

Classical Damping, Non-Classical Damping and Complex Modes

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1 Classical Damping

The equations of motion of an unforced N degree of freedom elastic structure with viscous damping are

$$\mathbf{M}\ddot{\mathbf{r}}(t) + \mathbf{C}\dot{\mathbf{r}}(t) + \mathbf{K}\mathbf{r}(t) = \mathbf{0}, \quad (1)$$

with initial conditions $\mathbf{r}(0) = \mathbf{d}_o$ and $\dot{\mathbf{r}}(0) = \mathbf{v}_o$. If the system is un-damped ($\mathbf{C} = \mathbf{0}_{N \times N}$), the free response of the system will not decay with time, and a suitable trial solution to the differential equation (1) is $\mathbf{r}(t) = \bar{\mathbf{r}} \sin(\omega_n t)$, where $\bar{\mathbf{r}}$ is a constant vector of dimension N . Differentiating $\mathbf{r}(t)$ twice, $\ddot{\mathbf{r}}(t) = -\omega_n^2 \bar{\mathbf{r}} \sin(\omega_n t)$, and substituting the trial solution into equation (1) we obtain

$$-\omega_n^2 \mathbf{M} \bar{\mathbf{r}} \sin(\omega_n t) + \mathbf{K} \bar{\mathbf{r}} \sin(\omega_n t) = \mathbf{0}. \quad (2)$$

For the assumed trial solution to be true for all time,

$$[\mathbf{K} - \omega_{nj}^2 \mathbf{M}] \bar{\mathbf{r}}_j = \mathbf{0}, \quad (3)$$

which is a *general eigen-value problem*, in which eigen-values are squared natural frequencies, ω_{nj}^2 , and the eigen-vectors are mode-shape vectors, $\bar{\mathbf{r}}_j$. If the structure is modeled with N degrees of freedom, then there will be N natural frequencies and N modal vectors. The modal matrix $\bar{\mathbf{R}}$ is the column-wise concatenation of the N mode-shape vectors, $\bar{\mathbf{R}} = [\bar{\mathbf{r}}_1 \ \bar{\mathbf{r}}_2 \ \cdots \ \bar{\mathbf{r}}_N]$. The modal matrix $\bar{\mathbf{R}}$ diagonalizes both the mass and stiffness matrices. The Rayleigh quotient is the ratio of the diagonalized stiffness matrix to the diagonalized mass matrix.

$$\frac{\bar{\mathbf{R}}^T \mathbf{K} \bar{\mathbf{R}}}{\bar{\mathbf{R}}^T \mathbf{M} \bar{\mathbf{R}}} = \begin{bmatrix} k_1^*/m_1^* & & \\ & \ddots & \\ & & k_N^*/m_N^* \end{bmatrix} = \begin{bmatrix} \omega_{n1}^2 & & \\ & \ddots & \\ & & \omega_{nN}^2 \end{bmatrix} = \mathbf{\Omega}^2. \quad (4)$$

For *mass-normalized modal vectors* $\bar{\mathbf{R}}^T \mathbf{M} \bar{\mathbf{R}} = \mathbf{I}_N$ and $\bar{\mathbf{R}}^T \mathbf{K} \bar{\mathbf{R}} = \mathbf{\Omega}^2$.

A damping matrix that is diagonalizable by $\bar{\mathbf{R}}$ is called a *classical damping matrix*.

$$\frac{\bar{\mathbf{R}}^T \mathbf{C} \bar{\mathbf{R}}}{\bar{\mathbf{R}}^T \mathbf{M} \bar{\mathbf{R}}} = \begin{bmatrix} c_1^*/m_1^* & & \\ & \ddots & \\ & & c_N^*/m_N^* \end{bmatrix} = \begin{bmatrix} 2\zeta_1 \omega_{n1} & & \\ & \ddots & \\ & & 2\zeta_N \omega_{nN} \end{bmatrix}. \quad (5)$$

where ζ_j is the damping ratio of the i -th mode, and ω_{ni} is the un-damped natural frequency of the i -th mode. Systems with classical damping are *triple diagonalizable*. The modal vectors of triple diagonalizable systems depend only on \mathbf{M} and \mathbf{K} , and are independent of \mathbf{C} , regardless of how heavily the system is damped. There are many ways to compute a classical damping matrix from mass and stiffness matrices.

A *Rayleigh* damping matrix is proportional to the mass and stiffness matrices [6],

$$\mathbf{C} = \alpha \mathbf{M} + \beta \mathbf{K}. \quad (6)$$

where α and β are related to damping ratios and frequencies by

$$\zeta_k = \alpha \frac{1}{2\omega_k} + \beta \frac{\omega_k}{2} \quad (7)$$

Mass proportional damping ratios decrease inversely with ω and stiffness proportional damping ratios increase linearly with ω .

Rayleigh damping can be extended. It can be shown that the damping matrix

$$\mathbf{C} = \alpha \mathbf{M} + \beta \mathbf{K} + \gamma \mathbf{M} \mathbf{K}^{-1} \mathbf{M} + \delta \mathbf{K} \mathbf{M}^{-1} \mathbf{K} \quad (8)$$

is a classical damping matrix. An extended Rayleigh damping matrix, called Caughey damping [1, 2], can be computed from

$$\mathbf{C} = \mathbf{M} \sum_{j=n_1}^{j=n_2} \alpha_j (\mathbf{M}^{-1} \mathbf{K})^j \quad (9)$$

where n_1 and n_2 can be positive or negative, as long as $n_1 < n_2$. The coefficients α_j are related to the damping ratios, ζ_k , by

$$\zeta_k = \frac{1}{2} \frac{1}{\omega_k} \sum_{j=n_1}^{j=n_2} \alpha_j \omega_k^{2j} \quad (10)$$

Alternatively, a classical damping matrix can be computed for a specified set of modal damping ratios ζ_j from the mass matrix and *all* N modal vectors and natural frequencies.

$$\mathbf{C} = \mathbf{M} \bar{\mathbf{R}} \begin{bmatrix} 2\zeta_1 \omega_{n1} / m_1^* & & \\ & \ddots & \\ & & 2\zeta_N \omega_{nN} / m_N^* \end{bmatrix} \bar{\mathbf{R}}^T \mathbf{M}. \quad (11)$$

The displacements $\mathbf{r}(t)$ of triple-diagonalizable systems can always be expressed as a linear combination of real-valued *modal coordinates*, $\mathbf{q}(t)$,

$$\mathbf{r}(t) = \bar{\mathbf{r}}_1 q_1(t) + \bar{\mathbf{r}}_2 q_2(t) + \cdots + \bar{\mathbf{r}}_N q_N(t) = \bar{\mathbf{R}} \mathbf{q}(t). \quad (12)$$

Substituting equation (12) into equation (1) and pre-multiplying by $\bar{\mathbf{R}}^T$ gives

$$\bar{\mathbf{R}}^T \mathbf{M} \bar{\mathbf{R}} \ddot{\mathbf{q}}(t) + \bar{\mathbf{R}}^T \mathbf{C} \bar{\mathbf{R}} \dot{\mathbf{q}}(t) + \bar{\mathbf{R}}^T \mathbf{K} \bar{\mathbf{R}} \mathbf{q}(t) = \mathbf{0}, \quad (13)$$

or, for each mode, i , $1 \leq i \leq N$,

$$\ddot{q}_j(t) + 2\zeta_j \omega_{nj} \dot{q}_j(t) + \omega_{nj}^2 q_j(t) = 0, \quad (14)$$

which are the N uncoupled equations of motion in modal coordinates. The damped free response of each modal coordinate decays exponentially with time

$$q_j(t) = e^{-\zeta_j \omega_{nj} t} (\bar{q}_{cj} \cos \omega_{dj} t + \bar{q}_{sj} \sin \omega_{dj} t), \quad (15)$$

where ω_{dj} is the j -th *damped natural frequency*, is related to the j -th un-damped natural frequency and damping ratio by $\omega_{dj} = \omega_{nj} \sqrt{1 - \zeta_j^2}$, and the coefficients \bar{q}_{cj} , \bar{q}_{sj} depend on the initial conditions, the modal vectors, and the mass matrix.

2 Non-Classical Damping

In general, the damping is *not* classical, $\bar{\mathbf{R}}^\top \mathbf{C} \bar{\mathbf{R}}$ is not a diagonal matrix, and the natural frequencies, damping ratios, and modal vectors depend on the mass, stiffness, *and* damping matrices of the structural system. To determine the mode-shape vectors, natural frequencies, and damping ratios from \mathbf{M} , \mathbf{C} , and \mathbf{K} it is necessary to write the 2nd order differential equation (1) as two sets of first order differential equations. Defining the velocity $\mathbf{v}(t) = \dot{\mathbf{r}}(t)$, so that $\ddot{\mathbf{r}}(t) = \dot{\mathbf{v}}(t)$, and solving equation (1) for $\ddot{\mathbf{r}}(t)$,

$$\frac{d}{dt} \mathbf{v}(t) \equiv \ddot{\mathbf{r}}(t) = -\mathbf{M}^{-1} \mathbf{K} \mathbf{r}(t) - \mathbf{M}^{-1} \mathbf{C} \dot{\mathbf{r}}(t). \quad (16)$$

Re-writing these two sets of first order differential equations in matrix form,

$$\frac{d}{dt} \begin{Bmatrix} \mathbf{r}(t) \\ \mathbf{v}(t) \end{Bmatrix} = \begin{bmatrix} \mathbf{0}_{N \times N} & \mathbf{I}_N \\ -\mathbf{M}^{-1} \mathbf{K} & -\mathbf{M}^{-1} \mathbf{C} \end{bmatrix} \begin{Bmatrix} \mathbf{r}(t) \\ \mathbf{v}(t) \end{Bmatrix}. \quad (17)$$

The $2N$ -by- $2N$ matrix in the square brackets is called the *dynamics matrix*. Note that it is not symmetric.

For any damped system (classically or non-classically damped) we must assume that the free-vibration response decays with time,

$$\mathbf{r}(t) = 2\bar{\mathbf{r}}_r e^{\sigma t} \cos(\omega_d t) - 2\bar{\mathbf{r}}_i e^{\sigma t} \sin(\omega_d t). \quad (18)$$

All of the terms in equation (18) are real valued, however, it will be convenient to express this equation in terms of *complex* values. We now introduce a complex mode shape vector $\bar{\mathbf{r}} = \bar{\mathbf{r}}_r + i\bar{\mathbf{r}}_i$ and a complex modal coordinate.

$$q(t) = q_r(t) + iq_i(t) = e^{\sigma t} (\cos(\omega_d t) + i \sin(\omega_d t)), \quad (19)$$

where $\bar{\mathbf{r}}_r$ and $\bar{\mathbf{r}}_i$ are the real and imaginary parts of $\bar{\mathbf{r}}$ and $q_r(t)$ and $q_i(t)$ are the real and imaginary parts of $q(t)$. With these new definitions, the trial function may be written compactly as

$$\mathbf{r}(t) = \bar{\mathbf{r}} q(t) + \bar{\mathbf{r}}^* q^*(t).$$

Note here that the subscripts “r” and “i” indicate *real* and *imaginary* and are not indices. Note also that

$$e^{\sigma t} (\cos(\omega_d t) + i \sin(\omega_d t)) = e^{\lambda t} \quad (20)$$

where $\lambda = \sigma + i\omega_d$. So, the complex modal coordinate, $q(t)$, can be written $q(t) = e^{\lambda t}$. The real part of λ equals $-\zeta\omega_n$, the imaginary part of λ equals $\omega_d = \omega_n \sqrt{[\zeta^2 - 1]}$, and $\lambda\lambda^* = \omega_n^2$.

Re-writing and differentiating equation (18) to solve the first order differential equations (17),

$$\mathbf{r}(t) = \bar{\mathbf{r}} e^{\lambda t} + \bar{\mathbf{r}}^* e^{\lambda^* t} \quad (21)$$

$$\mathbf{v}(t) = \lambda \bar{\mathbf{r}} e^{\lambda t} + \lambda^* \bar{\mathbf{r}}^* e^{\lambda^* t}, \quad (22)$$

or

$$\begin{Bmatrix} \mathbf{r}(t) \\ \mathbf{v}(t) \end{Bmatrix} = \begin{bmatrix} \bar{\mathbf{r}} & \bar{\mathbf{r}}^* \\ \lambda \bar{\mathbf{r}} & \lambda^* \bar{\mathbf{r}}^* \end{bmatrix} \begin{Bmatrix} e^{\lambda t} \\ e^{\lambda^* t} \end{Bmatrix}, \quad (23)$$

and

$$\frac{d}{dt} \begin{Bmatrix} \mathbf{r}(t) \\ \mathbf{v}(t) \end{Bmatrix} = \begin{bmatrix} \bar{\mathbf{r}} & \bar{\mathbf{r}}^* \\ \lambda \bar{\mathbf{r}} & \lambda^* \bar{\mathbf{r}}^* \end{bmatrix} \begin{bmatrix} \lambda & 0 \\ 0 & \lambda^* \end{bmatrix} \begin{Bmatrix} e^{\lambda t} \\ e^{\lambda^* t} \end{Bmatrix}. \quad (24)$$

Substituting equations (23) and (24) into the differential equations (17),

$$\begin{bmatrix} \bar{\mathbf{r}} & \bar{\mathbf{r}}^* \\ \lambda \bar{\mathbf{r}} & \lambda^* \bar{\mathbf{r}}^* \end{bmatrix} \begin{bmatrix} \lambda & 0 \\ 0 & \lambda^* \end{bmatrix} \begin{Bmatrix} e^{\lambda t} \\ e^{\lambda^* t} \end{Bmatrix} = \begin{bmatrix} \mathbf{0}_{N \times N} & \mathbf{I}_N \\ -\mathbf{M}^{-1} \mathbf{K} & -\mathbf{M}^{-1} \mathbf{C} \end{bmatrix} \begin{bmatrix} \bar{\mathbf{r}} & \bar{\mathbf{r}}^* \\ \lambda \bar{\mathbf{r}} & \lambda^* \bar{\mathbf{r}}^* \end{bmatrix} \begin{Bmatrix} e^{\lambda t} \\ e^{\lambda^* t} \end{Bmatrix}, \quad (25)$$

For this equation to be true for all time,

$$\begin{bmatrix} \bar{\mathbf{r}} & \bar{\mathbf{r}}^* \\ \lambda \bar{\mathbf{r}} & \lambda^* \bar{\mathbf{r}}^* \end{bmatrix} \begin{bmatrix} \lambda & 0 \\ 0 & \lambda^* \end{bmatrix} = \begin{bmatrix} \mathbf{0}_{N \times N} & \mathbf{I}_N \\ -\mathbf{M}^{-1} \mathbf{K} & -\mathbf{M}^{-1} \mathbf{C} \end{bmatrix} \begin{bmatrix} \bar{\mathbf{r}} & \bar{\mathbf{r}}^* \\ \lambda \bar{\mathbf{r}} & \lambda^* \bar{\mathbf{r}}^* \end{bmatrix}, \quad (26)$$

which represents a complex-conjugate pair of *standard eigen-value problems*:

$$\begin{bmatrix} \mathbf{0}_{N \times N} & \mathbf{I}_N \\ -\mathbf{M}^{-1} \mathbf{K} & -\mathbf{M}^{-1} \mathbf{C} \end{bmatrix} \begin{Bmatrix} \bar{\mathbf{r}} \\ \lambda \bar{\mathbf{r}} \end{Bmatrix} = \begin{Bmatrix} \bar{\mathbf{r}} \\ \lambda \bar{\mathbf{r}} \end{Bmatrix} \lambda \quad (27)$$

and

$$\begin{bmatrix} \mathbf{0}_{N \times N} & \mathbf{I}_N \\ -\mathbf{M}^{-1} \mathbf{K} & -\mathbf{M}^{-1} \mathbf{C} \end{bmatrix} \begin{Bmatrix} \bar{\mathbf{r}}^* \\ \lambda^* \bar{\mathbf{r}}^* \end{Bmatrix} = \begin{Bmatrix} \bar{\mathbf{r}}^* \\ \lambda^* \bar{\mathbf{r}}^* \end{Bmatrix} \lambda^*. \quad (28)$$

The solution to one of these two standard eigen-value problems implies the solution to the other.

A relationship between the modal vectors found by solving the general eigen-value problem (3) and the standard eigen-value problem (27) can be found by solving equation (27) for the un-damped case ($\mathbf{C} = \mathbf{0}_{N \times N}$):

$$\det \left(\begin{bmatrix} -\lambda \mathbf{I}_N & \mathbf{I}_N \\ -\mathbf{M}^{-1} \mathbf{K} & -\lambda \mathbf{I}_N \end{bmatrix} \right) = \det (\lambda^2 \mathbf{I}_N + \mathbf{M}^{-1} \mathbf{K}) = 0 \quad (29)$$

Comparing this characteristic equation to the general eigen-value problem, it can be seen that $\lambda^2 = -\omega_n^2$, or that $\lambda = \pm i\omega_n$. The eigen-vectors of this standard eigen-value problem for the un-damped system, $[\bar{\mathbf{r}}^\top \ i\omega_n \bar{\mathbf{r}}^\top]^\top$, are directly related to the solution of the general eigen-value problem. Recall that eigen-vectors may be arbitrarily scaled, and it is not uncommon for numerical solutions to (27) to be scaled so that $\bar{\mathbf{r}}$ is imaginary and $i\omega_n \bar{\mathbf{r}}$ is real. For the un-damped case, the eigen-vectors can be more-intuitively scaled so that $\bar{\mathbf{r}}$ is purely real and $i\omega_n \bar{\mathbf{r}}$ is purely imaginary.

The real modes arising from systems with zero or classical damping have *nodes*, which are stationary points at which the structure has zero displacement. In contrast, for a complex modal vector, $\bar{\mathbf{r}} = \bar{\mathbf{r}}_r + i\bar{\mathbf{r}}_i$, there is not always a point on the structure at which the modal displacement is zero at all times within a periodic cycle.

3 Numerical Examples

The MATLAB programs `Cmodes3run.m`, `Cmodes3analysis.m`, and `N.dof_anim.m`, may be used to explore the modal characteristics of non-classically damped structures. These programs make plots of the real and imaginary parts of the displacement modal vector, $\bar{\mathbf{r}}$, the modal phasors for each degree of freedom, the real and imaginary parts of the displacement modal coordinates, $\mathbf{q}(t)$, and the displacement responses of the coordinates of a three-degree-of-freedom building model, for which,

$$\mathbf{M} = \begin{bmatrix} m_1 & 0 & 0 \\ 0 & m_2 & 0 \\ 0 & 0 & m_3 \end{bmatrix} \quad \mathbf{C} = \begin{bmatrix} c_1 + c_2 & -c_2 & 0 \\ -c_2 & c_2 + c_3 & -c_3 \\ 0 & -c_3 & c_3 \end{bmatrix} \quad \mathbf{K} = \begin{bmatrix} k_1 + k_2 & -k_2 & 0 \\ -k_2 & k_2 + k_3 & -k_3 \\ 0 & -k_3 & k_3 \end{bmatrix}$$

Values for the floor masses, m_i , inter-story viscous damping rates, c_i , inter-story stiffnesses, k_i , and displacement initial conditions, $\mathbf{r}(0)$, are specified in `Cmodes3run.m`. Running `Cmodes3run.m` results in plots and an animation of the free response to the specified initial conditions.

In the `.m`-function `Cmodes3analysis.m`, each complex mode vector $\bar{\mathbf{r}}_j$ is scaled by a rotation θ_j in the complex plane (via multiplication by the complex scalar $e^{-i\theta_j}$) so that the real part of the displacement the mode shape, $\text{Re}(\bar{\mathbf{r}})$, is maximized (and the imaginary part is minimized). For this rotation, $\tan \theta_j = \text{Im}(\bar{r}_{jk})/\text{Re}(\bar{r}_{jk})$, where $\bar{r}_{jk} = \max |\bar{\mathbf{r}}_j|$. The magnitude of each mode is then scaled so that the displacement parts of the modes are mass-normalized by dividing the real and imaginary parts of $\bar{\mathbf{r}}_j$ and $i\omega_n \bar{\mathbf{r}}_j$ by $\bar{\mathbf{r}}_j^T \mathbf{M} \bar{\mathbf{r}}_j = \mathbf{I}_N$.

When running `Cmodes3run.m`, you may try to:

1. Run a simulation with the as-provided default values for m_i , c_i , k_i , and \mathbf{r}_o ($m_i = 1$ tonne, $c_i = [0, 3, 0]$ N/mm/s, $k_i = 1000$ N/mm, $\mathbf{r}_{oi} = [1, -2, 3]$ mm). Observe how the real part of mode j has $j - 1$ zero-crossings; how the free response of each modal displacement $q_j(t)$ contains only a single frequency, the damped natural frequency, ω_{dj} ; how all three modes are damped even if there is damping in one story only; and how the free response of a higher-frequency mode decays faster (in less time) than that of a lower-frequency mode, even if the higher-frequency mode has slightly less damping.
2. Confirm that if $\mathbf{C} = \mathbf{0}$ the modes are purely real (with the normalization implemented as described above.)
3. Examine modal characteristics for systems with a Rayleigh damping matrix. For example by setting $k_i = 1000$ N/mm and $c_i = 2.0$ N/mm/s, \mathbf{C} is stiffness-proportional ($\mathbf{C} = 0.002\mathbf{K}$). Is $\bar{\mathbf{R}}$ real or complex in this case?
4. Determine values of c_i that will give approximately 5 percent damping in all three modes, for $m_i = 1$ tonne and $k_i = 1000$ N/mm. This will involve some trial-and-error iteration on the three values of c_i . (hint: $c_1 > c_2 > c_3$; $11 < c_1 < 13$ N/mm/s; and $2 < c_2 < 4$ kN/mm/s) Are the resulting modes real or complex? Is there anything unusual or surprising about any of the values of c_i required to meet this goal? Does this finding imply a fallacy in the concept of “damped real normal modes” with arbitrary modal damping ratios?
5. Set the initial displacement, $\mathbf{r}_o = \mathbf{r}(0)$, proportional to each of the three mode shape vectors, and observe that the free response consists almost entirely of that mode. In `Cmodes3run`, if you set $r_{oi} = j$, where $j \in [1, 2, 3]$, \mathbf{r}_o will be set to $\bar{\mathbf{r}}_j$. Next select some other set of initial displacements and observe that the free response contains all three modes.

6. The *phasor matrix*, Φ , of a complex modal matrix, \bar{R} , is given by $\Phi_{ij} = \arctan(\bar{R}_{ii}/\bar{R}_{ri})$ ($-\pi/2 < \Phi_{ij} < +\pi/2$). How does multiplying a modal vector by $\sqrt{-1}$ affect the associated column of Φ ? For a complex-valued mode, are values in the associated column of Φ equal to one another? Why, or why not? The “complexity” of modal vector \bar{r}_j can be characterized by $C_j = \max_i |\Phi_{ij} - \Phi_{(i-1)j}|$. Using the phasor plots generated by `Cmodes3run.m` with $m_i = 1$ tonne and $k_i = 1000$ N/mm, find values of c_1, c_2, c_3 that give a mode with a complexity greater than about 30 degrees.
7. Explore the effects of changing the values of mass, damping, and stiffness. When changing a value of m_i, c_i, k_i , and r_{oi} , try to predict the effect of the change on the natural frequencies, damping ratios, mode-shapes, modal responses, and floor responses; then use `Cmodes3run.m` to check yourself.
 - (a) What happens if you increase a value of c_i so that the damping of one of the modes approaches 100 percent?
 - (b) What happens if a single value of c_i is negative?
 - (c) What happens if a value of c_i is so negative that one of the modal damping ratios becomes slightly negative ($\approx -0.50\%$)?
 - (d) What happens if one of the stiffness coefficients is much much larger than the other coefficients?
 - (e) What happens if one of the stiffness coefficients is slightly *negative*?
 - (f) What happens if one of the mass coefficients is very *negative*?

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