with volume of box (i.e.  $\sim$  linear integration)
- $6 \rightarrow$  external integration weights, to be used along with a suitable inversion grid (e.g. of type specfem3dInversionGrid, see section 1.8.5 (page 35))

A detailed description of some of the integration weights, especially the weights after [Lev99] can be found in section 3.2 (page 82).

## 1.13 Create a Data and Model Space

In order to choose a set of data samples which to invert and a set of model values which to invert for, you need to define a data space and a model space. Essentially, if you have m data samples, the space in which the data live is just  $\mathbb{R}^m$  (analogously, for n model values, the model lives in  $\mathbb{R}^n$ ). You only need to define which data sample (model value) refers to which dimension (i.e. entry in vector) of the data space (model space), respectively.

The  $m \times n$  sensitivity kernel matrix will then connect a vector of model updates from model space in  $\mathbb{R}^n$  to your specific data vector from  $\mathbb{R}^m$ .

In the following, it is described how data samples and model values are characterized in this software package and how you can choose specific subsets to be used.

## 1.13.1 How Data Samples are Characterized

As the sensitivities are calculated in frequency domain, the data live in frequency domain, too. A data sample is uniquely characterized by a seismic *source*, a *component* of a seismic *station*, and a *frequency*, as well as whether it is the *real* or *imaginary* part of the complex spectral values. Refer to 1.5 (page 22) for details on data in ASKI.

## 1.13.2 How Model Values are Characterized

A model value is uniquely characterized by a parameter name (must be a valid parameter name of the model parametrization as defined by  $\texttt{MODEL\_PARAMETRIZATION}\ 2.1.1$  (page 44)) and an inversion grid cell index in valid range.

# 1.13.3 How to Define Data and Model Space: Choosing a Set of Data Samples and Model Values

Create a text file as described in section 2.8 (page 51), e.g. by adjusting the provided template files in template/.

## 1.14 Initiate Basic Requirements

Use the executable initBasics. Executing initBasics (without arguments) will print a short help message how to use it  $\rightarrow$  3.1.14 (page 68).

It first checks if all parameters needed are present in the parameter files and then creates all basic requirements for ASKI operations:

It reads in required files like event list and station list files, the wavefield points and the kernel reference model.

Furthermore, it creates the inversion grid (possibly storing some inversion grid files, dependent on the type of grid), localizes the wavefield points inside it and computes the integration weights, which are written to file. Once those files exist, initBasics and all other programs will always read the integration weights (and possibly (part of) the inversion grid) from file, regardless of what the parameter files say! So if at some you point want to use different integration weights or a different inversion grid, you will have to either delete the respective file(s) and rerun initBasics, or run initBasics—recr in order to recreate them.

Also a lot of .vtk files with statistics are produced having base filename FILEBASE\_BASIC\_STATS as defined in the parameter file of the current iteration step. Those files mainly regard the inversion grid, the wavefield points and the integration weights, where the respective filenames are extended (by something with ".vtk"). It is *highly recommended* to call initBasics -recr in order to assure that all those .vtk files are produced and to actually have a look at them before continuing any ASKI operation!

## 1.15 Compute Spectral Waveform Sensitivity Kernels

The kernels are computed by combining green tensor component(s) and forward wavefield for a given event-station pair (called "path" below. By default, the kernels are integrated over the inverison grid cells. I.e. there is one sensitivity kernel file for a specific event-station path. This file contains sensitivity values of the requested station components for the requested model parameters of your model parametrization, with the values living on the inverison grid cells. Alternatively, kernels can be computed on the wavefield points, without pre-integration (for inspection only, cannot be used for waveform inversion in that case).

Use executable computeKernels. Executing computeKernels (without arguments) will print a short help message how to use it  $\rightarrow 3.1.7$  (page 58). It makes sense, to only compute kernel files for those event-station paths that you are going to use (defined by your data-model-space file).

You can define the set of event-station paths, station components and model parameters for which sensitivities should be computed in two ways:

- way 1 compute a kernel for only one event-station path, defined by eventID and station name using options -evid, -stname, -comp, -param
- way 2 input a data-model-space file (as defined by 1.13 (page 38)) by option -dmspace, defining all event-station paths and respective station components and model parameters for which kernels should be computed; optionally define range of path index by -ipath1, -ipath2

Setting option -wp will compute plain kernel values on wavefield points (no pre-integration

onto inversion grid). This option will produce separate files, so you can compute both, kernels on wavefield points and on inversion grid.

## 1.16 Transform to Time-Domain Sensitivity Kernels

The time kernels are computed from the standard frequency-domain kernels (which were computed path-wise) by applying an inverse Fourier transform.

Use executable spec2timeKernels. Executing spec2timeKernels (without arguments) will print a short help message how to use it  $\rightarrow$  3.1.25 (page 79).

The set of event-station paths, station components and model parameters for which time kernels should be produced are defined in the same "two ways" (by the same options) as computing spectral waveform kernels  $\rightarrow 1.15$  (page 39).

Additionally, you need to define the time discretization of the produced time kernel by options -dt, -nt1, -nt2, -t0.

## 1.17 Plot Spectral Waveform Sensitivity Kernels

One way to plot a specific sensitivity Kernel in frequency domain, i.e. the sensitivity spectra for a specific event-station path, is to procuce vtk files using executable kernel2vtk. Executing kernel2vtk will print a short help message how to use it  $\rightarrow 3.1.18$  (page 70).

Please note, that the output .vtk files (one for every frequency) might get large, dependent on the resolution of the inversion grid, since the geometry information of the inversion grid cells is contained in each .vtk file. If the files become too large for you, you might consider setting DEFAULT\_VTK\_FILE\_FORMAT = BINARY in your main parameter file.

## 1.18 Plot Time Sensitivity Kernels

One way to plot a specific sensitivity Kernel in time domain, is to procuce vtk files using executable timeKernel2vtk. Executing timeKernel2vtk (without arguments) will print a short help message how to use it  $\rightarrow 3.1.26$  (page 81).

Please note, that the output .vtk files (one for every time step) might get large, dependent on the resolution of the inversion grid, since the geometry information of the inversion grid cells is contained in each .vtk file. If the files become too large for you, you might consider setting DEFAULT\_VTK\_FILE\_FORMAT = BINARY in your main parameter file. For a lot of time steps, the .vtk file format is actually not optimally chosen by ASKI, since the complete geometry information is contained in every time-step file (a lot of redundant information is written to hard disc).

## 1.19 Solve Kernel System

At the moment, there are 3 executable programs implemented which solve the kernel linear system.

- solveKernelSystem is a serial program which sets up the kernel matrix, reads in synthetic and measured data, adds regularization condutions to the system if requested (smoothing, damping) and solves the system based on LAPACK libraries. Executing solveKernelSystem (without arguments) will print a short help message how to use it → 3.1.23 (page 76).
- solveParKernelSystem does essentially the same as solveKernelSystem, but uses parallelized ScalAPACK libraries to solve the (regularized) kernel linear system. You must compile executable solveParKernelSystem separately (make all does not compile it, make sure you have ScalAPACK libraries installed and linked in the Makefile). Executing solveParKernelSystem (without arguments) will print a short help message how to use it  $\rightarrow 3.1.24$  (page 77). This executable requires an additional parameter file, see template file templated/solveParKernelSystem\_parfile\_template.
- solveCglsrKernelSystem sets up the (regularized) kernel linear system, as the above excecutables do, but the uses a conjugate gradient algorithm to solve the kernel linear system in a least-squares sense  $\rightarrow$  3.1.22 (page 73). This executable requires an additional parameter file, see template file

templated/solveCglsKernelSystem\_parfile\_template.

Executing solveCglsKernelSystem (without arguments) will print a short help message how to use it  $\rightarrow$  3.1.22 (page 73).

## 1.20 Investigate State of Convergence of Waveform Inversion

These kinds of operations probably still need further development in ASKI.

Whenever solving the linear system of kernel equations in an interation step of full waveform inversion (see above section 1.19 (page 41)), the current linear misfit is printed to output files or on screen, i.e. the the sum of residual squares of the linear system of equations. Also the current misfit between synthetics and measured data can be computed by executable  $computeMisfit \rightarrow 3.1.8$  (page 59). However, comparing these two during variation of the regularization parameters does not give sensible information on which regularization to choose. The development of the non-linear misfit, i.e. comparing synthetic data based on the new models with the measured data, can only be observed after solving the forward problem for each of the models to choose from. There is not yet an automated way implemented in ASKI that does this. Evaluating the non-linear misfit, i.e. conducting suitable forward calculations, would have to be done by hand for the selected models resulting from the selected regularization parameters.

If you would like to do traditional resolution tests, executable computeDataFromKernelSystem  $\rightarrow 3.1.4$  (page 57) computes the "measured" data d in the equation d-s=K(m1-mref) for any given model m1. This can be used for traditional linear computation of checkerboard data by forward multiplication of the sensitivity matrix with an artificial model vector containing checker anomalies. A model containing checker or spike-like anomalies can be produced by the preliminary hard-coded executable addSpikeCheckerToKim  $\rightarrow 3.1.1$  (page 55).

# 1.21 Path-Specific Approach to an Iteration of Waveform Inversion

ASKI supports a "path-specific" approach to an iteration of full waveform inversion, which is enabled by flag USE\_PATH\_SPECIFIC\_MODELS in the iteration step parameter file  $\rightarrow$  2.1.2 (page 46).

This approach was applied by [Lam15a] in his first iteration of full waveform inversion using the 1D code Gemini as a forward solver. Due to the complex structure of the investigated region (Aegean), it was infeasible to choose a single 1D background model for solving the total forward problem. Therefore, an individual 1D background model was chosen for each event-station path which explained the particular seismogram of that path very well.

This path-specific concept requires to account for different kernel reference models and to introduce a correction term in the linear system of kernel equations in order to invert for a global 3D model. Any required functionality is implemented in ASKI and was successfully applied. We refer to [Lam15a] and [SFL16] on a more detailed description of the concept.

The required quantity of the correction term, called synthetic correction, can be computed in ASKI by executable computeCorrectionSyntheticData  $\rightarrow$  3.1.3 (page 56).

## Chapter 2

## **Files**

This chapter collects documentation on file formats involved in ASKI.

## 2.1 Parameter Files

Parameter files are simple text files.

The following type of lines are ignored:

- comment lines, i.e. lines STARTING with an arbitrary number of blanks followed by a "#" character
- empty lines and lines containing blanks only
- lines not containing any "=" character

How to specify one parameter:

- valid lines have the form "keyword = value" (blanks leading or following "keyword", "=", or "value" are ignored)
- in a valid line, all characters in front of "=" (without leading and appending blanks) are interpreted as the keyword, allowing for blank characters within the keyword (e.g. for lines "key word = value", the string "key word" is used as the keyword)
- all characters behind "=" (without leading and appending blanks) are interpreted as the value string from which the value is read, which in particular means that "#" comments at the end of a line (such as "keyword = value # comment") are *not* allowed!

By convention, specify *paths* (i.e. directory names, which will be concatenated with a filename of a file in that directory) always ending on "/" and specify *filenames* always *without* leading "/".

## 2.1.1 Main Parameter File

Here, shortly all keywords required in the main parameter file for your specific program operation, are described.

CHAPTER 2. FILES

#### FORWARD\_METHOD

```
GEMINI {\tt SPECFEM3D} \rightarrow {\tt SPECFEM3D\_Cartesian} \ \ {\tt and} \ {\tt SPECFEM3D\_GLOBE} {\tt NEXD}
```

For details on the methods and references to their documentation, refer to section 1.11

## MODEL\_PARAMETRIZATION

```
isoLameSI \rightarrow isotropic Lamé parameters and density in SI units: \rho (rho) [kg/m³], \lambda (lambda) [Pa], \mu (mu) [Pa] isoVelocitySI \rightarrow isotropic seismic velocities and density in SI units: \rho (rho) [kg/m³], v_p (vp) [m/s], v_s (vs) [m/s] isoVelocity1000 \rightarrow isotropic seismic velocities and density in units involving a factor of 1000: \rho (rho) [g/cm³], v_p (vp) [km/s], v_s (vs) [km/s]
```

Nothing other parameterization supported yet.

## PARAMETER\_CORRELATION\_MODE

Any model parameters can be correlated to others which are not inverted for. So far supported correlation modes:

```
NONE \rightarrow no parameter correlation will be done whatsoever
```

CORRELATE\_KERNELS  $\rightarrow$  will add correlated kernel values of other parameters to the kernels of those parameters which are inverted for (experimental feature, not yet tested in practice).

#### PARAMETER\_CORRELATION\_FILE

File (relative to MAIN\_PATH\_INVERSION) containing the definition of the correlation and the correlation coefficients. The given filename is ignored in case of PARAMETER\_CORRELATION\_MODE = NONE.

#### MAIN\_PATH\_INVERSION

All subpaths for filenames are considered relative to this main path. This directory is thought to contain all your relevant output and (temporary) data.

```
Example: MAIN_PATH_INVERSION = /data/inversions/Aegean1/
```

#### CURRENT\_ITERATION\_STEP

Example: CURRENT\_ITERATION\_STEP = 3

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## ITERATION\_STEP\_PATH

Relative to main path, defining name of subdirectory of MAIN\_PATH\_INVERSION which contains all relevant (meta)data of an inversion step. A three-digit integer (= CURRENT\_ITERATION\_STEP) and "/" will be appended to ITERATION\_STEP\_PATH (i.e. "001/", "002/", ...) defining the first, second ... iteration step directory.

Example (default): ITERATION\_STEP\_PATH = iteration\_step\_

#### PARFILE ITERATION STEP

File name of iteration step specific parameter file, relative to MAIN\_PATH\_INVERSION/ ITERATION\_STEP\_PATH Example: PARFILE\_ITERATION\_STEP = iter\_parfile

## PATH\_MEASURED\_DATA, APPLY\_EVENT\_FILTER, PATH\_EVENT\_FILTER, APPLY\_STATION\_FILTER, PATH\_STATION\_FILTER

Paths and flags related to the measured data. The paths are *absolute*, i.e. can be everywhere, e.g. close to where you have stored/processed your (time domain) data, or in directory MAIN\_PATH\_INVERSION, etc....

If you do not wish to use any filtering per events, you can switch to

APPLY\_EVENT\_FILTER = .false.,

if you do not wish to use any fitering per stations, you can switch to

APPLY STATION FILTER = .false..

In these cases, the respective filter files are not expected to exist and the respective filter paths are ignored.

The naming convention of the files in the respective directories is:

FILE\_MEASURED\_DATA: data\_EVENTID\_STATIONNAME\_COMP,

FILE\_EVENT\_FILTER: filter\_EVENTID,

FILE\_STATION\_FILTER: filter\_STATIONNAME\_COMP,

where station filters are dependet on component and STATIONNAME and EVENTID are defined in FILE\_STATION\_LIST and FILE\_EVENT\_LIST file, and COMP is a valid component (for valid components see 1.5)

#### Example:

PATH\_MEASURED\_DATA = /mydata/your\_name\_of\_inversion/ASKI\_data/
PATH\_EVENT\_FILTER = /mydata/your\_name\_of\_inversion/ASKI\_event\_filter/
PATH\_STATION\_FILTER = /mydata/your\_name\_of\_inversion/ASKI\_station\_
filter/

#### FILE EVENT LIST

Absolute filename where ASKI finds a text file defining a set of events in the required format (2.2)

Example: FILE\_EVENT\_LIST = /mydata/your\_name\_of\_inversion/ASKI\_events

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#### FILE\_STATION\_LIST

Absolute filename where ASKI finds a text file defining a set of stations in the required format (2.3)

Example: FILE\_STATION\_LIST = /mydata/your\_name\_of\_inversion/ASKI\_
stations

## MEASURED\_DATA\_FREQUENCY\_STEP, MEASURED\_DATA\_NUMBER\_OF\_FREQ, MEASURED\_DATA\_INDEX\_OF\_FREQ

Discretized frequency window of measured data (same expected in event\_filter/station\_filter!) given by a frequency step <code>FREQUENCY\_STEP</code> [Hz] and a vector of frequency indices <code>INDEX\_OF\_FREQ</code> (of length <code>NUMBER\_OF\_FREQ</code>), where for specific frequency index i the corresponding frequency  $f_i$  [Hz] computes to  $f_i = i \cdot \text{FREQUENCY\_STEP}$  Example:

```
MEASURED_FREQUENCY_STEP = 10. 
MEASURED_NUMBER_OF_FREQ = 5 
MEASURED_INDEX_OF_FREQ = 2 3 5 7 10 
which corresponds to the 5 frequencies 20, 30, 50, 70, 100 \text{ Hz}
```

#### UNIT\_FACTOR\_MEASURED\_DATA

Indicate the unit factor of the measured data. The definition of the factor is:

Multiplication of the measured data (displacement) with this factor gives values in the SI unit of meters [m].

Example: If you use seismic time-domain data for ASKI in the unit of nano meters [nm], then <code>UNIT\_FACTOR\_MEASURED\_DATA</code> must be set to <code>1.0e-9</code>, because the data values in nano meters [nm] must be divided by  $1.0 \cdot 10^9$  in order to get meters [m]. If you use seismic displacement data in the SI unit of meters, then <code>UNIT\_FACTOR\_MEASURED\_DATA</code> must be set to <code>1.0</code>.

#### DEFAULT VTK FILE FORMAT

Either BINARY or ASCII defining the default type of vtk files which will be produced in the course of running the programs.

## 2.1.2 Parameter File for Specific Iteration Step

Here, shortly all keywords required in a parameter file for a specific iteration step, i.e. MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/PARFILE\_ITERATION\_STEP, are described.

These parameter files are created automatically by script py/create\_ASKI\_dir.py. Alternatively, you can look at the template file template/iter\_parfile\_template.

#### USE\_PATH\_SPECIFIC\_MODELS

Set the flag to .true. if you intend to use the ASKI functionality of path specific kernel reference models (usually only for the very first iteration and a 1D method, as described in section 1.21 (page 42)). For a regular iteration, i.e. using one global kernel reference model (for all paths, i.e. kernels) set this flag to .false..

## ITERATION\_STEP\_NUMBER\_OF\_FREQ, ITERATION\_STEP\_INDEX\_OF\_FREQ

Frequency discretization of this iteration step, must be a subset of global frequency discretization for this inversion defined as defined by 2.1.1.

ITERATION\_STEP\_NUMBER\_OF\_FREQ must be smaller or equal to MEASURED\_DATA\_NUMBER\_OF\_FREQ and vector

ITERATION\_STEP\_INDEX\_OF\_FREQ (of length ITERATION\_STEP\_NUMBER\_OF\_FREQ) must only contain indices contained in MEASURED\_DATA\_INDEX\_OF\_FREQ.

All indices here are assumed in accordance with the global frequency step MEASURED\_DATA\_ FREQUENCY\_STEP.

#### TYPE\_INVERSION\_GRID, PARFILE\_INVERSION\_GRID

Type of inversion grid (as supported, cf. 1.8) and corresponding filename of parameter file defining this inversion grid, relative to

MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH/

## TYPE\_INTEGRATION\_WEIGHTS

Type of integration weights (integer number), cf. 1.12 for supported values.

## FILE\_INTEGRATION\_WEIGHTS

Filename of the integration weights file, which will be created and used, relative to MAIN\_PATH\_INVERSION.

#### FILE WAVEFIELD POINTS

Filename of the wavefield points file, relative to MAIN\_PATH\_INVERSION, which is in general created by the method you are using. Just refer here to this file.

## FILE\_KERNEL\_REFERENCE\_MODEL

Dependent on the method you are using, these filenames may be handled individually. Please refer to the respective documentation of the methods for recommendations how to use these parameters, or which naming to choose.

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#### FILEBASE\_BASIC\_STATS

Base filename of vtk stats output files (related to inversion grid, wavefield points, integration weights, events, stations), relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH.

#### PATH OUTPUT FILES

Folder relative to which some sensitivity analysis and inversion programs may write their output (relatively small output like models, coefficients etc., NO wavefields/kernels etc.!), relative to MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH. Make sure the path ends on "/".

#### PATH\_KERNEL\_DISPLACEMENTS

Subdirectory of current iteration step path MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH which contains the kernel displacement files. Make sure the path ends on "/".

#### PATH\_KERNEL\_GREEN\_TENSORS

Subdirectory of current iteration step path MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH which contains the kernel green tensor files. Make sure the path ends on "/".

#### PATH\_SENSITIVITY\_KERNELS

Subdirectory of current iteration step path MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH which contains the velocity kernel files. Make sure the path ends on "/".

#### PATH SYNTHETIC DATA

Subdirectory of current iteration step path MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH which contains the files with synthetic data. Make sure the path ends on "/".

## PATH\_KERNEL\_REFERENCE\_MODELS

This path and any contained files are only relevant for USE\_PATH\_SPECIFIC\_MODELS = .true.! Subdirectory of current iteration step path MAIN\_PATH\_INVERSION/ITERATION\_STEP\_PATH in which path-specific kernel reference models are expected. The reference model files are assumed to have names like krm\_EVENTID\_STATIONNAME. Make sure the path ends on "/".

## 2.2 Event List File

Please find the template event list file template/file\_event\_list\_template.

• first line contains single character "C" or "S", defining the coordinate system ("C" artesian or "S" pherical) with respect to which the given event coordinates lat,lon are interpreted

- each following non-empty line of the file is interpreted as a definition of one event and must contain the following space-separated values:
- eventid 13 character name, (e.g. 2006.10.2977 or 061113\_141238) should *not* contain whitespace!
- origintime characters of form yyyymmdd\_hhmmss\_nnnnnnnnn or yyyymmdd\_hhmmss (i.e. with or without nano-seconds), e.g. 20130320\_170012 or 20130320\_170002 718000000
  - lat latitude in degrees,  $-90 \ll 1$  at  $\ll 90$  ("S") or first coordinate in wavefield points / inversion grid frame ("C")  $\rightarrow$  read the section on inversion grid definitions (1.8)
  - lon longitude in degrees, 0 <= lon <= 360 ("S") or second coordinate in wavefield points / inversion grid -frame ("C") (read 1.8)
  - depth source depth in km ("S"), or third coordinate in wavefield points / inversion grid -frame ("C") (read 1.8)
    - mag factor on source mechanism
    - typ source type: 0 = force, 1 = moment tensor, -1: not specified

mom/frce either 3 values (force vector) or 6 values (moment tensor)

## 2.3 Station List File

Please find the template station list file template/file\_station\_list\_template.

- first line contains single character "C" or "S", defining the coordinate system ("C" artesian or "S" pherical) with respect to which the given event coordinates lat,lon are interpreted
- each following non-empty line of the file is interpreted as a definition of one station and must contain the following space-separated values:

station\_name 5 character name, which should *neither* contain whitespace *nor* underscors "\_"! network\_code 6 character network code

- lat latitude in degrees,  $-90 \le 1$  at  $\le 90$  ("S") or first coordinate in wavefield points / inversion grid frame ("C")  $\rightarrow$  read the manual on inversion grid definitions (1.8)
- lon longitude in degrees, 0 <= lon <= 360 ("S") or second coordinate in wavefield points / inversion grid -frame ("C") (read 1.8)
- elevation altitude of station ("S"), or third coordinate in wavefield points / inversion grid frame ("C") (read 1.8)

## 2.4 Measured Data Files

All measured data files are expected to be located in the directory PATH\_MEASURED\_DATA as defined in the main parameter file.

One measured data file contains all data values for one specific station component and a specific event. Its filename is by convention data\_EVENTID\_STATIONNAME\_COMP

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The files are text files containing 1 column of MEASURED\_DATA\_NUMBER\_OF\_FREQ complex numbers, which can be understood by FORTRAN read command, i.e. of form ( real\_part , imag\_part ).

Line i contains the measured data value for the i<sup>th</sup> frequency, as defined by vector of indices MEASURED\_DATA\_INDEX\_OF\_FREQ and frequency step MEASURED\_DATA\_FREQUENCY\_STEP.

In particular, this means that *all* measured data files must contain the *same* frequency discretization, given by parameters MEASURED\_DATA\_INDEX\_OF\_FREQ, MEASURED\_DATA\_FREQUENCY\_STEP of the main parameter file.

## 2.5 Event (Station) Filter Files

All event (or station) filter files are expected to be located in the directory PATH\_EVENT\_ FILTER (or PATH\_STATION\_FILTER), respectively. Both paths savely be set to the same directory.

A filter file contains all spectral filter values associated with a specific event (or station component). The file names are by convention filter\_EVENTID (or filter\_STATIONNAME\_COMP), respectively.

In the same way as measured data files, the filter files are text files containing 1 column of MEASURED\_DATA\_NUMBER\_OF\_FREQ complex numbers, which can be understood by FORTRAN read command, i.e. of form ( real\_part , imag\_part ) .

Line i contains the filter value for the i<sup>th</sup> frequency, as defined by vector of indices MEASURED\_DATA\_INDEX\_OF\_FREQ and frequency step MEASURED\_DATA\_FREQUENCY\_STEP. In particular, this means that *all* filter files must contain the *same* frequency discretization, given by parameters MEASURED\_DATA\_INDEX\_OF\_FREQ, MEASURED\_DATA\_FREQUENCY\_STEP of the main parameter file.

## 2.6 Synthetic Data Files

All synthetic data files are expected to be in the directory PATH\_SYNTHETIC\_DATA as defined in the parameter file of the current iteration step.

One synthetic data file contains the complete synthetic data values for one specific combination of event, station and station component. Its filename is by convention synthetics\_EVENTID\_STATIONNAME\_COMP

The files are text files containing 1 column of ITERATION\_STEP\_NUMBER\_OF\_FREQ complex numbers, which can be understood by FORTRAN read command, i.e. of form ( real\_part , imag\_part ).

Line i contains the synthetic data value for the i<sup>th</sup> frequency, as defined by vector of indices ITERATION\_STEP\_INDEX\_OF\_FREQ and frequency step MEASURED\_DATA\_FREQUENCY\_STEP.

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## 2.7 Vtk Files

For visualization of basic objects of the inversion, such as the inversion grid, the wavefield points, the integration weights etc., as well as some inversion results and models, we use the vtk file format. The files contain *both*, geometry information and data values on geometric objects. The format can be either ASCII or BINARY, controlled by flag DEFAULT\_VTK\_FILE\_FORMAT in main parfile.

General information on this file format may be found under www.vtk.org/VTK/img/file-formats.pdf

ASKI uses separate software modules for writing vtk based on wavefield points, or inversion grids or event-station path lines (or event, station coordinates).

## 2.8 Data and Model Space File

Files in which a data and model space is defined have the following form. It might be very instructive to also have a look at the provided example template files template/data\_model\_space\_info\_template\_\*.

The blocks described in the subsections below should be put into a text file, one after another, in arbitrary order, i.e. it does not matter which block comes first (DATA SAMPLE or MODEL VALUES). It is also supported to provide only one of the blocks, if the other one is not required for some application.

There can be arbitrary commentary in front of a block, between blocks and after the blocks. However, any line starting with DATA SAMPLES or MODEL VALUES is interpreted as the starting line of the respective block. Inside the blocks, ther must not be unexpected lines!

## 2.8.1 Model Values Block

line: MODEL VALUES

this line defines that the model values block (definition of the model values) starts here.

line: INVERSION\_GRID\_CELLS value

where value is either ALL (all inversion grid cells are taken) or SPECIFIC (specific definition of set of invgrid cells following below)

line: PARAMETERS value

where value is either ALL (all inversion grid cells are taken) or SPECIFIC (specific definition of model parameters for each invgrid cell, following below. Only allowed if INVERSION\_GRID\_CELLS SPECIFIC).

If PARAMETERS ALL, line: nparam param\_1 ... param\_n

defines the parameters used for all inversion grid cells (assuming MODEL\_PARAMETRIZATION defined in main parameter file).

If INVERSION\_GRID\_CELLS SPECIFIC, the following line must contain the number of cells ncell which should be taken, followed by ncell blocks of lines, each defining an inversion grid cell. In case of PARAMETERS ALL, these blocks consist of a single line line containing an inversion grid cell index. In case of PARAMETERS SPECIFIC, these blocks consist of two lines: one line containing an inversion grid cell index and an additional second line of the form

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```
nparam param_1 ... param_n
```

defining the parameters to be used for this specific inversion grid cell (assuming MODEL\_PARAMETRIZATION defined in main parameter file).

## 2.8.2 Data Samples Block

line DATA SAMPLES

this line defines that the data samples block starts (definition of data samples) here.

line of form: WEIGHTING value, where value is one of is one of NONE, BY\_PATH, BY\_FREQUENCY, BY\_PATH\_AND\_FREQUENCY (by defining such weights, you might account for event clustering or huge differences in magnitudes of the events)

In case of NONE, all data weights are internally set to 1.0 (i.e. no actual weighting is performed). Values BY\_PATH and BY\_PATH\_AND\_FREQUENCY are only allowed in case of PATH SPECIFIC, in which case the pairs evid staname in a specific path definition (below) is expected to be followed by one number > 0.0 and  $\le 1.0$  (the weight). The frequency dependent weighting values (in cases BY\_FREQUENCY, BY\_PATH\_AND\_FREQUENCY) are defined in a separate line following the lines of form nfreq ifreq\_1 ... ifreq\_n (for either case of FREQUENCIES ALL or FREQUENCIES SPECIFIC). This separate lines have themselves the form nfreq w\_1 ... w\_n defining nfreq weights in range > 0.0 and  $\le 1.0$ . In case BY\_PATH\_AND\_FREQUENCY, both weights (for path and frequency) are multiplied for each data sample.

line of form: PATHS value, where value is either ALL (all paths for a given set of event and station indices are used), or SPECIFIC (a specific definition of paths as a series of event and station index pairs follows below)

If PATHS ALL, the next two lines are of form nev iev\_1 ... iev\_n and nstat istat\_1 ... istat\_n, defining the set of event and station indices, which form (by all combinations) the used paths.

line of form: COMPONENTS value, where value is either ALL (for all paths, the same components are used) or SPECIFIC (only allowed if PATHS SPECIFIC, for each path a specific set of components may be defined)

If COMPONENTS ALL, the next line is of form ncomp comp\_1 ... comp\_n defining the component indices for all paths.

line of form: FREQUENCIES value, where value is either ALL (for all paths, the same frequency indices are used) or SPECIFIC (only allowed if PATHS SPECIFIC, for each path a specific set of frequency indices may be defined)

If FREQUENCIES ALL, the next line is of form nfreq ifreq\_1 ... ifreq\_n defining the frequency indices for all paths.

line of form: IMRE value, where value is either ALL (for all paths, the same set of imaginary/real parts are used) or SPECIFIC (only allowed if PATHS SPECIFIC, for each path a specific set of imaginary/real parts may be defined)

If IMRE ALL, the next line is of form nimre imre\_1 ... imre\_n defining imaginary (i.e. imre\_i = im) or real parts (imre\_i = re) for all paths.

If PATHS SPECIFIC, the following line must contain the number npaths of paths which should be used, followed by npahts blocks of lines, each defining the path and the data samples for that path.

These blocks constist of at least one line containing the event /station index pair iev istat. For each keyword COMPONENTS, FREQUENCIES and IMRE – if SPECIFIC – one line is added to such a block of lines, in the same form as the line following keyword ALL (see above), defining the specific components, frequencies or set of imaginary/real parts for each of the specific paths.

## 2.9 ecartInversionGrid Files

## 2.9.1 Nodes Coordinates Files

These files contain a collection of points in space, given in Cartesian X-, Y-, Z-coordinates. They must be text files and have the following format.

The first line contains a single integer value, indicating the number of lines to come (i.e. the number of points).

Each following line contains 3 floating point numbers (separated by white space) defining Cartesian X-, Y-, Z-coordinates of a point.

## 2.9.2 Cell Connectivity Files

These files contain the definition of cells, based on points as defined in the nodes coordinates files. They must be text files and have the following format.

The first line contains a single integer value, indicating the number of lines to come (i.e. the number of cells).

Each following line contains n integer numbers (separated by white space, n = 4 in case of tet4-type cells, n = 8 in case of hex8-type cells), which define the control nodes of the cell and correspond to the point indices in the respective nodes coordinates file, whereby the lowest point index is 1, corresponding to the second line (first point) in the nodes coordinates file.

The order of the point indices in a line is assumed to correspond to the vtk cell conventions! In case one of the cell connectivity files not existing, or their first line containing value 0, no cells of the respective type will be created.

## 2.9.3 Cell Neighbours File

The terminology "lines" below refers to the case of this file not being binary, but a text file. In case of this file being binary, the file content is expected value by value as on the rows of the text file. It will be opened by FORTRAN code with attribute access='stream' (i.e. expecting the values as a simple byte stream) and expects integer values of kind=4.

The first line contains the total number of inversion grid cells ncell.

The next ncell lines (one for each cell in order of the cell index) are of the form:

```
nnb icell_1 ... icell_nnb
```

whereby nnb is the number of neighbours of the respective cell (must be 0 if no neighbours) followed by nnb cell indices icell\_1 ... icell\_nnb, defining the neighbour cells, if there are any neighbours.

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## Chapter 3

## **Programs, Scripts and Modules**

This chapter collects scripts, binary programs or modular program components contained in the ASKI package. It is not referred to any code, here, but give details on application by the user or background knowledge.

## 3.1 Executable Programs

The commands are executed in the form:

**command** [-options]...[positional arguments]

Commands with several positional arguments have to be executed with positional arguments in correct order (the order given in the subsections "Positional arguments").

In front of positional arguments, there can be options, for which the order is not relevant since they are indicated by some keyword starting with "-". The name "option" should, however, not be taken literally, since some of these arguments might be required and are therefore called "Mandatory options". Others, that are actually optional, are referred to as "Optional options" below.

Calling an executable without arguments will print a very short help message on how to use it.

## 3.1.1 addSpikeCheckerToKim

This is a hard-coded preliminary tool! Do not expect to see a help message when executing addSpikeCheckerToKim without arguments, execution of the source code will start immediately!

This excecutable adds checkerboard or spike-like anomalies to a given .kim model file. All specifications about the current inversion grid and any filenames must be given in a *hard-coded* way by modifying the source file f90/addSpikeCheckerToKim.f90 accordingly. Some documenting commentary is given there.

This executable is intended to serve the experienced user and must be compiled separately by  ${\tt make}\ {\tt addSpikeCheckerToKim}$ 

## 3.1.2 combineInvertedModels

Compute linear combination coef1 \* kim1 + coef2 \* kim2 of two models on inversion grid kim1, kim2.

## Positional arguments

**kim1 file** .kim file of the first model kim1.

**kim2 file** .kim file of the second model kim2.

**kim\_outfile** Output file basename (will be extended by .kim) of resulting combined model.

main\_parfile Main parameter file of inversion.

## **Optional options**

**-cl coef1** If set, it defines the first coefficient coef1 by which the first model is multiplied in the linear combination. If not set, the default value coef1 = 1.0 is used.

**-c2 coef2** If set, it defines the second coefficient coef2 by which the second model is multiplied in the linear combination. If not set, the default value coef2 = 1.0 is used.

```
-rel If set, the program computes relative to kim1, i.e. (coef1*kim1 + coef2*kim2) / kim1
```

## 3.1.3 computeCorrectionSyntheticData

Computes additional files in iteration-step-specific subdirectory SYNTHETIC\_DATA which are named as <code>corr\_EVENTID\_STATIONNAME\_COMPONENT</code>. These files contain the quantities  $c_i^0$  (as defined in our GJI paper eq. (26)), which are corrections to synthetic data due to change from path to global reference model.

### Positional arguments

dmsi\_file Data-model-space-info file

main\_parfile Main parameter file of inversion.

## 3.1.4 computeDataFromKernelSystem

Computes the 'measured' data d in the equation d-s(-sc) = K (m1 - mref) for given model m1.

Can be used for (old-fashioned) linear computation of checkerboard data by forward multiplication of the sensitivity matrix with an artificial model vector containing checker anomalies.

## Positional arguments

dmsi\_file Data-model-space-info file

**kim\_file** kernel-inverted-model file which contains model m1.

outdir\_data Output directory where the new 'measured' data files are written to.

main\_parfile Main parameter file of inversion.

## 3.1.5 computeFocussedMisfit

Compute focussed misfit of a dataset applying the focussing coefficients produced by executable focusSpectralKernels.

## Positional arguments

**dmspace\_file** Data model space input file which defines data and model space.

**foc\_coef\_file** Output text file containing the focussing coefficients, as written by program focusSpectralKernels

main\_parfile Main parameter file of inversion.

## 3.1.6 computeKernelCoverage

Summate the absolute values of the column vectors of a given kernel matrix (for a given number nwin of frequency windows).

#### Positional arguments

**dmspace\_file** Data-model-space-info file to set up the kernel linear system.

**vtk\_outfile\_base** Base name for output files (vtk output is produced on inversion grid only).

main\_parfile Main parameter file of inversion.

## **Mandatory options**

- -jf1 Vector of starting indices of nwin frequency windows. It must have the same length nwin as -jf2 and jf1 <= jf2 for all windows.
- -jf2 Vector of end indices of nwin frequency windows. It must have the same length nwin as -jf1 and jf1 <= jf2 for all windows.

## **Optional options**

**-overwr** If set, the output files will be overwritten (if existing). By default, nothing is overwritten.

## 3.1.7 computeKernels

This executable computes (and pre-integrates) spectral sensitivity kernels. There are two possibele ways to define a set of spectral kernels that are computed:

- (way 1): compute kernel for only one path, defined by eventID and station name using options -evid, -staname, -comp and -param
- (way 2): use flag -dmspsce in connection with optional range definition of the path index (flags -ipath1-ipath2) in order to define a subset of the paths contained in the given data-model-space description. If the upper (lower) limit of the path range is not defined (i.e. -ipath1 (-ipath2) not set), the maximum (minimum) possible value is used. Then, all kernels for the defined range of paths in the given data-model-space description are computed.

## **Positional arguments**

main\_parfile Main parameter file of inversion.

## **Mandatory options**

- **-evid event\_id** Defines the event id of the one path (must belong to an event in main event list). (way 1)
- **-staname station\_name** Defines the station name of the one path (must belong to a station in main station list). (way 1)
- -comp "comp\_1 ... comp\_n" Vector of station components for which the kernel should be computed. For valid components see 1.5 (page 22). (way 1)

- **-param "param\_1 ... param\_n"** Vector of parameter names for which the kernel should be computed. Only valid parameter names of the chosen model parametrization are accepted. (way 1)
- -dmspace dmspace\_file Data model space input file to define a set of paths. (way 2)

## **Optional options**

- -ipath1 path1 path1 is the first index of the path loop. By default, path1 = 1 (way
  2)
- -ipath2 path2 path2 is the last index of the path loop. By default, path2 = max\_number\_of\_paths as to data-model-space description. (way 2)
- **-wp** If set, then plain kernel values on WAVEFIELD POINTS are produced. Otherwise (if not set), pre-integrated kernels on inversion grid cells are computed

## 3.1.8 computeMisfit

Reads in measured and synthetic data characterized by data model space info file and computes the data misfit.

## Positional arguments

**dmspace\_file** Data model space info file which defines data and model space.

main\_parfile Main parameter file of inversion.

## **Optional options**

-jf "jf1..jfn" Vector of nf frequency indices. Additionally to the misfit of the whole dataset defined by dmspace\_file, the misfit is computed for data subsets restricted to these individual frequencies.

## 3.1.9 createMeasuredData

Fourier transform of time-domain data to ASKI-conform frequency-domain measured data; frequency discretization of measured data as defined in main parfile.

## **Positional arguments**

main\_parfile Main parameter file of inversion.

## **Mandatory options**

**-txt** parfile\_txt Input data files are plain text files, containing one time series per file. parfile\_txt is the filename of a parameter file with details on location, naming and content of the files, as provided by

template/createMeasuredData\_parfile\_txt\_template. The content of this parameter file is described below. Exactly one of options -txt, -su must be set.

-su su\_files\_path Input data files are seismic unix. su\_files\_path is the path where seismic unix files can be found which have filenames of form eventID\_COMP.su. Every such seismic unix file is assumed to contain the same number of data traces, one trace for each station as defined in the ASKI stations file (in that order). The time discretization of the time series will be taken from each file separately, but it is assumed that all traces contained in a seismic unix file have the very same time discretization (time step and number of samples are always taken from the first trace of a file). Exactly one of options -txt, -su must be set.

## **Optional options**

**-htaper taper\_portion** If set, a cosign-hanning taper is applied to time-domain traces before Fourier Transform. The argument taper\_portion gives the portion of the end of the time-series (between 0.0 and 1.0) to which the taper is applied. If not set, a taper *is* applied with default portion of 0.05 (i.e. 5 percent).

### The parameter file for option -txt

In the following, the required keywords of the parameter file for option -txt are described (documenting commentary is also contained in the template parfile

template/createMeasuredData\_parfile\_txt\_template). **PATH\_TXT\_TRACES** Path where all .txt trace files can be found (must end on /). The trace files in that path are expected to have filenames of form EVID\_STANAME\_COMP.txt.

## FILE DATA MODEL SPACE INFO

Data model space info file defining the set of data samples for which the conversion will be done: For all receiver components (present in the file) of all data paths (present in the file), the complete spectrum will be generated as defined by global frequency discretization from main parfile. I.e. any specific frequency definition in the data model space info file will be ignored.

#### DT, NSTEP

Global time discretization (timestep and number of samples) for *all* .txt trace files. If some of your data have other time discretizations than others, you would need to re-run this executable for each time discretization, properly re-defining the data subset through the data model space info file file.

#### COLUMN\_OF\_TRACE

Integer value defining the column of the .txt trace files in which the actual time-series is found. E.g. if the files contain the time as first column and amplitude values as second column, set  $COLUMN\_OF\_TRACE = 2$ ; if only one column with amplitude values is contained in the files, set  $COLUMN\_OF\_TRACE = 1$ .

## 3.1.10 createSpectralFilters

Generate spectral filter files as used in ASKI from source wavelets or as Butterworth high-/low-/bandpass filters (de)convolved by other wavelets or spectral filters.

The filter coefficients are computed in the frequency discretization of the "measured data" as defined in the main parameter file. The files are directly written to the designated paths specified in the main parameter file, having the correct filenames. This exectuable *ignores* the flags APPLY\_EVENT\_FILTER, APPLY\_STATION\_FILTER in the main parameter file!

In order for the executable to work, only the measured-data frequency discretiation, the filter paths and the filenames of event and station file are used from the main parameter file. All other entries need to have sensible values (for consistency checks), which however are not used. Furthermore, the station and event file need to be defined correctly. Any other (iteration-specific) information is not required by the executable.

In case a forward method (such as e.g. Gemini) in general uses complex frequencies with an imaginary part > 0, the complex filter values as well must be computed at these complex frequencies. This executable automatically takes care of that dependent on which forward method is set by keyword FORWARD\_METHOD in the main parameter file. Only the main parameter file is used by this executable and must be set correctly, the iteration step specific parameter file is not used by this executable.

Option stationf is not yet supported by this executable. "station filters" somehow relate to instrument responses, which so far are assumed to be already deconvolved from the data before inverting it by ASKI. Setting the station filters to the respective (inverse) instrument responses, one could invert raw data by ASKI.

## **Positional arguments**

main\_parfile Main parameter file of inversion.

## **Mandatory options**

**-eventf event\_filter\_parfile** By setting option -eventf, event filters are generated. Argument event\_filter\_parfile is the filename of a parameter file as provided by

template/createSpectralFilters\_parfile\_event-filter\_template. The content of this parameter file is described below. At least one of options -eventf, -stationf must be set; they can both be set at the same time.

-stationf station\_filter\_parfile This option is not yet supported and cannot actually be used!

Once implemented, by setting option <code>-stationf</code> station filters can be generated. Argument <code>station\_filter\_parfile</code> will be the filename of a parameter file as provided by <code>template/createSpectralFilters\_parfile\_eventstation-filter\_template</code>. The content of this parameter file will be described below. At least one of options <code>-eventf</code>, <code>-stationf</code> must be set; they can both be set at the same time.

## The parameter file for option -eventf

In the following, the required keywords of the parameter file for option -eventf are described (documenting commentary is also contained in the template parfile template/createSpectralFilters\_parfile\_event-filter\_template).

CREATE\_FILTERS\_BY\_SOURCE\_WAVELET, CREATE\_FILTERS\_BY\_SPECTRAL\_BUTTERWORTH These logical flags decide if the event filters should be created by a source wavelet (defined by other keywords below), or by a spectral butterworth low-/high-/bandpass filter (defined by other keywords below). *Exactly* one of these two flags must be .true., the other must be .false.

## NUMBER\_OF\_EVENTS, EVENT\_IDS

Define those event ID's for which an event filter file should be generated (filter will be the *same* for all events, if you need different filters for different events, you need to re-run this executable appropriately). There are two valid formats of the value of keyworkd EVENT\_IDS:

EVENT\_IDS = ALL (all event ID's will be used and the value of NUMBER\_OF\_EVENTS is ignored)

EVENT\_IDS = source01 source02 source204 (white-space-separated vector of valid event ID's, NUMBER\_OF\_EVENTS gives the number of values in the vector)

CONVOLVE\_WITH\_OTHER\_WAVELET, MULTIPLY\_BY\_OTHER\_SPECTRAL\_FILTER

Decide whether the resulting spectral event filters should be *convolved* by some other wavelet of multiplied by some other spectral filter (defined below by other keywords). This functionality is sensible to use, e.g. if you want to create a butterworth filter which should be convolved with some finite source moment-rate function. Note, that the resulting event filters should describe the *source* contribution to the filter that brings the synthetic displacement wavefield to the measured data. Hence, the functionality of CONVOLVE\_WITH\_OTHER\_WAVELET or MULTIPLY\_BY\_OTHER\_SPECTRAL\_FILTER should *not* be used to deconvolve the Gaussian that was used to generate synthetics in some iteration step, since the resulting event filters are not intended to be modified throughout an inversion. However, if you know what you're doing, you are (of course) welcome to "abuse" this functionality for your own purposes. The logical flags CONVOLVE\_WITH\_OTHER\_WAVELET and MULTIPLY\_BY\_OTHER\_SPECTRAL\_FILTER can both be .true. (in that case accounting for both contributions).

## STF\_FILE, STF\_COLUMN\_OF\_TRACE, STF\_DT, STF\_NSTEP

Define by STF\_FILE the *absolute* filename of the source time function text file which should be used to generate the filters in case of CREATE\_FILTERS\_BY\_SOURCE\_WAVELET = .true. The integer value STF\_COLUMN\_OF\_TRACE defines the column of the file that is used as the wavelet trace. For instance, if the file contains the time as first column and amplitude values as second column, set STF\_COLUMN\_OF\_TRACE = 2. If only one column with amplitude values is contained in the files, set STF\_COLUMN\_OF\_TRACE = 1, etc. All other columns are ignored! STF\_DT and STF\_NSTEP define the time discretization by which the selected column will be interpreted. The first sample is interpreted to have time 0.0. This should not pose a problem, since program createMeasuredData makes the very same assumption and all forward methods should produce their spectral synthetics in the same way (as displacement wavefields w.r.t. a Dirac impuls at time 0.0 and with the Fourier transform starting with the first time-sample at time 0.0).

# BTW\_LOW\_PASS\_APPLY, BTW\_LOW\_PASS\_ORDER, BTW\_LOW\_PASS\_FC Decide whether a low-pass butterworth filter should be applied (logical BTW\_LOW\_PASS\_ APPLY) and define order (integer BTW\_LOW\_PASS\_ORDER) and corner frequency (real BTW\_

LOW\_PASS\_FC). If BTW\_LOW\_PASS\_APPLY = .false., then any values given for BTW\_LOW\_PASS\_ORDER and BTW\_LOW\_PASS\_FC are ignored.

If you want to define a Butterworth band-pass filter, please define both, a suitable low-pass and a suitable high-pass filter. If above CREATE\_FILTERS\_BY\_SPECTRAL\_BUTTERWORTH = .true., at least one of BTW\_LOW\_PASS\_APPLY or BTW\_HIGH\_PASS\_APPLY must be set to .true.

## BTW\_HIGH\_PASS\_APPLY, BTW\_HIGH\_PASS\_ORDER, BTW\_HIGH\_PASS\_FC

Decide whether a high-pass butterworth filter should be applied (logical BTW\_HIGH\_PASS\_APPLY) and define order (integer BTW\_HIGH\_PASS\_ORDER) and corner frequency (real BTW\_HIGH\_PASS\_FC). If BTW\_HIGH\_PASS\_APPLY = .false., then any values given for BTW\_HIGH\_PASS\_ORDER and BTW\_HIGH\_PASS\_FC are ignored.

If you want to define a Butterworth band-pass filter, please define both, a suitable low-pass and a suitable high-pass filter. If above CREATE\_FILTERS\_BY\_SPECTRAL\_BUTTERWORTH = .true., at least one of BTW\_LOW\_PASS\_APPLY or BTW\_HIGH\_PASS\_APPLY must be set to .true.

## CONV\_WAVEL\_FILE, CONV\_WAVEL\_COLUMN\_OF\_TRACE, CONV\_WAVEL\_DT, CONV\_WAVEL NSTEP

Define by CONV\_WAVEL\_FILE the *absolute* filename of the wavelet text file which should be used for convolution in case of CONVOLVE\_WITH\_OTHER\_WAVELET = .true. . The integer value CONV\_WAVEL\_COLUMN\_OF\_TRACE defines the column of the file that is used as the wavelet trace. For instance, if the file contains the time as first column and amplitude values as second column, set CONV\_WAVEL\_\_COLUMN\_OF\_TRACE = 2 . If only one column with amplitude values is contained in the files, set CONV\_WAVEL\_\_COLUMN\_OF\_TRACE = 1, etc. All other columns are ignored! CONV\_WAVEL\_DT and CONV\_WAVEL\_NSTEP define the time discretization by which the selected column will be interpreted. The first sample is interpreted to have time 0.0 . This should not pose a problem, since executable createMeasuredData makes the very same assumption and all forward methods should produce their spectral synthetics in the same way (as displacement wavefields w.r.t. a Dirac impuls at time 0.0 and with the Fourier transform starting with the first time-sample at time 0.0).

### DECONVOLVE\_WAVEL\_INSTEAD

Logical flag DECONVOLVE\_WAVEL\_INSTEAD controls whether instead of *con*volving with the wavelet, it should be *de*convolved.

## CONV\_SPEC\_FILE

CONV\_SPEC\_FILE gives the *absolute* file name of a text file in the format of a filter file, containing the spectral filter which is in the end to be multiplied onto the event filters. The file must contain MEASURED\_DATA\_NUMBER\_OF\_FREQ many rows, each of which corresponds to the frequency as defined by MEASURED\_DATA\_INDEX\_OF\_FREQ and MEASURED\_DATA\_FREQUENCY\_STEP (in the ASKI main parameter file) and on each row a complex value must define the filter coefficient as understood by Fortran, i.e. in the format:

```
( real_part , imag_part )
```

#### DECONVOLVE\_SPEC\_INSTEAD

Logical flag DECONVOLVE\_SPEC\_INSTEAD controls whether instead of multiplying with the spectrum (i.e. convolving with the filter), it should be *divided* by it (i.e. *de*convolvolving the filter)

## The parameter file for option -stationf

Option stationf is not yet supported by this executable.

## 3.1.11 createStartmodelKim

Create a file of type kernel\_inverted\_model (.kim) containing pre-defined values on the inversion grid. Can be used to create a start model for the full waveform inversion process.

## **Mandatory options**

- **-igtype invgrid\_type** invgrid\_type is TYPE\_INVERSION\_GRID as in ASKI iteration step parameter file.
- -igpar invgrid\_parfile invgrid\_parfile is PARFILE\_INVERSION\_GRID
  as in ASKI iteration step parameter file.
- -igpath invgrid\_path invgrid\_path is treated as current iteration step path, used for inversion grid to write/read own files.
- -mpmtrz model\_pmtr model\_pmtrz is the model parametrization of the model which is to be created (must be consistent with content of model\_file, see -mfile).
- **-mtype model\_type** model\_type is a string defining the type of model\_file and the interpolation type:

'1D\_linear':

linear interpolation of values between coordinates given in 1D model file.

'3D \_structured':

trilinear interpolation of values between coordinates given in 3D structured model file.

1D model file must have the following format

line 1: nval ncol

nval = number of model values /interpolation coordinates to come

ncol = number of columns to read from file, <math>ncol=1+N, where N is number of parameters

line 2: icoord param1 ... paramN

icoord = index of inversion grid / wavefield point coordinate for which the interpolation should be applied (either 1,2 or 3)

param1 ... paramN = N parameter names associated with the values in the columns below

lines 3 ...nval+2: coord val1 ... valN

these following nval lines contain the interpolation coordinate and N model values for the respective parameters, as defined by line 2. The values 'coord' are assumed to be be strictly monotonical(!) and can be either increasing or decreasing. You may choose this monotonicity at your will dependent on the coordinate for which the interpolation should be done (which, dependent on your inversion grid type may be depth or positive z-value...)

3D model file must have the following format:

```
line 1: nx ny nz
          nx, ny and nz are the number of model points in X-, Y- and Z-direction
     line 2: minX minY minZ
          minX, minY and minZ are the smallest coordinates in the model
     line 3: maxX maxY maxZ
          maxX, maxY and maxZ are the highest coordinates in the mode
          nval, the total number of vaules in the model is given by nval = nx*ny*nz
     line 4: param1 ... paramN
          param1 ... paramN, N parameter names associated with the values in the columns
     line 5+: nval model values
     The model values have to be sorted like:
     DO i=minX.maxX+1
          DO j=minY,maxY+1
              DO k=minZ,maxZ+1
                 READ model value
              END DO
          END DO
     END DO
-mfile model_file model_file is the model input file of type defined by model_
type.
```

## **Optional options**

```
-o outbase outbase is output base name (default is start_model).
```

**-bin** If set, the output vtk files will be binary, otherwise they will be ascii.

## 3.1.12 exportKim

Program exportKim produces a text file (option -otxt) containing information of cell centers and radii (i.erough expansion) of all inversion grid cells and all cell neighbours, as well as model values and respective invgrid cell indices for each model parameter, as contained in a given kernelInvertedModel file. This text file may be used by any forward method to define the simulation model for the next iteration step, or by any tool handling final models.

The format of the produced text file is as follows:

The first 3 lines contain:

```
model_parametrization
number_of_parameters name_param_1 ... name_param_n
number_of_invgrid_cells
```

The next number\_of\_invgrid\_cells lines contain for each inversion grid cell:

```
c1 c2 c3 r nnb inb1...inbn
```

where c1, c2, c3 are the 3 coordinates of the cell center (in wavefield point coords), r is the cell radius (i.e. rough expansion of cell), nnb is the number of cell neighbours and inb1,...,inbn are their nnb cell indices (if nnb>0, otherwise line ends on nnb=0). Then number\_of\_parameters blocks are following in the file, each having the following format:

```
name_param
nval
cell_indx
model_values
```

where name\_param is the name of the parameter to which the following model values belong, nval is the number of model values following, cell\_indx is a vector of nval cell indices to which the model values belong (space separated on one line) and model\_values is an vector of the actual nval model values (space separated on one line).

Additionally (or alternatively) the program converts the .kim file to vtk files (option -ovtk). The two options -otxt, -ovtk can be used independently of each other.

## **Positional arguments**

main\_parfile Main parameter file of inversion.

## **Mandatory options**

-kim kernel\_inverted\_mode\_file kernel\_inverted\_mode\_file is the binary file containing the inverted model, which is to be exported.

**-otxt** outfile\_txt outfile\_txt is the text output file to which inversion grid and model information will be written. At least one of -otxt, -ovtk must be set.

**-ovtk** outfile\_vtk outfile\_vtk is the output file base to which standard vtk files of the .kim file will be written. At least one of -otxt, -ovtk must be set.

## 3.1.13 focusSpectralKernels

Compute Backus-Gilbert focussing of sensitivity kernels on a defined focussing region in the model space.

The concept of this kernel focussing is published in [Sch14], Chapter 7.1.

It might get problematic in spherical settings to use focussing regions (refined by mandatory options clmin, clmax, c2min, ...) which overlap the zero meridian or include the poles. Furthermore, a region defined by minimum/maximum of latitude/longitude/depth (or Cartesian X/Y/Z) might not meet your requirements. In this respect, this executable could be improved, since basically any subset of the model space can be focussed on.

## **Positional arguments**

**dmspace\_file** Data model space indo file which defines the rows and columns of the kernel matrix.

**outfile\_base** Base name of output files *relative* to iteration step output directory (used for all files, with suitable extensions).

main\_parfile Main parameter file of inversion.

## **Mandatory options**

- **-c1min c1min\_value** Minimum first coordinate of focussing subvolume. In case of a Cartesian inversion grid, "first coordinate" means Cartesian X, in case of spherical inversion grids it means latitude in degrees (value between -90 and 90).
- **-c1max c1max\_value** Maximum first coordinate of focussing subvolume. In case of a Cartesian inversion grid, "first coordinate" means Cartesian X, in case of spherical inversion grids it means latitude in degrees (value between -90 and 90).
- **-c2min c2min\_value** Minimum second coordinate of focussing subvolume. In case of a Cartesian inversion grid, "second coordinate" means Cartesian Y, in case of spherical inversion grids it means longitude in degrees (value between 0 and 360).
- **-c2max c2max\_value** Maximum second coordinate of focusing subvolume. In case of a Cartesian inversion grid, "second coordinate" means Cartesian Y, in case of spherical inversion grids it means longitude in degrees (value between 0 and 360).
- **-c3min c3min\_value** Minimum third coordinate of focussing subvolume. In case of a Cartesian inversion grid, "third coordinate" means Cartesian Z, in case of spherical inversion grids it means depth in km.

-c3max c3max\_value Maximum third coordinate of focussing subvolume. In case of a Cartesian inversion grid, "third coordinate" means Cartesian Z, in case of spherical inversion grids it means depth in km.

-param "param\_1 ... param\_n" List of model parameters which will be focussed on, e.g. "vp vs".

#### 3.1.14 initBasics

Initiating and testing all basic requirements for ASKI programs (parameter files, event and station list, inversion grid, wavefield points, integration weights, reference model).

## Positional arguments

main\_parfile Main parameter file of inversion.

## **Optional options**

**-recr** If set, existing files will be recreated with current parfile specifications (overwrites existing files will be read in and not newly created). Affected files are:

- inversion\_grid and integration\_weigts and all related .vtk files (including wavefield\_points.vtk files)
- stations.vtk, events.vtk
- kernel reference model files (on wavefield points, and as interpolation on inversion grid)

IF NOT SET (default), EXISTING FILES (especially inversion\_grid, integration\_weights) WILL BE READ IN ONLY, POSSIBLY WITHOUT ANY EFFECT OF POTENTIAL CHANGES IN PARFILES! So, if you change the specification of inversion grid, or integration weights (or stations, events which is only relevant for station.vtk events.vtk), after having already created the respective files, you should set -recr.

## 3.1.15 investigateDataResiduals

Gets some statistics about the data residuals of a given data (sub)set.

## **Positional arguments**

dmsi\_file Data-model-space-info file

**outdir\_stats\_files** Output directory where residual files per path and component will written.

main\_parfile Main parameter file of inversion.

## **Optional options**

-ovtk outfile\_vtk outfile\_vtk of output vtk files. If not set, no vtk files will be
produced. (Default = dataset)

## 3.1.16 invgrid2vtk

Create vtk file(s) of the given inversion grid (useful to look at, to see if the specifications are correct).

## **Mandatory options**

- **-igtype invgrid\_type** invgrid\_type is TYPE\_INVERSION\_GRID as in ASKI iteration step parameter file.
- **-igpar invgrid\_parfile** invgrid\_parfile is PARFILE\_INVERSION\_GRID as in ASKI iteration step parameter file.
- -igpath invgrid\_path invgrid\_path is treated as current iteration step path, used for inversion grid to write/read own files.

## **Optional options**

- -o outbase outbase is output base name (default is inversion grid)
- **-overwr** If set, existing output files will be overwritten.
- -nb "idx\_1 ... idx\_n" Vector of n cell indices, indicating a set of cells the neighbours of which will be written as vtk files. IN THE FUTURE: may be helpful to also accept ranges like "20:40". Must not be set simultaneously along with -all\_nb.
- **-all\_nb** Indicating to use all cell indices to write neighbours for. Must not be set simultaneously along with -nb.
- **-bin** If set, the output vtk files will be binary, otherwise they will be ascii.
- **-recr** If set, the existing inversion grid file(s) (if any existing, and if type creates any) will be recreated with current invgrid parfile specifications. If not set (default), existing inversion grid will be read in only, POSSIBLY WITHOUT ANY EFFECT OF POTENTIAL CHANGES IN THE PARFILE!

## 3.1.17 kdispl2vtk

Extract kernel displacement spectra to vtk files for certain wavefield and strain components and frequencies.

## Positional arguments

main\_parfile Main parameter file of inversion.

## **Mandatory options**

- **-evid event\_id** Defines the event ID of the kernel displacement object (must belong to an event in main event list).
- -ifreq "idx\_1 ... idx\_n" Vector of n frequency indices at which the wavefield output is extracted and vtk files are generated. Exactly one of options -ifreq, -all\_ifreq must be set.
- **-all\_ifreq** If set, for all frequency indices of the current iteration wavefield output is extracted and vtk files are generated. Exactly one of options <code>-ifreq</code>, <code>-all\_ifreq</code> must be set.
- **-ucomp** "comp\_1 ... comp\_n" Vector of n wavefield components for which the wavefield output is extracted and vtk files are generated. Wavefield components are denoted by ux, uy, uz (meaning underived x, y, z components of the wavefield) and exx, eyy, ezz, eyz, exz, exy (meaning strain components). Exactly one of options -ucomp, -all\_ucomp must be set.
- -all\_ucomp If set, for all underived wavefield components ux, uy, uz and strains exx, eyy, ezz, eyz, exz, exy wavefield output is extracted and vtk files are generated. Exactly one of options -ucomp, -all\_ucomp must be set.

## 3.1.18 kernel2vtk

Program kernel2vtk writes the pre-integrated spectral sensitivity kernels as vtk files for specific paths, parameters, components and frequencies.

## Positional arguments

main\_parfile Main parameter file of inversion.

## **Mandatory options**

**-evid event\_id** Defines the event id of the one path. (must belong to an event in main event list)

- **-staname station\_name** Defines the station name of the one path. (must belong to a station in main station list)
- -comp "comp\_1 ... comp\_n" Vector of station components for which vtk files should be generated. For valid components see 1.5 (page 22).
- **-param "param\_1 ... param\_n"** Vector of parameter names for which vtk files should be generated. Only valid parameter names of the chosen model parametrization are accepted.
- -ifreq "idx\_1 ... idx\_n" Vector of n frequency indices for which vtk files should be generated. Exactly one of options -ifreq, -all\_ifreq must be set.
- **-all\_ifreq** If set, for all frequency indices of current iteration vtk files will be generated. Must not be set simultaneously along with <code>-ifreq</code>. Exactly one of options <code>-ifreq</code>, <code>-all\_ifreq</code> must be set.

### **Optional options**

**-wp** If set, then the original kernels on the wavefield points are produced (recalculated!) IN-STEAD of the pre-integrated ones on the inversion grid.

## 3.1.19 kgt2vtk

Extract kernel green tensor spectra to vtk files for certain wavefield and strain components and frequencies.

### **Positional arguments**

main\_parfile Main parameter file of inversion.

## **Mandatory options**

- **-staname station\_name** Defines the station name of the kernel green tensor object (must belong to a station in main station list).
- -scomp "scomp\_1 ... scomp\_n" Vector of n station components of station station\_ name for which wavefield output is extracted and vtk files are generated. For valid components see 1.5 (page 22).
- -ifreq "idx\_1 ... idx\_n" Vector of n frequency indices at which the wavefield output is extracted and vtk files are generated. Exactly one of options -ifreq, -all\_ifreq must be set.

**-all\_ifreq** If set, for all frequency indices of the current iteration wavefield output is extracted and vtk files are generated. Exactly one of options <code>-ifreq</code>, <code>-all\_ifreq</code> must be set.

**-ucomp** "comp\_1 ... comp\_n" Vector of n wavefield components for which the wavefield output is extracted and vtk files are generated. Wavefield components are denoted by ux, uy, uz (meaning underived x, y, z components of the wavefield) and exx, eyy, ezz, eyz, exz, exy (meaning strain components). Exactly one of options -ucomp, -all\_ucomp must be set.

-all\_ucomp If set, for all underived wavefield components ux, uy, uz and strains exx, eyy, ezz, eyz, exz, exy wavefield output is extracted and vtk files are generated. Exactly one of options -ucomp, -all\_ucomp must be set.

#### 3.1.20 krm2kim

Interpolate kernel reference model onto inversion grid and produce a . kim file of it.

## **Positional arguments**

outfile\_base Basename of output model files – will additionally be written as vtk.

main\_parfile Main parameter file of inversion.

#### **Optional options**

**-krm kernel\_reference\_mode\_file** If set, then instead of using the kernel reference model file defined by the iteration step parfile, the given file kernel\_reference\_mode\_file is used to read in the kernel reference model.

## 3.1.21 paths2vtk

Plots all paths contained in the data space definition as vtk lines.

## **Positional arguments**

dmsi\_file Data-model-space-info file

**outfile** Output file (basename) of the vtk file(s).

main\_parfile Main parameter file of inversion.

## 3.1.22 solveCqlsKernelSystem

Solves linear system of sensitivity kernel equations in parallel by a conjugate-gradient method. The algorithm applied here is the "CGLS1" from paper [BES98].

By default, the conjugate-gradient algorithm uses single precision. In case the program crashes due to what looks like precision problems (dividing by 0, getting values "NaN" etc.), you may try to switch to double precision (change the respective line in the very beginning of code file f90/solveCglsKernelSystem.f90 and recompile solveCglsKernelSystem).

This executable is parallelized using MPI. Hence, it should be called like mpirun -np 8 solveCglsKernelSystem (with respective arguments)

The executable uses the maximum number of parallel slots being available in the MPI environment, in the above example this would be 8.

There is a mechanism implemented that allows you to terminate the algorithm at any time without just killing the process, but with the current solution of the CG algorithm actually being written out as if the termination criteria of the alorithm were met. This can be useful, e.g. if you notice that the algorithm actually has converged, but the termination criteria were defined in an unsuitable way, or if the convergence is very slow and you want to continue the process later by restarting the executable with passing the intermediate solution to option <code>-startsol</code>. This kind of save termination of the algorithm is executed if the existence of a file with filename <code>outfile\_base\_TERMINATE.txt</code> is detected. So you can manually create a file with this name, i.e. output file base as defined by positional argument <code>outfile\_base</code>, plus extension <code>\_TERMINATE.txt</code> (case sensitive). This file can be empty, e.g. use command <code>touch</code> to create it.

If there is an error that some values become NaN, you should try to use double precision variables for vectors and scalars in the CG algorithm. This might be helpful if the kernel matrix contains values which are so low that certain summations become not representable in single precision. In order to use double precision, you need to set

```
CUSTOM_REAL = SIZE_DOUBLE
```

at the very beginning of the declarations in source file solveCglsKernelSystem.f90. In this case, more memory will be required. For single precision, use  $SIZE\_REAL$  there instead (default setting).

#### **Positional arguments**

**dmsi\_file** Data-model-space-info file which defines data and model space.

**outfile\_base** Base name of output files (will be used for all files, with suitable extensions) – output model will additionally be written as vtk.

**CG\_parfile** Parameter file defining details related to the conjugate gradient algorithm used to solve the linear system. A description of its content can be found at the end of this subsection and a template is provided:

template/solveCglsKernelSystem\_parfile\_template

main\_parfile Main parameter file of inversion.

#### **Optional options**

-regscal type\_regul\_scaling type\_regul\_scaling is the type of scaling of regularization constraints, at the moment only absmax\_per\_param, overall\_factor, absmax\_per\_param, param\_factors and none are supported. Option -regscal can only be requested when adding damping or smoothing conditions by options -smooth or -damp.

-smoothing scaling\_values If set, smoothing conditions are applied. scaling\_values is a vector of scaling values consistent with -regscal:

absmax\_per\_param, overall\_factor: one single factor

absmax\_per\_param, param\_factors: one factor per parameter name of current parametrization (in conventional order)

none: values given here are ignored

-smoothbnd type\_smoothing\_boundary type\_smoothing\_boundary defines the way (non-existing) neighbours are treated in smoothing conditions at outer/inner boundaries of the inversion grid. Supported types:

zero\_all\_outer\_bnd: apply zero smoothing conditions at *all* outer boundaries. zero\_burried\_outer\_bnd, cont\_free\_surface: apply zero smoothing conditions at all outer boundaries *except* on free surfaces.

If not set, standard average is used everywhere (equivalent to continuity boundary conditions). Option - smoothbnd is only allowed to be set, if option - smoothing was set.

-damping scaling\_values If set, damping conditions are applied. scaling\_values is a vector of scaling values consistent with -regscal:

absmax\_per\_param, overall\_factor: one single factor

absmax\_per\_param, param\_factors: one factor per parameter name of current parametrization (in conventional order)

none: values given here are ignored

- -odir If set, outfile\_base will be assumed relatively to iteration step output files directory.
- -startsol file\_name\_starting\_solution The.kimfilefile\_name\_starting\_solution defines the starting solution of linear system.
- -normalize type\_data\_normalization For now, this feature is only supported if your dataset contains only a single station component (e.g. only vertical "UP" components for all event-station paths)!

If set, each equation of the linear system is scaled by a specific factor and thus normalized in a certain sense. type\_data\_normalization defines the type of normalization. This functionality has not yet been applied in field studies, but don't hesitated to experiment. Supported types and their descriptions:

maxamp\_mdata\_by\_paths: Separately for each event-station path, find the datum of maximum amplitude, say datum i\_max. All measured data of this path are then divided through by this amplitude, hence, normalized w.r.t. this amplitude. All synthetic data and all kernel value

of this path are divided through by the amplitude of the synthetic datum i\_max, i.e. the synthetic data and kernel values are scaled w.r.t. the synthetics amplitude at i\_max, which does not necessarily represents the synthetics maximum amplitude of the path!

maxamp\_mdata\_by\_paths\_and\_frequency: Separately for each event-station path and each frequency, the measured data is divided through by its amplitude and the synthetic data and the kernels are divided through by the amplitude of the synthetic data.

**scale\_maxamp\_mdata\_by\_paths**: Separately for each event-station path, the measured data, the synthetic data and the kernels are divided through by the maximum amplitude of the measured data. Hence, for this type of normalization, all scaling factors (for measured data, synthetic data and kernels) are the same, normalizing w.r.t. the maximum amplitude of the measured data.

#### The parameter file CG\_parfile (third positional argument)

In the following, the required keywords of the parameter file given as third positional argument is described (documenting commentary is also contained in the template parfile template/solveCqlsKernelSystem\_parfile\_template).

#### MAX\_NUM\_CG\_ITERATIONS

This integer gives the upper limit of number of iterations (CG algorithm will stop then, even if convergence criterion is not yet met). This mechanism cannot be switched off! So, set to a ridiculously high value if you don't want to use it. The maximum possible value that can be used is approx. 2147483647 (4 byte signed integer) If you require more iterations, you should modify the source code. Alternatively, you need to continue the algorithm by passing the solution to option -startsol, as described above.

#### NITER WINDOW STA, NITER WINDOW LTA

These two integers define window sizes of short-term average (sta) and long-term average (lta) of the residual norm of the linear system, which are used to evaluate a termination criterion of the conjugate-gradient algorithm. The algorithm assumes a monotonically decreasing residual norm, i.e. sta < lta. It terminates when sta/lta equals 1 (in terms of single precision), i.e. when sta becomes close enough to lta, or when lta is not monotonically decreasing anymore, i.e. starts to increase. The numbers NITER\_WINDOW\_STA, NITER\_WINDOW\_LTA define the number of iterations over which the averages are computed. Which values are sensible actually depends on the linear system. The termination checks based on sta, lta cannot be taken into account before iteration NITER\_WINDOW\_LTA + 1. It is required to define

NITER\_WINDOW\_STA < NITER\_WINDOW\_LTA. A ratio of
NITER\_WINDOW\_LTA/NITER\_WINDOW\_STA = 10 was experienced to be feasible. E.g.
define NITER\_WINDOW\_STA = 20 and NITER\_WINDOW\_LTA = 200.

#### USE\_BLAS\_LEVEL\_1, USE\_BLAS\_LEVEL\_2

Logicals indicating whether to use BLAS Level 1 and Level 2 routines for vector and matrix-vector operations in the course of the CG algorithm. If .false., intrinsic Fortran functionality will be used for those kinds of operations (e.g. matmul and explicit summation etc.), which for small problems might be more efficient than using BLAS. For large problems, at least BLAS Level 2 routines are recommended, i.e. USE\_BLAS\_LEVEL\_2 = .true.. You might aswell test the performance of your particular application by profiling runs with and without these flages switched on.

#### NITER RECOMPUTE RESIDUAL

This feature seems not to work, hence it is disabled in the code so that the value of NITER\_

RECOMPUTE\_RESIDUAL *does not have any effect at al!* If you want to use it anyway, you need to enable it in the source code. It should be easy to find for you. If you cannot find it easily, it is probably best for you not to use it (no offense). Description of the parameter (if enabled):

NITER\_RECOMPUTE\_RESIDUAL gives the number of iterations after which (circularly repeating) a true residual vector should be computed from the current solution of the system, instead of only updating it (i.e. approximating it) as defined by the original algorithm by [BES98]. If *no* recomputation should be done (i.e. original algorithm), set NITER\_RECOMPUTE\_RESIDUAL to some value < 0.

## 3.1.23 solveKernelSystem

Do inversion step by solving the kernel linear system defined by data model space info and regularization constraints. This program is executed in a serial way using the LAPACK library.

#### Positional arguments

**dmspace\_file** Data-model-space-info file which defines data and model space.

**outfile** Basename of output model files (will be used for all files, with suitable extensions) – output model will additionally be written as vtk.

main\_parfile Main parameter file of inversion.

#### **Optional options**

-regscal type\_regul\_scaling type\_regul\_scaling is the type of scaling of regularization constraints, at the moment only absmax\_per\_param, overall\_factor, absmax\_per\_param, param\_factors and none are supported Option -regscal can only be requested when adding damping or smoothing conditions by options -smooth or -damp.

-smoothing scaling\_values If set, smoothing conditions are applied. scaling\_values is a vector of scaling values consistent with -regscal:

absmax\_per\_param, overall\_factor: one single factor

absmax\_per\_param, param\_factors: one factor per parameter name of current parametrization (in conventional order)

none: values given here are ignored

-smoothbnd type\_smoothing\_boundary type\_smoothing\_boundary defines the way (non-existing) neighbours are treated in smoothing conditions at outer/inner boundaries of the inversion grid. Supported types:

zero\_all\_outer\_bnd: apply zero smoothing conditions at *all* outer boundaries. zero\_burried\_outer\_bnd, cont\_free\_surface: apply zero smoothing conditions at all outer boundaries *except* on free surfaces.

If not set, standard average is used everywhere (equivalent to continuity boundary conditions). Option - smoothbnd is only allowed to be set, if option - smoothing was set.

-damping scaling\_values If set, damping conditions are applied. scaling\_values is a vector of scaling values consistent with -regscal:

absmax\_per\_param, overall\_factor: one single factor absmax\_per\_param, param\_factors: one factor per parameter name of current parametrization (in conventional order)

none: values given here are ignored

-odir If set, outfile\_base will be assumed relatively to iteration step output files directory.

-normalize type\_data\_normalization For now, this feature is only supported if your dataset contains only a single station component (e.g. only vertical "UP" components for all event-station paths)!

If set, each equation of the linear system is scaled by a specific factor and thus normalized in a certain sense. type\_data\_normalization defines the type of normalization. This functionality has not yet been applied in field studies, but don't hesitated to experiment.

Supported types are (see for descriptions above in section about executable solveCglsKernelSystem):

```
maxamp_mdata_by_paths
maxamp_mdata_by_paths_and_frequency
scale_maxamp_mdata_by_paths
```

## 3.1.24 solveParKernelSystem

Solves linear system of sensitivity kernel equations in parallel by ScaLAPACK libraries.

This executable is parallelized using BLACS libraries which usually are based on MPI. Hence, it should probably be called like

mpirun -np 8 solveParKernelSystem (followed by respective arguments)

The executable uses the maximum number of parallel slots being available in the MPI environment, in the above example this would be 8. solveParKernelSystem minimally requires NPROC\_ROWS\*NPROC\_COLUMNS parallel slots, as defined by the mpi\_parfile. If there are less slots available than required, the program will raise an error.

#### **Positional arguments**

dmsi\_file Data-model-space-info file

**outfile\_base** Base name of output files (will be used for all files, with suitable extensions)

**mpi\_parfile** Parameter file defining everything related to the ScaLAPACK parallelization of the linear system. A description of its content can be found at the end of this subsection and a template is provided:

template/solveParKernelSystem\_parfile\_template

main\_parfile Main parameter file of inversion.

## **Optional options**

-regscal type\_regul\_scaling type\_regul\_scaling is the type of scaling of regularization constraints, at the moment only absmax\_per\_param, overall\_factor, absmax\_per\_param, param\_factors and none are supported Option -regscal can only be requested when adding damping or smoothing conditions by options -smooth or -damp.

-smoothing scaling\_values If set, smoothing conditions are applied. scaling\_values is a vector of scaling values consistent with -regscal:

absmax\_per\_param, overall\_factor: one single factor

absmax\_per\_param, param\_factors: one factor per parameter name of current parametrization (in conventional order)

none: values given here are ignored

-smoothbnd type\_smoothing\_boundary type\_smoothing\_boundary defines the way (non-existing) neighbours are treated in smoothing conditions at outer/inner boundaries of the inversion grid. Supported types:

zero\_all\_outer\_bnd: apply zero smoothing conditions at *all* outer boundaries. zero\_burried\_outer\_bnd, cont\_free\_surface: apply zero smoothing conditions at all outer boundaries *except* on free surfaces.

If not set, standard average is used everywhere (equivalent to continuity boundary conditions). Option - smoothbnd is only allowed to be set, if option - smoothing was set.

-damping scaling\_values If set, damping conditions are applied. scaling\_values is a vector of scaling values consistent with -regscal:

absmax\_per\_param, overall\_factor: one single factor absmax\_per\_param, param\_factors: one factor per parameter name of current parametrization (in conventional order)

none: values given here are ignored

-odir If set, outfile\_base will be assumed relatively to iteration step output files directory.

-normalize type\_data\_normalization For now, this feature is only supported if your dataset contains only a single station component (e.g. only vertical "UP" components for all event-station paths)!

If set, each equation of the linear system is scaled by a specific factor and thus normalized in a certain sense. type\_data\_normalization defines the type of normalization. This functionality has not yet been applied in field studies, but don't hesitated to experiment.

 $Supported \ types \ are \ (see for \ descriptions \ above \ in \ section \ about \ executable \ \verb|solveCglsKernelSystem|):$ 

maxamp\_mdata\_by\_paths
maxamp\_mdata\_by\_paths\_and\_frequency
scale\_maxamp\_mdata\_by\_paths

#### The parameter file mpi\_parfile (third first positional argument)

In the following, the required keywords of the parameter file given as third positional argument is described (documenting commentary is also contained in the template parfile

template/solveParKernelSystem\_parfile\_template). NPROC\_ROWS, NPROC\_ COLUMNS

Number of processes in the rows/columns of the 2D process grid as used by the BLACS libraries. The total number of required MPI processes is NPROC\_ROWS \* NPROC\_COLUMNS (if the MPI environment provides more ranks, those are ignored).

#### NROW\_PER\_BLOCK, NCOL\_PER\_BLOCK

Integer values giving the number of rows and columns per submatrix block- Scalapack subdivides the linear system matrix into a block matrix, each block being a submatrix of size NROW\_PER\_BLOCK-times-NCOL\_PER\_BLOCK. The total numbers of rows (columns) of the global system matrix, however, does not need to be a multiple of NROW\_PER\_BLOCK (NCOOL\_PER\_BLOCK), there will be fractional blocks at the bottom (or right end) of the matrix. There is not yet an automated Scalapack functionality telling you the optimal block sizes, which are dependent on the linear system and your parallel environment. Anything from 200 to 500 should be sensible (?!). For more information, browse the web, e.g.

http://www.netlib.org/utk/papers/scalapack/node19.html

#### NROW\_TO\_PROCESS\_AT\_ONCE

Integer value giving the number of rows of the kernel matrix which are handled by the master process at a time. The larger this number is, the more memory is required for the master process to keep those rows in the memory, e.g.

- The master process will read this number of rows of the kernel matrix from the kernel files before distributing it onto the process grid. For this operation it is efficient if NROW\_TO\_ PROCESS\_AT\_ONCE is a multiple of the number of data samples per data path (in case all data paths have the same number of data samples, i.e. the same number of frequencies and components). Otherwise kernel files might be opened and closed several times, which could cost extra performance.
- The regularization equations will also be requested by the master process and then distributed onto the process grid. This will be done in sections of rows, each containing NROW\_TO\_PROCESS\_AT\_ONCE rows.

## 3.1.25 spec2timeKernels

Compute time\_kernel files from existing spectral\_kernel files (by inverse Fourier transform) for the time windows as specified by options t0,dt,nt1,nt2: The total set of time samples consists of n time windows. nt1,nt2 are strings containing n integers defining the start (nt1) and end (nt2) each time window by a time sample index. Times compute as t = t0 + jt\*dt where  $nt1 \le jt \le nt2$ . There are two possibele ways to define a set of kernels that are transformed:

- (way 1): compute kernel for only one path, defined by eventID and station name using options -evid, -staname, -comp and -param
- (way 2): use flag -dmsapce in connection with optional range definition of the path index (flags -ipath1 -ipath2)

in order to define a subset of the paths contained in the given data-model-space description. If the upper (lower) limit of the path range is not defined (i.e. -ipath1 (-ipath2) not set), the maximum (minimum) possible value is used. Then, all kernels for the defined range of paths in the given data-model-space description are computed.

#### **Positional arguments**

main\_parfile Main parameter file of inversion.

#### **Mandatory options**

- **-evid event\_id** Defines the event id of the one path (must belong to an event in main event list). (way 1)
- **-staname station\_name** Defines the station name of the one path (must belong to a station in main station list). (way 1)
- -comp "comp\_1 ... comp\_n" Vector of station components for which time kernel should be transformed. For valid components see 1.5 (page 22). (way 1)
- **-param "param\_1 ... param\_n"** Vector of parameter names for which time kernel should be transformed. Only valid parameter names of the chosen model parametrization are accepted. (way 1)
- -dmspace Data model space input file to define a set of paths. (way 2)
- **-dt time\_step** Global time step of time discretization of time kernels.
- **-nt1** "idx\_1 .. idx\_n" Vector of n time indices defining the start indices of the n time windows within which time kernels will be computed.
- -nt2 "idx\_1 .. idx\_n" Vector of n time indices defining the start indices of the n time windows within which time kernels will be computed.

#### **Optional options**

- -ipath1 path1 path1 is the first index of the path loop. By default, path1 = 1 (way
  2)
- -ipath2 path2 path2 is the last index of the path loop. By default, path2 = max\_ number\_of\_paths as to data-model-space description. (way 2)

- **-t0 tzero** Optional global time shift which is added to all times defined by dt, nt1, nt2 (default t0=0)
- **-wp** If set, then 'ON-WP' spectral kernel files are produced, containing plain kernel values on wavefield points. If not set, normal kernel files (pre-integrated) are transformed.

#### 3.1.26 timeKernel2vtk

Produces vtk files from *one existing* binary time sensitivity kernel file for a selection of time steps defined by vectors of starting and end indices -nt1, -nt2.

#### Positional arguments

main\_parfile Main parameter file of inversion.

#### **Mandatory options**

- **-evid event\_id** Defines the event id of the one path. (must belong to an event in main event list)
- **-staname station\_name** Defines the station name of the one path. (must belong to a station in main station list)
- -comp "comp\_1 ... comp\_n" Vector of station components for which vtk files should be generated. For valid components see 1.5 (page 22).
- **-param "param\_1 ... param\_n"** Vector of parameter names for which vtk files should be generated. Only valid parameter names of the chosen model parametrization are accepted.
- -nt1 "idx\_1 .. idx\_n" Vector of n time indices defining the start indices of the n time windows within which vtk files should be generated (the resulting set of time indices must be contained in the binary time kernel files generated by spec2timeKernels.
- -nt2 "idx\_1 .. idx\_n" Vector of n time indices defining the start indices of the n time windows within which vtk files should be generated (the resulting set of time indices must be contained in the binary time kernel files generated by spec2timeKernels.

#### **Optional options**

**-wp** If set, time waveform kernel files 'ON-WP' (plain kernel values on wavefield points) will be read (assuming these files exist!) and writte as vtk files. If not set, normal time kernel files (pre-integrated) are read in and written as vtk files.

#### **Integration Weights** 3.2

The ASKI module integrationWeights computes integration weights for the set of wavefield points in order to integrate the kernels over the inversion grid. As we need to calculate the integrals of the kernels over each inversion grid cell separately, the integration weights are computed for each cell in such a way that weighting the summation of the kernel values yields the desired integral value:

For each inversion grid cell  $\Omega_c \subset \mathbb{R}^3$  which contains wavefield points  $\mathbf{x}_1, \dots, \mathbf{x}_{n_c}$  the weights  $w_1, \ldots, w_{n_c}$  are computed such that

$$\int_{\Omega_c} K(\mathbf{x}) \, d\mathbf{x} \simeq \sum_{i=1}^{n_c} w_i K(\mathbf{x}_i) \tag{3.1}$$

There are several types of integration weights supported (indicated by dummy variable intw\_ type of subroutine createIntegrationWeights):

#### 3.2.0 **Compute Average (no integration)**

In case of intw type = 0, function createIntegrationWeights sets

$$w_i = \frac{1}{n_c} \quad , i = 1, \dots, n_c$$

in each inversion grid cell  $\Omega_c$ . This way, the summation  $\sum_{i=1}^{n_c} w_i K\left(\mathbf{x}_i^G\right) = \frac{1}{n_c} \sum_{i=1}^{n_c} K\left(\mathbf{x}_i^G\right)$  yields the average kernel value in  $\Omega_c$ .

This type of integration weights (which are actually no integration weights) may be used to perform some sort of interpolation of kernel values onto the inversion grid (e.g. in order to compare kernel values from different methods which use different sets of wavefield points).

#### 3.2.1 **Scattered Data Integration**

In case of intw\_type = 1...4, a method by David Levin [Lev99] is applied to a standardized inversion grid cell  $\Omega^S$ . For different shapes of inversion grid cells, different types of standard cells are used, which are referred to below.

For each inversion grid cell  $\Omega_c \subset \mathbb{R}^3$  containing wavefield points  $\mathbf{x}_1, \dots, \mathbf{x}_{n_c}$ , a transformation  $T:\Omega_c\to\Omega^S$  is used to transform cell  $\Omega_c$  into the standard cell  $\Omega^S$  and to compute the respective transformed wavefield points  $\mathbf{x}_{i}^{S} = T(\mathbf{x}_{i})$  contained in  $\Omega^{S}$ .

Then [Lev99] is applied to points  $\mathbf{x}_1^S, \dots, \mathbf{x}_{n_c}^S$  and volume  $\Omega^S$  to compute integration weights  $w_1^S, \dots, w_n^S$  such that

$$\int_{\Omega_{c}} K(\mathbf{x}) d\mathbf{x} = \int_{\Omega^{S}} K(T^{-1}(\mathbf{x}^{S})) \mathcal{J}_{T^{-1}}(\mathbf{x}^{S}) d\mathbf{x}^{S}$$

$$\simeq \sum_{i=1}^{n_{c}} w_{i}^{S} \mathcal{J}_{i} K(\mathbf{x}_{i})$$

$$= \sum_{i=1}^{n_{c}} w_{i} K(\mathbf{x}_{i})$$
(3.2)

where  $\mathcal{J}_{T^{-1}}$  denotes the Jacobian of the inverse transformation  $T^{-1}$ ,  $\mathcal{J}_i = \mathcal{J}_{T^{-1}}\left(\mathbf{x}_i^S\right)$  and the desired weights compute as  $w_i = w_i^S \mathcal{J}_i$ . The method of computing such integration weights  $w_1^S, \ldots, w_{n_c}^S$ , as presented in [Lev99], is explained in the following.

#### The Method of Scattered Data Integration

[Lev99] follows a composite rule strategy for building the integration weights. For subsets of the volume of interest it constructs integration formulae which are as local and as stable as possible and are exact for polyinomials p of a certain fixed degree m. It is assumed that the integrals of these polynomials  $p \in \Pi_m$  over the subsets are easily computable.

In notation of [Lev99], the integration weights  $A_i$  for a function f on domain  $\Omega \subset \mathbb{R}^d$  which is given on a set  $\{x_i\}_{i=1}^N \subset \Omega$  are constructed as

$$A_i = \sum_{k=1}^K A_i^{(k)}, \quad 1 \le i \le N,$$

where  $\Omega$  is subdivided into K disjoint subsets  $E_k$ . For each  $E_k$ , the N weights  $A_i^{(k)}$  are calculated as follows.

We choose a basis  $\{p_i\}_{i=1}^J$  of the space  $\Pi_m$  of all polynomials in  $\mathbb{R}^d$  with maximum total degree m, where  $J = \binom{d+m}{m}$  is the dimension of space  $\Pi_m$ .  $A_i^{(k)}$  are then defined as the components  $a_i = A_i^{(k)}$  of vector  $\bar{a} = D^{-1}E\left(E^tD^{-1}E\right)^{-1}\bar{c}$ , where

$$D = 2\text{Diag} \{ \eta (\|x^* - x_1\|), \dots, \eta (\|x^* - x_N\|) \}$$
  
$$E_{i,j} = p_j(x_i), \quad 1 \le i \le N, \ 1 \le j \le J$$

and  $\bar{c}$  contains the integrals of the  $p_i$  over  $E_k$ , i.e.  $c_i = \int_{E_k} p_i$ .  $\eta(r) = \exp(r^2/h^2)$  is a fast increasing weight function which gives the localizing properties of the weights. h is approximately the diameter of subsets  $E_k$  and  $x^*$  is some center of  $E_k$ .

This composite local approach of calculating global integration weights involves K solutions of a full linear system of order J.

#### **Application to Hexahedral Inversion Grid Cells**

For inversion grid cells of general hexahedral shape, the 3-dimensional cube

$$\Omega^{S} = [-1, 1]^{3} = \left\{ \begin{pmatrix} x \\ y \\ z \end{pmatrix} \middle| -1 \le x, y, z \le 1 \right\}$$

is used as the standard cell. For every such inversion grid cell  $\Omega_c$ , module inversionGrid is expected to provide its transformed wavefield points  $\mathbf{x}_1^S, \dots, \mathbf{x}_{n_c}^S$  and their corresponding values of Jacobian  $\mathcal{J}_i$ .

In the context of Scattered Data Integration, the inversion domain  $\Omega = \Omega^S = [-1,1]^3$  is subdivided into  $K = n_h^3$  subcubes  $E_k$  of edge length  $h = 2/n_h$ .  $n_h = \max\left\{\left\lfloor \sqrt[3]{\frac{n_c}{J}}\right\rfloor, 1\right\}$  is chosen in such a way that there should be at least J (or all, otherwise) integration points within  $E_k$ , as otherwise the damping by matrix  $D^{-1}$  might cause numerical instabilities by making matrix  $E^tD^{-1}E$  close to singular.

As  $x^*$ , the center of the respective subcube is chosen.

The desired weights  $w_1^S, \ldots, w_{n_c}^S$  are then given by  $w_i^S = A_i$ ,  $1 \le i \le n_c$ 

#### **Application to Tetrahedral Inversion Grid Cells**

For inversion grid cells of general tetrahedral shape, the 3-dimensional simplex with corners

$$\begin{pmatrix} 0 \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} 1 \\ 0 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ 1 \\ 0 \end{pmatrix}, \begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix}$$

is used as the standard cell  $\Omega^S$ . For every such inversion grid cell  $\Omega_c$ , module inversion Grid is expected to provide its transformed wavefield points  $\mathbf{x}_1^S, \dots, \mathbf{x}_{n_c}^S$  and their corresponding values of Jacobian  $\mathcal{J}_i$ .

In the context of Scattered Data Integration, here the inversion domain  $\Omega = \Omega^S$  is *not* subdivided into any true subsets  $E_k$ . It is always K = 1 and  $E_1 = \Omega$ , mainly because a subdivision of the standard tetrahedron is not trivial (compared with e.g. the cube  $[-1,1]^3$ ), considering that the integrals of the base polynomials must be computed over all subsets  $E_k$ .

As  $x^*$ , the barycenter

$$\begin{pmatrix} 0.25 \\ 0.25 \\ 0.25 \end{pmatrix}$$

of the standard simplex is chosen and h = 1.

The desired weights  $w_1^S, \ldots, w_{n_c}^S$  are then given by  $w_i^S = A_i, \ 1 \leq i \leq n_c$ 

#### Scattered Data Integration, Order 1

$$intw\_type = 1$$

In the context of this subsection 3.2.1, m=1 is used as the degree of polynomials which are integrated in an exact way and of course d=3. The space  $\Pi_1$  of all polynomials in  $\mathbb{R}^3$  of maximum total degree m=1 has dimension  $J=\binom{3+m}{m}=\binom{4}{1}=4$ . As a basis of  $\Pi_1$  we choose  $\{1,x,y,z\}$ .

#### Scattered Data Integration, Order 2

$$intw_type = 2$$

In the context of this subsection 3.2.1, m=2 is used as the degree of polynomials which are integrated in an exact way and of course d=3. The space  $\Pi_2$  of all polynomials in  $\mathbb{R}^3$  of maximum total degree m=2 has dimension  $J=\binom{3+m}{m}=\binom{5}{2}=10$ . As a basis of  $\Pi_2$  we choose  $\{1,x,y,z,x^2,xy,xz,y^2,yz,z^2\}$ .

## **Scattered Data Integration, Order 3**

$$intw\_type = 3$$

In the context of this subsection 3.2.1, m=3 is used as the degree of polynomials which are integrated in an exact way and of course d=3. The space  $\Pi_3$  of all polynomials in  $\mathbb{R}^3$  of maximum total degree m=3 has dimension  $J=\binom{3+m}{m}=\binom{6}{3}=20$ . As a basis of  $\Pi_3$  we choose  $\left\{1,x,y,z,x^2,xy,xz,y^2,yz,z^2,x^3,x^2y,x^2z,xy^2,xyz,xz^2,y^3,y^2z,yz^2,z^3\right\}$ .

#### **Scattered Data Integration, Optimal Order**

In case of intw\_type = 4, function createIntegrationWeights tries to seperately find for each inversion grid cell the highest possible order of Scattered Data Integration. Starting with highest order m=3, it continues to recompute Scattered Data Integration weights of order m=2 and m=1 until the computation was successful. If the computation for order m=1 fails, the integration weights of that cell will be marked erroneous, the computation of the weights is not successfull in that case.

As the success of the Scattered Data Integration method is strongly dependent on the specific set of points  $\mathbf{x}_1^S, \dots, \mathbf{x}_{n_c}^S$ , since matrix  $E_{i,j} = p_j\left(x_i\right)$  must have full rank, the strategy of choosing the highest possible degree of integration for each cell tries to take all locally available information of inversion grid and wavefield points into account.

## 3.2.2 Linear (first order) Integration

In case of intw\_type = 5, function createIntegrationWeights sets

$$w_i = \frac{1}{n_c} \text{vol}(\Omega_c)$$
 ,  $i = 1, \dots, n_c$ 

in each inversion grid cell  $\Omega_c$ , where  $\operatorname{vol}(\Omega_c)$  denotes the volume of inversion grid cell  $\Omega_c$ , which is expected to be provided by module inversionGrid for every cell.

This way, the summation  $\sum_{i=1}^{n_c} w_i K\left(\mathbf{x}_i^G\right) = \operatorname{vol}\left(\Omega_c\right) \frac{1}{n_c} \sum_{i=1}^{n_c} K\left(\mathbf{x}_i^G\right)$  yields the average kernel value in  $\Omega_c$  multiplied with the volume of  $\Omega_c$ .

This somehow approximates the generalization of the trapezoidal rule to 3 dimensions, in which the integral of a function f over some tetrahedron  $\mathcal{T}$ , which is defined by 4 incoplanar points  $\mathbf{t}_1, \ldots, \mathbf{t}_4$ , is computed by  $\operatorname{vol}(\mathcal{T}) \frac{1}{4} \sum_{i=1}^4 f(\mathbf{t}_i)$ .

## 3.2.3 External Integration Weights

In case of intw\_type = 6, function createIntegrationWeights does not actually compute any integration weights. Instead, it calls function

transformToStandardCellInversionGrid of module inversionGrid with dummy variable type\_standard\_cell set to value -1, which requests the routine to return the total integration weights in variable jacobian instead the jacobian values. These returned values are then stored as the integration weights.

This functionality must be supported by the type of inversion grid. At the moment only inversion grids of type specfem3dInversionGrid support external type integration weights.

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