1 Convolutional Neural Network for seismic phase

- ² classification, performance demonstration over a
- ³ local seismic network.
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12 Abstract

13 Over the last two decades the amount of available seismic data has increased significantly 14 fuelling the need for automatic processing to utilize the vast amount of information contained 15 in such data sets. Detecting seismicity in temporary aftershock networks is one important 16 example, which has become a huge challenge due to the high seismicity rate and dense 17 station coverage. Additionally, the need for highly accurate earthquake locations, to 18 distinguish between different competing physical processes during the post-seismic period, 19 demands even more accurate arrival time estimates of seismic phase. Here we present a 20 Convolutional Neural Network (CNN) for classifying seismic phase onsets for local seismic 21 networks. The CNN is trained on a small dataset for deep-learning purposes (411 events) 22 detected throughout Northern Chile, typical for a temporary aftershock network. In the 23 absence of extensive training data, we demonstrate that a CNN based automatic phase 24 picker can still improve performance in classifying seismic phases, which matches or exceeds 25 that of historic methods. The trained network is tested against an optimised STA/LTA based 26 method (Rietbrock et al., 2012), in classifying phase onsets for a separate dataset of 3878 27 events throughout the same region. Based on station travel time residuals the CNN out-28 performs the STA/LTA approach an achieves location residual distribution close to the ones 29 obtained by manual inspection.

31 Introduction

Accurate detection of earthquake signals generated within the Earth is a fundamental and 32 33 challenging task in seismology. Traditionally, the optimal method of identifying seismic 34 phases involves a trained analyst manually inspecting seismograms and determining 35 individual phase arrival times. Continuous developments in data acquisition and storage have 36 resulted in vast, unprecedented increases in the volume of available seismic data. For such 37 large-scale datasets, traditional manual picking methods are rendered unfeasible due to the required investment of time and resources; in addition, manual picking incorporates the 38 39 subjectivity of different analysts which can bias pick accuracy. Further development of reliable 40 automated picking methods are therefore essential to assist seismologists in their efforts to 41 process large-scale datasets.

42 Historic Auto-pickers

43 The pressing need for a reliable automatic phase picker is not new, and numerous methods have been proposed to detect P- and S- wave onsets automatically. The most commonly 44 45 used method for automatic phase picking is still the STA/LTA approach (Allen, 1978; Allen, 46 1982; Earle & Shearer, 1994), which measures the ratio between the energy of the seismic 47 signal over a short-term and a long-term window; any values of the STA/LTA ratio above a 48 defined cut-off threshold represent a phase arrival. Baer & Kradolfer (1987) modified the 49 STA/LTA incorporating an envelope function and a dynamic signal threshold into the 50 characteristic function. There are numerous other approaches, including those based upon 51 higher-order statistics (Saragiotis et al., 2002, 2004; Küperkock et al., 2010), autoregressive 52 methods (Leonard & Kennet, 1999; Sleeman & Van Eck, 1999; Rastin et al., 2013), shallow 53 neural networks (Wang & Teng, 1995; Dai & MacBeth, 1995, 1997; Zhao & Takano, 1999; 54 Gentili & Michelini, 2006), methods which utilise wave polarisation (Ross & Ben-Zion, 2014; 55 Baillard et al., 2014), and those which utilise pickers in tandem (Nippress et al., 2010). Whilst there has been extensive development of auto-picker routines, automated picking algorithms cannot currently match the accuracy of an experienced analyst. This is attributed to the complex nature of earthquake source and propagation, with multiple physical processes affecting the wavefield; variations in attenuation, noise-interference, source mechanism and energy-partitioning at interfaces all affect the observed waveform.

61 Why historic auto-picking routines are typically inferior compared to human analysts

Traditional automated picking methods are manually optimized for individual networks and/or even on a station by station basis, fine tuning the 'characteristic functions' to distinguish bodywave phases from noise. E.g., triggers can be based on the frequency content of a trace, kurtosis, or some other combination of manually extracted features. One common problem is that that S-wave phases are more difficult to pick as their onset is often masked by the coda of P-waves and manually extracted features will often struggle to identify the S-wave in such instances (Gomberg et al., 1990).

69 Advancements in deep-learning

70 Rather than extracting individual features, deep-learning based algorithms focus on learning 71 representations of data, where multiple layers of processing provide varying levels of 72 abstraction (LeCun et al., 2015; Schmidhuber., 2015). Recent advancements in deeplearning techniques have yielded a suite of procedures which demonstrate 'super-human' 73 74 performance when applied to solve problems in fields ranging from computer vision 75 (Krizhevsky et al., 2012), to speech-recognition (Hinton et al., 2012). Convolutional Neural 76 Networks (CNNs), are a form supervised machine learning that achieve exceptional results 77 in classifying multi-dimensional inputs such as images, videos, and audio (Krizhevsky et al., 78 2012; Karpathy et al., 2014; LeCun & Bengio, 1995). CNNs apply repeated convolutional and 79 pooling operations to the input data, resulting in a set of learnable filters which automatically 80 'engineer' the appropriate features for classification. The appropriate features are extracted

81 by fine tuning of the network's internal parameters (or weights), via a computer-based 82 optimisation process. The intrinsic properties of CNNs make them an ideal method for natural 83 signal classification (LeCun et al., 2015). Natural signals often demonstrate local connections 84 between samples, an example being the higher amplitudes observed immediately following 85 an impulsive phase arrival. The major advantage of a CNN approach is how such features 86 are then optimised. Shared weights throughout the network results in the systematic 87 optimisation of decision boundaries to find the best weighted combination of local features to classify phase onsets. Another major factor behind the success of deep-learning methods is 88 89 that the only required input is a large dataset of labelled examples for training. Within the 90 seismological community, large datasets of labelled data are readily available in the form of 91 manually picked earthquake catalogues for many regions. We are now starting to see the 92 adoption of deep-learning based methods to solve problems in seismological processing (e.g. 93 Perol et al., 2018; Yoon et al., 2015, Ross et al., 2018; Zhu & Berozza, 2018; Titos et al., 94 2018). Preliminary results indicate such methods can match or even surpass human levels 95 of performance in seismic phase classification. So far, CNN approaches have been trained 96 over extensive (~million) catalogues of labelled examples collected over decades (Ross et 97 al., 2018; Zhu & Berozza, 2018). We now investigate the dependency of the input data on 98 classification performance by applying a CNN to classify seismic phases, where the network 99 is trained over a relatively small catalogue of events (~11,000 P & S phase pairs). Can a 100 relatively simple CNN architecture display similar performance improvements in the absence 101 of an extensive training dataset? If a feature engineering approach demonstrates 102 generalisation capabilities when trained over a small local dataset with inherent biases, this 103 will further validate the potential of deep-learning based methods over traditional techniques 104 for seismic phase classification.

105 Data

The dataset used in training the CNN is a manually picked catalogue of 411 events containing approximately 11,000 P-/S- phase pairs, located throughout the Iquique region of Northern Chile. The training catalogue has also been used to perform a minimum 1D velocity inversion (Woollam et al., 2019). Events occurred between March-May 2014 and are recorded over a network of 65 broadband and short-period stations distributed throughout Northern Chile and Southern Peru; all stations use a sampling frequency of 100Hz (Figure 1).

112 Manual picking of events was performed using Seismic Date eXplorer (SDX) software 113 http://doree.esc.liv.ac.uk:8080/sdx/. We process the dataset applying a linear detrend. Whilst 114 the CNN approach is shown to learn the characteristics of P-phases, S-phases, and noise 115 (Zhu & Beroza, 2018), due to our limited training dataset, the CNN network will only be 116 presented with a small portion of noise examples. To limit the potential for the CNN to 117 erroneously identify noise it has not been trained on as phases, and to homogenize the data 118 set due to different instrumentation; we bandpass filter the data between 2-25 Hz, a frequency 119 range which lies in the passband of all instruments deployed.

120 Manual picks are represented probabilistically as a Gaussian function (σ = 1s, Figure 2), 121 reducing the bias associated with erroneous picks. The σ parameter was determined through 122 manual parameter testing. Larger σ values resulted in the network acting more as an event 123 'detector' where the output probabilities were not impulsive enough to obtain a definitive 124 phase-onset. Values lower than 1 second resulted in a high proportion of 'miss-picks' as manual pick errors not captured by the classification vector had a detrimental effect on 125 126 engineering the appropriate features for phase classification. The dataset is split into training, 127 validation and test batches (with ratios of 80:10:10 respectively).

128 Dataset augmentation and training

129 Deep learning-based classifiers contain a significant number of trainable parameters in the 130 solution space, therefore, an extremely large number of examples are needed to prevent 131 overfitting of the training dataset and to enhance generalisation. Our dataset is relatively 132 small for deep learning purposes. To overcome the limitations associated with a small training 133 dataset we perform several additional processing steps. Events are scaled by multiplication 134 of a value drawn from a lognormal distribution, the ends of the segmented event are tapered 135 to limit impulsive amplitude spikes generated by processing, varying levels of Gaussian noise 136 are then added to each batch¹, resulting in greater variations of signal vs. background noise. 137 The training events are therefore modified to show a range of arrival types, rather than the 138 high-magnitude, well-recorded events that are typically seen in a small catalogue of manually 139 selected earthquakes for further studies. The input window size for the CNN is 6 seconds. 140 To train the CNN, a given input batch is sequentially windowed with a timestep of 0.4 141 seconds. The windows are randomly shuffled before being used in training, preventing the 142 CNN learning any unnecessary temporal order. A small time step is used to increase the total 143 number of events during training; also, having the network learn to recognise the presence 144 of phases at any point in the input window will help the network generalise beyond the training 145 dataset. Formatting the input data in such a way reduces the biases associated with our small 146 dataset and enhances the capability of the network to pick varying types of arrival.

¹ More information on parameters used to aiding generalisation provided in Data Appendix, section A.1

147 Methodology

148 Network architecture

The input to the network compromises three one-dimensional windows (*x*), where each window samples an individual component. For this given input, the network outputs the probability of either P-phase, S-phase, or Noise for each time sample within that window (Figure 4). Probabilities are output by applying the 'softmax' or normalised exponential function to the final layer

$$p(Y = i|x) = \frac{e^{\alpha_i(x)}}{\sum_{j=1}^3 e^{\alpha_j(x)}} \quad .$$
 (1)

154 Where j = 1,2,3 represents the P-phase, S-phase and Noise classes, $\alpha(x)$ contains the 155 associated weights for the final layer. The input data are passed through repeated 156 transformations; convolutional operations initially extract the appropriate features to 157 characterise each class, the extracted features then go through repeated re-sampling stages, 158 to output per-class probabilities. At each stage, a Rectified Linear Unit (ReLU) activation 159 function is applied (Nair & Hinton, 2010). The cost function used to train the CNN is given by 160 the negative log-likelihood $NLL(x, \theta)$. For a multi-class classification problem, where each 161 class is characterised as a series of discrete probability distributions, $NLL(x, \theta)$ is also termed 162 the cross-entropy loss function,

$$NLL(x,\theta) = -\sum_{k=1}^{3} \sum_{n=0}^{n-N} \log(p(c_k | x_n, \theta)).$$
⁽²⁾

163 N represents the total number of training instances, c_k corresponds to the class label 164 assigned to the input (x_n) , and the network weights (θ) . Eq. 2 is minimised using Adaptive 165 Moment Estimation (ADAM, Kingma & Ba, 2014) along with batch training, the network 166 weights are therefore updated at the end of each batch, over *n* training instances. 167 Hyperparameter optimisation (Bergstra & Bengio, 2012) is the derivation of the optimal 168 network parameters and is a major challenge when designing neural network architectures. 169 Parameters such as, number of layers, regularisation of layers, convolutional kernel shape, 170 and the learning rate can all be optimised. Methods to solve this problem consist of, grid 171 search, random search, and manual estimation. As our study aims to demonstrate that a 172 robust CNN can be trained on small datasets, the focus is on efficient implementation over 173 more time-consuming systematic search methods. Once a robust network architecture is 174 derived, a constrained search is performed for the best combination of hyper-parameters.

175 Our final network architecture consists of 3 convolutional layers, followed by 3 layers of up-176 sampling (Figure 4). Again, due to the limited nature of the training dataset, the focus for the 177 network architecture is to limit the potential for overfitting. To localise the features 178 corresponding to different classes, convolutional layers apply strided 1D convolutional filters 179 along each component (Figure 3). The stride for the convolutional window is set to 4, this 180 down-samples the time series by a factor of 4 for each layer, reducing the overall number of 181 free parameters and allowing for quicker incorporation of long-term temporal dependencies 182 into the convolution kernel. A dropout parameter is added to the second convolutional layer. 183 Dropout is a regularisation technique which randomly drops weights during training, reducing 184 model complexity (Srivastava et al., 2014). One-dimensional max-pooling is applied to the 185 final convolutional layer, further reducing the overall number of networks weights.

186 Picking phases

To obtain P- and S-phase onsets from the CNN output probabilities, we use knowledge of
the simple temporal relationships between P- and S-phases to determine onset times (Figure
5).

For the P-phase probability distribution $p = \{p_1, p_2, p_3, ..., p_n\}$, and the S-phase probability distribution $s = \{s_1, s_2, s_3, ..., s_n\}$, if P-phase probabilities exceed a defined cut-off threshold

 p_{cut} the P-phase onset is searched for within the window $[p_{start} ... p_{end}]$. The P-phase onset 192 193 is set at the index of the maximum P-phase probability within this range. If the P-phase 194 criterium is met, the corresponding S-phase is searched for within the searched window $[s_{start} \dots s_{end}]$, if $\sum_{i=s_{start}}^{s_{end}} s_i > s_{cut}$ then the S-phase is set at the index of the maximum S-195 196 phase probability within search window. Both conditions must be satisfied for an event to be 197 picked, consequently, the ratio of P:S phase picks using these criteria is 1:1. The parameters 198 used in detecting phase onsets are provided in Table 1 - note that all index values are relative 199 to the initial p_{cut} index:

200 Results

201 Predictions

202 The trained network takes a 6 second input window for 3-component data and makes phase 203 predictions for each time-sample within the window. Figure 6 displays a sample of the output 204 phase probabilities for events in the test dataset. The predictions display a clear distinction 205 between P-phases and S-phases, further confirming that deep-learning based classification 206 methods engineer the appropriate features to accurately categorise P, S, and noise classes. 207 This presents a major advantage over historic auto-picking methods which utilise manual 208 feature extraction and often struggled to identify the S-phase. To obtain P/S phase onsets, 209 we apply our autopicker function, with input parameters of Table 1, taking advantage of the 210 simple temporal relationship between P and S phases to assign phase onsets (vertical lines 211 on Figure 6). The phase onsets are then compared against the original manual picks and the 212 residuals are plotted (Figure 7).

The residual distribution for the test dataset displays a good agreement in the centre of both the P- and S- residual distribution; however, the CNN has also picked extra events/phases in some waveforms. These extra phase picks may be accurate; however, any additional events are not represented in our classification vectors as a detailed association of individual phases to specific events arriving simultaneously is beyond the scope of this work. This negatively affects the residual distribution and is responsible for several of the large outliers observed.

219 Relocation testing

To overcome the issue of extra picked arrival times from simultaneously occurring events biasing our residual comparison, we perform an additional test to remove arrival times from any events overlapping in time. This additional test provides a more consistent assessment of auto-picker performance. We perform an iterative inversion procedure, relocating both the original manual picks and the CNN picks for the initial dataset. The catalogues are relocated 225 using the VELEST routine (Kissling et al., 1994), which applies a minimum-1D velocity model 226 along with station corrections to solve for hypocentre locations. Hypocentral parameters are 227 solved for all events within the catalogue. When using VELEST, all phase picks within a 228 segmented trace are assigned to a single event during relocation. The large outlier residuals 229 a significant distance (+3s) from the trend are attributed to multiple picked events in the same 230 segmented trace being erroneously classified as a single-event in VELEST. We therefore 231 reject events with RMS residual larger than 3s to remove any picked events overlapping in 232 time. Statistics of the residual distribution for the original manual picks compared against the 233 CNN picks is provided in Table 2.

The residual distribution indicates that manually picked P-phases are slightly more accurate than CNN P-phase picks (σ decreased by 0.051s); however, S-phase picks of the CNN approach achieve similar performance to manual picking (σ decreased by 0.019s). We recognize that our training and test data set used for the earthquake location data set are not independent; however, the residual distribution obtained from the CNN methodology is similar to that of the manual picks of an expert seismologist.

240 Autopicker comparison

To further test the CNN picker, we apply the CNN methodology in predicting phase-onsets for a separate catalogue of events throughout Northern Chile, on the same temporary seismic network. Events were initially segmented using an iterative approach based on a STA/LTA trigger (Rietbrock et al., 2012) and provides a useful test case for the CNN method. The relocation procedure is again applied to compare performance. The initial number of phasepicks for both methods are provided in Table 3.

Figure 8 displays an event from the new catalogue picked using the CNN method, multiple event arrivals are again present in the traces. To limit the effect of this issue on our residual comparison, we set both the STA/LTA and CNN method to only pick a single P-/S-phase pair
 per trace and again use the iterative relocation procedure to assess residual.

251 The relocated hypocentre distribution for both methods are displayed in Figure 9. It can be 252 clearly observed that locations are more clustered in the CNN approach and are better 253 concentrated along the plate interface, indicating the greater consistency in phase picks for 254 the CNN approach. Phase residuals for the relocated events are displayed in Figure 10; we 255 show residuals for both the final catalogues (minimum azimuthal gap < 220°) and for only the 256 best-located events (minimum azimuthal gap < 160°). Statistics for the residual distributions 257 are displayed in Table 4. Assuming a normal distribution, the CNN method exhibits decreased 258 variance in phase residual for both P- and S- phases when compared to the optimised STA/LTA approach. 259

The relocation residuals (Figure 10) are not just dependent upon accuracy of detected 260 261 phases, but also on velocity variations not captured in the 1D model or station corrections 262 affecting the residuals. As both catalogues were relocated with the same iterative re-location 263 procedure using the same 1D velocity model and station delay terms, discrepancies in 264 residual distributions should directly reflect the relative consistency of picks in each 265 catalogue. Investigating the residual distribution, the CNN approach has markedly improved 266 both the overall relocation residual (Figure 9), and the variation in residual for both P- and S-267 phases. In addition to this, the difference in σ for the well-located events is shown to be more 268 accurate for the CNN approach, with σ improving by 0.230s for P-phases and 0.326s for S-269 phases when compared against the optimised STA/LTA picking approach. The statistics of 270 the residual distribution are also in a similar range to that of the manual picks (see Table 2).

271 Discussion & Future work

272 Accurate and consistent catalogues of phase arrivals are of paramount importance to 273 seismologists, as they typically form the starting point for further seismological investigations. 274 The rapidly increasing amount of seismic data available, along with constant developments 275 in computational capabilities have resulted in the seismological community now increasingly 276 turning to machine-learning based methods to improve the efficiency of seismic processing. 277 As shown, automatic feature engineering approaches such as CNNs hold promise for seismic 278 phase classification, as they only require the 3-component data as an input, and the features 279 engineered from the data combine to detect the general characteristics of P- phases, S-280 phases and noise. Our experimental results show that even when data are scarce, a simple 281 CNN architecture significantly improves the σ of P- and S-pick residuals, especially for well 282 locatable events (minimum azimuthal gap < 160°), resulting in a decrease of 0.230s and 283 0.326s, respectively, when compared against an optimised STA/LTA picking approach 284 (Rietbrock et al., 2012). The decreased variation in residual, indicates that a CNN based 285 method is more consistent when auto picking, resulting in more accurate hypocentre 286 relocations. We are close to reaching a point where supervised-learning based methods 287 exhibit comparable or even increased performances when compared to manual picking by 288 an expert seismologist (Zhu & Beroza, 2018; Ross et al., 2018). Until now, supervised 289 learning-based methods have been trained using extensive training datasets (~millions of 290 examples). The results from our work add to the literature of supervised learning-based 291 methods for seismic phase classification and demonstrate that with appropriate 292 considerations regarding overfitting and generalisation, such methods can improve 293 seismological processing workflows, not just for large catalogues, but for varying datasets. 294 Future applications of deep-learning based methods in seismology include deploying such

- 295 pre-trained systems on poorly monitored areas/areas of interest resulting in improved data
- 296 recovery, and efficient automation of seismic workflows.

297 Data and Resources

- All data used in this study can be downloaded from the Incorporated Research Institutes for
- 299 Seismology (IRIS) data management centre for the temporary network data and also from
- 300 the GEOFON data repository https://geofon.gfz-potsdam.de/waveform/archive/.

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395 Appendix

- 396 A.1 Hyper-parameters and data generalisation parameters.
- 397 Lognormal distribution used to scale individual event amplitudes is given by

398

$$f(x) = \frac{1}{\sqrt{2\pi\sigma}x} e^{\left(-\frac{(\ln(x) - \mu)^2}{2\sigma^2}\right)}, \qquad x > 0.$$
 (A.1)

We set $\mu = 0$, and $\sigma = 0.25$, and sample the output probability distribution of eq. A.1, each sample is then used as a scale factor for event amplitudes.

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415 Figure captions

416 Figure 1 | Distribution of manually picked events throughout Northern Chile, stations are indicated by417 white triangles, event hypocentres are plotted as a function of depth.

418

- 419 Figure 2 | An example of input data (top) and classification data (bottom), inputs to the CNN are 3-
- 420 component traces, linear-detrended, bandpass filtered between 2-25Hz. The associated classification
- 421 vector for P-pick and S-pick are represented probabilistically as a Gaussian with $\sigma = 1$ s.

422

- 423 **Figure 3** | Schematic displaying how strided 1D convolutions quickly incorporate the long-term
- 424 temporal dependencies of the input data into the convolution kernel.

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Figure 4 | Overall CNN architecture, displaying the sequential convolution and re-sampling operations
applied to the input window.

Figure 5 | Displaying how the temporal relationship between P- and S-phases is used to identify phase onsets from the output CNN probabilities. Solid lines correspond to the output P-/S-phase probabilities; vertical dashed lines indicate phase onsets and the phase-type is labelled above each vertical dashed line. Vertical dotted lines indicate the start or end of a P-/S-phase search window, where the corresponding labels are again presented at the top of each line. The horizontal dotted line represents the p_{cut} parameter used in determining phase onsets.

434

435 Figure 6 | Output CNN prediction probabilities when applied to identify phase onsets for the test436 dataset, phase onsets are indicated by vertical lines.

Figure 7 | Residual of CNN predicted phase onsets vs. original manual picks for the test dataset.

439

- 440 Figure 8 | Demonstrating the CNN auto picker performance on a new dataset for Northern Chile,
- 441 where events were segmented using an STA/LTA trigger (Rietbrock et al., 2012). We only allow the
- 442 auto picker to pick the presence of a single P-/S-phase per trace, to prevent relocation errors.

443

Figure 9 | Hypocentre relocation comparison for the STA/LTA auto picked catalogue (top) against the
CNN auto picked catalogue (bottom) event relocations are plotted as a function of RMS residual, slab
profile is provided by Hayes et al., (2012).

447

Figure 10 | Both auto picking methods phase residuals following hypocentral relocations, plotted for
well-located events (minimum azimuthal gap < 160°) and the for entire relocated catalogues
(minimum azimuthal gap < 220°).

452 Figure 1





3x 1D Convolution



458















50 100

Depth [km]

150

477

478

-72

-71

73

479

0.5 0.0

1.0 Residual [s]

0.5

0.0

350

400

300





485 Tables

486 Table 1

Table 1 | Parameters applied to the autopicker function, which takes advantage of the temporal
relationship between phases to identify phase onsets, all start/end indexes are given in samples
(where sampling rate for all instruments = 100Hz).

p_{cut}	0.75	S _{sum}	5
p_{start}	-200	S _{start}	500
p_{end}	200	S _{end}	4000

490 Table 2

491 **Table 2** | Statistics of residual distribution for original manually picked catalogue, both for the original

492 manual picks and the CNN methodology picks.

GAP < 220°		CNN	Manual
Р	μ	-0.261	-0.124
	σ	0.445	0.394
S	μ	0.282	0.390
	σ	0.749	0.730

493 Table 3

Table 3 | Overall auto picks on a separate catalogue of new events throughout Northern Chile.

	STA/LTA	CNN
Р	72,655	77,623
S	63,353	77,623
Total	136,008	155,246

496 Table 4

		GAP < 220°		GAP < 160°	
		CNN	STA/LTA	CNN	STA/LTA
D	μ	-0.238	-0.216	-0.247	-0.333
Р	σ	0.487	0.696	0.393	0.623
c	μ	0.277	0.539	0.270	0.435
3	σ	0.780	1.081	0.596	0.922

Table 4 | Statistics of residual distribution for GAP < 220° and GAP < 160°.