

1 **Coulomb pre-stress and fault bends: ignored yet vital factors for**
2 **earthquake triggering**

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13

14 **Successive locations of individual large earthquakes ($M_w > 5.5$) over years to**
15 **centuries can be difficult to explain with simple Coulomb stress transfer**
16 **(CST), because seismicity can miss out nearest-neighbour along-strike**
17 **faults where coseismic CST increases are greatest. We show that “Coulomb**
18 **pre-stress” may explain this, because magnitudes are $> \pm 50$ bars if**
19 **interseismic loading and local stress amplification at fault bends are**
20 **included, so coseismic CST, in the range of ± 2 bars, will rarely overwhelm**
21 **the Coulomb pre-stress. To illustrate this, we calculate the Coulomb pre-**
22 **stress prior to 34 earthquakes from 1349-2016 A.D. in central Italy and use**
23 **this to discuss the location of subsequent earthquakes. We show that**
24 **earthquakes tend to occur where the cumulative coseismic and**
25 **interseismic CST is positive. Ruptures propagate both across faults that are**

26 **positively stressed, and in a few examples, from positions where highly-**
27 **stressed patches associated with along-strike fault bends are surrounded**
28 **by negatively stressed fault surfaces. Coulomb pre-stress calculated for**
29 **strike-variable faults is an ignored yet vital factor for earthquake**
30 **triggering.**

31

32 Typically, earthquakes transfer static Coulomb stress onto neighboring faults
33 during coseismic slip on the order of ± 2 bars¹⁻³. The Coulomb stress transfer
34 (CST) is usually discussed in terms of whether earthquake slip is likely to be
35 triggered on receiver faults, especially if a so-called seismic gap⁴ is identified on
36 one or more receiver faults. However, the magnitude and spatial variability of
37 “Coulomb pre-stress” (i.e. the static stress present on a brittle fault plane prior to
38 rupture) across any particular fault is typically poorly known and assumed to be
39 zero^{1,5}. This zero value assumption is likely to be erroneous and hence
40 misleading because we know that (1) interseismic stresses will have
41 accumulated over centuries to millennia due to tectonic loading⁶, (2) multiple
42 earthquakes over many centuries will have contributed coseismic CST², and (3)
43 local bends in the fault geometry will have amplified or diminished the
44 cumulative interseismic and coseismic CST⁷. These three factors suggest it is
45 unlikely that Coulomb pre-stress is zero or spatially uniform as is commonly
46 assumed when calculations of Coulomb stress following large earthquakes are
47 undertaken^{5,8,9}. The question is therefore whether coseismic CST can overwhelm
48 Coulomb pre-stress in all cases or not; the former is needed if earthquake
49 sequences are to be explained solely with coseismic CST from single prior
50 earthquakes. If coseismic CST cannot or rarely overwhelms Coulomb pre-stress,

51 then the pre-stress must be taken into account when coseismic CST is calculated
52 following large earthquakes and used to speculate on the location of future
53 damaging earthquakes and associated seismic hazard¹⁰.

54

55 To investigate this, the central Apennines extensional system is studied for two
56 reasons. Firstly, it has one of the longest known historical records of damaging
57 earthquakes¹¹ (Figure 1a), a pre-requisite to understand the accumulation of
58 coseismic CST. Secondly, the normal faults are well-exposed at the surface which
59 enables the geometry and slip rates to be accurately quantified to model variable
60 fault geometry and interseismic loading from underlying shear zones¹²⁻¹⁷
61 (Figure 1c-e). Interseismic CST loading is modeled as an annual rate of loading
62 (Figure 1d). The magnitude of annual CST from interseismic loading is low (-0.06
63 - +0.23 bars) compared to coseismic CST (on the order of $<\pm 2$ bars), but when
64 summed over decades to centuries (or longer), it becomes an important
65 component of the Coulomb pre-stress. We describe the role of detailed fault
66 geometry in CST calculations, the differences between analyzing solely coseismic
67 CST from single earthquakes versus cumulative coseismic and interseismic
68 Coulomb stress over many centuries containing numerous earthquakes, before
69 discussing the implications for how future CST calculations should be conducted.

70

71 Role of fault geometry

72 It is known that fault geometry affects calculations of CST^{18,19} but the
73 implications of along fault variations in geometry are not routinely considered.
74 Efforts have been made to quantify the sensitivity of the CST to the parameters of
75 strike, dip, rake, coefficient of friction and Skempton's coefficient^{7,20}. For normal

76 faults, it is demonstrated that the CST is most sensitive to the varying strike of
77 receiver faults⁷. Therefore it is expected that along-strike fault bends on receiver
78 faults would amplify or diminish the CST when compared to adjacent regions of
79 the brittle fault. Examples are shown in Figure 2 for four recent earthquakes
80 ($M_w \geq 6.0$) in the central Apennines. In these examples, the difference in CST
81 between planar fault models and non-planar fault models with along-strike
82 bends is in the range of -2.7 – +2.4 bars. This is higher than the hypothesized CST
83 triggering threshold of 0.1 – 0.5 bars²¹⁻²³ (although the existence of a triggering
84 threshold is debated^{24,25}). In addition, where fault bends reduce CST, negative
85 stress barriers (to earthquake rupture propagation) may be generated²⁶. These
86 barriers have been invoked to explain the pattern of seismicity in the 2016
87 central Italian earthquake sequence²⁷ (see Figure 3b); without modeling fault
88 bends, these barriers would not be generated and the sequence would be
89 difficult to explain with conventional planar and coseismic-only CST modeling
90 (see ^{28,29} for other examples). Thus, modeling of fault bends provides valuable
91 additional information compared to the conventional planar approach. In other
92 words, if fault bends are not modeled, the coseismic CST calculated would not
93 resolve important regions with raised or lowered stress at bends that may
94 represent sites where subsequent ruptures associated with large earthquakes
95 may nucleate or terminate.

96

97 Investigating the role of coseismic versus cumulative Coulomb stress

98 Here we study a set of 34 $M_w=5.6-7.0$ earthquakes (from 1349–2016 A.D.) that
99 occurred in the central Apennines rupturing 41 faults (some earthquakes
100 ruptured more than one fault⁶). The coseismic CST of each historical earthquake

101 and the cumulative (coseismic plus interseismic) CST prior to each earthquake
102 have been calculated to investigate the importance of Coulomb pre-stress (see
103 Electronic Supplement S1 and animation ES2 for the coseismic CST associated
104 with historical earthquakes, and ES3 and animation ES4 for the cumulative CST
105 prior to each historical earthquake). ES2 shows that when solely coseismic
106 changes are considered, successive earthquakes jump around the fault system
107 with no examples of nearest-neighbour faults rupturing. ES4 shows that the
108 combined effect of coseismic and interseismic stress loading on non-planar faults
109 produces significant Coulomb pre-stress heterogeneity. No dynamic nor post-
110 seismic stress changes are considered in this study, because the time between
111 earthquakes is typically longer than timescales over which dynamic stress
112 triggering will play a role³⁰ and the magnitude of the earthquakes and timescales
113 are relatively small and therefore the effects of post-seismic stress will be
114 negligible³¹ within the context of this study. In any case, post-seismic stress
115 changes will alter the magnitude of the CST values (increase the positive stress
116 lobes and reduce the negative stress lobes), but not change the first-order stress
117 pattern we describe^{31,32}.

118

119 In 2016, three $M_w > 5.9$ earthquakes occurred along the Mt. Vettore and Laga
120 faults (Figure 3). The Coulomb pre-stress prior to these earthquakes is
121 considered in two different ways herein; Figure 3a shows the pre-stress solely
122 from combined coseismic CST from 3 earthquakes in 1997 (Umbria-Marche
123 seismic sequence, $M_w = 5.7, 6.0, 5.6$) and the 2009 L'Aquila earthquake; Figure 3b
124 shows the Coulomb pre-stress from 667 years of interseismic and coseismic CST
125 including 31 $M_w = 5.6-7.0$ earthquakes. Both approaches produce spatial

126 heterogeneity in transferred stress on receiver faults, but the magnitude of
127 stress varies markedly (± 1 bar compared to ± 50 bars). Two faults of particular
128 interest that displayed heterogeneous Coulomb pre-stress in early 2016 are the
129 Mt. Vettore and Laga faults, which ruptured during three earthquakes in 2016
130 (MTV and LAG on Figure 3). Considering only the coseismic CST from 1997–
131 2009 (Figure 3a), parts of both faults were positively stressed prior to rupture,
132 but neither had the highest stress in the region. In addition, on these two faults
133 the solely-coseismic Coulomb pre-stress was almost entirely positive (-0.05 –
134 0.24 bars on the Mt. Vettore fault and 0.02 – 0.48 bars on the Laga fault) and the
135 pattern of Coulomb stress does not appear to explain the terminations and order
136 of the ruptures in 2016 (see the locations of the ruptures marked in Figure 3a).
137 In contrast, considering the full 667-year Coulomb pre-stress, a more
138 complicated spatial heterogeneity results. This heterogeneity, in particular the
139 locations of negative stress barriers coinciding with the terminations of ruptures
140 on the Mt. Vettore fault, has been suggested to have controlled the 2016
141 sequence²⁷ (see Figure 3b). The Laga fault was predominately positively stressed
142 at its northern end (< 3.52 bars) with the exception of the very northern tip of the
143 fault that was negatively stressed (> -10.48 bars) due to the presence of a bend in
144 the fault. Positive stress with up to 66.15 bars existed along the entire length of
145 the Laga fault at depth. On the Mt. Vettore fault, the shallow portion of the fault
146 was negatively stressed (> -11.68 bars), with positive stress at depth (up to 36.75
147 bars). An important finding is therefore that during the 24th August ($M_w=6.0$) and
148 the 30th October ($M_w=6.5$) earthquakes, both positively and negatively stressed
149 regions ruptured (based on the published slip distributions that are inverted for

150 planar faults³³⁻³⁵). Thus, negatively stressed regions must not be excluded when
151 considering the possibility of rupture.

152

153 Another important finding is that when solely the coseismic CST is considered,
154 the values of mean coseismic CST transferred onto the subsequent fault that
155 ruptures are in the range of -2.2 – 0.3 bars (Figure 4a). These relatively small
156 values will rarely overwhelm cumulative coseismic and interseismic pre-stresses
157 of the magnitudes shown in Figure 4c (-9.5 – +12.4 bars).

158

159 To illustrate the above points further we have examined the relationship
160 between mean pre-stress on each fault and subsequent rupture for (i) individual
161 coseismic stress transfer events (Figure 4 a and b ES1 and ES2), and (ii) through
162 time for the sequence of 34 earthquakes and interseismic loading since 1349 A.D.
163 (Figure 4c and d; ES3 and ES4).

164

165 For individual coseismic CST, a common expectation is that following an
166 earthquake, the next fault to rupture will be the one with the highest CST.
167 However, we show that the next fault to rupture is never the fault with the
168 highest mean coseismic CST (i.e. the nearest-neighbour fault, see Figure 4a). This
169 argues against the current status-quo of analyzing solely coseismic CST and
170 using it to forecast the location of the next major earthquake.

171

172 Therefore we consider the cumulative CST, comprised of coseismic CST from
173 historical earthquakes^{6,11} and interseismic CST from tectonic loading associated
174 with underlying shear zones^{6,12}, to understand the role and importance of

175 Coulomb pre-stress. We show that summed interseismic and coseismic CST over
176 667 years on strike-variable faults show spatial variations of $>\pm 50$ bars on
177 individual faults (Figure 3b), an order of magnitude larger than transferred
178 coseismic CST (Figure 2). When the whole historical sequence is considered, the
179 mean cumulative CST on faults that ruptured in our sample from central Italy
180 was positive for 31 out of 41 examples, and 6 out of the 10 examples with
181 negative mean stress had patches (13-52% of their fault area) that were
182 positively stressed prior to rupture (Figure 4c). Therefore considering both the
183 mean cumulative CST and the proportion of the fault that is positively stressed
184 prior to rupture can explain 90% of examples in the historical record. This is
185 better than can be explained by coseismic CST alone. The magnitudes of mean
186 and maximum cumulative CST from this sample (Figure 4 c and d) are greater
187 than the magnitude of CST from a single earthquake, showing that it is unlikely
188 that the coseismic CST from a single earthquake will be able to overcome the
189 Coulomb pre-stress generated by historical earthquakes and interseismic
190 loading.

191

192 Implications for future calculations of CST

193 These values imply that insights into whether future earthquakes will be
194 triggered by past earthquakes are unlikely to be gained solely from studies of
195 coseismic CST from single earthquakes. It is especially important to note that in
196 the sequence of events studied, the next fault that ruptures is never the nearest-
197 neighbour fault (often assumed in seismic hazard assessment when discussing
198 the likelihood of triggering). Without knowledge of Coulomb pre-stress and its
199 spatial heterogeneity, it is unlikely that coseismic CST will overwhelm Coulomb

200 pre-stress in all cases. We emphasise that Coulomb pre-stress and spatial
201 heterogeneity can and should be calculated by considering all known past
202 earthquakes, interseismic loading from underlying shear zones and the geometry
203 of the active faults. However, importantly, it does appear that earthquakes tend
204 to occur on positively stressed faults, both where the majority of the fault surface
205 is positively stressed, or where high stress patches exist on faults with negative
206 mean Coulomb stress, once interseismic loading and local stress concentration
207 on non-planar faults is taken into account. Our findings agree with the
208 conventional Coulomb triggering hypothesis, and we introduce two new
209 measures to assess this hypothesis; the maximum CST on a single fault patch and
210 the proportion of the fault that is positive. In our study sample of 34 earthquakes
211 over a period of 667 years, earthquakes tend to nucleate on sections of the active
212 faults where Coulomb stress is positive, propagating both across faults that are
213 positively stressed, and in a few examples, from positions where highly-stressed
214 patches are surrounded by negatively stressed fault plane. More work is needed
215 to examine other earthquake sequences to see if our findings apply for all
216 tectonic settings.

217

218 Methods

219 **Modeling non-planar normal faults:** Ref ⁷ details the method used to generate
220 strike-variable fault planes from surface fault traces, which are based on
221 extensive fieldwork and satellite imagery^{13,15-17,36-38}. Faults are modeled as a
222 series of 1 km rectangular elements that make up the non-planar fault surface.
223 All CST calculations are undertaken in *Coulomb 3.4* ^{18,39}.

224 **Comparing planar and strike-variable CST models**

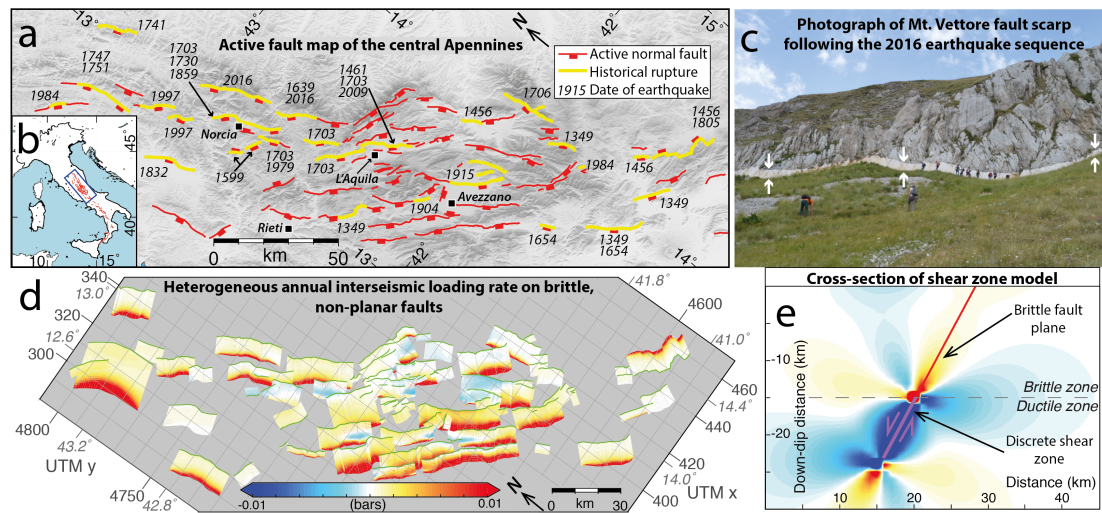
225 To investigate the importance of including the strike-variable geometry in CST
226 calculations, four recent earthquakes are modeled using planar and strike-
227 variable fault geometry. The selected earthquakes are modeled with the
228 equivalent magnitude for comparison. The difference is calculated by subtracting
229 the planar CST values from the strike-variable CST values for each fault element,
230 therefore a positive difference means that the strike-variable model has greater
231 magnitude CST.

232

233 **Modeling historical coseismic and interseismic CST:** 34 historical
234 earthquakes are modeled on 41 faults, following Ref⁶, with some additional
235 earthquakes in the northern Apennines included¹¹. Historical earthquakes are
236 modeled with a concentric slip distribution as there is a lack of available
237 information^{7,27}. Interseismic CST is modeled using shear zones from 15-24 km
238 underlying the brittle portions of faults^{6,12}, the annual rate of slip on these shear
239 zones is determined by the Holocene throws measured at the surface<sup>13-
240 16,37,38,40,41</sup>.

241 **Calculating cumulative CST:** It is assumed that the stress on all faults in 1349
242 A.D. is zero^{6,42,43} in the absence of any information about pre-stress prior to this
243 date. Coseismic CST and annual interseismic CST is summed for each 1 km
244 element of fault plane at each time point prior to an historical earthquake
245 occurring. When an earthquake occurs, it is assumed that all the accumulated
246 stress is released and the stress on the fault that slips reduces to zero.

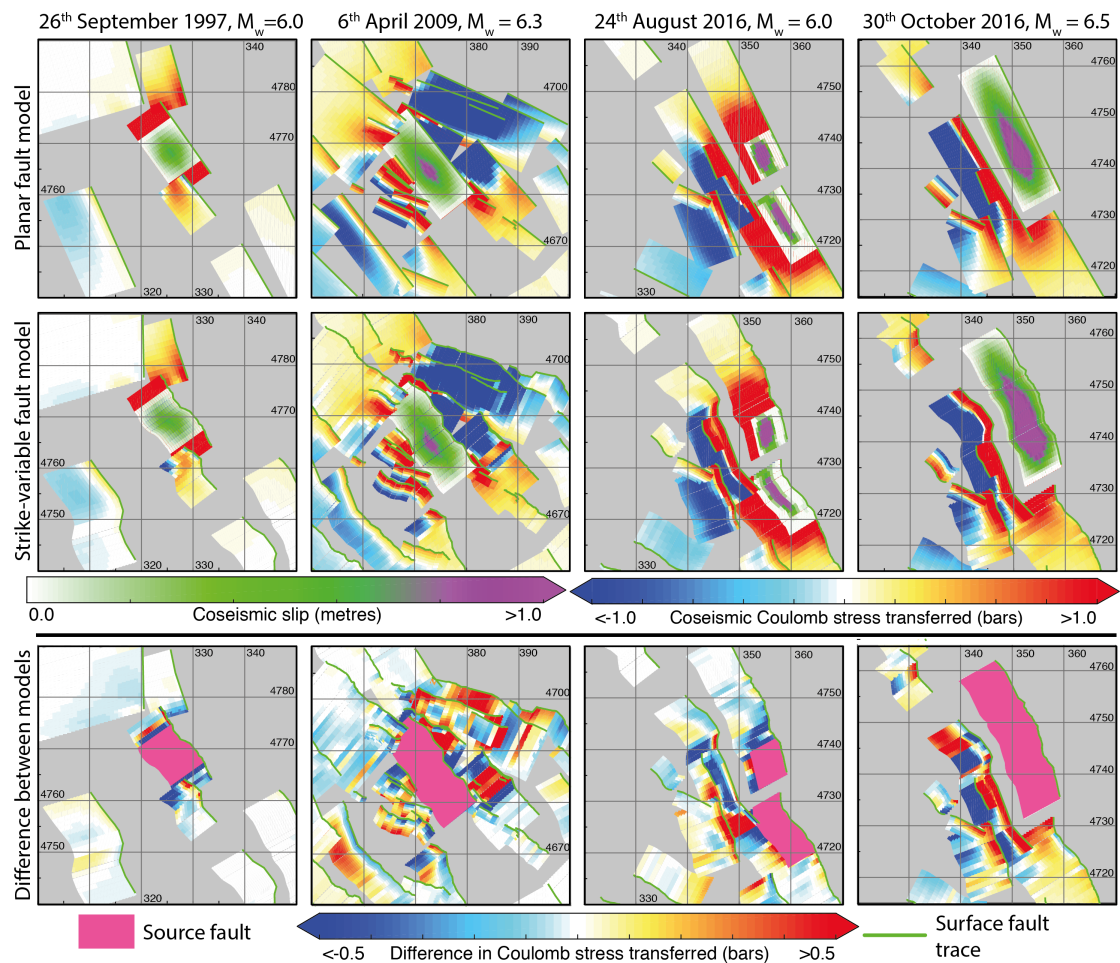
247 **Figures**



248

249 Figure 1- a. Fault map of the central Apennines, red lines show active normal
 250 faults with Holocene offsets (tick marks on the hanging wall), yellow lines
 251 indicate the active faults that ruptured in historical earthquakes, labeled by year.
 252 Towns are shown with black squares and are labeled. b. Blue box shows the
 253 location of the study area within Italy. c. Field photo of the coseismic rupture
 254 from two earthquakes in 2016 that both occurred on the Mt. Vettore fault. White
 255 arrows show the top and bottom of the coseismically exhumed fault scarp. d.
 256 Annual rate of interseismic loading on the brittle portions of faults from
 257 underlying ductile shear zones (not shown in figure). The magnitude of
 258 interseismic CST transferred per annum is small, but over decades to centuries,
 259 this builds up to magnitudes of CST in the order of 1 – 10 bars. The magnitude of
 260 interseismic CST is dependent on the Holocene slip rate (measured from surface
 261 offsets) and the strike-variable fault geometry. e. Cross-section of shear zone
 262 model and associated CST. This figure demonstrates the wealth of data available
 263 for this region and hence it's suitability for this study.

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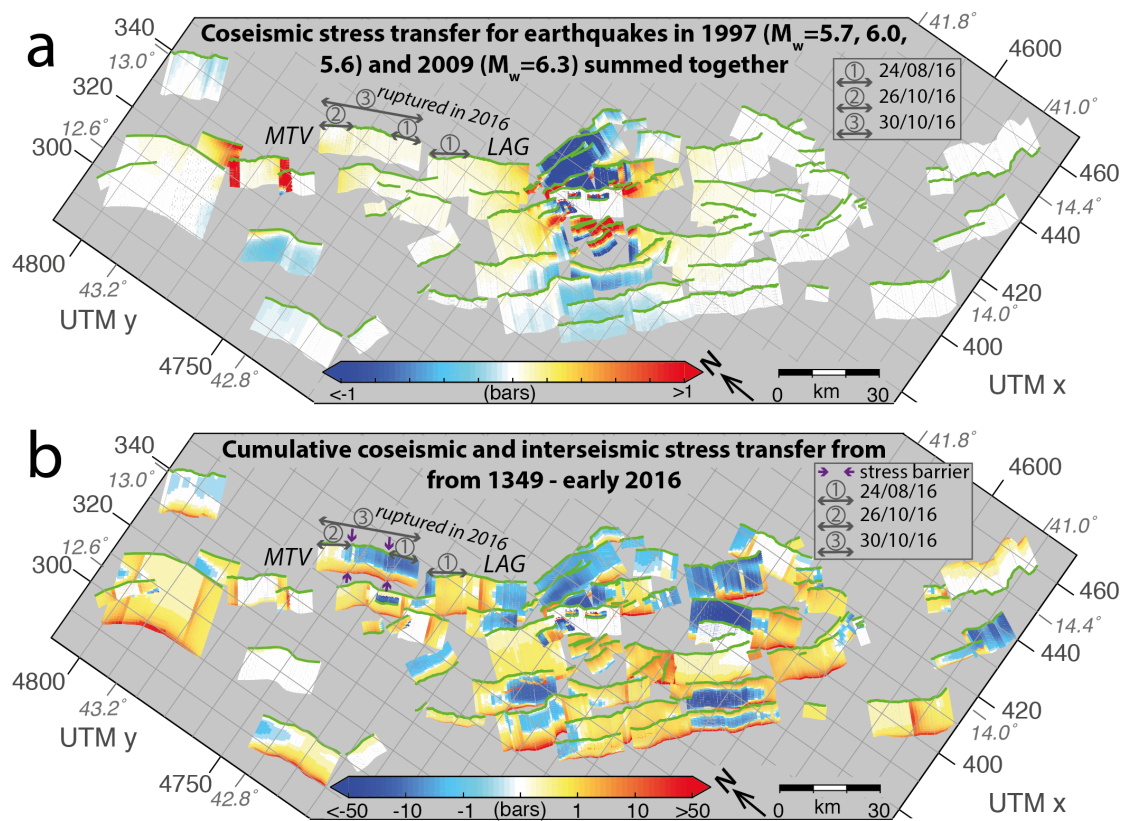


265

266 Figure 2 – Comparisons of planar and strike-variable coseismic CST models for
 267 four recent earthquakes ($M_w \geq 6.0$). The coseismic CST and slip distributions used
 268 are shown in colour scales, UTM coordinates are given (33T zone). The top row
 269 shows the planar fault geometry CST models for each studied earthquake, the
 270 central row shows the strike-variable fault geometry CST models and the bottom
 271 row shows the difference between the coseismic CST models for the four
 272 earthquakes investigated. A positive difference indicates that including the fault
 273 geometry has increased the CST. In each case, the CST differences are on the
 274 order of ± 0.1 - 0.5 bars all around the source fault (highlighted in pink), above the
 275 hypothesized earthquake-triggering threshold²¹⁻²³. Therefore modeling faults as

276 planar structures will miss areas of CST that have the potential to trigger future
277 earthquakes.

278

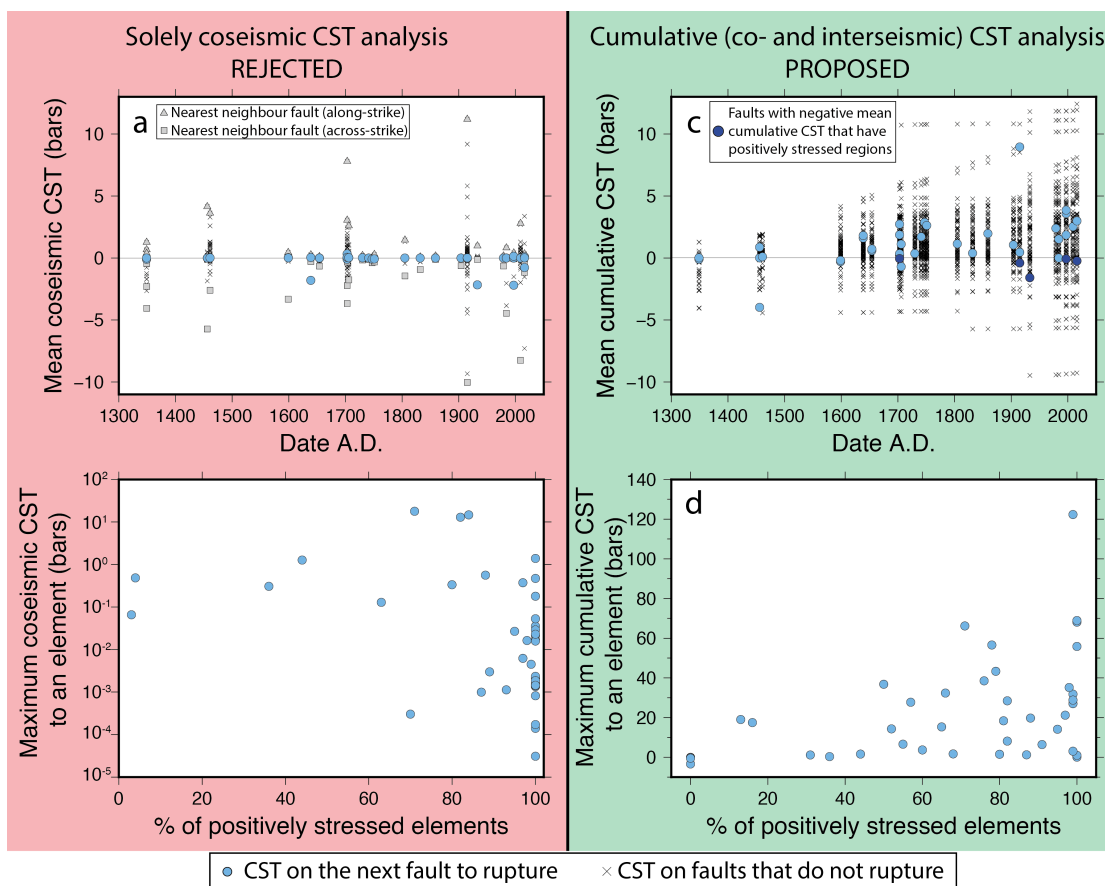


279

280 Figure 3- a. Coseismic CST from 1997–2009 from 4 earthquakes ($M_w=5.7, 6.0, 5.6$
281 and 6.3) summed together, prior to the 2016–17 seismic sequence, without
282 consideration of the longer-term accumulation of coseismic CST and interseismic
283 loading. The faults that ruptured in the sequence are labeled (MTV- Mt. Vettore,
284 LAG- Laga) and the extent of the faults that ruptured in the three events (1. 24th
285 August 2016, 2. 26th October 2016, 3. 30th October 2016) is shown. b. Map of
286 cumulative interseismic and coseismic CST from 1349 A.D. to early 2016 A.D.
287 showing the “Coulomb pre-stress” prior to the 2016-17 seismic sequence. Note
288 the non-linear colour scale of cumulative CST. The faults that ruptured in the
289 sequence are labeled as in (a). Purple arrows show the location of inferred

290 negative stress barriers²⁷. See ES1 and ES2 for coseismic CST associated with
 291 historical earthquakes ($M_w > 5.5$) since 1349 A.D.. See ES3 and ES4 for the
 292 “Coulomb pre-stress” on each fault prior to each historical earthquake. The mean
 293 cumulative CST in early 2016 ranges from -33 to +12 bars, the maximum
 294 cumulative CST on each fault ranges from -240 to +148 bars. These values are an
 295 order of magnitude higher than coseismic CST in a. Therefore it is important to
 296 include “Coulomb pre-stress” when assessing current seismic hazard because
 297 whether coseismic CST is likely to bring a fault close to rupture depends on both
 298 the coseismic stress transfer and the “Coulomb pre-stress”.

299



300

301 Figure 4- Analysing the CST through the historical sequence using the typical
 302 approach (rejected herein) and the proposed approach of this paper. Note that
 303 antithetic faults have been omitted, as rupture on such faults is known to be

304 dependent on bending stresses produced by rupture of the main synthetic faults.
305 a. Mean coseismic CST on faults that do and do not rupture. The mean values are
306 in the range of ± 11 bars, but the fault that ruptures (pale blue circles) never has
307 the highest mean coseismic CST prior to rupture (grey triangles for the nearest-
308 neighbour fault along strike). b. Considering the maximum stress on a single fault
309 element and the proportion of the fault that is positively stressed prior to
310 rupture. 90% of faults that rupture are >50% positive, the range in the maximum
311 CST transferred is six orders of magnitude. This data demonstrates the small
312 magnitudes of coseismic CST and that these cannot explain the sequence missing
313 nearest-neighbour faults. c. Mean cumulative (interseismic and coseismic) CST
314 on faults that do and do not rupture. The fault that ruptures (pale blue circles) is
315 never the fault with the highest mean cumulative CST. d. Considering the
316 maximum cumulative CST on a single fault element and the proportion of the
317 fault that is positively stressed prior to rupture. The magnitude of cumulative
318 CST is several orders of magnitude higher than for coseismic stress changes
319 alone and the values are more comparable to stress drops calculated for large
320 earthquakes. This figure shows that solely coseismic CST is inadequate for
321 considering earthquake sequences due to the low magnitude, and that
322 cumulative CST and the proportion of the fault that is positively stressed prior to
323 rupture can inform CST interpretations better.

324

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