1. Introduction

Discrete Element Method (DEM) models are used commonly in geomechanics to explicitly model the mechanics of Naturally Fractured Rock (NFR) masses (Jing, 2003). NFR is often modeled as a multiscale material due to the vastly different length scales involved in the deformation process (Zhou et al., 2003). At the fracture scale (10-3 m), the physics is dominated by brittle fracture propagation and fracture-to-fracture contact force interaction, while one is normally interested in the reservoir scale (103 m) response as a result of the spatial extension of the fractures. Because these scales of interest span approximately six orders of magnitude, multiscale methods are required to assess the overall response as modelling with fracture scale resolution at the reservoir scale becomes computationally prohibitive.

DEM models, unlike standard continuum models, consider the fractures within the rock mass as a Discrete Fracture Network (DFN), which explicitly defines the geometry of the fracture network. The physics of block interaction is then governed by the motion, contact forces and traction-separation laws between the rock blocks and the fractures [?]. Because NFR behavior is complex, even sophisticated phenomenological constitutive relationships may be inadequate to describe the complete rock mass behavior. The DEM approach aims to address this continuum behavioral deficiency by only requiring constitutive relations for the block interactions [?].

That being said, the main issue with DEM models is primarily the computational demands. Due to the large number of degrees of freedom in the models and the requirement for very small time steps because of the constant need for contact detection between blocks running reservoir scale models is computationally prohibitive. The intent of this article is to develop a framework that incorporates the response of the DEM models while harnessing the computational speed of the continuum models. Up-scaling is accomplished in this paper by calibrating a continuum model with DEM virtual experimental data using an iterative least squares regression algorithm.

The general goal of up-scaling is to formulate simplified coarse-scale governing equations that approximate the fine-scale behavior of a material [?]. In the case of the DEM simulations in this investigation, the aim of up-scaling is to identify the parameters of a continuum model that best mimics the response of the DEM model.

Multiscale methods that can be considered often fall into one of two classes: hierarchical or concurrent [?]. In concurrent multiscale models, different scales are used in different regions of the domain; the solution of the coupled model proceeds by solving both scales simultaneously. This approach is very expensive since the time step of the whole simulation is controlled by the fine-scale model; however, the solution is often more accurate. In hierarchical multiscale methods, the constitutive behavior at the coarser scale is determined by exercising a finer scale RVE. The finer scale models vary from relatively simple models, as in micromechanics, to complex nonlinear models. This approach is much more efficient, but can be less accurate. Up-scaling in this investigation can be considered to be a hierarchical multiscale method using computational homogenization.

Many multiscale homogenization techniques have been developed and proposed in the past, [? ? ?], but none have addressed the problem of up-scaling DEM simulations of NFR to continuum damage mechanics models using parameter estimation techniques.

2. Distinct Element Method

3. Up-Scaling Methodology

The upscaling methodology that is developed in this paper aims to homogenize DEM simulations to estimate a set of parameters in a Continuum Damage Mechanics (CDM) model. In order for this method to be effective, the CDM has to be parameterized by identifying key parameters in the constitutive relationships that govern the behavioral response. The general upscaling methodology presented here can be summarized in three steps:

1. Run REV DEM simulations of NFR under various loading conditions.
2. Apply homogenization algorithms to DEM results to obtain stress-strain curves.
3. Iteratively run a parameterized CDM model within a parameter estimation algorithm to minimize the difference between the CDM and DEM responses.

Once the optimal parameter set for the continuum material model is identified, the newly established constitutive model can be used in a Finite Element Method (FEM) code to simulate the response of NFR at the reservoir scale.

Add here some of the implementation mechanics

4. Homogenization Approach

The main objective of homogenizing DEM simulations is to be able to describe the macroscopic behavior of the discontinuous medium in terms of a standard more computationally efficient continuum model. The homogenization algorithms used herein are based on the methods developed by (DAddetta et al., 2004) and (Wellmann et al., 2008). In this homogenization process, the resultant inter-block contact forces and block displacement from the DEM simulations are converted to average stresses and strains for a continuum.

For the homogenization procedure to yield meaningful results, it should be applied to a REV. The exact size of the REV depends on the geometry and mechanical properties of the DEM model. For the homogenization approach to hold, the REV of size d within a system with a characteristic length D and consisting of blocks with a characteristic diameter δ, must subscribe to the following scale separation (Wellmann et al., 2008).

$$D \gg d \gg \delta \tag{1}$$

*Given a circular REV, due to the discontinuous nature of the DEM simulations, the circular REV cannot be used directly. Because the calculated displacements and contact forces from

the DEM are known at the block edges, the homogenization domain boundary must follow the block boundaries. In order to define a homogenization domain based on the REV, but subscribing to the block boundaries, the homogenization domain is taken to be the domain defined by the outside boundaries of the blocks that intersect the REV boundary, as illustrated in 7.1. The homogenization domain is characterized by a series of block corners which are identified for the initial (zero strain) state. These corners continue to define the homogenization domain once deformation occurs, allowing for a consistent homogenization domain definition as the model is deformed. The algorithm that was developed to assess the homogenization domain boundary is presented as follows:

1. Identify all blocks that lie on the REV boundary.
2. Identify all blocks that lie completely outside the REV boundary.
3. Find all contacts corresponding to the intersection between blocks in 1 and 2.
4. Find all corners corresponding to the contacts in 3.
5. Find all contacts of blocks in 1.
6. Find all blocks corresponding to the intersection of contacts in 3 and 5.
7. Find all corners corresponding to blocks in 6.
8. Find intersection of corners in 4 and 7.
9. Find corners that initially (at zero strain) coincided with the corners in 8
10. Find union of corners in 8 and 9.
11. Order corners from 10 such that they form the boundary of the

This alogorithm for defninig the homogenization domain was developed to provide an unambiguous method for assessing a unique homogenization domain for a given circle radius and location. In steps 1 and 2, two mutually exclusive block sets are identified, which neccessarily share contacts. It is the boundary between these two block sets that is the homogenization domain boundary which is characterized by this algorithm. Ultimately, the goal of this process is to identify the corners on this boundary that are on the blocks that intersect with the REV boundary and not the blocks that are outside the REV boundary. As such, the corners (step 4) corresponding to the contacts (step 3) between the two sets of blocks are determined. Step 5 is neccessary to help eliminate some blocks from the set of boundary block which intersect the REV boundary, but only have contact with blocks inside the homogenization domain boundary, and thus do not have any overall contribution to the definition. Step 6 determines this resultant set of boundary blocks of which every member is conected to the boundary in some capacity. Finding the set of corners that is mutually shared by these blocks in step 7 and the boundary contact corners in step 4 allow for the determination of the initial set of boundary corners (step 8).

However, one must also note the potential displacement jumps that may occur between blocks on the boundary as the model deforms. In the case where the blocks become physically separated, there exists a discontinuity along the homogenization boundary as can be seen in 7.1. These discontinuities along the homogenization boundary were considered by adding boundary segments to the homogenization boundary between the corners of the adjacent blocks. As such, steps 9 and 10 find coincident corners on adjacent boundary blocks to allow for the blocks to become separated on the boundary, while still maintaining connectivity along the homogenization domain boundary. It is also neccessary to order the corners (step 11) as they would appear along the homogenization boundary in order to define the boundary segments along which integration can be performed.

The homogenization boundary, Γ_h, can be described in terms of n ordered boundary vertices, $V_i^h = (x_i^h, y_i^h)$, representing the ith set of vertex coordinates along the boundary, such that the homogenization area, A^h, can be calculated using the following formulation for the area of an arbitrary, non-self-intersecting polygon(find reference):

$$A^h = \frac{1}{2} \sum_{i=1}^{n} x_i^h (y_{i+1}^h - y_{i-1}^h) \qquad (2)$$

At this point, within the homogenization domain, one must differentiate between the blocks and the void space between the blocks as they have fundamentally different behaviour. As such, the homogenization domain can be decomposed into two mutually exlusive subdomains representing the voids and blocks, Ω^v and Ω^b, respectively. The total block area associated with the block subdomain, A^b, can be assessed as a summation of m block areas within the homogenization domain, while the individual block area can be assessed in a similar manner to 2. For n^j block boundary vertices, $V_{i,j}^b = (x_{i,j}^b, y_{i,j}^b)$ representing the ith set of vertex coordinates on the jth block, the total block area can be calculated as:

$$A^b = \frac{1}{2} \sum_{j=0}^{m} \sum_{i=1}^{n^j} x_{i,j}^b (y_{i+1,j}^b - y_{i-1,j}^b) \qquad (3)$$

Assuming that the block domain and the void domain are jointly exhaustive of the total homogenization domain, the total area associated with the void subdomain, A^v, can be written as the difference of the homogenization domain area and the block subdomain area:

$$A^v = A^h - A^b \qquad (4)$$

$$A^v = \frac{1}{2} \sum_{i=1}^{n} x_i^h (y_{i+1}^h - y_{i-1}^h) - \frac{1}{2} \sum_{j=0}^{m} \sum_{i=1}^{n^j} x_{i,j}^b (y_{i+1,j}^b - y_{i-1,j}^b) \qquad (5)$$

4.1. Stress Homogenization

The homogenized Cauchy stress, $\langle \sigma \rangle$, is derived from the definition of the spatial average of the stress, σ, over the homogenization domain Ω^h, with an area A^h:

$$\langle \sigma \rangle = \frac{1}{A^h} \int_{\Omega^h} \sigma dA \qquad (6)$$

As previously mentioned, there exists a nesseccary distinction between the block subdomain and the void subdomain

Figure 1: Figure illustrating the assessment of the homogenization domain

when dealing with stress. Here, the integration over the homogenization domain can be decomposed into two seperate integrations over the block subdomain and the void subdomain:

$$\langle \sigma \rangle = \frac{1}{A^h}\Big[\int_{\Omega^b} \sigma dA + \int_{\Omega^v} \sigma dA\Big] \tag{7}$$

This distinction is made due to the fact that in a purely mechanical model, there isn't any pressure or stress being retained in the void space, resulting in a negligable contribution to the overall stress state. This allows for the void subdomain integration term to be dropped from the formulation:

$$\langle \sigma \rangle = \frac{1}{A^h}\int_{\Omega^b} \sigma dA \tag{8}$$

Since the block subdomain is inherently discretized, the integration of the stress over the block subdomain can be written as a summation of the average stress in each block, σ_i^b, of area A_i^b over N^b number of blocks in the block subdomain:

$$\langle \sigma \rangle = \frac{1}{A^h}\sum_{i=1}^{N^b} \sigma_i^b A_i^b \tag{9}$$

In the case where the blocks are considered as deformable bodies, the average stress in a given block can be assessed by taking a spatially weighted average of the zone stresses (σ_{ij}^z). For a given block with N_i^z zones, the average stress can be weighted based on the zone area, A_{ij}^z:

$$\sigma_i^b = \frac{1}{A_i^b}\sum_{j=1}^{N_i^z} \sigma_{ij}^z A_{ij}^z \tag{10}$$

Combining equations 9 and 10 yeild the final form for assessing the homogenized Cauchy stress tensor for deformable DEM blocks:

$$\langle \sigma \rangle = \frac{1}{A^h}\sum_{i=1}^{N^b}\sum_{j=1}^{N_i^z} \sigma_{ij}^z A_{ij}^z \tag{11}$$

4.2. Strain Homogenization

$$\epsilon = \frac{1}{2}\Big[\nabla \mathbf{u} + (\nabla \mathbf{u})^T\Big] \tag{12}$$

$$\langle \epsilon \rangle^\Omega = \frac{1}{A}\int_\Omega \epsilon dA \tag{13}$$

$$\langle \epsilon \rangle^\Omega = \frac{1}{A}\Big[\int_{\Omega_r} \epsilon dA_r + \int_{\Omega_f} \epsilon dA_f\Big] \tag{14}$$

$$\langle \epsilon \rangle^\Omega = \frac{1}{2A}\Big[\int_{\Omega_r} \big[\nabla \mathbf{u} + (\nabla \mathbf{u})^T\big] dA_r + \int_{\Omega_f} \big[\nabla \mathbf{u} + (\nabla \mathbf{u})^T\big] dA_f\Big] \tag{15}$$

$$\langle \epsilon \rangle^\Omega = \frac{1}{2A}\Big[\oint_{\Gamma_r} [\mathbf{u} \otimes \mathbf{n} + \mathbf{n} \otimes \mathbf{u}] d\Gamma_r + \oint_{\Gamma_f} [\mathbf{u} \otimes \mathbf{n} + \mathbf{n} \otimes \mathbf{u}] d\Gamma_f\Big] \tag{16}$$

$$\langle \epsilon \rangle^\Omega = \frac{1}{2A}\Big[\sum_{i=1}^{N_{rb}} \big[\mathbf{u}_{rb}^i \otimes \mathbf{n}_{rb}^i + \mathbf{n}_{rb}^i \otimes \mathbf{u}_{rb}^i\big] L_{rb}^i + \sum_{i=1}^{N_{db}} \big[\mathbf{u}_{db}^i \otimes \mathbf{n}_{db}^i + \mathbf{n}_{db}^i \otimes \mathbf{u}_{db}^i\big] L \tag{17}$$

5. Continuum Material Models

5.1. Damage Plasticty Model For Quasi-Brittle Materials

Damage plasticity model based on Strain can be decomposed into elastic and plastic components:

$$\epsilon = \epsilon^{el} + \epsilon^{pl} \tag{18}$$

Taking the time derivative gives the decomposition of the strain rate, $\dot{\epsilon}$:

$$\dot{\epsilon} = \dot{\epsilon}^{el} + \dot{\epsilon}^{pl} \tag{19}$$

The constitutive stress-strain relationship including a scalar damage parameter, $\mathbf{D}$ can be written as follows:

$$\sigma = (1 - \mathbf{D})\mathbf{E} : \epsilon^{el} \tag{20}$$

For simplicity, the damaged elastic stiffness is described as the reduced stiffness due to the damage:

$$\mathbf{E^d} = (1 - \mathbf{D})\mathbf{E} \tag{21}$$

Substituting 18 and 21 into 20 results in the following:

$$\sigma = \mathbf{E^d} : (\epsilon - \epsilon^{pl}) \tag{22}$$

Using the "usual notions of CDM" (find reference), the effective stress. $\bar{\sigma}$, can be defined as:

$$\bar{\sigma} = \mathbf{E} : (\epsilon - \epsilon^{pl}) \tag{23}$$

Such that the cauchy stress tensor can be realted to the effective stress tensor as follows:

$$\sigma = (1 - \mathbf{D})\bar{\sigma} \tag{24}$$

The nature of the damage evolution is assumed to be a function of the effective stress and the equivalent plastic strain, $\bar{\epsilon}^{pl}$:

$$\mathbf{D} = \mathbf{D}(\bar{\sigma}, \bar{\epsilon}^{pl}) \tag{25}$$

In this formulation, the brittle nature of rock neccessitates seperate characterization of tensile and compressive damage. In the case where a rock sample fails completely in tension, (i.e. the tensile stiffness becomes effectively 0), the compressive strength remains intacts to a fairly high degree such that two seperate damage variables for tensile damage and compressive damage. As such, the equivalent plastic strain is also considered seperately for tension and compression and is represented as follows:

$$\bar{\epsilon}^{pl} = \begin{bmatrix} \bar{\epsilon}_t^{pl} \\ \bar{\epsilon}_c^{pl} \end{bmatrix} \tag{26}$$

The evolution of the equivalent plastic strains are described by the time derivative of the equivalent plastic strain, which can

be considered to be related to the time derivative of the plastic strain through a hardenbing rule, **h** such that:

$$\dot{\bar{\epsilon}}^{pl} = \mathbf{h}(\bar{\sigma}, \bar{\epsilon}^{pl}) \bullet \dot{\epsilon} \qquad (27)$$

The flow rule can be written in terms of the flow potential function, $G(\bar{\sigma})$, and a plastic mulitplier λ:

$$\dot{\epsilon} = \dot{\lambda}\frac{\partial G(\bar{\sigma})}{\partial \bar{\sigma}} \qquad (28)$$

Non-associated plasticity is used, which required the solution of non-symetric equations.

*****Damage Evolution and Stiffness Degredation

The evolution of the equivalent plastic strains are formulated by assuming the stress-strain curves can be converted into stress vs plastic strain curves where the tensile and compressive stresses are streated seperately:

$$\sigma_t = \sigma_t(\bar{\epsilon}_t^{pl}, \dot{\bar{\epsilon}}_t^{pl})$$
$$\sigma_c = \sigma_c(\bar{\epsilon}_c^{pl}, \dot{\bar{\epsilon}}_c^{pl}) \qquad (29)$$

Loading a quasi-brittle in compression or tension causes damage in the material, which reduces the effective stiffness, weakening the unloading response. This damage is characterized by two damage variables, one of which represents the damage due to tensile loading, the other represents damage due to compressive loading.

$$D_t = D_t(\bar{\epsilon}_t^{pl}), \qquad 0 \leq D_t \leq 1$$
$$D_c = D_c(\bar{\epsilon}_c^{pl}), \qquad 0 \leq D_t \leq 1 \qquad (30)$$

The damage in both compression and tension is a neccesarily increasing function of the equivalent plastic strains. This formulation will adopt the convention where ***sigma_c*** is positive in compression, as with the respectiove strains.

$$\sigma_t = (1 - D_t)\mathbf{E} : (\epsilon_t - \bar{\epsilon}_t^{pl})$$
$$\sigma_c = (1 - D_c)\mathbf{E} : (\epsilon_c - \bar{\epsilon}_c^{pl}) \qquad (31)$$

For cyclic loading, both the compressive and tensile damage need to be considered. Two stiffness recovery factors are introduced, s_t and s_c, which represent the stiffness recovery effects associated with stress reversals. The damage can be said to take the form of:

$$(1 - D) = (1 - s_t D_c)(1 - s_c D_t), \qquad 0 \leq s_t, s_c, \leq 1 \qquad (32)$$

In the case of tensile loading followed by compressive loading, the stiffness is assumed to completely recover

5.2. Drucker-Prager Plasticty Model With Ductile Damage

5.3. Model Parameterization

6. Parameter Estimation

7. Up-Scaling NFR

7.1. DEM Simulations

The DEM simulations used in this investigation consist of a DFN within a 10m10m virtual block subject to uniaxial and triaxial testing procedures (Fig 7.1). The nature of numerical modelling allows one the luxury of conducting physically impractical material tests such as direct tensile tests in order to characterize the material properties of the NFR.

The 10m10m model size was determined to be sufficient to represent the DFN, which was characterized by a Voronoi tessellation with a block size of approximately 0.5m. Since the material model used in this investigation can only consider an isotropic NFR, a inherently isotropic randomly generated Voronoi tessellation was chosen to represent the DFN in the DEM simulation. The rock and joint properties for the model, given in Table 1, were chosen to be representative of a reservoir rock (Pirayehgar and Dusseault, 2015).

Table 1: Rock and joint properties for the DEM simulations

Property	Value
Rock Density	$2.7 kg/m^3$
Rock Young's Modulus	$12 GPa$
Rock Poisson's Ratio	0.3
Joint Normal Stiffness	$10 GPa$
Joint Shear Stiffness	$1 GPa$
Joint Friction Angle	$30°$
Joint Cohesion	$0.1 MPa$
Joint Tensile Strength	$10 MPa$
Joint Dilation Angle	$10°$

The DEM model was subjected to uniaxial tension and compression cycles as well as triaxial tension and compression cycles under different confining stresses to calibrate the continuum model. The triaxial tests were conducted at confining stresses of 5MPa and 10MPa. These numerical tests were constrained in such a way to imitate the laboratory testing procedures. The only procedural difference in these virtual laboratory tests was that the axial strain is brought back to the initial configuration in order to characterize the damage evolution.

The compression cycles were run at a target strain rate of 0.001/s for a period of 10s in compression followed by a period of 10s in tension to return the strain to zero. The transition from the compression part of the load path to the tension part of the load path was conducted over a period of 2s to avoid shocking the system.

Because the tension cycles reach failure at a much lower strain, the tension cycles were run at a target strain rate of 0.0001/s for a period of 5s in each direction. In this case, the transition period from tension to compression was 1s.

The aim of the compression and tension cycles is to strain the model past the yield stress in order to investigate the post-yield behavior, but not strain the model so much that the RVE loses all of its strength. It is noted that the strain rate was chosen to be sufficiently small so as to avoid strain rate effects. The appropriate amount of strain for a given DEM simulation will

Figure 2: Two dimensional DFN used for the DEM simulations. A 10m10m Voronoi tessellation with an average block size of 0.5m was used to characterize the DFN.

depend upon the DEM geometry in addition to the rock and joint properties.

8. Up-Scaling NFR

9. Conclusions