

## Study of quantification methods in self-healing ceramics, polymers and concrete – a route towards commercialisation

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Abstract:	<p>During the past decades, research in self-healing materials has focused on the improvement in mechanical properties, making stronger materials, able to bear increasing solicitations. This strategy proved to be costly and in some cases inefficient, since materials continue to fail, and maintenance costs remained high. Instead of preparing stronger materials, it is more efficient to prepare them to heal themselves, reducing repairing costs and prolonging their lifetime. Several different self-healing strategies, applied to different material classes, have been comprehensively studied. When new materials are subject of research, the attention is directed into the formulations, product processing and scale-up possibilities. Efforts to measure self-healing properties have been conducted considering the specific characteristics of each material class. The development of comprehensive service conditions allowing a unified discussion across different materials classes and the standardization of the underlying quantification methods has not been a priority so far. Until recently, the quantification of self-healing ability or efficiency was focused mostly on the macroscale evaluation, while micro and nanoscale events, responsible for the first stage in material failure, received minor attention. This work reviews the main evaluation methods developed to assess self-healing and intends to establish a route for fundamental understanding of the healing phenomena.</p>

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5 **1 Study of quantification methods in self-healing ceramics, polymers and**  
6 **2 concrete – a route towards standardisation**

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24 **11 Abstract**

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26 During the past decades, research in self-healing materials has focused on the improvement in  
27 mechanical properties, making stronger materials, able to bear increasing solicitations. This  
28 strategy proved to be costly and in some cases inefficient, since materials continue to fail, and  
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36 unified discussion across different materials classes and the standardization of the underlying  
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40 This work reviews the main evaluation methods developed to assess self-healing and intends  
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## 1. Introduction

Throughout the years, a major goal of the materials sciences is in the optimization of the material's reliability and resilience, and to ensure minimal risk of failure during service life. This is particularly important for applications with demanding service conditions, where maintenance operations and material substitution can be difficult, costly and time consuming. For instance, some coating materials are so susceptible to damage that they require frequent repairing and replacement. This not only affects the reliability and durability of materials, it also has a strong environmental impact. Recently, the strategy to prevent damage and prolong lifetime resulted in a new approach - the development of self-healing properties in materials (Zhang et al., 2013: 5).

Self-healing materials have been intensively investigated in the past ten years, as shown by the increasing number of patents issued and publications in the field. Since 2005, were published more than 16000 papers (Figure 1) and about 500 patents (Figure 2) related to self-healing materials, more than 2/3 of which within the past five years. The field of self-healing can be divided in several sub-domains depending on the material, mechanism and repairing strategy. Polymers (bulk and coatings) are by far the most studied and most of the commercially available materials belong to this material class (AkzoNobel, 2013; HIT, 2013; Intergard, 2013; Autonomic and Materials, 2013) . Considering the still limited number of commercial products available on today's market, it is obvious that further fundamental research is necessary to further promote an effective knowledge transfer from the scientific community to industry.

One important step in the evolution of a broader picture of the wide opportunities in improving the self-healing and resilience of materials, is the development of a common set of definitions valid across the material's classes (Awaja et al., 2009; Bergman and Wudl, 2007; Fischer, 2010; Hearn, 1998). The establishment of a suitable definition for the quantities and mechanisms in the context of self-healing is an important prerequisite to allow an interdisciplinary discussion and will advance the commercial breakthrough of more products based on self-healing materials.

Damage during life service should be considered as an accumulation of microdamages that ultimately lead to catastrophic failure. When a material is damaged, one or more cracks start to develop at the microscopic level (Huang et al., 2013; Kawaguchi and Pearson, 2004; Darabi et al., 2012). These cracks tend to propagate via a coalescence effect and can cause the

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4 61 material rupture. Based on this common starting point, the path is open to accept the idea of  
5 62 partial recovery or regeneration (Stuart et al., 2010). In an ideal self-healing material, the  
6 63 damage itself or the originating stress serves as the trigger for the recovery mechanism  
7 64 (Elmoaty, 2011; Hamilton et al., 2012a; Yabuki, 2011). In other cases, the healing process is  
8 65 activated by an external trigger (temperature, electrical stimulus, light, or other). This  
9 66 activation process is influenced by the location, where the damage occurs and healing time,  
10 67 which depends on the damage extension (Burattini et al., 2010). It can involve molecular  
11 68 activation, transport processes, and/or chemical reactions, which ultimately results in the  
12 69 restoration of the original properties at the damaged site (Wiggins et al., 2013).

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19 70 Different classification methods have been developed, depending on the material class and  
20 71 application (Hager et al., 2010). Healing strategies can be classified in two separate categories:  
21 72 non-autonomic and autonomic. In the first, the damage regeneration depends on an external  
22 73 stimulus, such as light, heat or electric current (Wojtecki et al., 2011). The external energy  
23 74 source can either be manually applied, or is already present as a consequence of the service  
24 75 conditions (materials used in high temperature environments or exposed to solar light) (Billiet  
25 76 et al., 2013). On the other hand, autonomic healing occurs without external triggering – a form  
26 77 of energy dissipation caused by the damage or its origin is already enough to enable the  
27 78 healing process (White et al., 2001). Further, the self-healing effects can be divided in intrinsic  
28 79 or extrinsic mechanisms, depending on how the regeneration process is developed, the  
29 80 material recovers from damage as consequence of chemical or physical interactions between  
30 81 the crack surfaces (intrinsic) (Hart et al., 2013), or the repair is achieved by the activation of a  
31 82 healing agent (in the form of microcapsules, hollow fibres or vascular network) (Mauldin and  
32 83 Kessler, 2010).

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43 84 Considerable advancement was achieved in the understanding and optimization of the self-  
44 85 healing behaviour of ceramics, polymers, fibre reinforced polymer (FRPs) and concrete during  
45 86 the last decades (Zwaag et al., 2007), and novel strategies have been developed and will be  
46 87 briefly discussed in the following sections of this work. In parallel, numerous methodologies  
47 88 for the assessment of self-healing capabilities have been developed for each material class  
48 89 (Table 1). A main objective of this work is to give a comprehensive overview on the different  
49 90 healing and quantification methods currently employed for the different material classes,  
50 91 addressing as well macroscopic as well as microscale assessment of self-healing.

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4 92 A number of fundamental parameters must be considered: (i) the stimulus (if any) and time  
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6 93 required to heal the material, (ii) the number of breaking and healing cycles which the material  
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8 94 can sustain without loss of properties, and (iii) the extent to which the material may be re-  
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10 95 healed – taking account relevant mechanical properties such as tensile modulus, elongation at  
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12 96 break, fatigue-resistance and physical parameters like colour or transparency. In addition there  
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14 97 is the practical requirement that, ultimately, the material system should be inexpensive and  
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16 98 readily processable to enable it to move from being a purely research material to one with a  
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18 99 significant impact on everyday life. With such a diverse range of parameters to be optimised it  
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20 100 is clear that many formidable challenges remain, but that, as a consequence, tremendous  
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22 101 potential exists for breakthroughs in the design and development of healable materials over  
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24 102 the coming years.

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26 103 Hence, when self-healing is appraised, a range of different parameters needs to be considered:  
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28 104 type of stimulus, healing time, maximum amount of healing cycles the material can tolerate  
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30 105 and degree of re-healing, considering the material ideal properties (Zhu et al., 2014; Pacheco  
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32 106 et al., 2014; Chen and Guan, 2014). Additionally, other aspects beyond physical parameters  
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34 107 have to be judged, like production cost and easy processing.

## 35 36 108 **2. Self-healing in polymers and fibre reinforced polymer (FRPs)**

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38 109 Polymers and FRPCs are by far the most studied material classes with self-healing properties.  
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40 110 Because polymeric systems can be easily modified or blended, and the temperatures required  
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42 111 to induce mobility are relatively low, its functionalization can be achieved with a high degree  
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44 112 of success (Hart et al., 2013; Mauldin and Kessler, 2010; Barner-Kowollik et al., 2012).

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46 113 Healing can be assessed by evaluating restoration of one or more properties. Although the  
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48 114 goal is to achieve full recovery, self-healing materials can be considered successful if they  
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50 115 exhibit 80% or more for healing efficiency (Brown et al., 2005). When healing is estimated  
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52 116 through crack closure, efficiency is determined by how successfully the crack has been  
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54 117 repaired (Brown et al., 2006).

### 55 56 118 **2.1. Crack filling by polymerization reaction**

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58 119 A frequent strategy to achieve self-healing in polymeric systems involves the incorporation of  
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60 120 single or binary compounds, formed by an agent and a catalyst, that react immediately after  
121 the damage leading to crack filling (Blaiszik et al., 2010; Jin et al., 2012). As exemplified in

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4 122 Figure 3 (Samadzadeh et al., 2010), the additives remain inactive and stored inside containers  
5 123 (e.g. capsules, hollow fibres), and as soon as these containers rupture around the damaged  
6 124 site, the two components react, leading to a solidification and thus repair of the damage.  
7 125 Capillary forces drive the healing agents to the area of interest (Mangun et al., 2010).  
8 126 Drawbacks include a possible loss of mechanical performance caused by the incorporation of  
9 127 the capsules, and the restriction to one healing per damaged site, because each location can  
10 128 only be healed one time. When damage occurs in the exact same spot again, there will be no  
11 129 capsules to re-heal the site. (Pacheco et al., 2014; Wu et al., 2008).

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18 130 Fibre reinforced polymer composites (FRPC) with self-healing properties are obtained by using  
19 131 healing agent incorporated into hollow fibres inside the polymeric matrix (Kousourakis and  
20 132 Mouritz, 2010; Zwaag et al., 2014). This way, a higher amount of agent, a prolonged healing  
21 133 ability and a simultaneous reinforcement of the material structure can be achieved. Wu et al  
22 134 developed a new type of reinforcement using hollow nano-fibres with increased performance,  
23 135 particularly at interfacial damage level (Wu and Yarin, 2013). To overcome the limited number  
24 136 of healing cycles, microvascular networks have been proposed, that similar to blood vessels,  
25 137 enable an external refill (Chen et al., 2013; Olugebefola et al., 2010; Phillips et al., 2011). These  
26 138 networks are complex in their production, raising the interest to develop cost effective  
27 139 alternative techniques (Hamilton et al., 2012b).

## 140 2.2. Chemical/physical healing by reversible bonds

141 Chemical and physical interaction methods differ from the above (crack filling effect) as they  
142 142 are not relying on encapsulation and on the transport of species through the material to the  
143 143 damaged site. In contrast, healing is achieved by self-assembling mechanisms based on specific  
144 144 chemical and/or physical interactions that lead to crack closure (Wu et al., 2008).

### 145 2.2.1. Ionomers

146 Self-healing Ionomers take advantage on the phase separation of ionic groups within non-polar  
147 147 polymeric matrices, playing an important role in controlling their structural properties  
148 148 (Hohlbein et al., 2013). The principle is mainly investigated for semi-crystalline or elastomeric  
149 149 polymers, and is promoted in the occurrence of local heat. Main chain flexibility accelerates  
150 150 the process by chain interdiffusion. In the case of ballistic damage, it was found that a high  
151 151 ionic content does not necessarily result in higher self-healing efficiency (Nellesen et al., 2010;  
152 152 Kalista et al., 2007).

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7 154 2.2.2. Covalent bonds

8 155 Theoretically, it is similarly possible to produce repeated self-healing processes in polymers by  
9 156 the employment of reversible covalent bonds. The concept is based on the assumption that  
10 157 failure within polymer materials happens along the weakest covalent bonds, and can in  
11 158 general involve main chain links or the crosslinks. For polymers that repair via bond  
12 159 reconstruction, the healing process relies mostly in the ability to place sacrificial, relatively  
13 160 weak bonds, prepared to recombine and reconstruct the structure of the virgin polymer, after  
14 161 the damage.

15 162 The reverse reaction can be triggered by external stimulus (temperature, stress, electrical  
16 163 current) (Kloxin et al., 2010). Among these, temperature is a common external trigger for  
17 164 polymers with reversible covalent bonds, in particular in systems based on the Diels–  
18 165 Alder/retro Diels–Alder reaction (Scheltjens et al., 2013; Yoshie et al., 2011). Up to date, a  
19 166 transfer to market is hindered by the high scale-up costs of the monomer synthesis (Bai et al.,  
20 167 2013).

21 168 2.2.3. Supramolecular forces

22 169 Mendable polymers (“mendemers”) are engineered to integrate low strength bonds that break  
23 170 when subject to stress. After macroscopic damage, an external trigger is applied to promote  
24 171 the polymerization process (Herbst et al., 2013). The most common approach is to provide  
25 172 heat as an external trigger however exposure to light can also be used in low molecular mass  
26 173 polymers (Burnworth et al., 2011). Meure et al. established that the healing mechanism is  
27 174 thermally activated and the release of the agent is achieved by a pressure deliver system  
28 175 (Meure et al., 2012). The healing efficiency in these materials is usually interdependent on the  
29 176 base of the number and length of the available chains.

30 177 Polymers prepared via supramolecular assembly have proven to show complete repair of the  
31 178 damaged areas, based in the recombination of non-covalent interactions, like hydrogen  
32 179 bonding or  $\pi$ - $\pi$  stacking (Xu et al., 2012; Fox et al., 2012), or metal-ligand bonds (Varley et al.,  
33 180 2010). However, material properties such as polymer strength are compromised by the  
34 181 presence of weak dynamic bonds (Cordier et al., 2008; Capelot et al., 2012b; Garcia, 2014;  
35 182 Wool, 2008).

### 183 2.3. Mechanochemical activation

184 Mechanochemically active units start a local polymerization or crosslinking process as soon as  
185 the material is subject to stress or damage. This is an emergent topic in self-healing polymers  
186 and very few results were published so far. The active unit, designated as mechanophore, e. g.  
187 is able to form radicals that initiate fast cross-linking processes before the material displays  
188 complete failure (Hong et al., 2013; Lee et al., 2010). The polymer is shown to display a  
189 positive response to stress induced by ultrasound activation however, the microscopic  
190 response to mechanical load remains unknown, and its translation to the bulk material  
191 remains unsolved (Davis et al., 2009).

## 192 3. Self-healing in concrete

193 Voids and damage in concrete, caused by the preparation process and service solicitations  
194 (forces), can cause cracks that tend to propagate with time. These cracks can be a potential  
195 risk of failure for the concrete structures. Water ingress, causes rebar exposure via capillary  
196 pores or cracks, reducing considerably the concrete life span (Pacheco et al., 2014). Cement  
197 materials can exhibit, up to a certain extent, a natural ability to self-repair due to long-term  
198 hydration process. The hydration process can continue for an extended interval of time after  
199 the cure, and thus some initial cracks can be naturally closed, especially in humid  
200 environments. This natural ability to self-heal can be boosted by encapsulated bacteria or  
201 specific additives in engineered self-healing of concrete (Tittelboom and Belie, 2013).

### 202 3.1. Microcapsule and fibre encapsulation of the healing agent

203 Similar to polymer and composite matrices (see section 2.1), the development of capsular or  
204 microvascular systems carrying suitable self-healing agents can be applied to concrete; e. g.,  
205 hollow fibres filled with liquid healing agents like methyl methacrylate are introduced. The  
206 damage and the originated crack force the fibre to break and release the agent (Figure 4)  
207 (Tittelboom and Belie, 2013). When the healing agent is released, the space created by the  
208 crack is filled with polymerization products and the concrete is repaired (Lark et al., 2011). The  
209 healing efficiency obtained with these systems is relatively low since the amount of healing  
210 agent released might be insufficient to fill the damaged area, with cracks that can be up to 200  
211  $\mu\text{m}$ . When the healing agent is externally loaded by refill, a possible depletion can be  
212 effectively avoided, however the system gets more complex by the requirement of manual  
213 intervention (Sangadji and Schlangen, 2013; Escobar et al., 2013).



### 214 3.2. Bacteria

215 One prominent approach in the self-healing of concrete is the introduction of encapsulated  
216 bacteria that are able to initiate calcium carbonate precipitation (Figure 5) (Wu et al., 2012),  
217 and thus to fill the gap caused by the damage (Jonkers et al., 2010; Muynck et al., 2008). To  
218 initiate the healing only after damage, the bacteria are immobilized in capsules or fibres (Wang  
219 et al., 2012; Wiktor and Jonkers, 2011). Another problem is the distribution of the containers  
220 inside the matrix, in view of concrete being a non-homogeneous material with an extended  
221 range of particle sizes and pore sizes (Wu et al., 2012).

### 222 3.3. Shape memory materials (SMM)

223 Shape memory materials are able to recover the original shape after damage or deformation  
224 upon application of an e. g. electrical stimulus, temperature or humidity increase (Leng et al.,  
225 2011). When shape memory polymers are introduced into a concrete matrix, they can be  
226 employed to close cracks by expansion (Jefferson et al., 2010; Zwaag et al., 2009). The use of  
227 SMM is based on the assumption that early stage cracks in concrete are caused by shrinkage  
228 and thermal effects already during the cure period. Since the proposed SMM is temperature-  
229 triggered, its expansion leads to closure of the cracks. The applicability of this approach is  
230 limited to macro-sized cracks, and depends on the exposure of the concrete to heat.

### 231 3.4. Super-absorbent polymers (SAP)

232 Hydrogels constituted from hydrophilic cross-linked polymers carrying ionic groups, are able to  
233 absorb a high amount of liquid under intensive swelling producing an insoluble gel. The SAP is  
234 introduced into the concrete matrix, and if after crack formation humidity enters the structure,  
235 the gel swells and closes the void (Snoeck et al., 2012).

### 236 3.5. Additives promoting concrete hydration

237 Certain cement admixtures can endure further hydration after the initial curing period, a  
238 behaviour that allows for an intrinsic self-healing (Huang and Ye, 2015). It is found that the  
239 application of fly ash, mixtures of  $\text{SiO}_2$  and  $\text{Al}_2\text{O}_3$ , combinations of expansive agents, lime and  
240 some carbonates ( $\text{NaHCO}_3$  or  $\text{Na}_2\text{CO}_3$ ) in cement admixtures can promote the long-term  
241 hydration phenomena granting the concrete with self-healing capabilities (Ahn and Kishi, 2010;  
242 Termkhajornkit et al., 2009). All these additives proved effective for promoting the  
243 recrystallization of concrete, accompanied by crack filling, and assure an effective self-healing  
244 in a short period.

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4 245 A different self-healing strategy was studied by Qian et al. using fibres in a cementitious  
5 246 composite with blast furnace and lime powder. Uniaxial tensile loading was applied to the  
6 247 samples and healing was achieved through further hydration by water curing (Huang et al.,  
7 248 2013; Qian et al., 2009).

#### 11 249 **4. Self-healing in ceramics**

12 250 When the first cracks are formed inside a ceramic matrix, it quickly suffers catastrophic failure  
13 251 even when subjected to subcritical loading, due to its brittle nature (Suresh et al., 1990;  
14 252 Ayatollahi and Aliha, 2011). In addition, the presence of inner porosity is often another cause  
15 253 of reduced strength in ceramics. Therefore, the development of self-healing properties in  
16 254 ceramics focused in repairing structural defects to increase durability (Houjou et al., 2010).  
17 255 Potential application for self-healing ceramic oxides as protective coatings for metals has been  
18 256 investigated (Wang et al., 2013b). The relevant interactions in ceramics are ionic and covalent  
19 257 in nature, and thus, contrary to polymers, their remending accompanied by solid-state  
20 258 diffusion requires high activation energy. In consequence, it is difficult to achieve self-healing  
21 259 in ceramics below 1000 °C. Accordingly, current research in ceramic materials is based always  
22 260 in high temperature healing mechanisms. An optimization of the self-healing ability in ceramics  
23 261 is thus relying on structural modifications at the microscopic level and the understanding of  
24 262 the underlying mechanisms (Harrer et al., 2012).

25 263 The healing process is guided by four main routes (Greil, 2012):

- 26 264     ▫ crack closure caused by controlled sintering at elevated temperatures leading to solid  
27 265     state diffusion,
- 28 266     ▫ crack filling promoted by viscous flow of a glass phase,
- 29 267     ▫ filling the damage with products from an oxidation reaction (Figure 6) (Greil, 2012),
- 30 268     ▫ eutectic melt or phase transition that can lead to particle rearrangement in  
31 269     multiphase materials.

##### 32 270 **4.1. Healing through oxidation products**

33 271 Silicon carbides are used for specific engineering applications, like engines and low friction  
34 272 tools, due to their excellent mechanical properties but they are susceptible to cracks that can  
35 273 compromise their application. Silicon carbide composites can exhibit good healing capabilities  
36 274 and several compositions have been developed with success in the last decades. After damage,

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4 275 heat treatment leads to the formation of oxidation products that fill the crack by volume  
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6 276 increase, thereby ideally restoring the original material properties. SiC combined with  $Y_2O_3$   
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8 277 stabilized zirconia,  $Si_3N_4$ , or mullite ( $Al_2Al_{2+2x}Si_{2-2x}O_{10-x}$ ), proved to be efficient compositions for  
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10 278 self-healing ceramics (Nam and Hwang, 2012; Magnani et al., 2010; Jung et al., 2009;  
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12 279 Takahashi et al., 2010).

#### 13 280 4.2. Oxidation of A elements in MAX phase systems

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15 281 MAX phase ceramics constitute a special group of ceramics with very specific characteristics.  
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17 282 They exhibit good electrical and thermal conductivity, low hardness and high tolerance to  
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19 283 damage – comparable to metals. At the same time, they present oxidation and corrosion  
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21 284 resistance, high elastic modulus and good thermal shock behaviour, characteristic of ceramic  
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23 285 materials (Eklund et al., 2010). The MAX designation is directly related to its molecular  
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25 286 composition and stands for an abbreviation of the general formula  $M_{n+1}AX_n$ . They are  
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27 287 constituted by an early transition metal M (Sc, Ti, V, Cr, Zr, Nb, Mo, Hf, Ta), an element from  
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29 288 the A group (Al, Si, P, S, Ga, Ge, As, In, Sn, Tl, Pb) and the X element C and/or N. Possible  
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31 289 phases are  $M_2AX$  (211),  $M_3AX_2$  (312) or  $M_4AX_3$  (413) (Sun, 2011).

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33 290 The initial process to obtain these materials involved cost-intensive reactive sintering  
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35 291 processes, and was not attractive to be scaled up (Wang et al., 2013a). Recently, a novel  
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37 292 preparation technique by cold pressing followed by pressure-less sintering was developed,  
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39 293 that may find application in industry (Yang et al., 2013a). In addition, MAX phase thin films can  
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41 294 be prepared by chemical vapour deposition (CVD).

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43 295 The healing process in MAX phase ceramics is based on the oxidation of the A elements with  
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45 296 environmental oxygen at elevated temperatures. The oxidization process is accompanied by  
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47 297 volume increase, leading to filling of the crack space. Since there is a limited supply of the A  
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49 298 element inside the matrix, the healing efficiency tends to decrease with time. Attempts have  
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51 299 been made to prolong the healing life span using for example nano-sized powders that  
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53 300 increase the surface energy (Wang et al., 2013a). Yang et al. investigated the effect of oxide  
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55 301 scale growth in the healing efficiency of  $Cr_2AlC$  ceramic (Yang et al., 2013a). They  
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57 302 demonstrated that healing results from new oxide growth in the grain boundaries.

#### 53 303 5. Healing quantification

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4 304 The ability for self-healing of a given material is often referred as the ability to recover a  
5 305 specific property relative to the virgin or undamaged material, designated as healing efficiency  
6 306  $\eta$  (Mauldin and Kessler, 2010). In order to result in useful interpretation, a number of factors  
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8 307 need to be considered. In particular, the addition of a healing agent to a material formulation  
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10 308 can be of impact on its mechanical properties in relation to the virgin material (without healing  
11 309 agent) (Murphy and Wudl, 2010). Under these circumstances, the efficiency assessment needs  
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13 310 to take into account the effect caused by the presence of the additive (Billiet et al., 2013; Xu et  
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15 311 al., 2012).

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18 312 Self-healing efficiency can be determined by comparing the value obtained for the undamaged  
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20 313 sample ( $f_{virgin}$ ) with the healed sample ( $f_{healed}$ ) (eq. 1) (Mauldin and Kessler, 2010).

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$$\eta = \frac{f_{healed}}{f_{virgin}} \times 100 \quad (1)$$

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26 315 Due to the healing agent impact, however, this evaluation can retrieve results higher than  
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28 316 100%, which can be misrepresentative (Hatami Boura et al., 2012; Plaisted and Nemat-Nasser,  
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30 317 2007). In a variation of this simple definition, the healing efficiency takes into consideration  
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32 318 the original properties of the virgin material and the modifications caused by introducing the  
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34 319 healing agent, leading to the comparison of the healed sample property to that of a non-  
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36 320 healed and undamaged probe (equation 2) (Mauldin and Kessler, 2010).

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$$\eta = \frac{f_{healed}}{f_{virgin}} \times 100 \quad (2)$$

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41 322 The spectrum of materials properties that can be either fully or partially restored in a self-  
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43 323 healing process is manifold, ranging from mechanical over optical, haptic or barrier properties.  
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45 324 Thus, to select the appropriate assessment method for the quantification of the self-healing  
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47 325 properties, the nature and the extension of the damage need to be taken into consideration in  
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49 326 the first place (Huang et al., 2013). In the present research, a major focus is found in the  
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51 327 mechanical restauration of materials by self-healing properties, pointing also to the  
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53 328 importance of the length scales of the involved processes. The applied damage can be just  
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55 329 enough to create microcracks with a measurable size before efficient healing, or it can be fast  
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57 330 and extensive, requiring quick action to prevent the catastrophic failure of the sample (Fox et  
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59 331 al., 2012). It is therefore necessary to develop effective and reliable methods on different  
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332 length scales to quantify the healing properties and to understand the underlying mechanisms

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4 333 (Yoshioka and Nakao, 2015). It is understood that for the ideal self-healing material, property  
5 334 recovery should occur on an early point of time after damage occurrence. Micromechanical  
6 335 tests can provide relevant information about the effectiveness of early stages damage repair  
7 336 (Ahangari and Fereidoon, 2015), macroscopic quantification methods still hold the advantage  
8 337 of easier standardization compared with microscale methods however, they are less efficient  
9 338 to assess nano and micro-crack healing (Zhu et al., 2015).

### 14 339 5.1. Bulk polymers and composites

15 340 Recovery from fracture is one important aspect for the evaluation of healing efficiency in  
16 341 polymers and composites. The tests conducted to evaluate recovery from damage (impact,  
17 342 fatigue, quasi-static fracture, among others) can be classified as Mode I (opening) or Mode III  
18 343 (tearing) fracture evaluation (see Figure 7) (Jin et al., 2013; Majchrzak et al., 2012; Lawn,  
19 344 1975).

20 345 In a Mode I fracture process, the simulated macroscopic fracture is performed similar to the  
21 346 crack development as naturally occurring at the microscale under repeated stress and/or  
22 347 fatigue. Tests performed under these conditions are useful to understand the material failure  
23 348 under real conditions. The sample geometry is of particular importance when evaluating the  
24 349 mechanical healing efficiency and its choice should take into account which type of cracks the  
25 350 material develops under stress. Among the proposed geometry, the tapered double-cantilever  
26 351 beam (TDCB) geometry (Figure 8) has been proposed and successfully been employed in bulk  
27 352 polymers with non-linear fracture characteristics, as it does not display a critical crack length  
28 353 (Jones and Dutta, 2010). In this specific configuration, fracture toughness is independent of  
29 354 crack length. The fracture load is measured before and after healing, and the load-based  
30 355 healing efficiency is determined according to equation 1 or 2 (Mangun et al., 2010; Kirkby et  
31 356 al., 2009). With this geometry, the crack development can be readily controlled, giving access  
32 357 to an additional optical examination of the crack area after applying damage, and after healing  
33 358 (Hatami Boura et al., 2012; Yuan et al., 2009; Rule et al., 2007).

34 359 For the assessment of the self-healing characteristics of thermosetting resins and composites  
35 360 (Hayes et al., 2007), compact tension (CT) test specimens (Figure 9) have been proven  
36 361 convenient, as demonstrated on i.e. epoxy resins containing microencapsulated self-healing  
37 362 agent (Murphy and Wudl, 2010). The shape is wide enough to enable crack development  
38 363 without complete separation. An additional hole, drilled in the center of the sample, stops the

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4 364 crack growth and thus ensures a controlled and reproducible damaging and healing process  
5 365 (Chen et al., 2003; Peterson et al., 2012). The samples are tested until crack initiation,  
6 366 unloaded, healed and finally tested after repairing.

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10 367 For epoxy matrices, fracture toughness is commonly determined using the width-tapered  
11 368 double cantilever beam (WTDCB) geometry (Figure 10) (Hatami Boura et al., 2012). This shape  
12 369 can provide measurements that are independent from crack length (Jin et al., 2011). Another  
13 370 geometry employed for the fracture toughness of mendable epoxy resins is the single edge  
14 371 notched beam (SENB) setup (Meure et al., 2012; Meure et al., 2009). On the other hand, the  
15 372 crack propagation under fatigue loading can be addressed by double cleavage drilled  
16 373 compression (DCDC) experiments (Hamilton et al., 2012a). Thereby, the crack size can be  
17 374 readily controlled with an accurate regulation of loading vs. displacement, and the surfaces are  
18 375 easily aligned before the healing process (Plaisted et al., 2006).

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25 376 The occurrence of delamination cracks between fibre and matrix constitutes one of the major  
26 377 problems in fibre reinforced polymer composites. This problem that can only be addressed to a  
27 378 limited extend by surface compatibility, can be reduced using self-healing agents, and healing  
28 379 efficiency is evaluated by Mode I interlaminar fracture tests (Pingkarawat et al., 2013). The  
29 380 extension and efficiency of the delamination toughening can be determined by fracture testing  
30 381 with a double cantilever beam (DCB) (Norris et al., 2011; Yang et al., 2012). Hereby, a  
31 382 delamination crack created inside the material is healed under controlled temperature, and  
32 383 the fracture toughness ( $G$ ) is usually the base for healing efficiency evaluation (Eq. 3)  
33 384 (Pingkarawat et al., 2013).

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$$\eta = \frac{G_{healed}}{G_{virgin}} \times 100 \quad (3)$$

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44 386 Some fibre-reinforced and sandwich composites, due to their specific applications (aircraft,  
45 387 spacecraft, etc.), are especially vulnerable to damage impact. To determine the efficiency of  
46 388 self-healing systems, these materials are investigated in terms of compression strength after  
47 389 impact (Williams et al., 2009). These types of tests can be considered effective to determine  
48 390 healing efficiency in large-scale damages that can reoccur frequently during life service (Chen  
49 391 et al., 2013). To assess the superficial damage in such composites, mixed-mode indentation  
50 392 tests were used to determine the sealing efficiency (Moll et al., 2010). Hereby, the focus was  
51 393 set to the superficial sealing capabilities instead on the recovery of the mechanical properties.

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4 394 Fibre-reinforced polymer composites are further studied by Mode II interlaminar fracture  
5 395 testing. This evaluation can be conducted with different types of tests with distinctive types of  
6 396 sample configurations: end notched flexure (ENF), end loaded split (ELS), four-point bend end  
7 397 notched flexure (4PBENF), and over-notched flexure (ONF) (Wang et al., 2009). The effect of  
8 398 friction with this type of tests poses a major problem to determine fracture toughness. This  
9 399 can constitute an obstacle for the evaluation of self-healing properties. Norris et al. compared  
10 400 both Mode I and Mode II methods, and concluded that mode II crack propagation was less  
11 401 stable. They found that crack can be redirected under Mode II when vasculature are orientated  
12 402 transverse to the crack propagation path (Norris et al., 2011). A close analogy to the actual  
13 403 application was also searched by Kousourakis et al. studying a mixed mode fracture test  
14 404 specifically designed to evaluate T-joint tensile strength in composites (Kousourakis and  
15 405 Mouritz, 2010). The specimens were subjected to stress prior and after healing.

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24 406 Mode III fracture tests performed by tear and/or shear tests displayed difficulties concerning  
25 407 the inconsistency of the crack path (Keller et al., 2007), leading to limited reproducibility of the  
26 408 tests and the quantification of healing (Capelot et al., 2012a). Another phenomenon that has  
27 409 to be dealt with in shear tests is self-adhesion that cannot be separated from the healing effect  
28 410 and thus may cause misleading results (Awaja et al., 2009; Maes et al., 2012).

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33 411 When fracture toughness is being evaluated, Mode I fracture is of high importance for  
34 412 materials with elastic-plastic behaviour or an extensive plastic area in front of the crack tip  
35 413 since it is highly sensitive to crack instability. Mode II is used to determine the critical energy  
36 414 release however unstable crack growth when the sample is in loading can be a disadvantage.  
37 415 ASTM already created standards for Mode I loading with cantilever beam (DCB) (ASTM, 2001),  
38 416 for pure Mode II with end notch flexure (ENF) (ASTM, 2014) and a standard that measures  
39 417 fracture toughness for different combinations of Mode I and II loading (ASTM, 2006). Though  
40 418 several authors are already using them, further studies on the applicability of these standards  
41 419 with self-healing materials are required (Everitt et al., 2015).

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48 420 Several authors chose macroscopic cutting as a technique to evaluate self-healing (Figure 11).  
49 421 The sample is completely separated with a razor blade or scalpel, and both surfaces are  
50 422 attached again by applying manual or controlled pressure (Patrickios et al., 2010). Although  
51 423 widely applied, this evaluation technique can be considered among the most unreliable ones.  
52 424 There are major concerns with respect to the reproducibility of the cut, and in many cases the  
53 425 pressure applied for the self-healing process is insufficiently quantified and controlled. In  
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4 426 addition, the state of complete separation fails to simulate the real service conditions, where  
5 427 complete material rupture cannot be tolerated. In addition, it is questionable how far the  
6 428 findings can readily be translated to the healing of microscale cracks, as the self-healing  
7 429 process in polymers is generally strongly influenced by the respective surface energy (being a  
8 430 function of surface history – thus its evolution), and the number of broken chains available in  
9 431 both surfaces. What is more, the size of the cracks determines the evolving surface  
10 432 morphology. These considerations already demonstrate that microcracks formed during  
11 433 service are only of very limited comparability to a single cut performed by a razor blade  
12 434 (Cordier et al., 2008; Yamaguchi et al., 2007).

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19 435 A modified compression test has been developed as an attempt to evolve from the blade  
20 436 cutting method to a more accurate technique, and was applied to supramolecular rubbers.  
21 437 Although the method principally holds potential for useful quantification, there are some  
22 438 issues related to the testing conditions of the low  $T_g$  rubbers that need to be addressed before  
23 439 considering the method suitable for healing quantification (Wang et al., 2009).

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28 440 In another approach, specimens are crushed by compression, and are healed and retested to  
29 441 determine healing efficiency on the base of the compression strength (Martín et al., 2012).  
30 442 Similar to the discussion above, the tests comprise a complete specimen destruction, and thus  
31 443 do not deliver useful information concerning its performance during service conditions.

## 32 33 34 35 36 444 5.2. Polymeric coatings

37 445 While in bulk materials the emphasis is given to function and performance under stress, in  
38 446 coatings other damages like erosion (mechanical damage) and corrosion (chemical  
39 447 degradation) play a more important role. Typically, corrosion and erosion occur  
40 448 simultaneously, thereby increasing the coating degradation rate significantly. It is not  
41 449 surprising that the methods to evaluate polymeric coatings are distinctive from the ones  
42 450 employed for bulk systems.

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48 451 In order to simulate the service performance and to get a quantitative or qualitative  
49 452 information on the effective lifetime of a coating, accelerated impact erosion tests are  
50 453 performed. This simulation, however, displays several limitations in the comparability to the  
51 454 service conditions. As an example, the impact angle determines the extent of the damage and  
52 455 cannot be controlled in real conditions. In addition, the accelerated erosion test fails to  
53 456 simulate the corrosion effect due to the different time scale (Yabuki, 2011).



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4 457 The degradation process in coatings begins at a molecular level, when molecules dissociate  
5 458 and bonds break. In a second level, networks are affected and the first microcracks start to  
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7 459 appear opening the path for microscale corrosion. Only after a long period of microscale  
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9 460 damage is possible to observe delamination, scratches, and surface rupture. Many of the  
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11 461 methods employed today to evaluate self-healing in coatings only address the later stage,  
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13 462 when the important events occur during the first and second one.

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15 463 To determine healing efficiency in coatings, a simple and broadly applied method involves  
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17 464 cutting the sample with a razor blade (Figure 12) (Yoon et al., 2012), followed by ESEM  
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19 465 (environmental scanning electron microscope) or optical observation, before and after healing  
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21 466 (Zhao et al., 2012). The cutting technique is often used in corrosion tests. After the cut non-  
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23 467 healed and healed samples are immersed in a saline solution to accelerate a possible corrosion  
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25 468 (Hatami Boura et al., 2012; Nesterova et al., 2012; Samadzadeh et al., 2011). Alternatively, the  
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27 469 oxidation resistance of the coated surface can be evaluated by impedance spectroscopy.  
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29 470 However, it needs to be pointed out that the damage provided by a razor blade causes a high  
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31 471 degree of uncertainty in the quantification due to irreproducibility of the cuts, and  
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33 472 furthermore does not accurately simulate the combined microdamage/corrosion process that  
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35 473 typically occurs during service life.

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37 474 As the macroscopic level of damage is strongly dependent of the events occurred during the  
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39 475 molecular and microscopic stage, only the application of a reproducible microscale damaging  
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41 476 method for quantification in the laboratory will make it possible to assess the healing process  
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43 477 in coatings (Sauvant-Moynot et al., 2008). As an alternative, a modified 3-point bending  
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45 478 method to induce superficial microcracks has been developed (Zhang et al., 2012). After  
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47 479 healing, the microcracks were examined with an optical microscope and the samples were  
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49 480 subjected to electrochemical corrosion. This method can provide a qualitative evaluation of  
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51 481 micro damaging in coatings. Further, microscratching with a nanoindenter can provide  
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53 482 qualitative data regarding healing efficiency. However, in both cases, a quantification of the  
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55 483 healing efficiency cannot be achieved (Bertrand-Lambotte et al., 2001). In this situation, the  
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57 484 healing is merely assessed by visual inspection, or by indirect measurements of properties  
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59 485 (water vapour transmission and permeability). Since these properties are affected by other  
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486 characteristics of the coatings (adhesion to substrate, porosity and microstructural defects)  
487 and not only by the healing, a qualitative evaluation cannot be attained in this manner (Liu et  
488 al., 2008).

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4 489 Recently, a 4-point bending test coupled with an acoustic emission sensor was proposed to  
5 490 detect crack formation before healing, and to determine crack reopening after treatment  
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7 491 (Toohey et al., 2009). As the mode I fracture toughness  $K$  is directly correlated to the energy  
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9 492 released, the healing efficiency was determined according to equation 4.

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$$\eta = \frac{K_{healed}}{K_{virgin}} \times 100 \quad (4)$$

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18 495 For a proper functioning of protective coatings, adhesion to the substrate is one important  
19 496 aspect. It is frequently observed, that by introduction of nano- or microcapsules into polymeric  
20 497 films, the adhesion strength is significantly reduced, and that this can compromise the  
21 498 durability of the self-healing coatings (Samadzadeh et al., 2011). Under this aspect is generally  
22 499 observed that the problem is attenuated with smaller particles (Hatami Boura et al., 2012). In  
23 500 this respect, also the sometimes increased thickness of self-healing coatings may cause  
24 501 drawbacks for the quantification of the adhesion strength, as adhesion tests performed  
25 502 according to the standard procedure are limited to coatings with a thickness below 250  $\mu\text{m}$   
26 503 (Hatami Boura et al., 2012; Sauvant-Moynot et al., 2008).

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### 5.3. Cement and concrete

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35 505 Cracks in concrete are the lead cause for mechanical failure as they reduce the mechanical  
36 506 strength of the cement matrix and expose the reinforcing components to corrosion. The  
37 507 mechanical strength and the permeability of the material are thus also the key parameters for  
38 508 durability. In order to address this with respect to self-healing effects, the standard  
39 509 compression and flexural tests are applied to the material in a controlled way in order to  
40 510 initiate cracks inside the matrix. After damaging, the samples are subjected to the healing  
41 511 process and then retested with the same procedure (Tittelboom et al., 2011).

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47 512 To determine the stress of initial cracking, the bending deformation needs to be carefully  
48 513 controlled. Some authors apply a notch in the middle point that helps to control crack  
49 514 initiation (Jefferson et al., 2010). Although some authors choose the 3-point bending, 4-point  
50 515 bending protocol is known to be more effective to develop initiation cracks without causing  
51 516 failure (Qian et al., 2010; Sahmaran et al., 2013; Sisomphon et al., 2013). In these type of tests,  
52 517 crack development and the breakability of the capsules needs to be detected using

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4 518 complementary methods like acoustic emission analysis (Van Tittelboom et al., 2015). In  
5 519 another work Tittelboom et al. attached a linear variable differential transformer to the  
6 520 bottom of the sample (Figure 13) (Tittelboom et al., 2011), which improved the accuracy for  
7 521 crack detection (Tittelboom et al., 2012). Other researchers applied ultrasonic pulse velocity to  
8 522 determine the formation of cracks during bending, and to investigate the influence of damage  
9 523 degree in concrete healing (Elmoaty, 2011; Zhong and Yao, 2008).

14 524 Limited lifetime due to the corrosion of the steel reinforcement in concrete is known to be  
15 525 strongly related to internal cracking followed by exposure of the steel reinforcement to the  
16 526 external environment. A detailed permeability analysis is thus generally recommended in  
17 527 order to evaluate how effective self-healing concrete can protect steel reinforcement from  
18 528 corrosion (Sisomphon et al., 2012). Different environments can be using different permeation  
19 529 fluids (chlorine or water) and the temperature (freeze/thaw simulation) to approach more  
20 530 accurately the real service conditions (Sahmaran et al., 2013; Yang et al., 2011b). However,  
21 531 these laboratory tests still fail to simulate the combined corrosion and erosion effect present  
22 532 in some specific applications, for example in aggressive maritime environments.

#### 30 533 5.4. Ceramics

31 534 Advanced ceramics are often susceptible to crack damage caused by mechanical and thermal  
32 535 stress during its lifetime, a main reason being their brittle nature. For the same reason, it is  
33 536 difficult to create controlled cracks within ceramic materials or coatings. Indentation is an  
34 537 efficient method to develop micro damaging without causing material failure, and in  
35 538 consequence, indentation is the most frequent quantification method found in literature (Le  
36 539 Bourhis, 2011). The test is conducted using either Vickers or Knoop indents, and samples are  
37 540 heat treated after damage. For quantification, the pre and post-healed indent is observed with  
38 541 optical and microscopic techniques (Nam and Hwang, 2012). The healing efficiency is  
39 542 measured in terms of crack closure, where the control samples are compared with the healed  
40 543 specimens. As an effort to improve healing assessment in ceramics, some authors  
41 544 complemented indentation with bending tests to determine the strength of crack closure  
42 545 (Nam and Hwang, 2012). The specimens, damaged by indentation, were compared and  
43 546 evaluated in terms of crack propagation (Li et al., 2012). Gao et al. studied the healing  
44 547 efficiency in a ceramic coating in terms of adhesion by performing tensile tests (Gao and Suo,  
45 548 2011). The correlation between healing time and residual stress is an important parameter for  
46 549 coatings subjected to thermal shock (Gao and Suo, 2010).

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4 550 The conventional methods to measure the bending strength consider mostly perpendicular  
5 551 forces in order to avoid the influence of defects caused by specimen preparation. During their  
6 552 service life, ceramics that are once exposed to thermal shock can develop cracks in any  
7 553 direction. Harrer et al. applied a modified method for testing ceramics; the biaxial ball-on-  
8 554 three balls (B3B) test (Harrer et al., 2012). A specimen with a disc shape is positioned on three  
9 555 balls and centrally loaded by a fourth ball to simulate real service stress distribution (Figure 14)  
10 556 (Börger et al., 2004). Since the tests are performed at room temperature, the real effect of the  
11 557 thermal stress is not exactly reproduced, nevertheless the test is of potential for a reliable  
12 558 quantification of self-healing processes in ceramics.

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19 559 When ceramic oxides are considered for structural applications, controlled damage and  
20 560 healing cycles need to be performed under mechanical and thermal stress. It is thus required  
21 561 to develop a method that evaluates the healing capabilities at elevated temperatures to assure  
22 562 the structural integrity of the components in service conditions. Usually though, the tests are  
23 563 performed at room temperature, and only the healing process is performed in real service  
24 564 conditions in terms of temperature, oxidation, and pressure, when the material is not under  
25 565 stress. As the behaviour of a ceramic material in terms of mechanical performance and  
26 566 oxidation can differ dramatically between ambient temperatures and typical service conditions  
27 567 above 1000°C, a convenient meaningful method for the quantification of self-healing efficiency  
28 568 in ceramics is highly searched. In particular, local melting and phase transformations can alter  
29 569 the internal structure influencing the mechanical performance of the ceramics (Yang et al.,  
30 570 2011a). Ando et al. developed a testing methodology to determine self-healing processes and  
31 571 structural integrity of ceramics at elevated temperatures (1300°C), and compared the results  
32 572 with those obtained at ambient conditions, demonstrating the importance of this approach  
33 573 (Ando et al., 2002).

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44 574 The study of damage and healing processes at elevated temperatures is of particular  
45 575 importance for MAX phase ceramic materials, since, for a considerable number of  
46 576 compositions, the phase diagrams are not yet established, and the potential application areas  
47 577 and thus service conditions are not even completely determined – there are no commercially  
48 578 available products yet (Eklund et al., 2010). Similar to other ceramics, the self-healing process  
49 579 in MAX phases is determined by (nano) indentation, the cracks are characterized by SEM, and  
50 580 the mechanical strength of original, damaged and healed specimens is compared by 3 or 4-  
51 581 point bending (Högberg et al., 2005). Although the healing procedure and its outcomes can be

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4 582 compared for different temperatures, times and atmospheres, the actual mechanical tests are  
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6 583 in almost all cases conducted at ambient conditions (Li et al., 2013; Yang et al., 2013b).  
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## 8 584 **6. Standard procedure and parameter set for healing quantification**

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10 585 The expected upcoming key step in the development of the various concepts for self-healing  
11 586 materials is their transfer from the laboratory to commercial applications. Currently, only few  
12 587 materials succeeded in this objective and were implemented as real-world product, among  
13 588 these one can find a battle jacket using self-healing technology and a car coating (HIT, 2013;  
14 589 AkzoNobel, 2013).  
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19 590 The careful review of the currently employed approaches to quantify the efficiency of a self-  
20 591 healing process illustrates that the methods mostly concentrate on the macroscopic level, at  
21 592 least as far as the mechanical restoration is involved.  
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25 593 Even if the ultimate goal behind the development of self-healing properties in materials is to  
26 594 prevent damage and even failure during service, failure is finally the result of an accumulation  
27 595 of nanoscale defects that can ultimately lead to rupture by crack propagation. Because early  
28 596 stages of damage occur at the nano- and microscale level long before failure, the most  
29 597 effective and useful healing methods address the early, small-scale events, and quantification  
30 598 methods are required that allow further insight at this level. In this respect, the different  
31 599 degrees of heat transfer in microscopic and macroscopic cracks is an important parameter in  
32 600 the healing process, and in consequence, the observation obtained from the healing process,  
33 601 an artificial macroscopic damage, is of limited use for the simulation of microcracks that  
34 602 materials will experience in real applications (Darabi et al., 2012).  
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42 603 One of the major requirements for the effectiveness of a self-healing efficiency quantification  
43 604 method is thus to successfully mimic the service conditions in the way that the conditions are  
44 605 simplified and standardized to the most possible extend, but not beyond. Only under this  
45 606 precaution it is possible to find the optimal formulation for a specific application. Without a  
46 607 fundamental understanding of the micromechanics and microstructural modifications, the  
47 608 development of commercial products will be compromised.  
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52 609 To evaluate self-healing in a way that at the same time can mimic real scale applications and  
53 610 ensures reproducibility, it is recommended the process to be divided in different steps. Figure  
54 611 15 summarizes the different possibilities depending on the type of material and testing  
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4 612 conditions. To evaluate self-healing efficiency it is necessary to establish a reliable and  
5 613 reproducible method for healing. Several factors need to be consider after establishing the  
6 614 testing setup, leading to different testing paths, as shown in Figure 15:

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10 615 • The type of damage/repair cycle: the material exhibit cyclic healing or only a single  
11 616 event repair in-situ.
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14 617 ○ With some polymers, cyclic healing can be achieved even when the damage is  
15 618 applied in the same spot a second time.
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18 619 ○ In concrete the damage can only be repaired in a specific site once. After the  
19 620 new products, resultant from the healing reaction fill the crack, healing in the  
20 621 site is no longer possible.
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24 622 • The initial conditions of the specimen.
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26 623 ○ Using a pre-notch, the crack propagation can be easily controlled for example,  
27 624 in brittle materials.
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30 625 ○ For some polymers and composites, a careful selection of the sample  
31 626 geometry is enough to ensure a reproducible damage. In this case no pre-  
32 627 notch is applied.
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35 628 • The structural conditions for the control specimen
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38 629 ○ When the healing agent is encapsulated, the introduction of the capsules can  
39 630 either increase or reduce the material performance. In this situation the virgin  
40 631 sample should include the same type of capsules without healing agent.
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43 632 ○ The same logic applies to hollow tubes or microvascular systems, for example.
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46 633 • The testing environmental conditions
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49 634 ○ Because MAX phase ceramics only exhibit self-healing in high temperatures,  
50 635 the tests need to be performed using real service conditions. This should  
51 636 ideally, include the whole process, from the initial crack until the test of the  
52 637 healed sample.
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4 638 Independently of the particular property tested (e.g. compression, fatigue, ballistic impact,  
5 639 fracture, tensile strength), and of the corresponding analytical process, it is useful to establish  
6 640 a common definition of the self-healing efficiency. This facilitates the discussion and serves as  
7 641 a comparative basis among different materials. A suitable, generic definition relies on a  
8 642 normalization basis and the correct boundary conditions.

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12 643 For a certain property  $P$  of a specific material, an optimal self-healing mechanism and process  
13 644 is characterized by the full restauration of the respective material property after a suitable,  
14 645 normalized damaging process. On the other side of the scale is a material that after healing still  
15 646 shows the property of the damaged sample. The healing efficiency  $\eta_i(P)$  with respect to  $P$  can  
16 647 be considered a function performance of a virgin sample ( $P_{\text{virgin}}$ ), the damaged ( $P_{\text{damaged}}$ ) and  
17 648 healed material ( $P_{\text{healed}}$ ), and is meaningfully expressed as their ratio:

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$$\eta_i(P) = \frac{P_{\text{virgin}} - P_{\text{damaged}}}{P_{\text{virgin}} - P_{\text{damaged}}} \quad (5)$$

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27 650  $P_i$  is a certain property of the self-healing material. For a material where 3 different properties  
28 651 are to be assessed to evaluate its self-healing capabilities, it should be determined 3  
29 652 efficiencies given as  $\eta_1(P_1)$ ,  $\eta_2(P_2)$  and  $\eta_3(P_3)$ .

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32 653 As a matter of fact, generally more than one materials property are subjected to loss in case of  
33 654 damage – e. g., the elongation-at-break goes down simultaneously with tensile strength for  
34 655 longitudinal stress. The optimal quantification process thus enables to take into account more  
35 656 than one property in a suitable way. The overall efficiency is then a result of the combined  
36 657 efficiencies for the material subject to study and can be determined as an average of the  
37 658 efficiency obtained for each property ( $P_i$ ).

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43 659 Combining different properties into an overall efficiency helps to establish a common method  
44 660 to determine self-healing for distinct materials, using different testing methodologies. This  
45 661 opens the path to a common standard definition of self-healing independent of the testing  
46 662 method and material group.

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50 663 The final average efficiency  $\bar{\eta}$  based on a number  $n$  of properties for a self-healing material is  
51 664 accordingly determined as the harmonic mean given by equation 6 (Dodge, 2008).

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$$\bar{\eta} = \frac{n}{\sum_{i=1}^n \left( \frac{1}{\eta_i(P)} \right)} = \frac{n}{\sum_{i=1}^n \left[ \frac{1}{\left( \frac{P_{\text{healed}} - P_{\text{damaged}}}{P_{\text{virgin}} - P_{\text{damaged}}} \right)} \right]} \quad (6)$$

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4 666 When comparing efficiency values obtained from different properties for the same material,  
5 667 the traditional arithmetic mean is not suitable. The harmonic mean will be more appropriate,  
6 668 as it less sensitive to large outliers. When, for example, one of the efficiency values for the  
7 669 material is higher than 100%, while all the others fall below 70%, the highest result will  
8 670 influence less the harmonic mean, compared with the arithmetic one. When developing self-  
9 671 healing materials for industry, one must be cautious with very high efficiencies. They could  
10 672 give false information regarding the reliability of the material and its ability to self-heal. In real  
11 673 life applications this can raise safety and structural concerns.

## 18 674 **7. Conclusion**

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20 675 The fast and encouraging progress that is achieved in the understanding and development of  
21 676 self-healing polymers, fibre reinforced polymers, coatings, ceramics and concrete as the most  
22 677 important material classes deserves the establishment of novel quantification strategies to  
23 678 facilitate the interdisciplinary discussion and the identification of generic principles. A  
24 679 comprehensive overview on the different healing and quantification methods currently  
25 680 employed for the different material classes helps in the identification of the basic concepts  
26 681 across the material classes. Even if most studies on self-healing materials are focusing on the  
27 682 mechanical performance and lifetime of a specific formulation, a broad variety of properties  
28 683 are of potential interest to be either fully or partially restored in a self-healing process,  
29 684 extending to optical, haptic, (thermal or electrical) transport, or barrier properties. As a  
30 685 general outcome, the importance of length and time scales as well as the relation to the actual  
31 686 service conditions is emphasized.

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40 687 In addition, to select the appropriate assessment method for the quantification of the self-  
41 688 healing properties, the nature and the extension of the actual or expected damage needs to be  
42 689 taken into consideration in the first place.

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46 690 An ideal quantification approach needs to take into account as well macroscopic as well as  
47 691 microscale aspects of damaging and healing. Depending on whether the experimental study  
48 692 aims at fundamental mechanistic insight, or on process or formulation optimization for proper  
49 693 functioning at the service conditions, the suitable and reproducible experimental environment,  
50 694 damage mechanism, and healing process needs to be identified. In view of potential  
51 695 applications, the ideal property recovery occurs at an early damage stage, and addresses a  
52 696 continuous repair of microcracks during operation. Nevertheless, the majority of present



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4 697 studies on self-healing materials still focuses on macroscopically applied damage such as  
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6 698 scalpel cuts – even if this damage mechanism is far from the actual conditions in applications,  
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8 699 it holds the advantage of easier standardization and thus facilitates the comparison across  
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10 700 similar materials.

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12 701 For an effective assessment of healed and original materials, it is important to choose the right  
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14 702 mode that mimics the service conditions best. In this respect, mode I mechanical tests are  
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16 703 similar to the mechanism of microcrack propagation, while mode III tests show problems  
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18 704 concerning the inconsistency of the crack path. Several different geometries have been used.  
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20 705 They include the width-tapered double cantilever beam (WTDCB), double-cantilever beam  
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22 706 (DCB), tapered double-cantilever beam (TDCB), compact tension (CT) and the single-edge  
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24 707 notch beam (SENB). In DCB, WTDCB and TDCB samples it is possible to obtain a controlled  
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26 708 crack growth along the centre. Crack length is then independent from fracture toughness  
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28 709 depending only on the applied load. CT specimens are influenced by the clamping pressure,  
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30 710 requiring a careful control of the pressure to ensure reproducible results.

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32 711 Another important issue that needs to be addressed and carefully documented to result in a  
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34 712 reproducible and useful quantification process is the nature and age of the contact areas. The  
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36 713 best mechanistic insight can be expected when the quantification process allows to be  
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38 714 separated according to the different stages of self-healing.

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40 715 The self-healing ability of a given material is often referred to as the ability to recover a specific  
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42 716 property relative to the virgin or undamaged specimen. In polymers, repairing is assessed by  
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44 717 mechanical restoration of different properties, in fibre-reinforced polymers is usually assessed  
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46 718 by comparing fracture toughness and strength, before and after repairing.

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48 719 When looking at industrial applications for self-healing materials one critical aspect is the long-  
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50 720 term ability to restore strength. Research in this field has been focused in damage repair and  
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52 721 there is a need for further studies regarding cyclic healing and fatigue damage. Some  
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54 722 researchers have done important advances in modelling and predicting self-healing behaviour  
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56 723 however, this needs to be complemented with further experimental work.

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58 724 The ability to self-heal is generally defined as a healing efficiency  $\eta$  given on a percent scale. In  
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60 725 a suitable and generic definition of the self-healing efficiency with respect to a certain property  
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62 726 and damage mechanism, the performance of not only the virgin and the healed material need  
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64 727 to be taken into account, but also that of the accordingly damaged, non-healed material. In

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4 728 addition, the proposed set of definitions holds the potential to consider more than one  
5 729 relevant property to be compared directly by addressing a spectrum of properties.  
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9

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For Peer Review

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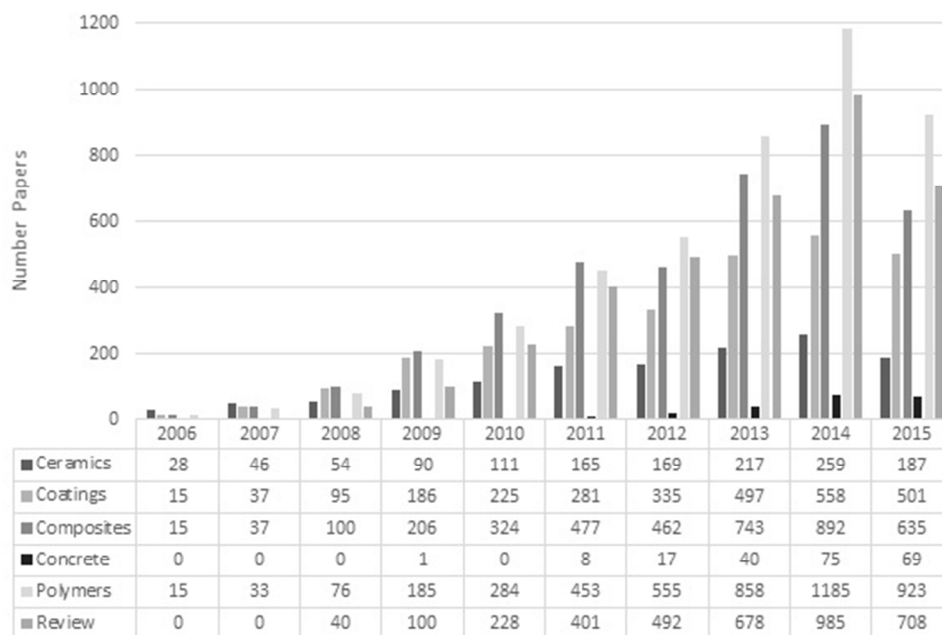
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Materials	Damage mechanism	Healing
<b>Polymer</b>	Razor blade/scalpel cut Tensile test with rupture Ballistic impact Fracture toughness Shear test	Intrinsic healing Supramolecular networks
	Razor blade/scalpel cut	Temperature triggered Supramolecular networks
<b>Polymeric coating</b>	Microcutting with corrosion Corrosion/erosion Pull-out tests (adhesion) 3 or 4-point bending Microscratching	Molecular inter-diffusion (solvent) Encapsulated agent
<b>Concrete</b>	Controlled crack initiation by bending Compression	Activation of microencapsulated agent
<b>Ceramic</b>	Crack initiation by indentation Synchrotron mechanical test Tensile force Biaxial ball on three balls High temperature stress 3 or 4-point bending	Temperature triggered Oxidation reaction
<b>Ceramic coating</b>	Crack initiation by indentation High temperature stress 3 or 4-point bending	Temperature triggered Oxidation reaction
<b>Composite</b>	Crack induced rupture of fibres Fracture toughness Fatigue loading Delamination Impact by indentation 4-point bending Notched flexure	Healing agent released by microvascular networks

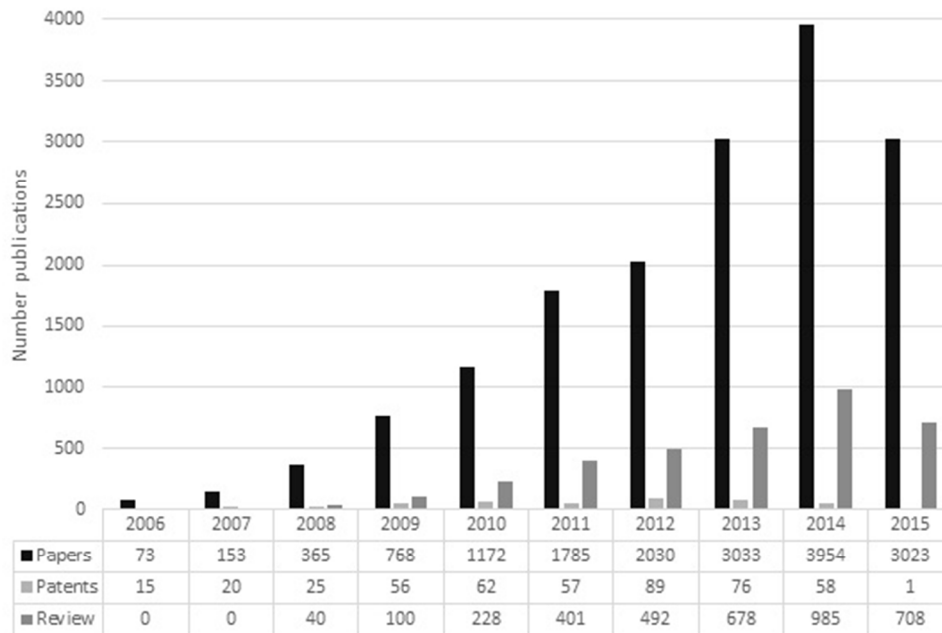




Publications in the field of different self-healing material classes in scientific journals since 2006 (source: ISI Web of knowledge)

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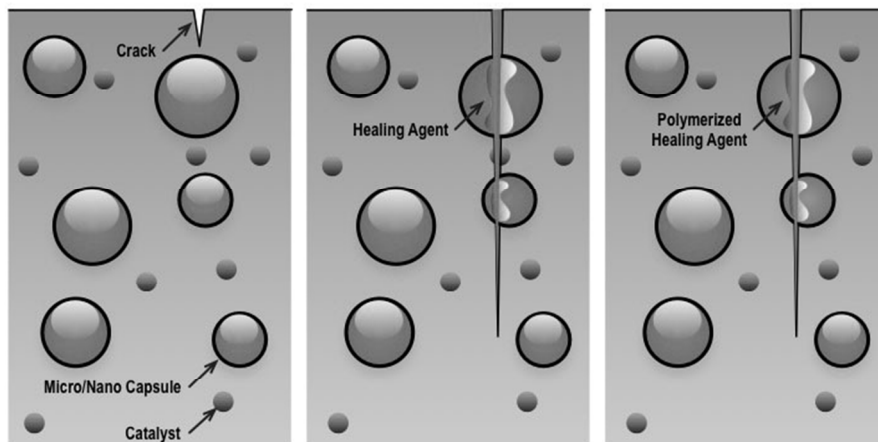
Review



Scientific publications and patents on self-healing materials issued since 2006 (source: ISI Web of knowledge)  
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Review

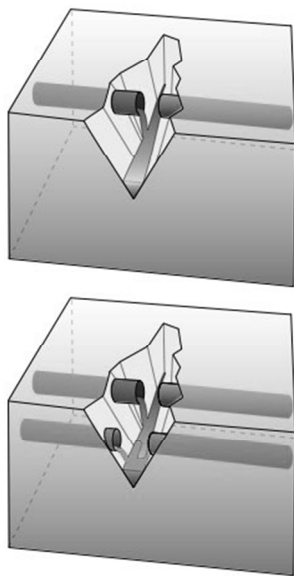
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Polymer self-healing by agent encapsulation and release upon damage  
283x189mm (72 x 72 DPI)

Review

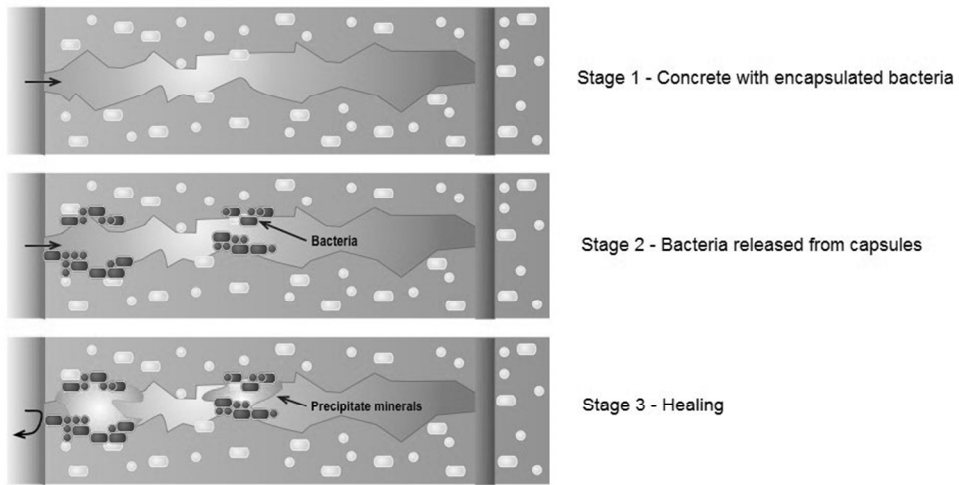
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Self-healing in composites containing a microvascular network with reactive fillings. a) one-component system, b) two-component system.  
283x189mm (72 x 72 DPI)

Review

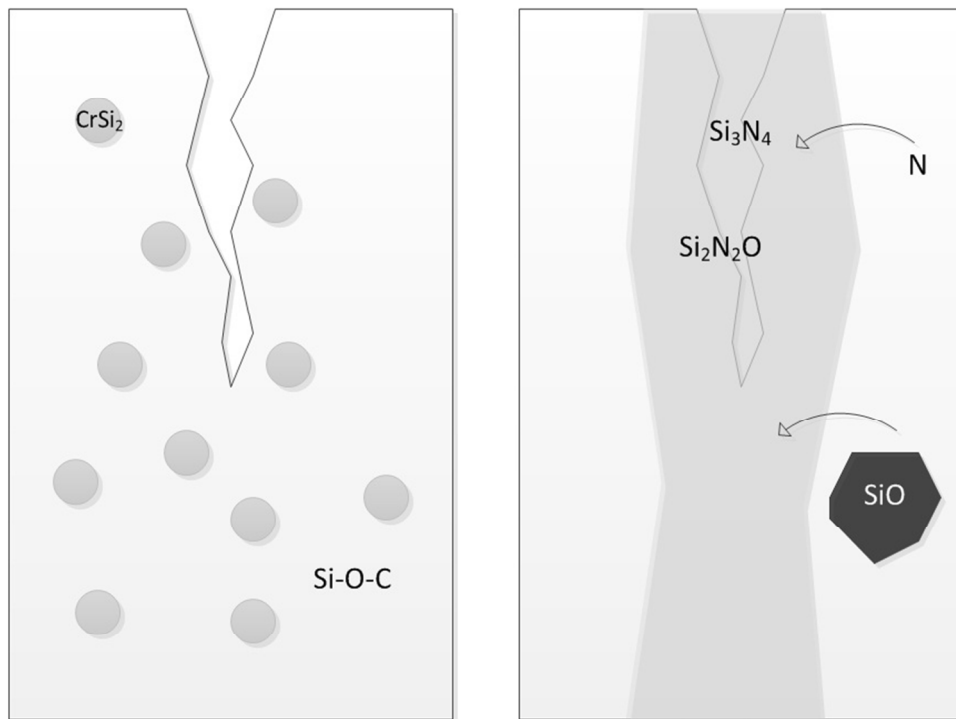
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Bacteria-based self-healing in concrete.  
345x178mm (72 x 72 DPI)

Peer Review

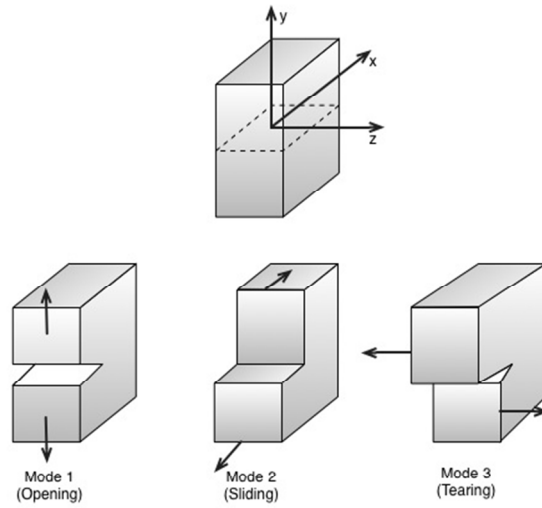
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Self-healing of a microcrack in a Si-O-C ceramic oxide by diffusion/oxidation.  
238x178mm (96 x 96 DPI)

Review

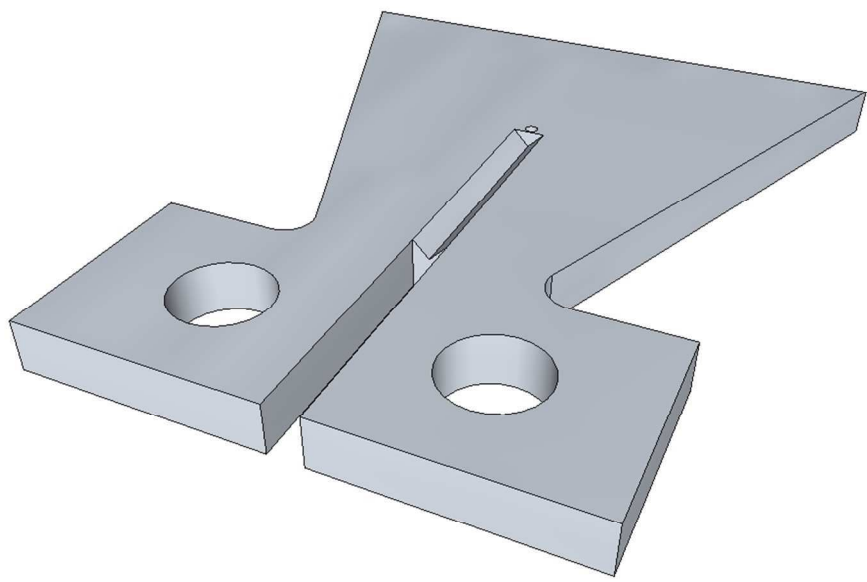
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Fracture testing modes.  
283x189mm (72 x 72 DPI)

Review

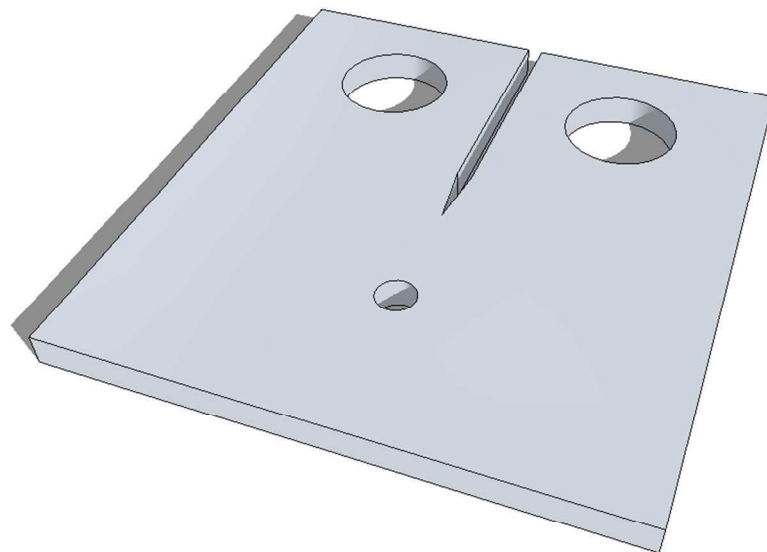
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Tapered double cantilever beam (TDCB) sample geometry for the mode 1 quantification of the mechanical self-healing ability of structural materials.

Review

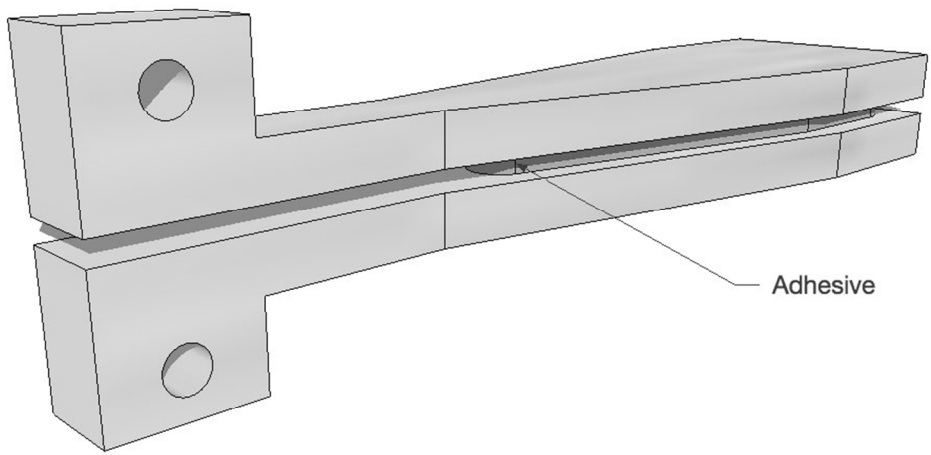




Compact tension (CT) sample geometry for self-healing ability quantification.

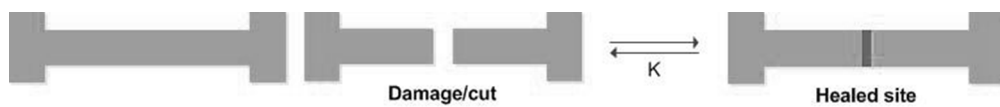
Peer Review

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Width tapered double cantilever beam (WTDCB) sample geometry for self-healing ability quantification.  
336x232mm (72 x 72 DPI)

Review

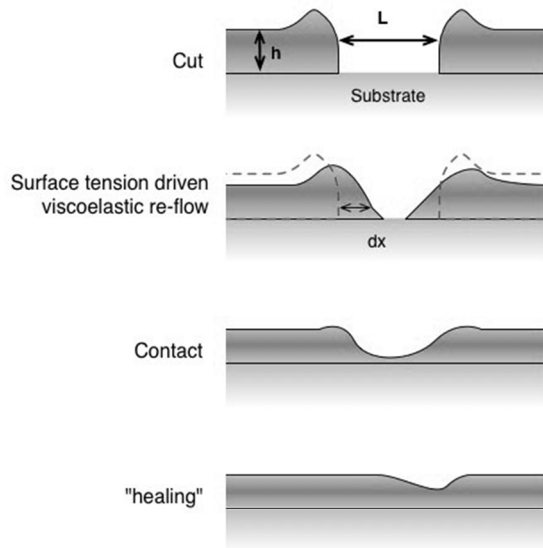


Healing trough a razor blade cut.  
202x19mm (96 x 96 DPI)

For Peer Review

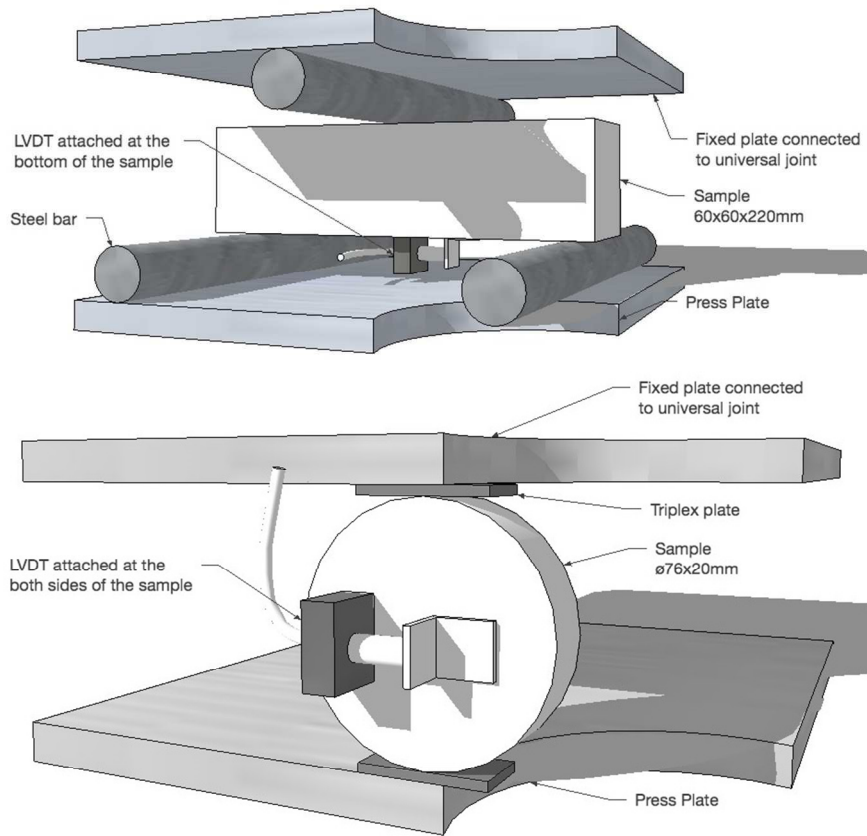
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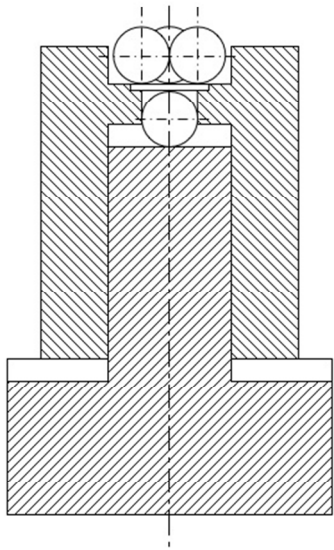
Healing mechanism in coatings.  
283x189mm (72 x 72 DPI)

Review



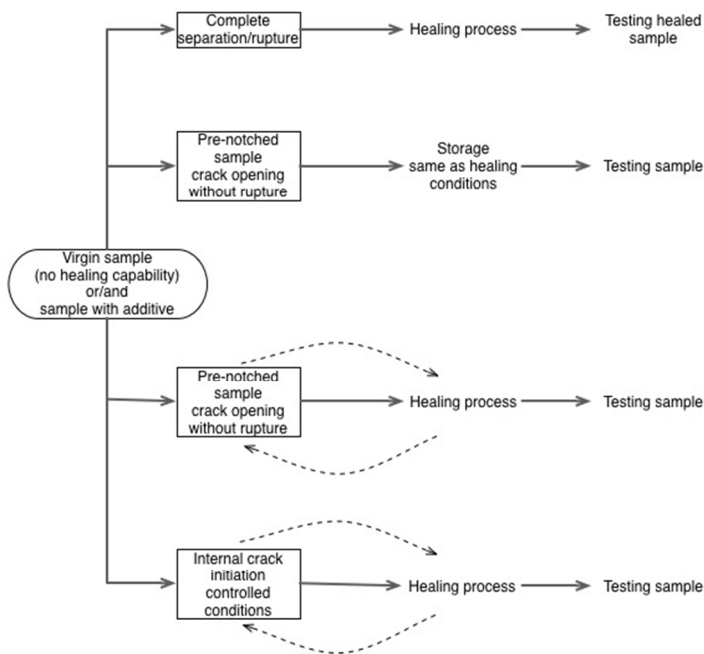
3-point bending test in concrete.  
229x204mm (120 x 120 DPI)

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Biaxial ball-on-three balls (B3B) test.  
283x189mm (72 x 72 DPI)

Review



Standardized routes for testing self-healing materials.  
283x189mm (72 x 72 DPI)

Review