



Homogenization of Coupled Phenomena in Heterogenous Media

Jean-Louis Auriault
Claude Boutin
Christian Geindreau

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Contents

Main notations	17
Introduction	21
PART ONE. UPSCALING METHODS	27
Chapter 1. An Introduction to Upscaling Methods	29
1.1. Introduction	29
1.2. Heat transfer in a periodic bilaminate composite	30
1.2.1. Transfer parallel to the layers	31
1.2.2. Transfer perpendicular to the layers	33
1.2.3. Comments	35
1.2.4. Characteristic macroscopic length	35
1.3. Bounds on the effective coefficients	36
1.3.1. Theorem of virtual powers	36
1.3.2. Minima in the complementary power and potential power	38
1.3.3. Hill principle	39
1.3.4. Voigt and Reuss bounds	40
1.3.4.1. Upper bound: Voigt	40
1.3.4.2. Lower bound: Reuss	42
1.3.5. Comments	44
1.3.6. Hashin and Shtrikman's bounds	45
1.3.7. Higher-order bounds	46
1.4. Self-consistent method	46
1.4.1. Boundary-value problem	47
1.4.2. Self-consistent hypothesis	48
1.4.3. Self-consistent method with simple inclusions	49

1.4.3.1.	Determination of β_α for a homogenous spherical inclusion	49
1.4.3.2.	Self-consistent estimate	51
1.4.3.3.	Implicit morphological constraints	52
1.4.4.	Comments	53

Chapter 2. Heterogenous Medium: Is an Equivalent Macroscopic Description Possible? 55

2.1.	Introduction	55
2.2.	Comments on techniques for micro-macro upscaling	56
2.2.1.	Homogenization techniques for separated length scales	57
2.2.2.	The ideal homogenization method	59
2.3.	Statistical modeling	60
2.4.	Method of multiple scale expansions	61
2.4.1.	Formulation of multiple scale problems	61
2.4.1.1.	Homogenizability conditions	61
2.4.1.2.	Double spatial variable	62
2.4.1.3.	Stationarity, asymptotic expansions	64
2.4.2.	Methodology	65
2.4.3.	Parallels between macroscopic models for materials with periodic and random structures	68
2.4.3.1.	Periodic materials	68
2.4.3.2.	Random materials with a REV	68
2.4.4.	Hill macro-homogenity and separation of scales	69
2.5.	Comments on multiple scale methods and statistical methods	69
2.5.1.	On the periodicity, the stationarity and the concept of the REV	69
2.5.2.	On the absence of, or need for macroscopic prerequisites	70
2.5.3.	On the homogenizability and consistency of the macroscopic description	71
2.5.4.	On the treatment of problems with several small parameters	72

Chapter 3. Homogenization by Multiple Scale Asymptotic Expansions 75

3.1.	Introduction	75
3.2.	Separation of scales: intuitive approach and experimental visualization	75
3.2.1.	Intuitive approach to the separation of scales	75
3.2.2.	Experimental visualization of fields with two length scales	78
3.2.2.1.	Investigation of a flexible net	78
3.2.2.2.	Photoelastic investigation of a perforated plate	81
3.3.	One-dimensional example	84
3.3.1.	Elasto-statics	85

- 3.3.1.1. Equivalent macroscopic description 86
- 3.3.1.2. Comments 89
- 3.3.2. Elasto-dynamics 91
 - 3.3.2.1. Macroscopic dynamics: $\mathcal{P}_l = \mathcal{O}(\varepsilon^2)$ 92
 - 3.3.2.2. Steady state: $\mathcal{P}_l = \mathcal{O}(\varepsilon^3)$ 95
 - 3.3.2.3. Non-homogenizable description: $\mathcal{P}_l = \mathcal{O}(\varepsilon)$ 95
- 3.3.3. Comments on the different possible choices for spatial variables 97
- 3.4. Expressing problems within the formalism of multiple scales 100
 - 3.4.1. How do we select the correct mathematical formulation based on the problem at hand? 100
 - 3.4.2. Need to evaluate the actual scale ratio $\varepsilon_{\mathbf{r}}$ 101
 - 3.4.3. Evaluation of the actual scale ratio $\varepsilon_{\mathbf{r}}$ 102
 - 3.4.3.1. Homogenous treatment of simple compression 103
 - 3.4.3.2. Point force in an elastic object 104
 - 3.4.3.3. Propagation of a harmonic plane wave in elastic composites 104
 - 3.4.3.4. Diffusion wave in heterogenous media 105
 - 3.4.3.5. Conclusions to be drawn from the examples 106

PART TWO. HEAT AND MASS TRANSFER 107

Chapter 4. Heat Transfer in Composite Materials 109

- 4.1. Introduction 109
- 4.2. Heat transfer with perfect contact between constituents 109
 - 4.2.1. Formulation of the problem 110
 - 4.2.2. Thermal conductivities of the same order of magnitude 113
 - 4.2.2.1. Homogenization 113
 - 4.2.2.2. Macroscopic model 117
 - 4.2.2.3. Example: bilaminate composite 119
 - 4.2.3. Weakly conducting phase in a connected matrix: memory effects 121
 - 4.2.3.1. Homogenization 122
 - 4.2.3.2. Macroscopic model 124
 - 4.2.3.3. Example: bilaminate composite 125
 - 4.2.4. Composites with highly conductive inclusions embedded in a matrix 126
 - 4.2.4.1. Homogenization 127
 - 4.2.4.2. Macroscopic model 129
- 4.3. Heat transfer with contact resistance between constituents 130
 - 4.3.1. Model I – Very weak contact resistance 132

- 4.3.2. Model II – Moderate contact resistance 133
- 4.3.3. Model III – High contact resistance 135
- 4.3.4. Model IV – Model with two coupled temperature fields 138
- 4.3.5. Model V – Model with two decoupled temperature fields 140
- 4.3.6. Example: bilaminate composite 141
- 4.3.7. Choice of model 142

Chapter 5. Diffusion/Advection in Porous Media 143

- 5.1. Introduction 143
- 5.2. Diffusion-convection on the pore scale and estimates 143
- 5.3. Diffusion dominates at the macroscopic scale 146
 - 5.3.1. Homogenization 146
 - 5.3.1.1. Boundary value problem for $c^{*(0)}$ 146
 - 5.3.1.2. Boundary value problem for $c^{*(1)}$ 147
 - 5.3.1.3. Boundary value problem for $c^{*(2)}$ 148
 - 5.3.2. Macroscopic diffusion model 148
- 5.4. Comparable diffusion and advection on the macroscopic scale 149
 - 5.4.1. Homogenization 149
 - 5.4.1.1. Boundary value problems for $c^{*(0)}$ and $c^{*(1)}$ 149
 - 5.4.1.2. Boundary value problem for $c^{*(2)}$ 149
 - 5.4.2. Macroscopic diffusion-advection model 150
- 5.5. Advection dominant at the macroscopic scale 151
 - 5.5.1. Homogenization 151
 - 5.5.1.1. Boundary value problem for $c^{*(0)}$ 151
 - 5.5.1.2. Boundary value problem for $c^{*(1)}$ 151
 - 5.5.1.3. Boundary value problem for $c^{*(2)}$ 153
 - 5.5.2. Dispersion model 154
- 5.6. Very strong advection 154
- 5.7. Example: Porous medium consisting of a periodic lattice of narrow parallel slits 155
 - 5.7.1. Analysis of the flow 156
 - 5.7.2. Determination of the dispersion coefficient 157
- 5.8. Conclusion 159

Chapter 6. Numerical and Analytical Estimates for the Effective Diffusion Coefficient 161

- 6.1. Introduction 161
- 6.2. Effective thermal conductivity for some periodic media 162
 - 6.2.1. Media with spherical inclusions, connected or non-connected 162

- 6.2.1.1. Microstructures 162
- 6.2.1.2. Solution to the boundary value problem over the period . 163
- 6.2.1.3. Effective thermal conductivity 163
- 6.2.2. Fibrous media consisting of parallel fibers 168
 - 6.2.2.1. Microstructures 168
 - 6.2.2.2. Solution to the boundary value problem over the period . 169
 - 6.2.2.3. Effective thermal conductivity 170
- 6.3. Study of various self-consistent schemes 175
 - 6.3.1. Self-consistent scheme for bi-composite inclusions 175
 - 6.3.1.1. Granular or cellular media 175
 - 6.3.1.2. Fibrous media 178
 - 6.3.1.3. General remarks on bi-composite models 179
 - 6.3.2. Self-consistent scheme with multi-composite substructures . . . 181
 - 6.3.2.1. n -composite substructure 181
 - 6.3.2.2. Treatment of a contact resistance 183
 - 6.3.3. Combined self-consistent schemes 184
 - 6.3.3.1. Mixed self-consistent schemes 185
 - 6.3.3.2. Multiple self-consistent schemes 185
- 6.4. Comparison with experimental results for the thermal conductivity of cellular concrete 188
 - 6.4.1. Dry cellular concrete 189
 - 6.4.2. Damp cellular concrete 190

PART THREE. NEWTONIAN FLUID FLOW THROUGH RIGID POROUS MEDIA 195

Chapter 7. Incompressible Newtonian Fluid Flow Through a Rigid Porous Medium 197

- 7.1. Introduction 197
- 7.2. Steady-state flow of an incompressible Newtonian fluid in a porous medium: Darcy’s law 199
 - 7.2.1. Darcy’s law 201
 - 7.2.2. Comments on macroscopic behavior 203
 - 7.2.2.1. Physical meaning of the macroscopic quantities 203
 - 7.2.2.2. Structure of the macroscopic law 204
 - 7.2.2.3. Study of the underlying problem 205
 - 7.2.2.4. Properties of \mathbf{K}^* 205
 - 7.2.2.5. Energetic consistency 206
 - 7.2.3. Non-homogenizable situations 206
 - 7.2.3.1. Case where $Q_L = \mathcal{O}(\varepsilon^{-1})$ 207

7.2.3.2.	Case where $Q_L = \mathcal{O}(\varepsilon^{-3})$	208
7.3.	Dynamics of an incompressible fluid in a rigid porous medium	209
7.3.1.	Local description and estimates	209
7.3.2.	Macroscopic behavior: generalized Darcy's law	211
7.3.3.	Discussion of the macroscopic description	213
7.3.3.1.	Physical meaning of macroscopic quantities	213
7.3.3.2.	Energetic consistency	213
7.3.3.3.	The tensors \mathbb{H}^* and Λ^* are symmetric	215
7.3.3.4.	Low-frequency behavior	215
7.3.3.5.	Additional mass effect	215
7.3.3.6.	Transient excitation: Dynamics with memory effects	216
7.3.3.7.	Quasi-periodicity	216
7.3.4.	Circular cylindrical pores	216
7.4.	Appearance of inertial non-linearities	220
7.4.1.	Macroscopic model	221
7.4.2.	Macroscopically isotropic and homogenous medium	224
7.4.3.	Conclusion	226
7.5.	Summary	226

Chapter 8. Compressible Newtonian Fluid Flow Through a Rigid Porous Medium 229

8.1.	Introduction	229
8.2.	Slow isothermal flow of a highly compressible fluid	229
8.2.1.	Estimates	230
8.2.2.	Steady-state flow	231
8.2.3.	Transient conservation of mass	235
8.3.	Wall slip: Klinkenberg's law	238
8.3.1.	Pore scale description and estimates	238
8.3.2.	Klinkenberg's law	240
8.3.3.	Small Knudsen numbers	241
8.3.4.	Properties of the Klinkenberg tensor \mathbf{H}^k	243
8.3.4.1.	\mathbf{H}^k is positive	243
8.3.4.2.	Symmetries	244
8.4.	Acoustics in a rigid porous medium saturated with a gas	245
8.4.1.	Harmonic perturbation of a gas in a porous medium	246
8.4.2.	Analysis of local physics	247
8.4.3.	Non-dimensionalization and renormalization	249
8.4.4.	Homogenization	251
8.4.4.1.	Pressure and temperature	251
8.4.4.2.	Velocity field	252

8.4.4.3. Macroscopic conservation of mass 252
 8.4.5. Biot-Allard model 253

Chapter 9. Numerical Estimation of the Permeability of Some Periodic Porous Media 257

9.1. Introduction 257
 9.2. Permeability tensor: recap of results from periodic homogenization . 259
 9.3. Steady state permeability of fibrous media 259
 9.3.1. Microstructures 259
 9.3.2. Transverse permeability 260
 9.3.2.1. Mesh, velocity fields and microscopic pressure fields . . . 261
 9.3.2.2. Transverse permeability \mathcal{K}_T 262
 9.3.3. Longitudinal permeability 264
 9.3.3.1. Mesh, velocity fields 264
 9.3.3.2. Longitudinal permeability \mathcal{K}_L 264
 9.4. Steady state and dynamic permeability of granular media 267
 9.4.1. Microstructures 267
 9.4.2. Methodology 267
 9.4.3. Steady state permeability 269
 9.4.4. Dynamic permeability 269
 9.4.4.1. Effect of frequency 269
 9.4.4.2. Low-frequency approximation 270
 9.4.4.3. High-frequency approximation 272

Chapter 10. Self-consistent Estimates and Bounds for Permeability 275

10.1. Introduction 275
 10.1.1. Notation and glossary 277
 10.2. Intrinsic (or steady state) permeability of granular and fibrous media 278
 10.2.1. Summary of results obtained through periodic
 homogenization 279
 10.2.1.1. Global and local descriptions – energetic consistency . . . 280
 10.2.1.2. Connections between the micro- and macroscopic
 descriptions 281
 10.2.2. Self-consistent estimate of the permeability of granular media . 281
 10.2.2.1. Formulation of the self-consistent problem 281
 10.2.2.2. General expression for the fields in the inclusion 283
 10.2.2.3. Boundary conditions 285
 10.2.3. Solution and self-consistent estimates 288
 10.2.3.1. Pressure approach: ϖ_p field 288
 10.2.3.2. Velocity approach: ϖ_v field 289

10.2.3.3. Comparison of estimates	289
10.2.4. From spherical substructure to granular materials	291
10.2.4.1. Cubic lattices of spheres	291
10.2.4.2. Bounds on the permeability of ordered or disordered granular media	292
10.2.4.3. Empirical laws	296
10.2.5. Intrinsic permeability of fibrous media	297
10.2.5.1. Periodic arrangements of identical cylinders	298
10.2.5.2. Permeability bounds for ideal ordered and disordered fibrous media	298
10.3. Dynamic permeability	299
10.3.1. Summary of homogenization results	300
10.3.1.1. Global and local description – Energetic consistency . . .	300
10.3.1.2. Frequency characteristics of dynamic permeability	302
10.3.2. Self-consistent estimates of dynamic permeability	304
10.3.3. Formulation of the problem in the inclusion	304
10.3.3.1. Expressions for the fields	305
10.3.3.2. Boundary conditions	306
10.3.4. Solution and self-consistent estimates	307
10.3.4.1. P estimate: ϖ_p field	308
10.3.4.2. V estimate: ϖ_v field	309
10.3.4.3. Commentary and comparisons with numerical results for periodic lattices	310
10.3.4.4. Bounds on the dynamic permeability of granular media . .	314
10.3.4.5. Bounds on the real and imaginary parts of $\hat{\mathbf{K}}(\omega)$	315
10.3.4.6. Bounds on the real and imaginary parts of $\hat{\mathbf{H}}(\omega)$	316
10.3.4.7. Low-frequency bounds	317
10.3.4.8. High-frequency bounds for tortuosity	318
10.4. Klinkenberg correction to intrinsic permeability	318
10.4.1. Local and global descriptions obtained through homogenization	318
10.4.2. Self-consistent estimates of Klinkenberg permeability	319
10.5. Thermal permeability – compressibility of a gas in a porous medium	322
10.5.1. Dynamic compressibility obtained by homogenization	322
10.5.2. Self-consistent estimate of the thermal permeability of granular media	323
10.5.3. Properties of thermal permeability	324
10.5.4. Significance of connectivity of phases	326
10.5.5. Critical thermal and viscous frequencies	327
10.6. Analogy between the trapping constant and permeability	328
10.6.1. Trapping constant	328

10.6.1.1. Comparison between the trapping constant and intrinsic permeability 330

10.6.1.2. Self-consistent estimate of the trapping constant for granular media 331

10.6.2. Diffusion-trapping in the transient regime 332

10.6.3. Steady-state diffusion-trapping regime in media with a finite absorptivity 333

10.7. Conclusion 334

PART FOUR. SATURATED DEFORMABLE POROUS MEDIA 337

Chapter 11. Quasi-statics of Saturated Deformable Porous Media 339

11.1. Empty porous matrix 340

11.1.1. Local description 340

11.1.2. Equivalent macroscopic behavior 342

11.1.2.1. Boundary-value problem for $\mathbf{u}^{*(0)}$ 342

11.1.2.2. Boundary-value problem for $\mathbf{u}^{*(1)}$ 343

11.1.2.3. Boundary-value problem for $\mathbf{u}^{*(2)}$ 344

11.1.3. Investigation of the equivalent macroscopic behavior 345

11.1.3.1. Physical meaning of quantities involved in macroscopic description 345

11.1.3.2. Properties of the effective elastic tensor 346

11.1.3.3. Energetic consistency 348

11.1.4. Calculation of the effective coefficients 348

11.2. Deformable saturated porous medium 349

11.2.1. Local description and estimates 350

11.2.2. Diphasic macroscopic behavior: Biot model 352

11.2.2.1. Boundary-value problem for $\mathbf{u}^{*(0)}$ 352

11.2.2.2. Boundary-value problem for $p^{*(0)}$ and $\mathbf{v}^{*(0)}$ 352

11.2.2.3. Boundary-value problem for $\mathbf{u}^{*(1)}$ 353

11.2.2.4. First compatibility equation 354

11.2.2.5. Second compatibility equation 355

11.2.2.6. Macroscopic description 355

11.2.3. Properties of the macroscopic diphasic description 355

11.2.3.1. Properties of macroscopic quantities and effective coefficients 355

11.2.3.2. The coupling between (11.31) and (11.32) is symmetric, $\alpha = \gamma$ 356

11.2.3.3. The tensor α^* is symmetric 356

11.2.3.4. The coefficient β^* is positive, $\beta^* > 0$ 357

11.2.3.5. Specific cases 357

11.2.3.6. Homogenous matrix material	357
11.2.3.7. Homogenous and isotropic matrix material and macroscopically isotropic matrix	358
11.2.3.8. Diphasic consolidation equations: Biot model	359
11.2.3.9. Effective stress	361
11.2.3.10. Compressible interstitial fluid	361
11.2.4. Monophasic elastic macroscopic behavior: Gassman model . . .	362
11.2.5. Monophasic viscoelastic macroscopic behavior	363
11.2.6. Relationships between the three macroscopic models	365
Chapter 12. Dynamics of Saturated Deformable Porous Media	367
12.1. Introduction	367
12.2. Local description and estimates	368
12.3. Diphasic macroscopic behavior: Biot model	370
12.4. Study of diphasic macroscopic behavior	374
12.4.1. Equations for the diphasic dynamics of a saturated deformable porous medium	374
12.4.2. Rheology and dynamics	375
12.4.3. Additional mass	376
12.4.4. Transient motion	376
12.4.5. Small pulsation ω	376
12.4.6. Dispersive waves	376
12.5. Macroscopic monophasic elastic behavior: Gassman model	377
12.6. Monophasic viscoelastic macroscopic behavior	378
12.7. Choice of macroscopic behavior associated with a given material and disturbance	380
12.7.1. Effects of viscosity	382
12.7.1.1. Transition from diphasic behavior to elastic behavior . . .	382
12.7.1.2. Transition from viscoelastic behavior to elastic behavior .	383
12.7.2. Effect of rigidity of the porous skeleton	384
12.7.3. Effect of frequency	384
12.7.3.1. Low-dispersion P_1 and S waves	384
12.7.3.2. Dispersive P_2 wave	385
12.7.4. Effect of pore size	385
12.7.5. Application example: bituminous concretes	385
Chapter 13. Estimates and Bounds for Effective Poroelastic Coefficients . .	389
13.1. Introduction	389
13.2. Recap of the results of periodic homogenization	389
13.3. Periodic granular medium	391

13.3.1. Microstructure and material	391
13.3.2. Effective elastic tensor \mathbf{c}	392
13.3.2.1. Methodology	392
13.3.2.2. Compressibility and shear moduli	394
13.3.2.3. Degree of anisotropy	396
13.3.2.4. Young's modulus and Poisson's ratio	396
13.3.3. Biot tensor	398
13.4. Influence of microstructure: bounds and self-consistent estimates	398
13.4.1. Voigt and Reuss bounds	399
13.4.2. Hashin and Shtrikman bounds	399
13.4.3. Self-consistent estimates	400
13.4.4. Comparison: numerical results, bounds and self-consistent estimates	401
13.5. Comparison with experimental data	403
Chapter 14. Wave Propagation in Isotropic Saturated Poroelastic Media	407
14.1. Introduction	407
14.2. Basics	408
14.2.1. Notation	408
14.2.2. Comments on the parameters	410
14.2.2.1. Elastic coefficients	410
14.2.2.2. Dynamic permeability	410
14.2.3. Degrees of freedom and dimensionless parameters	411
14.3. Three modes of propagation in a saturated porous medium	412
14.3.1. Wave equations	413
14.3.2. Elementary wave fields: plane waves	416
14.3.2.1. Homogeneous plane waves	416
14.3.2.2. Inhomogenous plane waves	417
14.3.3. Physical characteristics of the modes	419
14.3.3.1. Low frequencies: $f \ll f_c$	419
14.3.3.2. High frequencies: $f \gg f_c$	421
14.3.3.3. Full spectrum	423
14.4. Transmission at an elastic-poroelastic interface	423
14.4.1. Expression for the conditions at the interface	426
14.4.2. Transmission of compression waves	428
14.5. Rayleigh waves	430
14.6. Green's functions	432
14.6.1. Source terms	432
14.6.2. Determination of the fundamental solutions	433
14.6.3. Fundamental solutions in plane geometry	437

14.6.4. Symmetry of the Green's matrix, and reciprocity theorem	438
14.6.5. Properties of radiated fields	439
14.6.5.1. Far-field – near-field – quasi-static regime	441
14.6.5.2. Decomposition into elementary waves	442
14.6.6. Energy and moment sources: explosion and injection	442
14.7. Integral representation	445
14.8. Dislocations in porous media	448
Bibliography	453
Index	473

Main notations

Operators

\otimes	tensor product
:	doubly contracted tensor product
\cdot	scalar product
\times	vector product
Δ, Δ_x	Laplacian, Laplacian with respect to the variable \mathbf{x}
div, div_x	divergence, divergence with respect to the variable \mathbf{x}
grad, grad_x	gradient, gradient with respect to the variable \mathbf{x}
curl, curl_x	curl, curl with respect to the variable \mathbf{x}
$\langle a \rangle$	mean of a over the period Ω
$\langle a \rangle_{\Omega_\alpha}$	mean of a over the domain Ω_α

Dimensions, bases, spatial variables

Ω	period
Ω_α	domain occupied by constituent α
$\partial\Omega$	boundary of the period
Γ	interface between two constituents
l	microscopic length [m]
L	macroscopic length [m]
$\varepsilon = l/L$	separation of scales parameter
\mathbf{e}_i	unit vector – orthonormal basis
\mathbf{n}	unit vector normal to the interface Γ
$\mathbf{X} = X_i \mathbf{e}_i$	physical spatial variable [m]
$\mathbf{x}^* = \mathbf{X}/L_c = x_i^* \mathbf{e}_i$	macroscopic dimensionless variable [-]
$\mathbf{y}^* = \mathbf{X}/l_c = y_i^* \mathbf{e}_i$	microscopic dimensionless variable [-]

Dimensionless numbers

\mathcal{B}	Biot number [-]
\mathcal{Kn}	Knudsen number [-]
\mathcal{Pe}	Péclet number [-]
\mathcal{Re}	Reynolds number [-]
$\mathcal{R}t$	transient Reynolds number [-]
\mathcal{S}	Strouhal number [-]

Properties and physical quantities

$\mathbf{a} = a_{ijkl}\mathbf{e}_i \otimes \mathbf{e}_j \otimes \mathbf{e}_k \otimes \mathbf{e}_l$	elastic tensor [MPa]
c	concentration [-]
c_α	volume fraction of constituent α [-]
C_α	heat capacity of constituent α [J/(Kg.K)]
$\mathbf{c} = c_{ijkl}\mathbf{e}_i \otimes \mathbf{e}_j \otimes \mathbf{e}_k \otimes \mathbf{e}_l$	effective elastic tensor [MPa]
$\mathbf{D}(\mathbf{v}) = D_{ij}(\mathbf{v})\mathbf{e}_i \otimes \mathbf{e}_j$	strain rate tensor [s^{-1}]
$\mathbf{D}^{\text{dif}} = D_{ij}^{\text{dif}}\mathbf{e}_i \otimes \mathbf{e}_j$	effective diffusion tensor [m^2/s]
$\mathbf{D}^{\text{dis}} = D_{ij}^{\text{dis}}\mathbf{e}_i \otimes \mathbf{e}_j$	effective dispersion tensor [m^2/s]
$\mathbf{D}^{\text{mol}} = D_{ij}^{\text{mol}}\mathbf{e}_i \otimes \mathbf{e}_j$	molecular diffusion tensor [m^2/s]
$\mathbf{e}(\mathbf{u}) = e_{ij}\mathbf{e}_i \otimes \mathbf{e}_j$	strain tensor [-]
E	Young's modulus [MPa]
h	inverse of the thermal contact resistance
$\mathbf{H} = H_{ij}\mathbf{e}_i \otimes \mathbf{e}_j$	inverse of the intrinsic permeability tensor [m^2]
$\mathbf{H}(\omega) = H_{ij}(\omega)\mathbf{e}_i \otimes \mathbf{e}_j$	inverse of the dynamic permeability tensor \mathbf{K} [m^{-2}]
$\mathbf{H}^{\text{R}}, \mathbf{H}^{\text{I}}$	real and imaginary parts of the \mathbf{H} tensor
$\mathbf{H}(\omega) = \mathbf{K}^{-1} = \mathbf{H}^{\text{I}} + i\mathbf{H}^{\text{R}}$	inverse of the dynamic permeability of an isotropic medium
$\mathbb{H}(\omega) = \mathbb{H}_{ij}(\omega)\mathbf{e}_i \otimes \mathbf{e}_j$	inverse of the dynamic hydraulic conductivity tensor $\mathbf{\Lambda} = \eta\mathbf{K}(\omega)$
$\mathbf{H}^{\text{k}} = H_{ij}^{\text{k}}\mathbf{e}_i \otimes \mathbf{e}_j$	Klinkenberg tensor [m^2]
\mathbf{I}	identity tensor
\mathcal{K}	intrinsic permeability of an isotropic medium [m^2]
$\mathbf{K} = K_{ij}\mathbf{e}_i \otimes \mathbf{e}_j$	intrinsic steady state permeability tensor [m^2]
$\mathbf{K}^{\text{k}} = K_{ij}^{\text{k}}\mathbf{e}_i \otimes \mathbf{e}_j$	Klinkenberg permeability tensor [m^2]
$\mathbf{K}(\omega) = \mathbf{K}^{\text{R}} + i\mathbf{K}^{\text{I}}$	dynamic permeability of an isotropic medium [m^2]
$\mathbf{K}(\omega) = K_{ij}(\omega)\mathbf{e}_i \otimes \mathbf{e}_j$	dynamic permeability tensor [m^2]
$\mathbf{K}^{\text{R}}, \mathbf{K}^{\text{I}}$	real and imaginary parts of the \mathbf{K} tensor
M	form factor
p	fluid pressure [Pa]
t	time [s]
T_α	temperature of constituent α [$^\circ\text{K}$]
$\mathbf{u}_s = u_{si}\mathbf{e}_i$	solid displacement [m]

$\mathbf{v} = v_i \mathbf{e}_i$	fluid velocity [m/s]
$\boldsymbol{\alpha}$	Biot tensor [-]
δ	boundary layer thickness (thermal, diffusion...)
η	dynamic fluid viscosity [Pa.s]
λ_α	thermal conductivity of constituent α [W/(m.°K)]
$\boldsymbol{\lambda}^{\text{eff}} = \lambda_{ij}^{\text{eff}} \mathbf{e}_i \otimes \mathbf{e}_j$	effective thermal conductivity tensor [W/(m.°K)]
λ	Lamé coefficient [MPa]
Λ_v	viscous length
$\boldsymbol{\Lambda}(\omega) = \Lambda_{ij}(\omega) \mathbf{e}_i \otimes \mathbf{e}_j$	hydraulic conductivity tensor
μ	shear modulus [MPa]
ν	Poisson's ratio [-]
ρ	fluid density [kg/m ³]
$\boldsymbol{\sigma} = \sigma_{ij} \mathbf{e}_i \otimes \mathbf{e}_j$	Cauchy stress tensor
τ_0, τ_∞	low- and high-frequency tortuosity
ϕ	porosity [-]
ω	pulsation (angular frequency) [rad/s]

Subscripts

α_c	characteristic value of α
α^*	dimensionless quantity ($\alpha = \alpha_c \alpha^*$)
\mathcal{Q}_i	dimensionless number \mathcal{Q} estimated from the microscopic viewpoint
\mathcal{Q}_L	dimensionless number \mathcal{Q} estimated from the macroscopic viewpoint

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Introduction

The result of a fusion of mathematical and physical concepts, homogenization has established itself as a method of overcoming the usual framework based on a description of elementary phenomena in a homogenous medium, to achieve the objective of a global description of coupled phenomena in heterogenous media. This book aims to present the key methodological points and their relevance to engineering science in a pedagogical format.

What is the nature of the problem? Even brief observation of natural or industrial materials reveals that they often consist of a combination of different constituents in various structures, and they are therefore heterogenous.

For example, take the behavior of civil engineering materials. The descriptions of the properties that they exhibit – and consequently the design rules for structures built using these materials – are, for the most part, issues related to the mechanics of continuous media applied to homogenous media. This theory has been widely proven, and a huge number of constructions designed using these principles can attest to its success, as can the accuracy of modeling performed using this approach. This simple observation leads us to believe that heterogenous materials can, at least subject to certain constraints, be treated similarly. But why and to what extent is this concept useful?

Furthermore, although the heterogenous nature of the material may not be obvious for this apparently continuous medium, it is on the other hand clear that its behavior depends on the characteristics of the heterogenities. How then do we proceed if we are to account for the properties of the constituents when defining the behavior of an equivalent continuous homogenous medium?

These two points are of great practical importance. On one hand, understanding of the limits of a method is an important safety consideration, and on the other hand determination of the equivalent continuous medium allows us to better understand the

parameters that govern its behavior (for a natural material) or to adapt the constituent parts to achieve the desired performance (for an artificial material).

The homogenization methods have been developed to answer these questions. They make it possible – under well-specified conditions – to obtain a description of the behavior of heterogeneous materials starting from the behavior of the heterogeneities.

A condition essential for the existence of an equivalent continuum is that the physical mechanism under study should vary on a length scale which is very large compared to the scale of the heterogeneities. This requirement for a difference in length scales gives rise to the expressions “upscaling method” and “method of multiple scales”. The term “homogenization” also arises from this, because considering the heterogeneities to be of infinitesimal size compared to the effects under study naturally leads us to consider the medium as a homogeneous or, more precisely, homogenized continuum.

Linking the large-scale observable behavior to microscopic mechanisms is an age-old preoccupation of physicists.

One famous example is that of elasticity, where Navier (1821) and Poisson (1829) obtained a single macroscopic isotropic elastic coefficient from a particular molecular model: the two Lamé coefficients are equal. Cauchy (1828) obtained a two-coefficient isotropic elastic model starting from a more sophisticated molecular model. From among these well-known names we also draw attention to the preliminary work of Rayleigh (1892) on the conductivity of media containing impurities present in a parallelepiped lattice, and that of Einstein (1906) on the viscosity of suspensions and sedimentation rates.

These attempts remained intermittent until the 1950s when the needs of industrial development demanded a detailed understanding of the behavior of natural materials (the oil industry), manufactured materials (in particular steels and alloys), and the design of new materials (mainly for aeronautics). In order to understand the significance of small scale mechanisms on global behavior, scientific approaches at the time involved phenomenological micromechanical models built on thermodynamic principles. The pioneering works of Biot (1941) and of Hill (1965) took this approach.

It was in the 1970s that a new school of thought was born, started by Keller who used a rather different angle to tackle the question of the change of scales. This involved the method of asymptotic expansions at multiple scales. Initially built on an approach which was more mathematical than mechanical, this method was a true conceptual leap forwards in terms of its rigor and formalism. The works of Bensoussan *et al.* (1978) and Sanchez-Palencia (1980) are still important references on this subject, with similar ideas developed in Russia by Bakhvalov and Panasenko (1989).

Initially confined to very specialist circles, these methods blossomed considerably in the 1990s. During this period their fields of application were broadly diversified across all traditional engineering fields, and also in life sciences, particularly biomechanics. This undeniable success is thanks to the effectiveness of asymptotic methods for treating complex physics on a microscopic scale, and their ability to include coupling between different phenomena.

However, while their use has become almost routine for some research groups, it remains poorly documented at present in a form suitable for engineers and researchers working in related fields. These considerations convinced us there was a demand for a book which would set out a coherent picture of these approaches, and render them accessible to a wider audience than just specialists in this research area.

Rather than be exhaustive (which would not be an easy task), we have chosen to pick a few problems where the main points can be presented in a simple manner. The aim is also – using a unified treatment – to illustrate the common thought processes connecting the issues addressed in this book. In keeping with this approach, the bibliography does not attempt to be exhaustive, but shows the reader the seminal works in the field, and the references corresponding to the main steps of the problems we consider.

This volume, which has grown out of the Mechanics of Heterogenous Media course taught at the University of Grenoble by J.L. Auriault, is intended to be a basic course in upscaling methods, aimed at advanced students, engineers and graduate students. With this pedagogical aim, we have used a progressive approach to each subject, starting out with traditional problems and then following them with recent developments. We also thought it useful to illustrate the potential applications of the results of homogenization. With this in mind, for each of the themes we treat, the theoretical results are followed by an example of the development through homogenization which provides a concrete example of the advances in a particular field of application.

This book is divided into four parts.

Part 1 is an introduction to the philosophy of homogenization methods. We discuss methods aimed at periodic and random materials while emphasizing their physical significance and their potential applications to real materials, which are often neither perfectly periodic or perfectly random.

The basic examples given in Chapter 1 give an understanding of the fundamental tools underlying both methods. Chapter 2 goes into more detail on the techniques and discusses connections between them and the details which distinguish them. There is a detailed discussion of conditions for their application, delineating the range of validity of these approaches. This overview of methods underlines the power of the asymptotic

method at multiple scales for the treatment of complex physics with many coupled effects in materials with simple or hierarchical morphologies. Combining rigorous formalism and intuitive reasoning, Chapter 3 presents the methodology of the multiple scale approach which will be used throughout the rest of the book. The emphasis is on the systematic use of dimensional analysis combined with the separation of length scales. We also detail the means of expressing a practical problem involving real materials in the context of homogenization. This methodological basis is applied in the following sections where we specifically treat the physical mechanisms involved in coupled phenomena.

Part 2 presents a first field of application of homogenization. We study the physics of transport by diffusion, convection and advection, phenomena which allow us to apply the basic tools of upscaling methods to engineering problems.

Chapter 4 focuses on thermal transfer in heterogeneous media. Going beyond the classical model of thermal transfer in a composite, we find a diverse range of macroscopic models depending on the level of contrast in the conductive properties of the constituents and their interfaces. In particular, memory effects arise from the presence of local non-equilibrium of a very weakly conducting phase, and two-temperature models can be developed for quasi-insulating interfaces. The transport of solutes in porous media is examined in Chapter 5. We highlight the different descriptions associated with the local physics of pure diffusion and then with diffusion-advection. This second situation, which is reached at high transport rates, results in a macroscopic dispersion. The range of validity of each of these models is explicitly specified. Chapter 6 makes use of, and extends, these results, focusing on specific materials. The numerical procedure of periodic homogenization is illustrated by determining the coefficients for fibrous and granular materials. By way of comparison, we recall the classical self-consistent analytical estimates. Finally, comparison with experimental results enables us to judge the appropriateness of these models for describing the properties of materials.

Part 3 is dedicated to the modeling of Newtonian fluid flows in rigid porous media.

Chapter 7 discusses incompressible fluids using multiple-scale asymptotic expansions. It starts with the canonical problem of Darcy's law (in the regime of steady-state laminar flow). It continues taking into account inertial effects, both in the dynamic linear regime which leads to memory effects through visco-inertial coupling, and in the steady-state advective regime, where the correction due to weak nonlinearities is established. The flow in porous media of compressible fluids such as gases is the subject of Chapter 8. Using the asymptotic method, we treat in succession high pressure steady-state flows, wall slip effects in rarefied gases and, in the dynamic regime, the acoustic description under weak pressure perturbations with thermal coupling. The transfer of theoretical results for homogenization to their numerical formulation is illustrated in Chapter 9. The solution to local problems derived by

periodic homogenization is given for calculation of the Darcy permeability of granular and fibrous materials. Finally, Chapter 10 returns to the same problems, which are discussed in the context of a self-consistent approach. We use this to establish analytical estimates and bounds for steady state and dynamic permeabilities, thermal effects, wall slip corrections and – by analogy – for the trapping constant.

Part 4 focuses on the behavior of deformable saturated porous media.

Chapter 11 considers the behavior in the quasi-static regime, first examining that of the empty porous medium (a specific case of an elastic composite) and then that of the saturated medium, introducing the fluid-solid coupling. Depending on the level of contrast between the shear properties of the fluid and the solid, the asymptotic method of multiple scales leads to three distinct behaviors whose properties are discussed.

The study of poroelastic behavior is extended to the dynamic regime in Chapter 12. The characteristics of the three possible behaviors – including the Biot biphasic model – are analyzed in detail, particularly properties of the effective coefficients. The range of validity of each of the descriptions is specified. Chapter 13 puts the homogenization results to numerical use in order to carry out a parametric analysis of the elastic and coupling coefficients in the biphasic model. At the same time these results, obtained for cohesive granular media, are compared to traditional self-consistent estimates and to bounds. In Chapter 14, the homogenized biphasic behavior is used with the aim of describing the propagation of waves in saturated porous media. After specifying the properties of the three propagation modes, the transmission of waves across a poroelastic interface is examined. We also establish the expression for Green's functions in the context of poroelasticity, the integral formulation, and the fields radiated by abrupt dislocations.

To complete our summary of this text, it is worth mentioning certain important subjects which are not treated here (or only discussed briefly).

One of these subjects is complex microstructures. In fact, we will only consider media whose local geometry is sufficiently simple that it can be characterized by a typical length scale of the heterogeneity, and whose local problems can be formulated in terms of continuous media. This choice means that we omit:

- Media whose architecture involves very different characteristic sizes (such as double porosity media). These can give rise to various interacting physical effects on each length scale. These many possible couplings vastly increase the diversity of the possible macroscopic behaviors, with some behaviors only being possible in such media as;

- Microstructure whose behavior can be reduced to that of various interacting points within the material (for example the nodes in trellis structures). For these it is preferable to use a locally discrete description, and to move to a continuum description through homogenization. This alternative approach will not be discussed here.

A second aspect only outlined is that of the corrections to macroscopic descriptions which have been established to first order. Indeed, for the most part, the results presented here are restricted to the first significant term, and lead to descriptions involving a continuous medium which is materially simple, and descriptions valid in the bulk of the heterogeneous medium. There are two corrections which can usefully be applied to these descriptions:

- those which appear on the boundary of the medium. They lead to a boundary layer with a thickness of the order of the size of the representative elementary volume. This makes it possible to reconcile local boundary conditions and boundary conditions used at the macroscopic scale;

- those which make it possible to treat situations with weak separation of scales, obtained by including higher-order terms within the homogenized descriptions. These correctors to simple continuum models introduce non-local effects whose spatial extent is of the order of the size of the representative elementary volume.

Finally, we will not discuss the taking into account of non-linearities. All the cases that we present involve linear effects, or sometimes weakly non-linear ones where the non-linearity can be treated as a perturbation of the linear solution. Whether they have material or geometric origins, non-linearities introduce considerable theoretical difficulties compared to linear situations. While the establishment of criteria through local limit analysis – the rheology of elastic composites with a non-linear power law, or the flow of non-Newtonian power-law fluids in porous media – has been successfully achieved, in general non-linearities present a real challenge to upscaling methods.

These three omitted themes – complex microstructures, corrections and non-linearities – are very rich and interesting, and they deserve further discussion on their own. We hope that this volume will offer a sufficiently clear and solid basis to guide the reader who may wish to explore these fields.

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PART ONE

Upscaling Methods

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