

1 Matrix gas flow through ‘impermeable’ rocks - shales and tight 2 sandstone

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8 **Abstract.** The effective pressure sensitivity of gas flow through two shales (Bowland and Haynesville shales) and
9 a tight gas sandstone (Pennant sandstone) was measured over the typical range of reservoir pressure conditions.
10 These are low permeability rocks such as can be exploited as caprocks above reservoirs that might be developed to
11 store compressed air, methane, hydrogen or to bury waste carbon dioxide, all of which may become important
12 components of the forthcoming major changes in methods of energy generation and storage. Knowledge of the
13 petrophysical properties of such tight rocks will be of great importance in such developments. All three rocks
14 display only a small range in \log_{10} permeability at low pressures, but these decrease at dramatically different rates
15 with increasing effective pressure, and the rate of decrease itself decreases with pressure, as the rocks stiffen. The
16 pressure sensitivity of the bulk moduli of each of these rocks was also measured, and used to formulate a
17 description of the permeability decrease in terms of the progressive closure of narrow, crack-like pores with
18 increasing pressure. In the case of the shales in particular, only a very small proportion of the total porosity takes
19 part in the flow of gases, particularly along the bedding layering.

20 Key words: Permeability. shales, sandstone, bulk modulus, pressure sensitivity, gas porous flow

21 Supplementary data file: DF1.csv and Matlab scripts at <https://doi:10.5281/zenodo.5914205>

22 1. Introduction

23 Shales (laminated mudstones) are of particular importance because their fine grain size and tight pore structure
24 gives them a particularly low matrix permeability and hence makes them excellent cap rocks for the containment
25 of oil, water and gases. This includes their future use as a sealant for the storage containment of fuel gases
26 hydrogen and methane, compressed air storage and for the disposal deep underground of waste liquids and gases,
27 including waste carbon dioxide. Organic shales are source rocks for petroleum and become source, reservoir and
28 seal for unconventional natural gas (shale gas). The enormous economic importance of shales cannot be
29 overstated, and this demands an ever-increasing understanding of their petrophysical properties.

30 Compared to conventional reservoir rock materials (sandstones, limestones), shales are particularly difficult to
31 work with. Their commonly laminated nature makes them often highly fissile, with a tendency to split along the
32 layering. Thus coring and cutting operations for sample preparation are often difficult, and their physical
33 properties (elasticity, mechanical strength, permeability, elastic wave velocities) are generally anisotropic.
34 Determination of properties that involve working with elevated pore pressures become time-dependent, according
35 to the slow rates of fluid permeation through the microstructure in response to applied effective pressure changes,
36 and the rock itself may display time-dependent deformation (creep) under load. Mineralogically, shales can be
37 highly variable, particularly with respect to the relative proportions of the major mineral components: framework
38 silicates, clays and other phyllosilicates, and carbonates (Lazar et al. 2015; Diaz et al. 2013; Dowe and Taylor
39 2020), and this can be expected to be reflected in the spectrum of petrophysical properties of shales.

40 In contrast to shales, tight gas sandstones (e.g. Zee Ma et al., 2016)) may display similarly low permeabilities
 41 and porosities, but lack extreme fissility and typically possess a matrix of coarser-grained framework silicate
 42 minerals (quartz and feldspar), with primary pore spaces filled with some detrital micas but also authigenic
 43 growths of clay minerals and hydrated oxide phases. Thus their properties tend to form an upper (more permeable
 44 and less anisotropic) bound to the range of properties displayed by shales. For this reason, we have included for
 45 comparison in this study such a rock type. Here also we present a study of the matrix permeability of two, rather
 46 different shales. Permeability and storativity were measured parallel to the layering under hydrostatic loading
 47 conditions as a function of total confining pressure and pore pressure of argon gas, and normal to layering at one
 48 pore pressure only. Results were fitted to a simple physical model. The spectrum of behaviours observed provides
 49 insight into the physical controls on the matrix permeabilities of these rocks.

50 2. Sample materials and characterization

51 Two shale samples recovered from depth in boreholes were used. The samples are strikingly mineralogically
 52 and microstructurally different. They were characterized mineralogically by quantified X-ray diffraction analysis,
 53 which was also used to estimate grain density using published mineral densities. All samples were oven dried at
 54 60 °C until constant weight (at least one week), and then maintained at that temperature until use. All experiments
 55 were carried out in this oven dried state. Other than with the degree of water saturation in the as-supplied state, it
 56 can be very difficult to test shales with varying degrees of controlled or with total water saturation. The sandstone
 57 studied was from a surface exposure but was treated in the same way as the shales.

58 2.1 Pennant sandstone.

59 This is a hard, grey marine sandstone (Fig. 1a and b) of upper Carboniferous age (Kelling 2017), that outcrops
 60 in south Wales, Great Britain. We have previously reported rock mechanics studies on this rock in Hackston and
 61 Rutter (2016) and Rutter and Hackston (2017). All measurements reported were made normal to bedding. Bedding
 62 planes are not apparent in hand specimen.

63 Modal proportions (vol% solids): Quartz + Feldspar 73.7 ; Phyllosilicates 9.8 ; (estimated uncertainties $\pm 4\%$
 64 of cited percentages)

65 Grain density $2661 \pm 120 \text{ kg m}^{-3}$; Bulk density $2558 \pm 35 \text{ kg m}^{-3}$: Total porosity $3.89 \pm 0.04 \%$ from XRD,
 66 $4.60\% \pm 0.01$ using a helium porosimeter.

67 **2.2 Bowland Shale.** This is a phyllosilicate-rich, carbonate-poor siliceous mudstone (Fig. 1c), very pyrite-rich,
 68 (8.3 wt%), of lower Carboniferous age. It was the target formation for exploitation of shale gas in Northern
 69 England.

70 Depth 2060.55 m. Provider sample identifier IG 5-8W. Location: west Manchester, UK.

71 Modal proportions (vol% solids): Quartz + Pyrite 38.4 ; Phyllosilicates 61.6 ; Carbonates 0 (estimated
 72 uncertainties $\pm 4\%$ of cited percentages)

73 Grain density $2842 \pm 120 \text{ kg m}^{-3}$; Bulk density $2714 \pm 38 \text{ kg m}^{-3}$: Total porosity $4.50 \pm 0.02\%$ from XRD; $4.6\% \pm$
 74 0.1 using a helium porosimeter.

75 Total organic carbon $1.14 \pm 0.2 \text{ wt}\%$; Water loss from drying $0.74 \pm 0.15 \text{ vol}\%$, hence initial water saturation =
 76 13%.

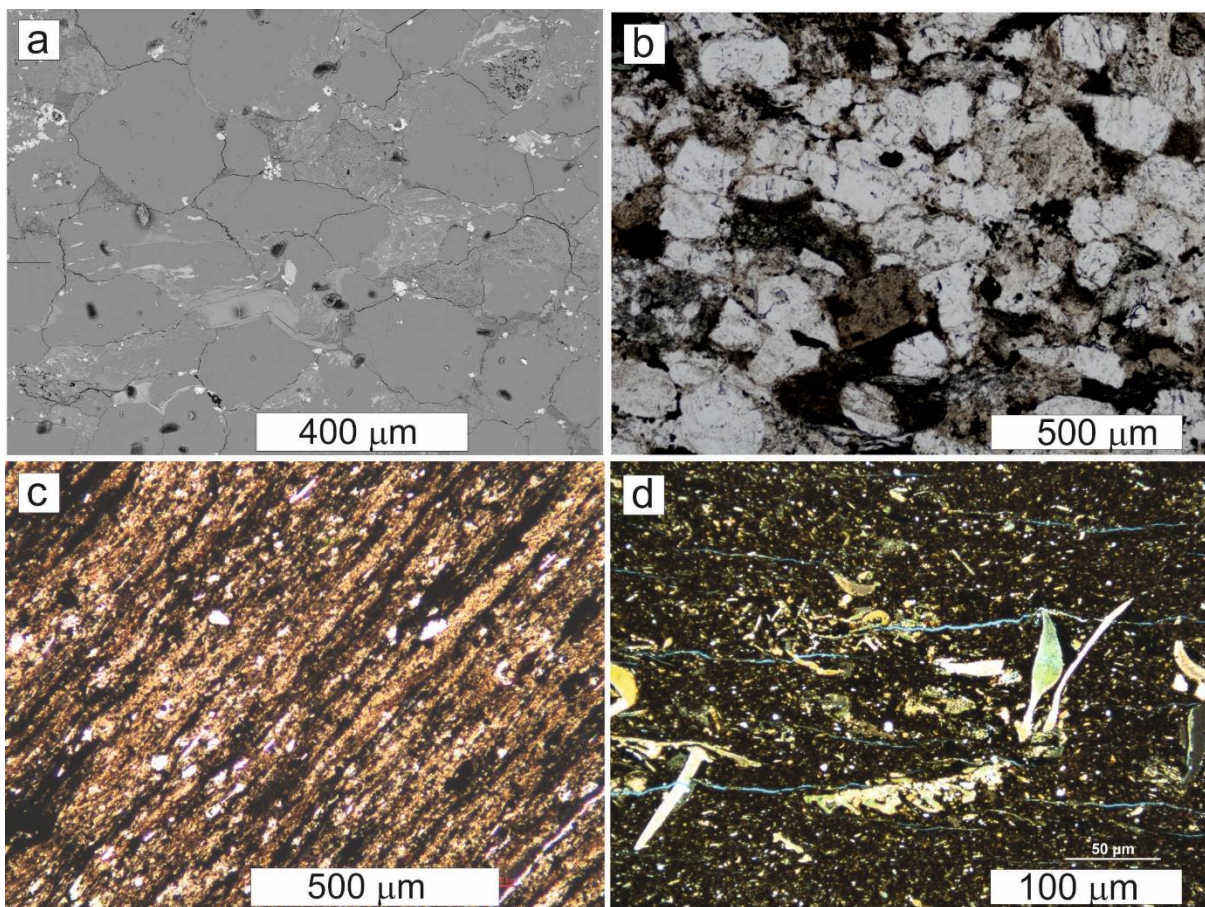
77 **2.3 Haynesville Shale**

78 This is a phyllosilicate-poor, carbonate-rich siliceous mudstone (Fig. 1d). Pyrite-poor (0.7 wt%), of upper
79 Jurassic age (Hammes et al. 2011), successfully exploited for shale gas in the southern United States.

80 Depth 3730.6 m. (Sample identifier). Location: Hewitt Land LLC well, Caspian Field, de Soto parish, Louisiana,
81 USA.

82 Modal proportions (vol% solids): Quartz + Feldspar + Pyrite 34.5; Phyllosilicates 13.4; Carbonates 52.1;
83 (estimated uncertainties $\pm 4\%$ of cited percentages)

84 Grain density $2703 \pm 120 \text{ kg m}^{-3}$: Bulk density $2453 \pm 35 \text{ kg m}^{-3}$: Total porosity $9.26 \pm 0.04 \%$ from XRD, $7.6\% \pm 0.1$
85 using a helium porosimeter. Total organic carbon $1.3 \pm 0.2 \text{ wt}\%$.



86

87 **Figure 1: Microstructures of the rocks tested.**

88 (a) Back-scattered electron (BSE) image and (b) optical image (PPL) of Pennant sandstone, bedding trace parallel to
89 long side of image, showing large quartz grains (mid-grey in (a)) with sutured contacts caused by pressure solution and
90 remaining pore spaces largely filled by iron hydroxide (white in (a)) and authigenic clay minerals (light grey in (a)),
91 reducing the overall porosity to 4.6%

92 (c) Microstructure (Plane-polarized light (PPL) image of polished thin section) of Bowland shale, finely and
93 homogeneously banded with elongate clusters of organic material and pyrite (black) and silt-sized grains of quartz in a
94 matrix of elongate clusters of phyllosilicate (clay + detrital micas) grains.

95 (d) Microstructure of Haynesville shale. (PPL image of polished thin section, long side of image is parallel to layering).
96 Bioturbation destroys continuity of layering. Rock is only weakly banded but nevertheless fissile; bedding-parallel
97 cracks can be seen, opened during thin-section preparation. Calcareous fossil fragments and authigenic calcite-filled
98 voids, in matrix of finer grained phyllosilicate (clays + detrital micas) and fine silt-sized framework silicates.

99 Defining velocity anisotropy as $2(V_{max} - V_{min})/(V_{max} + V_{min})$, the anisotropies of Bowland and Haynesville shales
 100 are respectively 30.7% and 32.2% at 100 MPa total confining pressure. The velocity anisotropy of Pennant
 101 sandstone at elevated pressure was not determined. At room pressure it is 15.5% comparing velocity normal to
 102 bedding (slower) with mean velocity parallel to bedding, whilst it is 3.1% for velocities measured in the plane of
 103 the bedding. Anisotropies will be less at elevated pressure.

104 The wt% values for the mineralogical composition of all rock types were converted to vol% using tabulated
 105 densities from the literature (Mavko et al., 2009; Mondol et al., 2008), and together with averaged mineral elastic
 106 properties the bulk elastic properties of the rocks estimated were as Voigt-Reuss-Hill (VRH) averages assuming
 107 zero porosity. These are listed in Table 1.

108 Some comparisons of behaviour are made with previously published (Mckernan et al., 2017) data on Whitby
 109 shale. This is a well-foliated, silt-bearing, clay-rich, carbonate-poor mudstone of Liassic age, with 8.1% total
 110 porosity and 1.5% volume amorphous organic matter.

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112

113 **Table 1: Phase fractions, mineral densities and Voigt-averaged bulk and shear moduli K_v and G_v (from literature)**
 114 **and calculated zero porosity elastic moduli as Voigt-Reuss-Hill (VRH) averages (GPa) for Bowland and Haynesville**
 115 **shales and for Pennant sandstone. Organic fraction not included. Mineral phase Reuss-average elastic moduli can be**
 116 **calculated from the other values supplied. K_0 = bulk modulus, G_0 = shear modulus, E_0 = Young's modulus (VRH-**
 117 **averaged whole-rock values assuming isotropy). Modal volume percent is % of the solids.**

118

Bowland Shale IG5-8WC						
Phase	Wt%	±Error%	Density kg m ⁻³	Vol%	Kv GPa	Gv GPa
Quartz	30.98	1.42	2648	33.64	12.73	14.90
Pyrite	8.32	0.44	5020	4.77	6.63	5.36
Muscovite 2M	60.44	2.04	2844	61.11	35.55	21.61
Kaolinite	0.26	2.60	1580	0.48	.0072	.0067
Total	100.0			100.0		
Zero porosity moduli (GPa):	VRH(K_0)		VRH(G_0)		VRH(E_0)	
	52.79		40.69		97.13	

119

Haynesville Shale YB03						
Phase	Wt%	±Error%	Density kg m ⁻³	Vol%	Kv GPa	Gv GPa
Albite	10.49	0.505	2610	11.01	5.59	3.22
Ankerite Fe0.55	4.65	0.36	3050	4.17	4.80	2.46
Calcite	47.22	1.25	2712	47.69	32.94	15.24
Clinocllore Ilb-24.11	0.41	2.90	3880	2.26	1.37	
Muscovite 1M	9.97	1.46	2844	9.50	5.27	3.36
Pyrite	1.27	0.10	5020	0.69	.958	.775
Quartz	18.71	0.74	2648	19.35	7.32	8.57
Siderite	0.47	0.07	3960	0.33	.408	.168
Orthoclase	3.20	0.46	2540	3.45	1.61	.815
Total	100			100.1		
Zero porosity moduli (GPa)				VRH(G_0)	VRH(E_0)	VRH(K_0)
				60.57	34.91	87.86

120

Pennant Sandstone Pe2						
Phase	Wt%	±Error%	Density kg m ⁻³	Vol%	Kv GPa	Gv GPa
Albite	16.14	0.70	2610	16.46	8.20	4.72
Phyllosilicates	10.48	1.5	2840	9.81	6.10	3.71
Quartz	73.37	2.8	2648	73.73	27.77	32.50
Total	99.99			100.0		
Zero porosity moduli (GPa):				VRH(K _o)	VRH(G _o)	VRH(E _o)
				41.55	40.42	91.57

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123 3. Experimental Methods

124 3.1 Permeability measurements

125 Permeability measurements were made on cylindrical samples of either 25.4 or 20 mm nominal diameter, cut to
 126 lengths of the same order or shorter. The latter is generally necessary for very low permeability rocks, but quite
 127 apart from this it was not possible to obtain long cores from slabbed drill cores of the shales. Problems were also
 128 encountered during shale specimen preparation owing to the friable nature of these materials. Porous sintered
 129 stainless steel (316L) filter plates (17% porosity) were placed at either end of the sample to spread the pore fluid
 130 uniformly over the ends of the rock samples. The assembly was jacketed in a heat-shrinkable polymer jacket, so
 131 that pore fluid pressures less than the confining pressure could be applied. Confining pressures (hydraulic oil, a
 132 synthetic ester, di-octyl sebacate, trade name Reolube DOS®) ranging up to a little over 100 MPa were used. This
 133 fluid has the advantage of a relatively small rate of change of viscosity with pressure (see Rutter and
 134 Mecklenburgh 2017 and 2018 for further details). In all experiments argon gas was used as the pore fluid, at
 135 pressures ranging up to 80 MPa. The higher viscosity of a liquid pore fluid would have led to very long
 136 experimental durations. The confining and pore pressures ranges cover the full extent of likely pressures to be
 137 encountered in engineering operations to depths of *ca* 4 km.

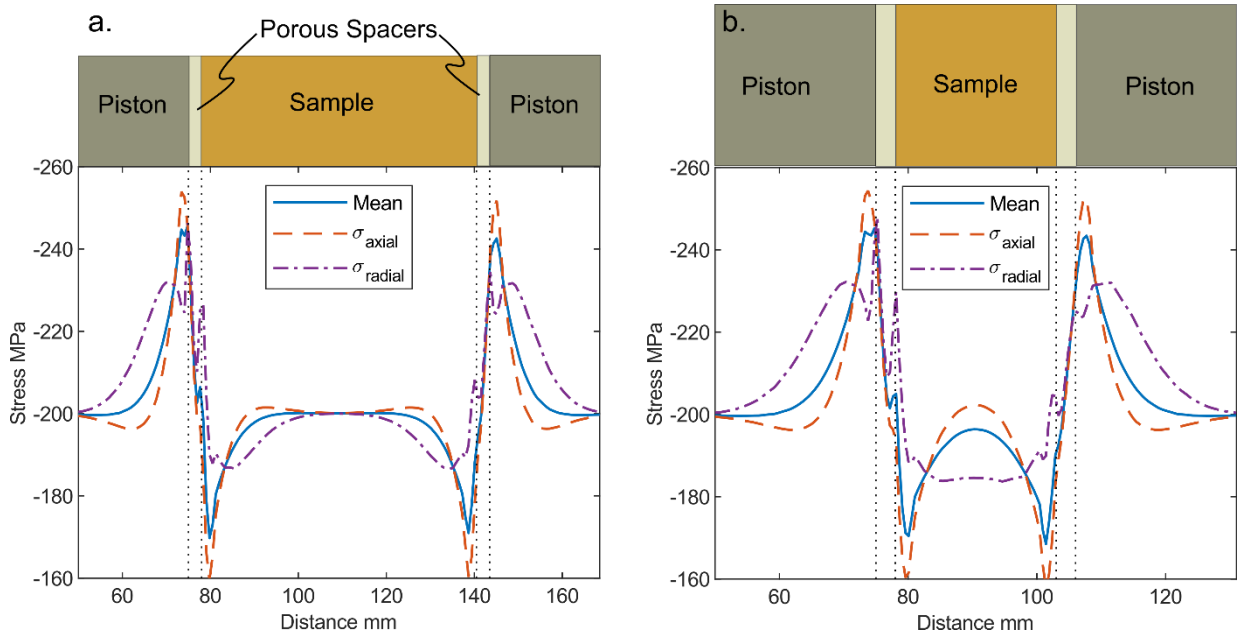
138 Although it was intended that experiments would be carried out under hydrostatic confinement conditions, the
 139 presence of a contrast in elastic properties of the specimen against the porous end plates and the steel loading
 140 pistons induces a shear stress along these interfaces. This in turn causes the stress state in the specimen to deviate
 141 from hydrostatic and to reduce the average mean stress. Deviations from hydrostatic loading are most severe when
 142 the length of the specimen becomes less than twice the diameter. For this reason, mechanical testing of rocks is
 143 usually carried out on specimens with a length:diameter ratio of 2.5:1 or more. Finite element analysis (FEA) of
 144 the stress state in rocks confined between steel end plates were carried out to assess the expected departures from
 145 hydrostatic loading, and the effects predicted must be borne in mind when interpreting the permeability data.

146 **Table 2: Elastic constants of the components in the finite element models.**

	Young's Modulus <i>E</i> GPa	Poisson's Ratio
Sample	60	0.250
Piston	190	0.265
Spacer (17% Porosity)	108.6	0.260

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150 **Figure 2: Results of finite element analyses showing stress profiles of mean stress, axial normal stress and radial normal**
 151 **stress along the axes of samples respectively of length:diameter ratios (a) 2.5:1 and (b) 1:1, each with a diameter of 25.4**
 152 **mm. At the top of each figure is a scaled schematic of the assembly; notice the aspect ratio of the sample in each case.**
 153 **Externally applied hydrostatic stress was 200 MPa. For the longer sample the stress state in the greater part of the**
 154 **sample was near homogeneous, but for the shorter one a differential stress on the order of 7% of the applied**
 155 **hydrostatic stress was induced.**

156 Figure 2 presents the results of finite element analyses showing stress profiles along the axes of samples
 157 respectively of length:diameter ratios (a) 2.5:1 and (b) 1:1, with a hydrostatic pressure of 200 MPa applied to the
 158 outer cylindrical surfaces. At each end of the sample a 3 mm thick, porous sintered steel disk was placed.
 159 Positions of boundaries between the solid steel pistons, the porous disks and the sample material are indicated. In
 160 both cases the sample diameter was 25.0 mm. Along-axis stress component variations were more varied than
 161 across the radius. Most of the stress heterogeneity (departure from the applied 200 MPa hydrostatic pressure)
 162 resides in and immediately adjacent to these disks, and for each stress component is of similar magnitude for both
 163 specimen lengths. Within the greater part of the sample volume in each case the axial normal stress is higher than
 164 the radial normal stress, and these components are similar to the principal stress values. For the longer sample, the
 165 stress state is near hydrostatic over 0.8 of the specimen length, but in the case of the shorter sample the stress
 166 components are notably non-hydrostatic over most of the specimen length, with maximum differential stress
 167 reaching 15 MPa (7% of the applied hydrostatic stress) in the central part of the sample.

168 A small number of permeability measurements were made using the pulse-transient-decay method of Brace et al.
 169 (1968), as modified by Cui et al. (2009). We have previously shown (Mckernan et al. 2017) that this method
 170 produces data in excellent agreement with the oscillating pore pressure method, which was used for almost all of
 171 the experimental results reported here (Kranz et al., 1990; Fischer and Paterson, 1992; Faulkner and Rutter, 2000;
 172 Bernabé et al., 2006; Mckernan et al., 2017). Whilst keeping the confining pressure constant and after
 173 establishing a constant pore pressure in the sample, a sinusoidal oscillation of pore pressure, of known period and
 174 of amplitude about 1 MPa, was applied at one end of the sample (upstream). As the pressure wave propagated
 175 through the sample it became phase-shifted and lost amplitude. The amplitude ratio (gain) and phase shift angle
 176 were measured. The solution to the transport equation for these measured parameters is given by Bernabé et al.,

177 (2006) in terms of two dimensionless numbers, η and ξ , from which permeability and sample storativity can be
 178 calculated using

$$188 \quad \xi = \frac{SL\beta}{\beta_D}, \quad \eta = \frac{STk}{\pi L\mu\beta_D} \quad (1)$$

179 Here, S is cross-sectional area of the sample (normal to flow path), L is specimen length, β_D is downstream
 180 volume storativity and β is specimen storativity, T is the period of the pore pressure oscillation, k is specimen
 181 permeability, and μ is viscosity of the pore fluid. Argon gas viscosity as a function of pressure data was reported
 182 by Michels et al., (1954). Storativity is the product of the volume of the space occupied by the fluid with the pore
 183 fluid (isothermal) gas compressibility. Argon compressibility is non-linear over the pore pressure range used
 184 (Gosman et al., 1969) and substantially non-ideal above about 20 MPa. $\xi \approx \phi V_s/V_d$ where ϕ is specimen effective
 185 porosity, V_s is total specimen volume and V_d is downstream reservoir volume. It cannot be assumed that effective
 186 (conductive) porosity estimated from permeability measurements will necessarily be equal to total porosity
 187 measured independently.

189 The apparatus used was the same as used for experiments reported by Rutter and Mecklenburgh (2017; 2018).
 190 Pressure transducers with a resolution of 0.02 MPa were used for pore pressure measurements, and confining
 191 pressure was measured to an accuracy better than 0.3 MPa. The minimum pore pressure used was 10.0 MPa. This
 192 is sufficiently high to avoid exsorption of gas from mineral surfaces and to avoid slip flow of gas through pore
 193 spaces (Knudsen/Klinkenberg effect, Mckernan et al. 2017). It was determined that the experimental assembly
 194 shows no detectable gas flow when a rock sample is replaced by an impermeable steel plug.

195 3.2 Error, uncertainty and reproducibility

196 Accuracy of reported permeability depends on uncertainties of the parameters in Eq. (1). η and ξ can be
 197 measured to within about 2% of the true value, and S , T , L and μ to within 1%. The least certainly known
 198 parameter is the downstream volume, which is determined as the difference between the total volume of the pore
 199 pressure pipework measured with and without the downstream pipework connected, each measured by the pore
 200 pressure change produced by a known volumeter piston displacement. The downstream reservoir volume V_d
 201 was measured to be $445 \pm 30 \text{ mm}^3$, including the volume of the downstream porous steel filter. These
 202 uncertainties translate to an accuracy of \log_{10} permeability of ± 0.1 log units. This is small, given that permeability
 203 varies with pressure by 1 to 3 orders of magnitude.

204 The largest apparent uncertainties in reported permeability data arise from hysteretic changes in the behaviour of
 205 the rock itself as effective pressure is cycled and will be discussed when the data are presented.

206 3.3 Bulk modulus measurements

207 Bulk modulus measurements as a function of confining and pore pressures were made as far as possible on
 208 physically the same samples that were used for the permeability measurements, to avoid any influence of
 209 mineralogical or microstructural differences. Measurements were made over a range of total confining pressures
 210 up to 200 MPa, after the permeability measurements were made, with constant pore pressures of argon gas,
 211 typically at nominally 10, 35, 67 and 100 MPa. The method involved measuring volume of pore fluid (argon gas)
 212 progressively expelled as the total confining pressure was increased at constant pore pressure. This measures the

213 compressibility of the pore spaces. P-wave acoustic velocity measurements were made at the same time, although
 214 these data are not reported here.

215 Unlike for permeability measurements, porous steel plates were not used at the ends of the specimens for pore
 216 fluid displacement measurements. For the relatively porous and permeable Haynesville shale and Pennant
 217 sandstone, a short hole, normally 15 mm long and 1.5 mm diameter, was drilled into the end of the specimen
 218 facing the pore pressure inlet pipe, to facilitate flow of gas into and out of the specimen. This was thought to be
 219 unlikely to be adequate for the lower porosity and permeability Bowland shale, therefore samples were cut in half
 220 parallel to the long axis so that a 2 mm thick, porous steel plate could be inserted, to facilitate gas flow over a wide
 221 surface area of the rock, yet without affecting the P-wave velocity along the length of the specimen.

222 When considering the results, the procedure for pressure application is of importance. For the tests with pore
 223 pressure, the application of a confining pressure slightly greater than the eventual pore pressure was made,
 224 followed by application of the pore pressure. Then the total confining pressure was increased stepwise away from
 225 the constant pore pressure. Thus tests at high pore pressure have been exposed to much higher effective pressures
 226 before application of pore pressure, than when the test pore pressure is to be low.

227 When pore pressure was made non-zero, constant pore pressure was maintained using a servo-controlled pore
 228 volumometer. Each applied increment of the confining pressure caused a small elastic contraction of the pore
 229 volume that attempts to raise the pore pressure. The servo-controller backs off the moveable piston in the pore
 230 volumometer in order to keep the pore pressure constant. The distance swept by the volumometer piston at
 231 constant pore pressure allows the volume of gas expelled to be measured to a resolution of 0.4 mm³. In this way
 232 the history of *pore volume* change at constant pore pressure during progressive loading by the confining pressure
 233 can be determined. The compressibility of the pore space C_{pc} is given by the fractional change in pore volume V_p
 234 in response to a change in confining pressure P_c at constant pore pressure P_p (Zimmerman, 1991), and is the
 235 reciprocal of the dry pore space bulk modulus K_ϕ :

$$239 \quad C_{pc} = \frac{1}{K_\phi} = \frac{1}{V_p} \left(\frac{\partial V_p}{\partial P_c} \right)_{P_p} \quad (2)$$

236 Note $V_p = \phi V_b$, where V_b is the total sample volume. K_{dry} is the bulk modulus of the porous aggregate. Its
 237 reciprocal, compressibility C_{bc} , the bulk volume change in response to a change in confining pressure at constant
 238 pore pressure, is defined by

$$240 \quad C_{bc} = \frac{1}{K_{dry}} = \frac{1}{V_b} \left(\frac{\partial V_b}{\partial P_c} \right)_{P_p} \quad (3)$$

241 where V_b is the bulk volume, including the pore space. The zero-porosity bulk modulus of the constituent mineral
 242 aggregate is defined as K_o (Table 1), then the dry bulk modulus K_{dry} ($= K_{bc}$) is given (Mavko et al., 2009) by

$$243 \quad \frac{1}{K_{dry}} = \frac{1}{K_o} + \frac{\phi}{K_\phi} \quad (4)$$

244 Decrease in permeability with increasing Terzaghi effective pressure ($P_c - P_p$) (Terzaghi, 1923) is primarily due to
 245 the pressure dependence of K_{dry} , leading to progressive closure of pore space. Thus the independent determination of
 246 K_{dry} from pore volumetry measurements provides a basis for the interpretation of the pressure sensitivity of
 247 permeability.

248 Note that we have no means of measuring directly the influence of pore pressure change on bulk deformation of
 249 the sample, characterized by the compressibility C_{bp} , or

$$250 \quad C_{bp} = \frac{1}{K_{bp}} = \frac{1}{V_b} \left(\frac{\partial V_b}{\partial P_p} \right)_{P_c} \quad (5)$$

251 This would require strain gauges or equivalent to be mounted on the outer surface of the rock sample (e.g.
 252 Hasanov et al., 2019, 2020). However, it can be obtained from

$$254 \quad \frac{1}{K_{bp}} = \frac{1}{K_{bc}} - \frac{1}{K_o} \quad (6)$$

253 (Mavko et al., 2009).

255 Biot and Willis (1957), Skempton (1960) and Nur and Byerlee (1971) obtained a theoretical expression for the
 256 effective pressure coefficient (Biot coefficient) m for elastic *deformations* (including deformations of pore spaces)
 257 of a mechanically linear, homogeneous and isotropic rock, so that effective pressure $P_{eff} = (P_c - mP_p)$, and

$$258 \quad m = 1 - \frac{K_{dry}}{K_o} \quad (7)$$

259 Note that this effective pressure coefficient is not necessarily the same as that describing empirically the influence
 260 of pore pressure on permeability (called n in this paper), nor on elastic wave velocities nor the failure
 261 characteristics of rocks (whether frictional sliding or intact rock failure).

262 m is also given by

$$263 \quad m = \frac{K_o}{K_{bp} + K_o} = \frac{K_o - K_{bc}}{K_o} = 1 - \frac{K_\phi}{K_\phi + K_o \phi} \quad (8)$$

264 Sample storativity is related to these stiffness parameters by

$$265 \quad \beta = \frac{1}{K_{bp}} + \phi \left(\frac{1}{K_f} - \frac{1}{K_o} \right) \quad (9)$$

266 where K_f is pore fluid bulk modulus (Hasanov et al., 2019).

267 In all calculations we assume K_o is negligibly sensitive to effective pressure, compared to porous rock stiffnesses
 268 such as K_{dry} , following data for K_o for minerals such as quartz via ultrasonic measurements (e.g. Calderón et al.,
 269 2007, who give $K_o = 37.5(\text{GPa}) + 4.7 * P(\text{GPa})$). Similar pressure coefficients are reported for a wide range of other
 270 silicate minerals (Anderson, 2007) and for phyllosilicates (Zanazzi and Pavese, 2002).

271 **4. Experimental results**

272 A full tabulation of experimental results is given in the supplementary data file DF1.

273 **4.1 Permeability results**

274 Experimental conditions and results are presented graphically in Figs. 3 through 8. The first pressure cycle
 275 applied to most rocks results in higher permeabilities and a relatively rapid rate of decrease of permeability with
 276 pressure, as inelastic cracks become progressively and permanently closed. Subsequent pressure cycles up to the
 277 maximum pressure previously attained are more nearly elastic and reproducible, although there can be a small
 278 tendency to reduce permeability slightly with subsequent pressure cycles. The first stage in a suite of permeability

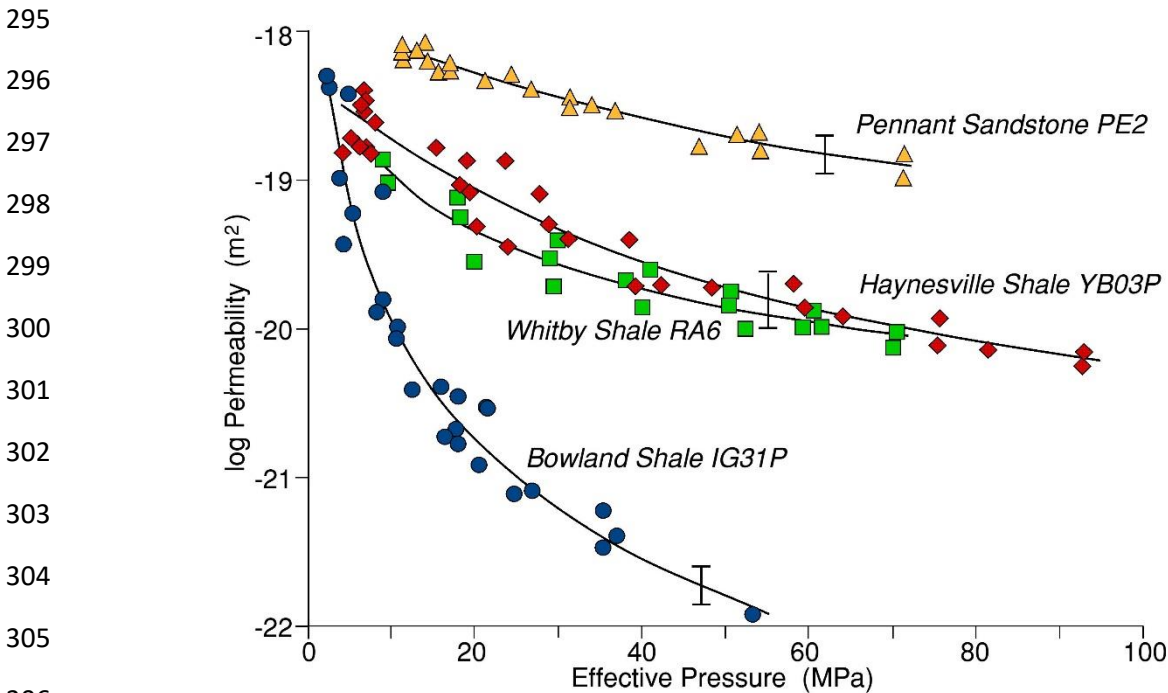
279 measurements covering a wide range of confining and pore pressures therefore must be to take the sample to the
 280 maximum effective pressure to which it is to be exposed, to ensure closure of these inelastic cracks and pores up
 281 to that pressure.

282 4.1.1 Form of data and reproducibility

283 In the regime of elastic behaviour permeability (as $\log k$) is not usually linear, neither on a k vs P_c plot nor even
 284 on a $\log k$ vs P_c plot but is concave upwards (Fig. 3). The decrease of permeability with effective pressure is due
 285 to elastic closure of conductive cracks and pores, and this is expected to become more difficult as the porous
 286 material stiffens at higher pressure. Thus although it is common, and useful for the purpose of modelling reservoir
 287 behaviour (e.g. Kwon et al., 2001; Bustin et al., 2008; Cui et al., 2009; Heller et al., 2014; Mckernan et al., 2017)
 288 to describe quantitatively the relationship between $\log_{10} k$ and P_c by making a least-squares linear fit to the data, a
 289 better description would take into account the curvature.

290 In order to estimate the reproducibility of the permeability data, a determination of the standard error was made
 291 about a polynomial fit to the 10 MPa pore pressure data (after the first pressure cycle) for each rock type. For
 292 Bowland shale it is $\pm 0.22 \log_{10} k$ units, for Haynesville shale it is $\pm 0.19 \log_{10} k$ units and for Pennant sandstone it is
 293 $\pm 0.10 \log_{10} k$ units.

294 4.1.2 Influence of confining (P_c) and pore pressures (P_p) on permeability



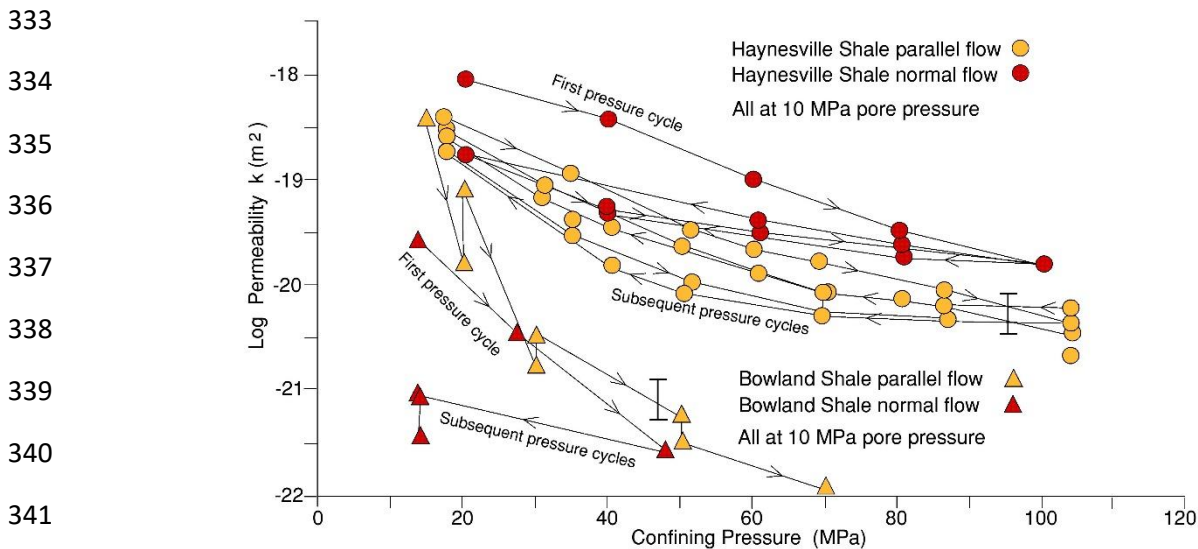
307 **Figure 3: Matrix permeability of Pennant sandstone for flow normal to bedding, and for Bowland and Haynesville**
 308 **shales for flow parallel to layering, as a function of effective pressure ($P_c - nP_p$) over a wide range of pore pressures of**
 309 **argon gas. Data of Mckernan et al. (2017) for Whitby shale sample RA6 at a constant argon gas pore pressure of 25**
 310 **MPa are also shown for comparison. In each case data from the first pressure cycle up to the maximum effective**
 311 **pressure attained has been excluded. All rocks show permeability decreasing more slowly with effective pressure at**
 312 **higher effective pressures. Error bars are shown as estimated for the 10 MPa pore pressure data.**

313 Figure 3 shows the influence of effective pressure on matrix permeability over a range of pore pressures, for
 314 Haynesville and Bowland shales for flow parallel to layering and for Pennant sandstone normal to bedding after
 315 the first pressure cycle. They are expressed as $\log_{10} k$ versus effective pressure ($P_c - nP_p$), where n is the

316 empirical pore pressure parameter describing the influence of pore pressure on permeability. Fit parameters,
 317 including n , were obtained by non-linear least squares fitting using Microsoft Excel®, from which $n = 0.86$ for
 318 Pennant sandstone and is 0.99 for Haynesville shale. For the Bowland shale the data showed that permeability
 319 varied over almost four orders of magnitude, much greater than for the other two rock types, and as a result it
 320 was evident that parameter n tended to increase with the value of Terzaghi effective pressure ($P_c - P_p$), varying
 321 from unity at low pressures to 1.6 at high effective pressures. The least squares best-fit curve to each of these
 322 data sets is shown in Fig. 3. For all three rocks the form of the behaviour is similar, each showing a decreasing
 323 slope at higher effective pressures, as would be expected from pressure-induced constriction of pore spaces. The
 324 permeability of Pennant sandstone showed the least sensitivity to effective pressure variations, whilst the
 325 Bowland shale displays a far greater sensitivity of permeability to effective pressure. The Haynesville shale takes
 326 an intermediate position that is closely comparable to the data for Whitby shale (sample RA6 taken from the data
 327 reported by Mckernan et al., 2017 for pressure cycles 2, 3, 4 and 5).

328 Whilst these rocks display relatively small differences in permeability at low effective pressures, increase in
 329 pressure results in markedly divergent trends, resulting in large differences in permeability developing over the
 330 range of effective pressures expected to encountered under reservoir conditions. This observation emphasises the
 331 importance of understanding the pressure sensitivity of shales that are to be exploited for engineering purposes.

332 4.1.3 Influence of flow direction at constant pore pressure.



342 **Figure 4: Comparison of data at 10 MPa pore pressure for flow parallel and normal to layering in the two shales.**
 343 **Parallel flow data are shown without the first pressure cycle, during which some pores become permanently closed.**
 344 **Normal-to-layering flow data are shown including the first pressure cycle. For Bowland shale, flow normal to layering**
 345 **is slower, but for Haynesville shale there is little effect, except that pressure sensitivity is less for flow normal to**
 346 **layering.**

347 Flow normal to layering in shales is often much slower than flow parallel to layering, but not always. Layer-
 348 normal flow was therefore measured for these rocks using shorter samples than for flow along the layering, and
 349 only at 10 MPa argon pore pressure (Fig. 4). However, for Haynesville shale the direction of flow makes little
 350 difference, except that pressure sensitivity is reduced for layer-normal flow, as would be expected if flow parallel
 351 to the layering is dominated by low aspect ratio, crack-like pores that are relatively compressible. The different
 352 pressure sensitivities of permeability mean that (after the first pressure cycle) flow along the layering becomes
 353 faster at low effective pressures, but slower at higher effective pressures. Bowland shale shows a small reduction

354 in permeability for flow normal to layering relative to parallel to layering (post the first pressure cycle), and there
355 is also some indication of a reduced pressure sensitivity, although the dataset is small.

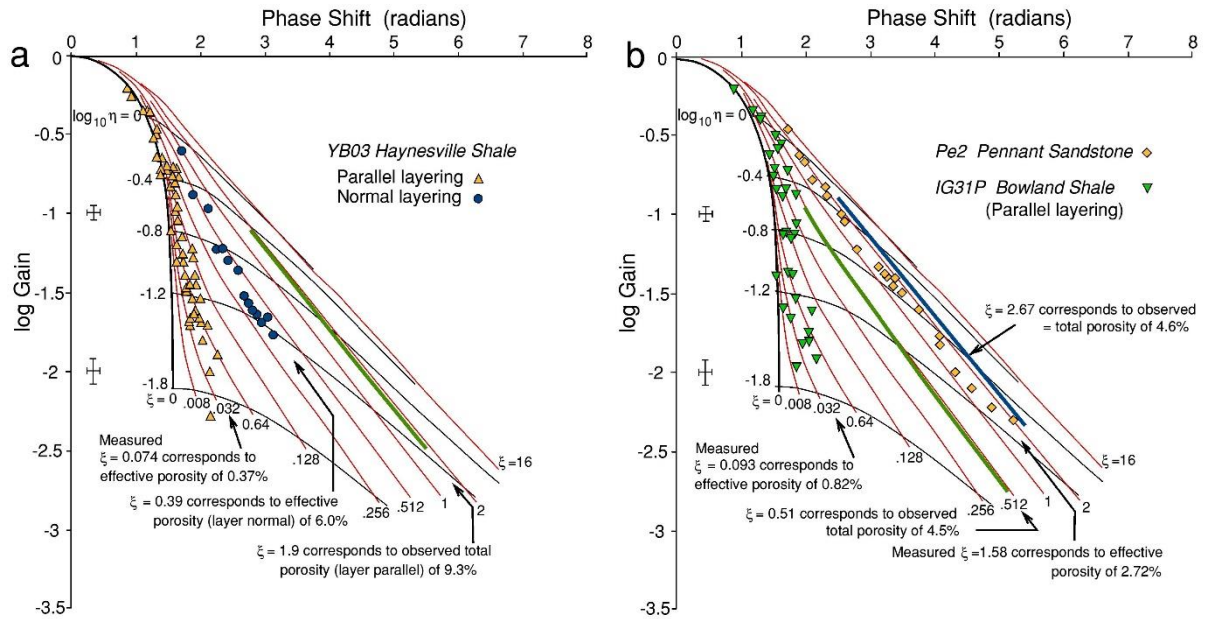
356 4.1.4 Storativity of the rocks

357 Oscillating pore pressure permeametry yields a dimensionless permeability parameter η and a dimensionless
358 storativity parameter ξ (Eq. (1)), which is the ratio of the accessible pore volume in the rock to the downstream
359 reservoir volume. A plot of experimentally measured log gain vs signal phase shift angle lies along a line of constant ξ
360 if the sample storativity is constant (Fig. 5). Thus the effective (conductive) porosity of the sample during the course
361 of the experiment can be calculated. The conductive porosity of many rocks is smaller than the total porosity.

362 The total porosity also corresponds to a particular value of ξ . If all of the porosity were to be involved in the flow,
363 these ξ values will be equal. Note that a value of $\xi = 1$ corresponds to the downstream volume of the apparatus being
364 equal to the pore volume of the rock sample. A storativity can also be calculated from data from elastic pore
365 compressibility measurements. Hasanov et al. (2019) calculated storativity in these two ways.

366 Figure 5a shows log gain vs phase angle data for Haynesville shale for flows both parallel and normal to layering.
367 Figure 5b shows corresponding data for Bowland shale and Pennant sandstone, but insufficient data was obtained for
368 Bowland shale normal to layering, given its much lower permeability. For flow along the layering, both of the shale
369 types show $\xi < 0.1$, corresponding to the conductive porosity being much smaller ($< 1\%$) than the total porosity of the
370 rocks (respectively 4.5% and 9.3%). Thus whilst the bulk of the pore space can contribute to gas storage, only a very
371 small fraction of well-connected porosity contributes to gas flow along the layering in the shales.

372 The log gain vs phase angle data was non-linear least-squares fitted to obtain an average value for ξ for each rock
373 type, subject to the constraint that ξ is constant. For Haynesville shale for flow across the layering ξ lies along the
374 trend $\xi = 0.39$, corresponding to a conductive porosity of $\sim 6.0\%$. Thus flow across the layering 'sees' more of the
375 total porosity than flow along the layering, though still substantially less than the amount of total porosity. Whitby
376 shale (Mckernan et al., 2017) displays the same effect. In marked contrast, for the Pennant sandstone $\xi = 2.72$. This
377 is close to the value of $\xi = 2.67$ corresponding to the total porosity (4.6%) of the rock, implying a high degree of
378 connectivity between the pore spaces in Pennant sandstone.



379

380

381 **Figure 5: Log gain vs phase angle data from oscillating pore pressure measurements on :**

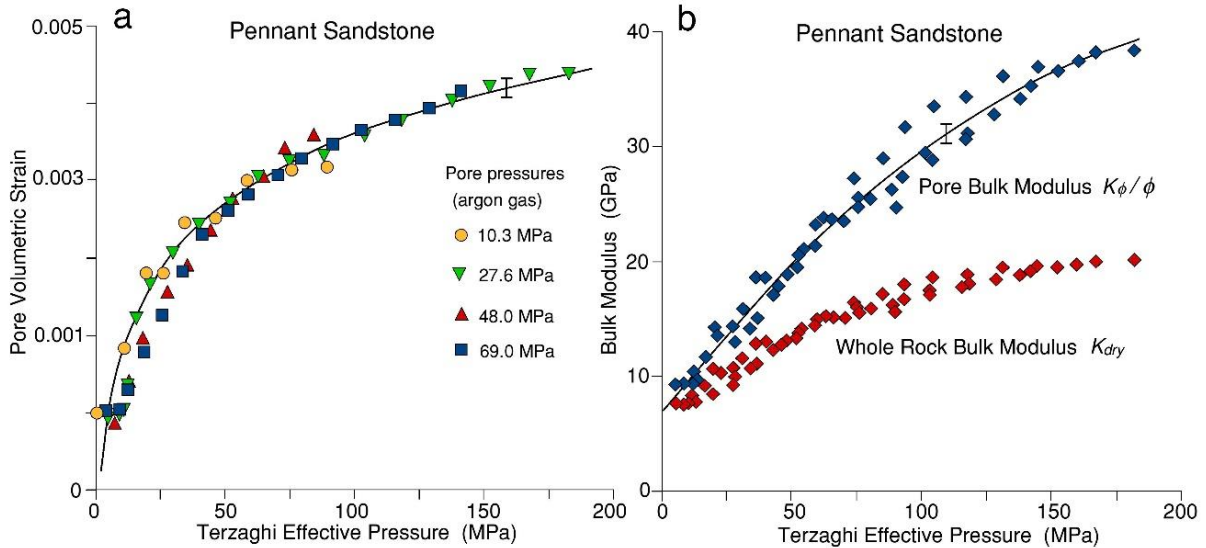
- 382 (a) Haynesville shale. $\xi = 1.9$ would correspond to total porosity 9.3% for flow in the sample parallel to layering if
 383 all porosity participates in the flow. Observed $\xi = 0.39$ normal to layering is much greater than parallel to
 384 layering $\xi = 0.074$, but both are substantially less than that corresponding to total porosity. Flow parallel to
 385 layering only ‘sees’ or ‘uses’ about 4% of the total pore space, and normal to layering about 42% of the total pore
 386 space.
 387 (b) Bowland shale. $\xi = 0.51$ would correspond to total porosity 9.3% for flow in the sample parallel to layering if all
 388 porosity participates in the flow. Observed $\xi = 0.093$ for flow parallel to the layering corresponds to a conductive
 389 porosity (0.82%) much less than total porosity. In contrast, data for Pennant sandstone show observed $\xi = 1.58$
 390 to be closer to that $\xi = 2.67$ which corresponds to the total porosity of the rock.

391 4.1.5 Bulk moduli of compressibility for Pennant sandstone

392 Bulk modulus of porosity K_ϕ (defined in Eq. (2)) and its effective pressure sensitivity can be measured from the
 393 volume of argon expelled from the rock during increments of confining pressure at constant pore pressure, and
 394 K_{dry} can be calculated using Eq. (4) (Fig. 6a). K_o is the mineral bulk compressibility estimated as the VRH
 395 average at zero porosity (given for these rocks in Table 1).

396 K_ϕ/ϕ is the value of the pore bulk modulus referred to the total volume of the rock, rather than to the pore space
 397 volume. K_ϕ/ϕ and K_{dry} versus Terzaghi effective confining pressure are shown in Fig. 6 for Pennant Sandstone.
 398 K_{dry} is asymptotic to K_o (41.5 GPa) at high pressure.

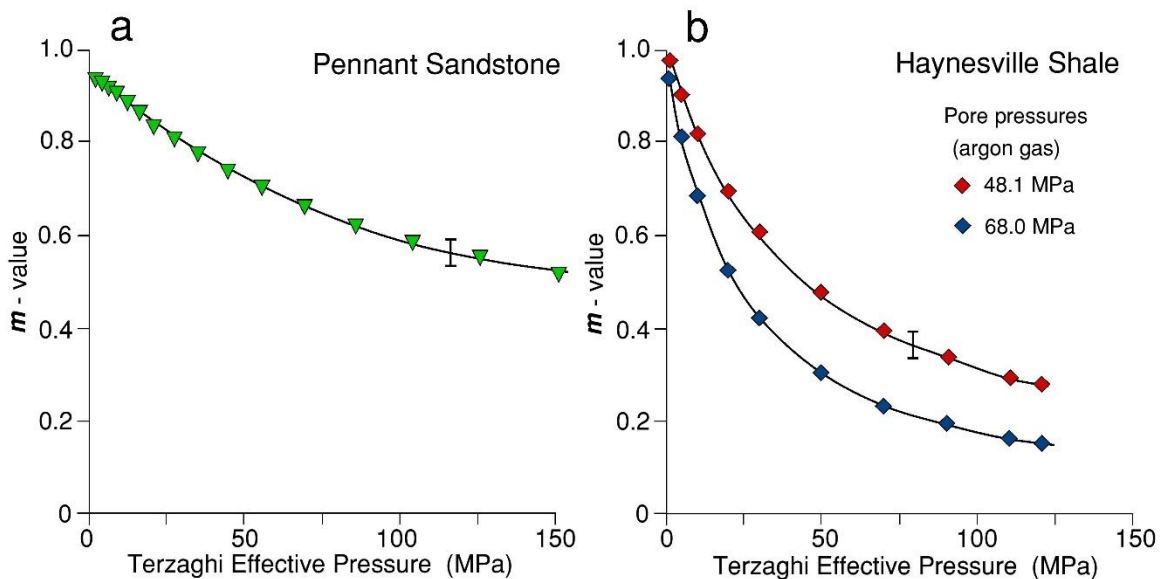
399 The pore pressure coefficient m , describing the effects of pore pressures on elastic distortions of a porous rock,
 400 and defined in $P_{eff} = P_c - m P_p$ is given in terms of the bulk moduli K_{dry} and K_o in Eq. (7). In Fig. 7 the resultant m
 401 versus effective pressure curves are shown for both Pennant sandstone and Haynesville shale. Bulk moduli are
 402 isotropic properties with values unaffected even when the aggregate displays preferred orientation (shape and
 403 crystallographic) of constituent grains (Andrews, 1978; Mendelson, 1981).



404

405 **Figure 6:**

- 406 (a) Volumetric strain (with respect to whole sample volume) for Pennant sandstone at four different constant gas
 407 pore pressures. There is no significant effect of magnitude of pore pressure. About 20% of the total pore
 408 volume is elastically reduced over a range of 200 MPa effective pressure.
 409 (b) Pore bulk modulus K_{ϕ}/ϕ from gas expulsion data in (a) for Pennant sandstone, and whole rock bulk modulus
 410 calculated from K_{ϕ}/ϕ and K_o (41.5 GPa). Pore spaces become rapidly less compliant as effective pressure
 411 increases.



412

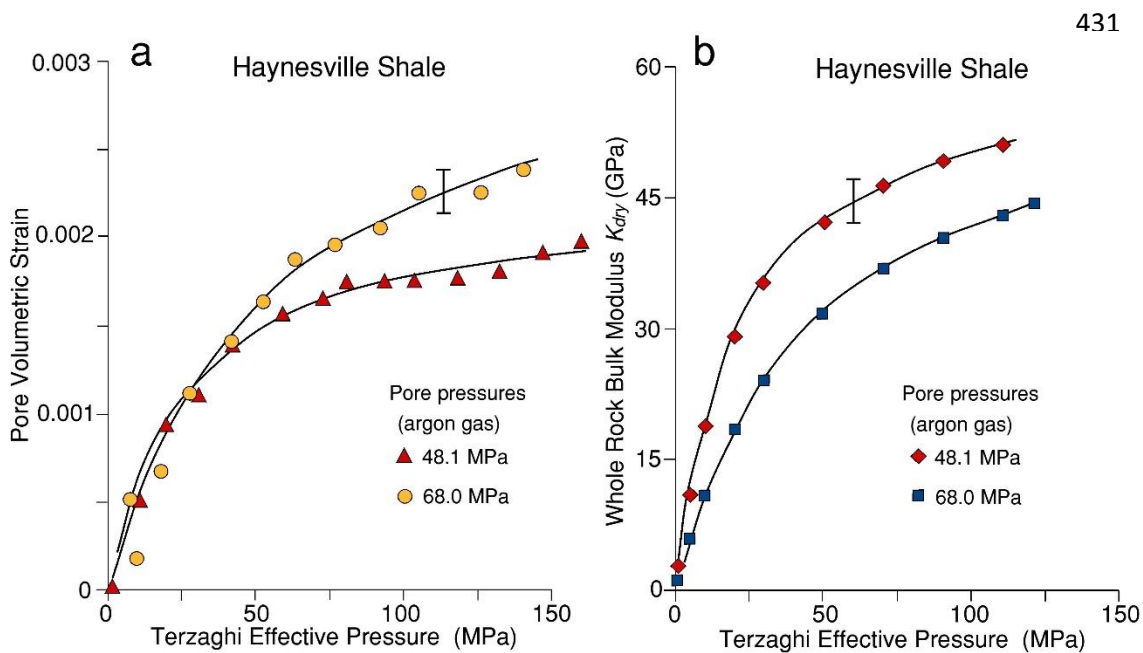
413 **Figure 7:**

414 m from bulk modulus data and Eq. (7) for (a) Pennant sandstone and (b) Haynesville shale. The decrease of m with
 415 P_{eff} arises from the stiffening of the pore spaces with effective pressure, and the effect is greater for the shale than
 416 for the sandstone.

417 At low pressure K_{dry} is much less than K_o , hence m approaches 1. As K_{dry} increases with pressure it approaches
 418 K_o , hence m decreases with pressure, and will eventually reach zero when all pore space has collapsed. Any small
 419 increase of K_o with pressure has been ignored (e.g. Calderón et al., 2007). The variation of m with pressure forms
 420 the basis for describing the decrease in permeability observed as effective pressure increases.

421 4.1.6 Bulk moduli of compressibility for Haynesville shale

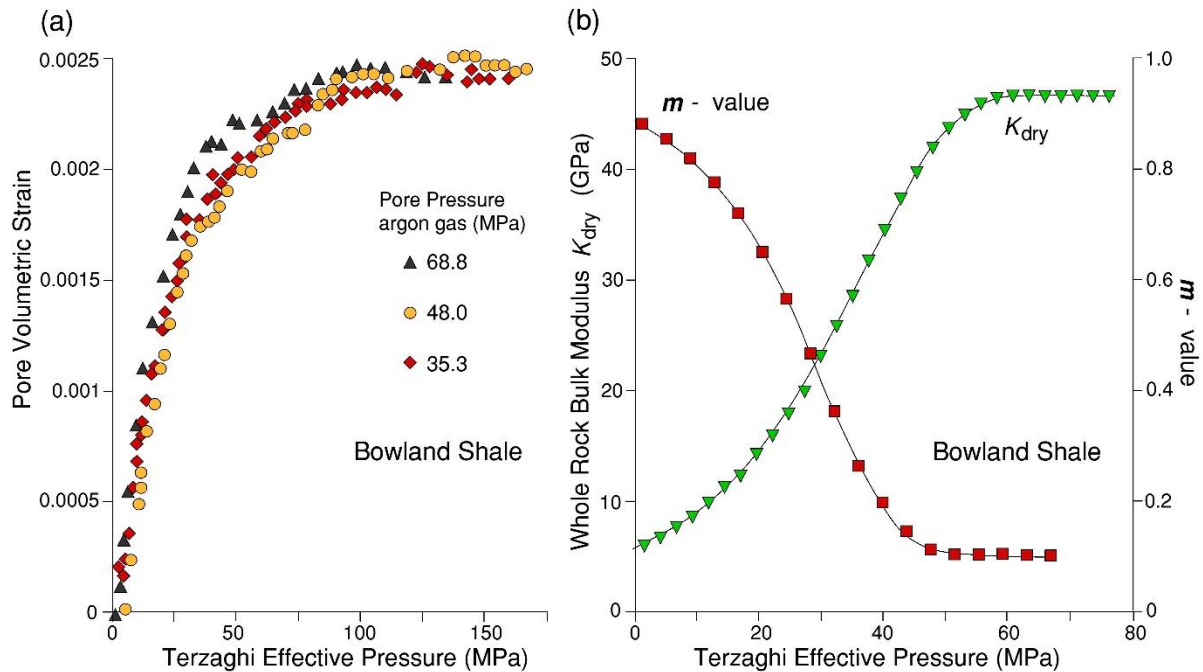
422 Pore volumetry by the expelled gas volume method during progressive increase in confining pressure was
 423 carried out on the two shale samples used (Fig 8). The resolution of the pore volume change data is poor because
 424 the specimen size was rather small (1.9 cm long). The rapid increase in slope translates to a rapid rise of calculated
 425 K_{dry} compared to Pennant sandstone, until it is a substantial fraction of K_o (61 GPa). However, the total amount of
 426 gas expelled corresponds to a closure of about 2% of the initial porosity (0.15% of the whole sample volume).
 427 Figure 7b shows pore pressure coefficient m calculated from the pore volumetry. m decreases rapidly because
 428 the K_{dry} value rises rapidly to become a substantial fraction of K_o . It is not clear why the measurements at two
 429 different pore pressures are so different, but it is thought to be attributable to different degrees of gas trapping in
 430 poorly connected pore spaces.



442 **Figure 8:**

- 443 (a) Pore volumetric strain (as fraction of total specimen volume) vs Terzaghi effective pressure for
 444 Haynesville shale at the pore pressures indicated. Pore volume loss is approx. only 2% of the initial pore
 445 volume of the rock. Logarithmic fits to two of the data sets are shown.
 446 (b) The gradients of the fitted lines in (a) correspond to the pore compressibility, and were used to obtain K_{dry}
 447 vs P_{eff} , as shown in (b) for the two pore pressures used. $K_o = 61$ GPa .

448 4.1.7 Bulk moduli of compressibility for Bowland shale.

449 **Figure 9:**

450 (a) Pore volumetry of Bowland shale at 34.5, 48 and 69 MPa gas pore pressure. There is no significant difference at
 451 the three pore pressures, so that a single polynomial function can be fitted to all the data. The slope of the curves
 452 corresponds to the pore compressibility, which decreases markedly with increasing effective pressure.

453 (b) Shows calculated K_{dry} bulk modulus of the sample (pore pressure = 69 MPa) from pore volumetry measurements
 454 (inverted triangle symbols). $K_o = 52.8$ MPa. Also plotted is the m value from pore volumetry (square symbols) for
 455 Bowland shale at 69 MPa pore pressure.

456 A large specimen (25 mm diameter and 50 mm long) was used for these measurements on Bowland shale, cored
 457 parallel to the layering. Because this is a low permeability rock, a 2 mm thick longitudinal slab of porous sintered
 458 stainless steel was deployed as described earlier, to facilitate gas flow between the rock pores and the pore
 459 pressure system. During pressure cycling it was necessary to correct data for the storativity of this plate. Figure 9
 460 shows pore volumetry at 34.5, 48.1 and 69 MPa MPa argon gas pore pressure and K_{dry} data for Bowland shale.
 461 Measurements were very reproducible and, unlike the Haynesville shale sample, there was no significant effect of
 462 the magnitude of the pore pressure used. The amount of gas expelled during an effective confining pressure cycle
 463 of 150 MPa corresponds to closure of ~8.4% of the initial (4.5% porosity) pore space, or about 0.04% of the total
 464 rock volume. As also observed for Haynesville shale, this represents a very small fraction of the total porosity.

465 The poroelastic coefficient m calculated from the volumetry data is shown in Fig. 9b. Like the Haynesville
 466 shale, the poroelastic coefficient obtained from pore volumetry decreases substantially with Terzaghi effective
 467 pressure but does so at a similar rate to the Haynesville shale.

468

469 **5. Discussion**470 **5.1 Generation of pore pressure during undrained loading**

471 If drainage channelways become constricted during application of increments of P_c whilst P_p is also high, the
 472 rock might become effectively undrained and hence pore pressure increments can arise. The magnitude of an
 473 induced pore pressure under undrained conditions can be estimated from the Skempton parameter B , where

$$474 \quad dP_p(\text{induced}) = B dP_c = \frac{C_{pp} + C_o}{C_{pp} + C_f} dP_c \quad (10)$$

475 B is the Skempton B parameter of soil mechanics (Lockner and Stanchits, 2002). C_{pp} is the compressibility of the
 476 pore space arising from a change in pore pressure, and is usually much less than the compressibility of the pore
 477 fluid C_f . Thus B will lie between 0 and 1.0. Because usually $C_{pp} \gg C_o$ (where $C_o = 1/K_o$),

$$478 \quad B \approx \frac{C_{pp}}{C_{pp} + C_f} = \frac{1}{1 + \frac{C_f}{C_{pp}}} \quad (11)$$

479 For a gas saturated rock $C_f > C_{pp}$, hence $B \rightarrow 0$, and a gas-saturated rock will therefore never develop appreciable
 480 pore pressures, especially at high porosities and from low initial gas pressures even when undrained, hence was
 481 not considered to be an issue in the present experiments.

482 For a liquid-saturated rock however, this will not be true. B will approach 1 when $C_{pp} \gg C_f$. For liquid-
 483 saturated porous sandstones under hydrostatic loading, Green and Wang (1986) found that under undrained
 484 conditions, induced pore pressures were close to the applied confining pressures over a range of 60 MPa confining
 485 pressure, thus the mean externally applied stress is almost totally transferred to the pore fluid via the
 486 compressibility of the pore spaces.

487 The time constant for the dissipation of excess pore pressure in a region of characteristic dimension L in a
 488 material of permeability k is on the order of

$$489 \quad t = \frac{\phi \mu (C_f + C_{pp}) L^2}{k} \quad (12)$$

490 t is the time required for pressure to decay by factor $1/e$ at distance L . The ratio $k / \phi \mu (C_f + C_{pp})$ is the hydraulic
 491 diffusivity κ (dimensions m^2s^{-1})(Zimmerman, 1991). For water, viscosity μ is 0.001 Pa s. Taking the bulk
 492 modulus K_f ($= 1/\text{fluid compressibility}, C_f$) to be 2 GPa, and the permeability to be $10^{-18.5} \text{ m}^2$ for Haynesville shale
 493 at about 5 MPa effective pressure (this is the highest permeability measured, which would apply after an excess
 494 fluid pressure had been generated by compaction), $\kappa \sim 6 \times 10^{-6} \text{ m}^2\text{s}^{-1}$. This leads to $t \sim 60 \text{ s}$ for $L = 2 \text{ cm}$. This
 495 assumes water and gas permeabilities are the same at the same pressure conditions, but permeability to water may
 496 be about one order of magnitude lower (Faulkner and Rutter, 2001) in foliated clay-bearing rocks. Time t is
 497 shorter by a factor 1/30 when the pore fluid is gas owing to its lower viscosity (Gosman et al., 1969). This
 498 equation is for constant k , but when k is a strong function of P_{eff} , decreasing perhaps 300-fold at high effective
 499 pressures, up to 5 minutes may be required for small pore pressure transients to decay.

500 **5.2 Simple model for pressure-dependence of permeability**

501 The simplest approach to describing the influence of pore space geometry and connectivity on permeability is to
 502 regard the pores as a bundle of circular capillary tubes, so that the equation for viscous Poiseuille flow can be
 503 applied and permeability calculated as a function of capillary tube radius. The circular capillary tube is a special
 504 case of flow through tubes of elliptical cross section. In this case the flow rate then becomes acutely sensitive to

505 the short radial dimension of the tube, and the more eccentric the tube cross-section the greater will be the
 506 sensitivity of its shape to externally applied effective pressure (Seeburger and Nur, 1984). Ma et al. (2018) imaged
 507 connected pores spaces in shales, including Haynesville shale, as thin, crack-like shapes lying parallel to bedding
 508 and of nanometric widths. Such pores in shales are not identical to straight capillary tubes of elliptical cross
 509 section, but we can explore the extent to which the pressure sensitivity of observed permeability can be modelled
 510 as such (Mckernan et al., 2017).

511 For a single tube cross-section of long axis $2c$ and short axis $2b$ the volume flow rate q of a fluid of viscosity μ
 512 along a hydraulic pressure gradient dP_p/dx is well known to be

$$513 \quad q = \frac{\pi}{4\mu} \left(\frac{b^3 c^3}{b^2 + c^2} \right) \left(\frac{dP_p}{dx} \right) \quad (13)$$

514 and for N parallel tubes embedded in an elastic matrix of volume V and intersecting a 1 m^2 area normal to their
 515 length the total flux $Q = Nq$. Separating out the viscosity and pressure gradient, the permeability k_o of the array is
 516 $k_o = (N \pi / 4) (b^3 c^3 / (b^2 + c^2))$. Dimension c does not change with externally applied pressure for the elliptical
 517 crack, whereas for the tapered crack it does, such as to keep the aspect ratio approximately constant (Mavko and
 518 Nur, 1978), and Seeburger and Nur (1984) found that there is little difference in the effect of hydrostatic pressure
 519 on flow rate when the tube cross section is elliptical or tapered. In terms of aspect ratio of an assumed elliptical
 520 cross section $\alpha = b/c$, thus

$$521 \quad k = \frac{N\pi}{4} c^4 \left(\frac{\alpha^3}{1 + \alpha^2} \right) \quad (14)$$

522 The porosity $\phi = N\pi b c$. Parameters α , c and N that satisfy Eq. (4) are non-unique. N can be increased whilst pore
 523 aperture is decreased, keeping k unchanged. A further constraint is therefore required, and this is provided by the
 524 porosity ϕ , which is already known as a property of the material. Porosity is given by $\phi = N c^2 \alpha \pi$. Thus Eq. (14)
 525 becomes

$$526 \quad k = \frac{\phi c^2}{4} \left(\frac{\alpha^2}{1 + \alpha^2} \right) \quad (15)$$

527 Applying a hydrostatic pressure P to a solid bearing elliptical cracks reduces the b dimensions of all pore spaces,
 528 and hence reduces the hydraulic transmissivity. The spatial density of the ellipses is assumed to be sufficiently
 529 small that the elastic strain fields of each do not interact significantly. From Seeburger and Nur (1984), following
 530 Walsh (1965) and Mavko and Nur (1978) the bulk modulus K_{dry} of a solid of volume V containing N tubular
 531 cracks of elliptical cross section and semi-major axis c is given by

$$532 \quad \frac{1}{K_{dry}} = \frac{1}{K_0} + \frac{1}{K_0} \left[2Nc^2 d \frac{1 - \nu^2}{1 - 2\nu} \right]$$

533 Thus

$$534 \quad \frac{K_0}{K_{dry}} - 1 = 2Nc^2 d \frac{1 - \nu^2}{1 - 2\nu} \quad (16)$$

535 d is the elliptical section tube length in the third dimension ($= V^{(1/3)}$).

536 Taking $m = (1 - K_{dry}/K_o)$, the left hand side is $m/(1 - m)$, and the expression can be rearranged with c^2 on the
 537 left side:

$$538 \quad c^2 = \left(\frac{m}{1-m}\right) \left(\frac{1-2\nu}{1-\nu^2}\right) \frac{1}{2Nd} \quad (17)$$

539 This can replace c^2 in Eq. (15), to give :

$$540 \quad k = \left(\frac{\phi}{8Nd}\right) \left(\frac{\alpha^2}{1+\alpha^2}\right) \left(\frac{m}{1-m}\right) \left(\frac{1-2\nu}{1-\nu^2}\right) \quad (18)$$

541 m is measured by pore volumetry as a function of Terzaghi effective pressure hence k is a function of effective
 542 pressure. For $b \ll c$ it is primarily the reduction of the b dimension with increasing pressure that reduces
 543 permeability. However, Mavko and Nur (1978) and Seeburger and Nur (1984) showed that the bulk modulus of a
 544 porous solid of given porosity is not affected by the shape (eccentricity) of the pores. All pores change volume by
 545 the same fractional amount. Only the distortion under pressure of the more eccentric ones is likely to affect the
 546 permeability, although all pores will affect the storativity, according to how well connected they are. The
 547 ‘connected’ porosity estimated from the log gain versus phase shift plot, that is much smaller than the total
 548 porosity, is used in Eq. (18). Its small value implies that most of the porosity is not being inflated during the
 549 passage of the pore pressure wave, hence during the time-scale of the pressure oscillation the greater part of the
 550 porosity is closed off by the action of the effective pressure.

551 Eq. (18) can be fitted to the permeability data $\log k = f(P_{eff})$ measured for rock types studied using the non-linear
 552 least-squares fitting routine Solver in MS Excel®, to estimate the parameters N , ν and α . Via the inferred
 553 effective porosity the conductive pore width can also be estimated. The results of the fitting exercise provide the
 554 parameters for a bundle of capillary tubes that *behaves in the same way* as the measured rocks. This is not to say
 555 that the geometric arrangement of a simple capillary tube bundle corresponds to the pore space configurations in
 556 these rocks, nor that a solution can be found for all rocks. The pressure sensitivity lies in the function that
 557 describes m as a function of pressure, obtained from pore volumetry, and incorporating the effective pressure
 558 coefficient n . Figure 10 shows the fit to the data for the Pennant sandstone; fit parameters are in Table 3.

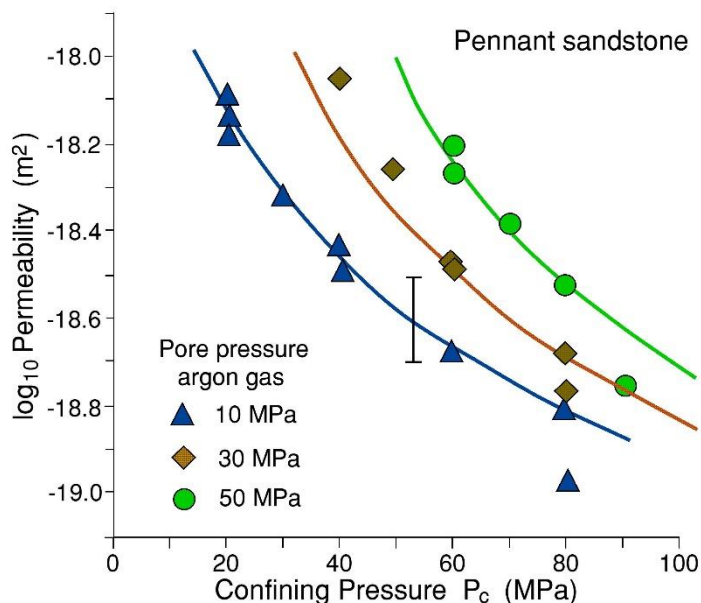
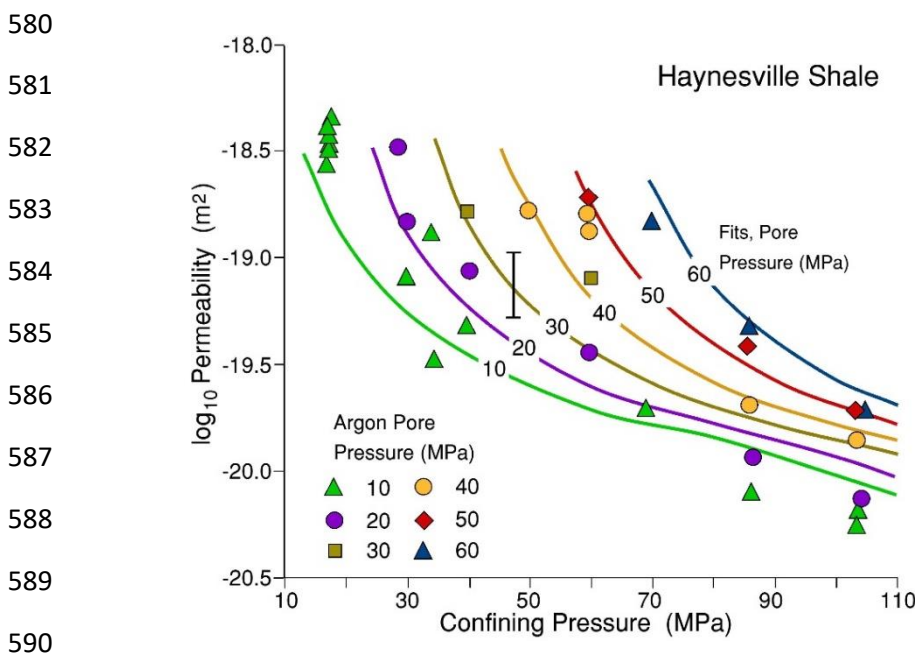


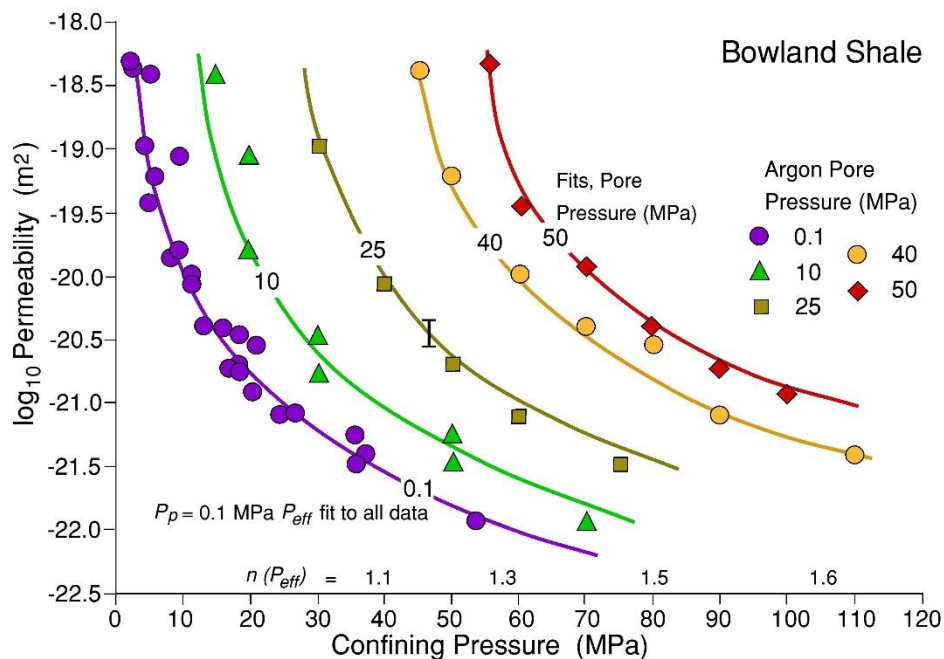
Figure 10: Gas permeability data for Pennant sandstone normal to layering, for three constant pore pressures. The three continuous curves are for Eq. (18) non-linear least-squares fits to the data.

570 Unlike the relatively homogeneous distribution of pore channels in the shales down to the micron scale, in the
 571 Pennant sandstone the greater part of the rock volume is not porous, as it comprises large quartz and feldspar
 572 grains. The 4.6% porosity is contained mostly in the spaces originally between these grains that are now largely
 573 filled with phyllosilicate and oxide phases, i.e. about 26% of the total rock volume, and is microstructurally in
 574 some ways comparable to a shale. Therefore in Table 3 the estimated conductive channel dimensions are based on
 575 flow through this reduced volume fraction.

576 Figure 11 shows the fits to the permeability data for Haynesville shale. The cross-section shape of the elliptical
 577 tubes is extremely eccentric and the shorter width of the tubes is measured in nanometres. This is consistent with
 578 the observations of the dimensions of connected bedding-parallel porosity in the high-resolution tomography (CT)
 579 observations of Ma et al. (2018) for Haynesville shale from the same core section as sampled here.

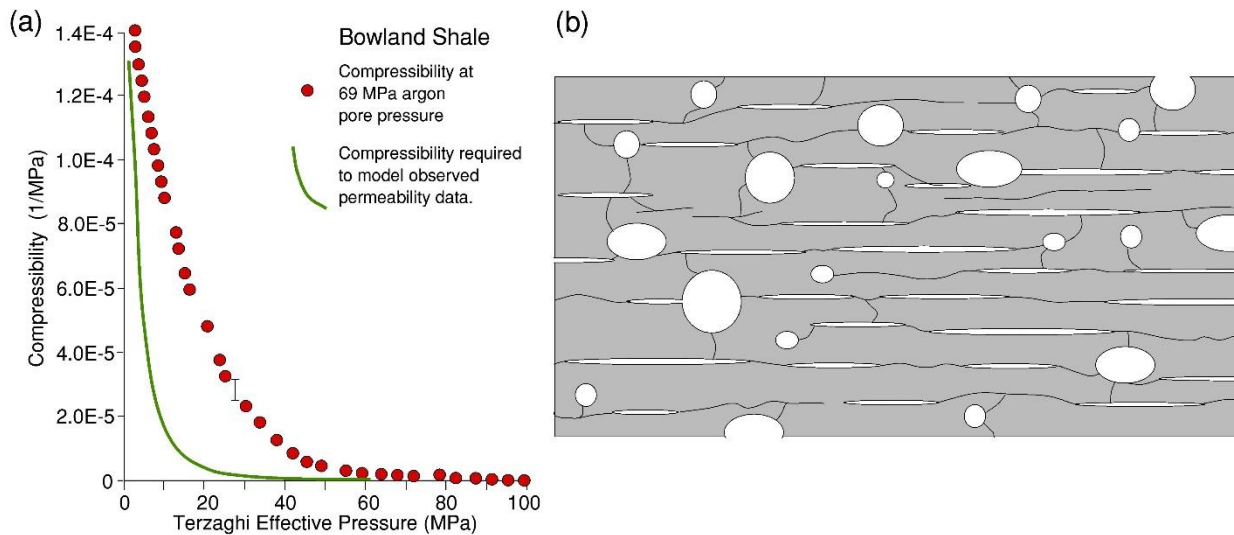


591 **Figure 11: Permeability of Haynesville Shale versus total confining pressure for various values of constant gas pore**
 592 **pressure. The curves shown are the permeabilities calculated using the elliptical section pore channels model (Eq. (18)).**



603

604 **Figure 12: Permeability of Bowland Shale versus total confining pressure for various values of constant gas pore**
 605 **pressure. The curve and data shown for $P_p = 0.1$ is the effective pressure fit to all the data as shown in Fig. 3, collapsed**
 606 **onto a single least squares best-fit curve ($\log_{10}k = -0.503 \log_{10}P_{eff} - 17.26$) for a pore pressure coefficient made to vary**
 607 **linearly with Terzaghi effective pressure according to $n = (1+P_{eff}(\text{MPa}))/85$. Measured data for the separate pore**
 608 **pressures are shown, with best-fit curves with the variable pore pressure coefficient. n -values are shown to indicate how**
 609 **they increase from left to right.**



610

611 **Figure 13:**

612 **(a) The experimentally observed variation of pore compressibility at 69 MPa pore pressure (filled circles) vs Terzaghi**
 613 **effective pressure for Bowland shale, derived from the data in Fig. 9. The reciprocal of this compressibility is $\phi/K\phi$.**
 614 **This rate of reduction of compressibility with effective pressure cannot predict the observed pressure sensitivity of**
 615 **permeability that is observed experimentally. The continuous curve shows what the trend would have to be like in**
 616 **order that the single capillary tube model can behave in the same way as the rock.**

617 **(b) Schematic illustration of the porosity model best able to explain the permeability and bulk modulus data in the**
 618 **shales. Highly eccentric pores and cracks lie parallel to layering but are well-connected, accounting for easy gas**
 619 **transport yet using only a small fraction of the porosity. These narrow pores are easily constricted by hydrostatic**
 620 **pressure. Most of the storage capacity resides in the larger, equant pores of dimension about 1 micron that are poorly**
 621 **linked and not easily closed down by hydrostatic pressure.**

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630

631 **Table 3: Fit parameters for the capillary tubes bundle model applied to describe the permeability of Haynesville shale**
 632 **and Pennant sandstone at low effective pressures, when the permeabilities are not strikingly different. n is the pore**
 633 **pressure multiplier for the permeability data, N is the number of pores intersecting a 1 m^2 area normal to the flow path,**
 634 **α is the pore shape aspect ratio and ν is the Poisson ratio. $2b$ is the mean short dimension (nm) of the elliptical cross**
 635 **section and s is the average pore spacing (microns).**

	Haynesville Shale	Pennant sst
638 n	0.99	0.86
639 N	$1.03 \text{ E}+11 \text{ m}^{-2}$	$8.4 \text{ E}+11 \text{ m}^{-2}$
640 α	0.0051	0.004
641 ν	0.17	0.10
642 $2b$	13.5 nm	21 nm
643 s	$3.1 \mu\text{m}$	$1.5 \mu\text{m}$
644 Conductive porosity	0.3%	3.8%

646

647 The form of the curve of K_{dry} vs Terzaghi effective pressure does not permit the simple elliptical section
 648 capillary tubes model to be fitted to Bowland shale, because the observed rate of decrease of m with effective
 649 pressure is insufficiently rapid to explain the three orders of magnitude decrease of permeability observed over
 650 this pressure range (see Fig. 12). Figure 13a compares the observed variation with effective pressure of pore
 651 compressibility factor m to the variation that would be required to be able to make such a fit. It is inferred that
 652 pressure must be able to act in this rock to close down pore connectivity in one or more additional ways to the
 653 elastic compression of elliptical channel cross-sections. These could involve development of increased tortuosity
 654 of channelways, or the existence of a more complex distribution of connected pores of different sizes and shapes.
 655 The simple model of a set of similarly-sized and shaped channels that can behave in a comparable way to a real
 656 pore network is clearly inapplicable to this rock.

657 5.3 The effective pressure coefficients, m and n

658 In the context of permeability, n is the multiplier of pore pressure in the definition of the modification of
 659 Terzaghi effective pressure that brings observed permeability data at different constant pore pressures onto a
 660 common curve (e.g. Fig. 12), thus $P_{eff} = P_c - nP_p$. n takes a value close to unity in the case of the experimental
 661 data on Haynesville shale and Whitby shale, and 0.86 in the case of Pennant sandstone. In other studies, observed
 662 departures from unity have been attributed to, for example, differences in the roles of elastically stiff and
 663 elastically soft mineral components surrounding the pore spaces in responses to changes in P_c relative to changes
 664 in P_p (e.g. Zoback and Byerlee, 1975; Kwon et al., 2001; Ma and Zoback, 2017), resulting in different rates of
 665 change of pore volume with P_c and P_p .

666 On the other hand, in Eq. (4), for a homogeneous, isotropic elastic matrix, it is the value of K_{dry} , the bulk
 667 modulus of the porous rock, that determines the change in geometry of pore spaces, and hence permeability, in

668 response to effective pressure change. The theoretical expression for the effective pressure coefficient m for elastic
 669 *deformations* of a mechanically linear, homogeneous and isotropic rock is given by Eq. (7) and this parameter
 670 appears in the expression for the permeability according to the bundle of capillary tubes model (Eq. (18)). Using
 671 the pore fluid displacement method (Figs. 6, 8 and 9) we have found that in all cases m decreases from near unity
 672 with Terzaghi effective pressure according to the pressure dependence of K_{dry} , whereas for Pennant sandstone and
 673 Haynesville shale, observed n remains close to unity for permeability data and exceeds unity for Bowland shale
 674 over Terzaghi effective pressures from zero to *ca* 80 MPa, thus $m \neq n$. Nur and Byerlee (1971) took care to point
 675 out that m as defined in Eq. (7) cannot generally be used as a predictor of effective pressure coefficient for
 676 particular processes, like permeability, mechanical strength and elastic wave velocities, even though all involve
 677 elastic distortions.

678 As was pointed out earlier, pressure sensitivity of permeability according to the simple capillary bundle model
 679 cannot behave in the same way as was observed experimentally for Bowland shale. Also, a single value of n
 680 cannot reconcile permeabilities at different pore pressures for this rock. Figure 12 shows the permeability data for
 681 Bowland shale separated into measurements at different pore pressures. By extending the collective fit between
 682 log permeability and effective pressure shown in Fig. 12 to the data at each pore pressure, the downward
 683 divergence of the curves becomes apparent. This can be described empirically by fitting a linear variation of n
 684 with Terzaghi effective pressure, such that $n = 1$ at low effective pressures, rising to $n = 1.6$ at the upper end of the
 685 pressure range used. This is interpreted as a further manifestation of the pore structure complexities that mean that
 686 this Bowland shale cannot be described by a simple capillary tube bundle model.

687 **5.4 Relationship between observed pressure-dependent permeability and mineralogy**

688 Several studies have reported the relationships between mineralogy of shales and related rocks and their
 689 petrophysical properties (e.g. Kwon et al., 2004; Ma and Zoback, 2017). The rocks used in this study display a
 690 spectrum of mineralogy that is reflected in their permeabilities, both in terms of absolute values and their
 691 sensitivity to effective pressure.

692 Pennant sandstone is typical of tight gas sands in which the load bearing framework is of continuous quartz and
 693 feldspar grains with what would otherwise be a large porosity that is mostly filled with some detrital muscovite
 694 plus diagenetically-introduced clay and oxide phases (Wilson and Pittman, 1977; Howard, 1992). Prior to the pore
 695 filling there was a degree of intergranular pressure solution and formation of quartz overgrowths around quartz
 696 grains. The protective armour around the filled pore spaces afforded by the quartz framework is thought to have
 697 limited degree of compaction of the pore filling, in which most of the present porosity resides. Relative to the
 698 volume of the inter-quartz spaces, the porosity of the filling would be ~20%, and it is thought that this contributes
 699 to the relatively high overall permeability and reduced pressure sensitivity of Pennant sandstone.

700 The Bowland and Haynesville shales are mineralogically and microstructurally strikingly different. It is
 701 important to remember that these are particular samples taken from their respective sequences and may not be
 702 especially representative of their host sequences at all. The Bowland shale sample is a phyllosilicate-rich,
 703 carbonate-poor siliceous mudstone with sufficient phyllosilicate to form a contiguous matrix, and this is likely to
 704 be responsible for the relatively low bulk modulus (53 GPa) of the rock and hence low permeability. The
 705 Haynesville shale is a carbonate-rich (>50vol%), phyllosilicate-poor siliceous mudstone with a higher bulk
 706 modulus (61 GPa). The carbonate grains (fossil fragments and diagenetic carbonate) provide a stiff framework of

707 contiguous grains, helping to maintain open porosity and to resist its elastic compaction. Despite these qualitative
708 observations that can be made about how mineralogy and microstructure impacts upon permeability, the present
709 results do not form a basis for making any quantitative correlations.

710

711 **5.5 Inference of key characteristics of pore space geometry in shales**

712 Much has been written on pore space geometry based on SEM, TEM and Xray CT imaging of shales, but
713 important characteristics can be inferred from observations of bulk petrophysical properties. Key points noted in
714 the present study are:

715 • The storativities for both shales are extremely small for flow paths lying parallel to the layering, such that over
716 90% of the available pore space is not participating in the flow.

717 • At low effective pressures, the permeabilities of all three rocks are similar, but with increasing effective
718 pressures they diverge at markedly different rates. Marked sensitivity of permeability to effective confining
719 pressure implies that conductive (well-connected) pores are flat and crack-like. This is supported by permeability
720 modelling, that suggests that for a bundle of elliptical-section capillary tubes of equivalent permeability behaviour,
721 their aspect ratios are extremely small and the narrow dimension is expected to be in the nanometric range (Table
722 3).

723 • For flow normal to layering, at least in Haynesville shale, storativity is much greater than for flow across the
724 layering, but still implies that over half of the pore space is not participating in the flow.

725 • Permeability in both shales is very low under elevated effective pressures compared to Pennant sandstone,
726 which is of similar overall porosity, implying that connected pore spaces are narrow and/or poorly
727 connected/tortuous.

728 The above observations suggest that the effective configuration of pores spaces corresponds to the sketch shown
729 in Fig. 13b, with a population of highly oriented, crack-like pores parallel to layering that account for only a small
730 fraction of the total porosity but dominate the hydraulic transmissivity through the rock mass parallel to the
731 layering and also account for the low storativity associated with flow along the layering. These are poorly
732 connected to larger, probably more equant pores by conduction channels trending across the layering, and which
733 contain most of the gas storage space in the rock. The equant pores are 'seen' more easily for flow across the
734 layering, so that this flow is characterised by higher storativity, as demonstrated for Haynesville shale. Such
735 storage pores are likely to be much slower to drain (or to fill) in response to an applied pore pressure gradient than
736 implicit in the laboratory-measured permeability data. This suggests that permeabilities measured by transient
737 flow methods in the laboratory may lead to an over-conservative estimate of the potential for drainage of a gas
738 reservoir in shale, and perhaps help partially to explain the long-term persistence of flows from some shale gas
739 reservoirs (e.g. Guo et al., 2017; Wang, 2017).

740 **6. Conclusions**

741 Permeabilities as functions of effective pressure were measured using the oscillating pore pressure method at 20
742 °C for three rocks (Haynesville and Bowland shales and Pennant sandstone) of low permeabilities and comparable

743 porosities. Tests were at effective pressures ranging up to 90 MPa with argon gas as permeant. From exhibiting
744 comparable permeabilities at low pressures they diverged markedly with increasing pressure. Pennant sandstone
745 showed permeability reduction with pressure of less than ten-fold, Haynesville shale became less permeable by
746 almost two orders of magnitude, whereas Bowland shale was reduced in permeability by more than 3 orders of
747 magnitude. The different pressure sensitivities of permeability correlated inversely with their (pressure sensitive)
748 bulk moduli and qualitatively with mineralogical differences, going from a continuous framework of stiff quartz
749 grains (sandstone) through a carbonate-rich framework (Haynesville shale) to a contiguous matrix of phyllosilicate
750 grains (Bowland shale).

751 High storativity of the sandstone implied that most of the available pore space was involved in the gas flow, but
752 in the shales, for flow parallel to the layering, less than 10% of the available pore space was involved in the flow.
753 For flow in the Haynesville shale across the layering a larger pore space fraction was involved, but still much less
754 than all the available pore space. Thus only a small fraction of the total pore space can be inferred to be well
755 connected in the shales. This implies that whilst the permeability we measure in the oscillating pore pressure
756 experiment is that associated with gas transport through the rock mass, a lower effective permeability applies to
757 the ability of the gas to flow into and out of the storage pores.

758 A simple model of permeability was developed based upon connected pore space behaving in a way similar to a
759 bundle of capillary tubes of highly eccentric cross section. By fitting the model to the experimental data, it was
760 possible to demonstrate that this model behaved in a similar way to the rocks for the case of Pennant sandstone
761 and Haynesville shale, but the model could not behave in a way compatible with the marked pressure sensitivity of
762 permeability for the Bowland shale. It was inferred that a more complex distribution of connected pore spaces of
763 varying dimension and tortuosity would be required to behave like the Bowland shale sample.

764 **Author contribution**

765 EHR was responsible for the conceptualization and methodology of the study, carrying out the bulk of the
766 experiments, compilation and analysis of data and writing the manuscript. JM was responsible for the acquisition
767 and management of financial support, carrying out the FEM analysis, contribution to experimental design and data
768 presentation, and preparation of the paper. YB carried out the experiments on Haynesville shale under the
769 supervision of JM and EHR as part of his doctoral research.

770 **Data availability**

771 All of the experimental data acquired in this research is freely accessible and collated in supporting datafiles
772 DF1.csv and Matlab scripts that describe the finite element simulations and permeability data processing. In
773 correspondence with UK Research Council requirements the files are deposited in the UK National Geoscience
774 Data Centre, identified by the title of this paper. The files are also downloadable from
775 <https://doi:10.5281/zenodo.5914205>

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