<table>
<thead>
<tr>
<th><strong>Title</strong></th>
<th>Can the updip limit of frictional locking on megathrusts be detected geodetically? Quantifying the effect of stress shadows on near-trench coupling</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Author(s)</strong></td>
<td>Almeida, Rafael; Lindsey, Eric Ostrom; Bradley, Kyle; Hubbard, Judith; Mallick, Rishav; Hill, Emma Mary</td>
</tr>
<tr>
<td><strong>Date</strong></td>
<td>2018</td>
</tr>
<tr>
<td><strong>URL</strong></td>
<td><a href="http://hdl.handle.net/10220/46378">http://hdl.handle.net/10220/46378</a></td>
</tr>
<tr>
<td><strong>Rights</strong></td>
<td>© 2018 The Authors. This is an open access article under the terms of the Creative Commons Attribution-NonCommercial-NoDerivs License, which permits use and distribution in any medium, provided the original work is properly cited, the use is non-commercial and no modifications or adaptations are made.</td>
</tr>
</tbody>
</table>
Can the Updip Limit of Frictional Locking on Megathrusts Be Detected Geodetically? Quantifying the Effect of Stress Shadows on Near-Trench Coupling

Rafael Almeida1, Eric O. Lindsey1, Kyle Bradley1, Judith Hubbard1,2, Rishav Mallick1,2, and Emma M. Hill1,2

1Earth Observatory of Singapore, Nanyang Technological University, Singapore, 2Asian School of the Environment, Nanyang Technological University, Singapore

Abstract The updip limit of the seismogenic zone of megathrusts is poorly understood. The relative absence of observed microseismicity in such regions, together with laboratory studies of friction, suggests that the shallow fault is mostly velocity strengthening, and likely to creep. Inversions of geodetic data commonly show low to zero coupling at the trench, reinforcing this view. We show that the locked, downdip portion of the megathrust creates an updip stress shadow that prevents the shallow portion of the fault from creeping at a significant rate, regardless of its frictional behavior. Our models demonstrate that even if the shallowest 40% of the fault is frictionally unlocked, the expected creep at the fault tip is at most 30% of the plate rate, often within the uncertainties of surface geodetic measurements, and below current resolution of seafloor measurements. We conclude that many geodetic models significantly underestimate the degree of shallow coupling on megathrusts, and thus seismic and tsunami hazard.

Plain Language Summary When one tectonic plate dives beneath another, the fault between them is called a megathrust. The shallow part of these faults is not well understood. Generally, it is thought that if this area is pushed, it will freely slip (and will not store energy that would be released as earthquakes). Researchers make models of megathrusts using GPS measurements to determine which parts of it are slipping and which are not (which means they are storing energy that will be released as earthquakes). These models are not well constrained far from the GPS measurements, and in many areas it is difficult to make measurements near the shallow megathrust because they are under the ocean. We use a simple model that considers the forces acting on the fault to show that if the deeper megathrust is not slipping, then it will act as a buffer to prevent the shallow part from moving. We compare our model to megathrusts with many measurements in Japan and Nepal and show that the GPS data cannot tell us if the shallow fault is stuck together by friction or not. This is important because the behavior of the shallow fault affects potential earthquake size and tsunami risk.

1. Introduction

The largest known earthquakes occur at convergent margins, where gently dipping megathrust faults extend deep into Earth (Figure 1). In regions with geodetic data, the distribution of deep interseismic creep (Table 1) on these megathrusts can be estimated through a kinematic inversion for slip rate deficit, or kinematic coupling ratio (hereafter referred to as coupling; e.g., Bürgmann et al., 2005; Chlieh et al., 2008, 2011, 2014; Loveless & Meade, 2016; Metois et al., 2013; Xue et al., 2015). This result is then used to forecast the future coseismic and tsunamiogenic behavior of the fault (e.g., Kaneko et al., 2010; Loveless & Meade, 2011; Metois et al., 2013; Moreno et al., 2010).

Many geodetic inversions show low or zero coupling near the trench, where there is limited model resolution (e.g., Chlieh et al., 2008, 2014; Loveless & Meade, 2010; McCaffrey, 2014; Nocquet et al., 2017). This is consistent with a general view that shallow faults are velocity strengthening (e.g., Byrne et al., 1988; Ikari et al., 2009; Marone & Scholz, 1988; Wu et al., 1975) and therefore must creep under applied stress. However, the shallow parts of megathrusts can also be seismogenic (e.g., Hubbard et al., 2015), as evidenced by tsunami earthquakes and shallow slow-slip events. Slip models of the 2010 Mentawai tsunami earthquake (Hill et al., 2012; Yue et al., 2014) suggest that maximum slip occurred adjacent to the trench, an area previously inferred to be creeping interseismically (Chlieh et al., 2008). Shallow slow-slip events (e.g., Saffer & Wallace, 2015;
Wallace et al., 2016, 2017) represent transient behaviors where the fault releases accumulated stress episodically and have been observed to occur in several subduction zones, but their global prevalence remains uncertain (Saffer & Wallace, 2015).

These apparent contradictions highlight our limited understanding of the interseismic behavior of the shallow megathrust. In places without offshore geodetic data, the model resolution for the shallowest part of subduction megathrusts (far from land-based stations) is nearly zero. Therefore, studies commonly adopt regularization techniques to extend the model prediction to the trench. In addition to Laplacian smoothing, one common approach is to minimize the moment accumulation rate; this penalizes high values of coupling near the trench (e.g., Chlieh et al., 2014). However, this approach overlooks the existence of a "stress shadow" updip of locked fault patches (Bürgmann et al., 2005; Hetland & Simons, 2010; Wang & Dixon, 2004). If the megathrust is frictionally locked at any location and therefore fully coupled (i.e., the hanging wall is not moving relative to the footwall), then the megathrust updip of this location will experience a smaller stressing...
rate; that is, it lies within a “stress shadow” (Figure 1). A significant rate of creep updip of this location would require interseismic extension of the hanging wall at a rate related to the change in creep rate (Wang & Dixon, 2004). The location of this extensional strain in a typical subduction zone would be underwater, in the poorly resolved portion of geodetic models, and the driving stress that could cause such extension within the overall compressive regime of a subduction zone is not clear. Further, geologic evidence for extension in accretionary prisms (e.g., Becel et al., 2017; Kodaira et al., 2012) has been interpreted as a consequence of coseismic ruptures of the whole megathrust that result in dynamic effects such as shallow coseismic over-shoot, static stress changes, or near-surface effects, and not reflective of interseismic behavior of the megathrust (e.g., Ide et al., 2011; Li et al., 2014; Xu et al., 2016).

This leads us to pose the question: if the shallow megathrust is frictionally unlocked but located in a stress shadow, to what degree can it creep? Here we use a boundary element method to quantify the maximum rate of shallow creep under a variety of conditions. We find that the fault tip cannot slip at a rate approaching the plate velocity under any reasonable set of assumptions. Furthermore, the geodetic signal distinguishing this unlocked-but-not-creeping case from a fully frictionally locked fault is likely too small to be measurable with current techniques. If the shallow megathrust cannot creep during the interseismic period, it must slip either during or soon after earthquakes, and therefore, this question has major implications for estimates of seismic and tsunami hazards, as well as the potential for shallow nucleation of earthquakes.

2. Model and Results

We adopt a two-dimensional physics-based model of a planar fault assuming that there is no variation in fault properties along strike (Figure 1); in a later section, we extend this model to three dimensions to address the effect of along-strike variations. The fault has a fully locked patch in the center of the seismogenic zone.
Above and below this locked area, the fault slips under a zero stressing rate condition (i.e., the fault is considered to have reached its frictional yield strength, and will slip in response to any applied stress). Fault slip is considered as continuous, time-invariant creep. We refer to the unlocked updip portion of the fault as the frictionally unlocked or “free” width, \( W_0 \), presented as a ratio to the total fault width, \( W_T \), down to the base of the seismogenic zone (Figure 2). The fault is driven from the far field at a stressing rate determined for each patch such that the whole fault would creep at the long-term rate if the entire fault were frictionally unlocked (\( W_T/W_0 = 1 \)). We implement the model using a boundary element method with analytic solutions for displacement and stressing rate (Okada, 1992); a detailed description is found in supporting information Text S1.

We consider a planar fault with a dip of 10°, which is steeper than the shallow megathrust in many convergent margins (e.g., Hubbard et al., 2015) but similar to wedge angles inferred from critical taper theory, commonly \(~8–10°\) (Davis et al., 1983). We define a 40 km-wide transition zone (\( W_D \)) at the base of the model, where the fault is frictionally unlocked (no stress accumulation) and the modeled slip rate increases from zero to the plate convergence rate (Figure 2).

We choose the updip and downdip boundaries of the locked patch to correspond with temperatures where the frictional behavior of the fault is thought to change: 80–100°C and 350°C, respectively (Blanpied et al., 1995; Hyndman et al., 1997; Marone, 1998; Scholz, 1988, 1998; Stesky et al., 1974). The shallow megathrust has an approximately linear geothermal gradient, consistent with subduction zone thermal models (Syracuse et al., 2010), so for a planar fault the ratio \( W_0/W_T \) can be calculated from the ratio of the two transition temperatures, which yields a value of \( W_0/W_T = 0.23–0.29 \). However, this simplification neglects plate curvature, which would increase \( W_0/W_T \). Thus, we consider two representative cases, \( W_0/W_T = 0.2 \) and 0.4 (Figure 2). The results show low creep rates: for the first case, creep does not reach more than 10% of the plate rate, while for the second, it reaches 20% of the long-term rate at the fault tip; this corresponds to a coupling of 0.8. The expected geodetic signal for each case is shown in Figure 2a; like the fault slip rate, the surface velocity near the trench remains small for both models.

To test the wide applicability of our model, the shallow creep rate at the fault tip for all possible values of \( W_0/W_T \) between 0 (fully locked) and 1 (fully unlocked) is shown in Figure 2c. Generally, the shallow creep rate increases with \( W_0/W_T \) but remains below the 1:1 line for all models. We show the effect of varying the fault dip and the deep transition zone width \( W_D \) in supporting information Figure S1. Fault dip has a moderate impact, due to its effect on the proximity of the free surface, which reduces the transfer of stress to the shallow wedge, but even for a dip of 15°, the creep rate at the fault tip does not exceed 30% of the plate convergence rate when \( W_0/W_T = 0.4 \). We vary the deep transition zone width \( W_D/W_T \) between 0 and 1 and find that the effect of \( W_D \) on the shallow creep rate is negligible.

We emphasize that the model treats the shallow portion of the fault as a freely slipping crack and thus predicts maximum creep rates. If the shallow fault has variable strength or some small locked patches, the resulting slip rate would be even lower. However, numerous geodetic inversions propose a scenario in which the fault is fully uncoupled (i.e., creeping at the full long-term rate) at the trench (e.g., Chlieh et al., 2008, 2014; McCaffrey, 2014; Nocquet et al., 2017), a scenario we show in Figure S2 (dashed line). The results shown here demonstrate that in such a case, the resultant stressing rate on the shallow part of the fault is negative, representing a release of stored energy and thus inconsistent with long-term interseismic loading of the fault.

### 3. Comparison to Observational Data

We compare our model predictions to geodetic observations from two well-instrumented convergent margins: the Himalayan megathrust in central Nepal and the Nankai subduction zone in Japan. These are two of the best examples of megathrusts where geodetic velocities are available close to the fault tip—surface GPS observations in Nepal and seafloor geodetic observations in Japan.

In Nepal, the interseismic geodetic velocity field has been measured across the entire megathrust, and models fitting the data show that it is fully coupled to the surface (Ader et al., 2012; Grandin et al., 2012; Jackson & Bilham, 1994; Stevens & Avouac, 2015). We select GPS data from a global compilation (Kreemer et al., 2014) within a 200-km-wide profile in central Nepal (Figure S3), project the component of the horizontal velocities normal to the frontal fault, and plot it against a suite of possible 2-D models in Figure 3a. We assume a dip of 10° and a downdip locking transition between 110 and 150 km north of the surface trace of the frontal thrust.
(i.e., the Main Frontal Thrust) (Pandey et al., 1995), similar to values used by other studies in the region (e.g., Ader et al., 2012; Bettinelli et al., 2006; Stevens & Avouac, 2015). Based on thermal models of the megathrust, the fault should reach a temperature of 80°C at 4–5 km depth or 22–28 km from the frontal fault (which we consider analogous to the trench in a subduction zone; Ader et al., 2012; Herman et al., 2010). We use these values to estimate the potentially creeping portion of the Main Himalayan Thrust (MHT) and obtain $W_f/W_T = 0.2$. If we consider the updip limit of the Gorkha rupture as the maximum extent of the frictionally locked portion of the fault, then $W_f/W_T = 0.4$, although we note that almost no afterslip has been observed updip of the Gorkha earthquake in 2015, suggesting that this part of the fault is velocity weakening (e.g., Mencin et al., 2016; Zhao et al., 2017). Our model result shows a maximum of 2 mm/year of creep on the tip of the fault (Figure 3a), similar to the scatter in the geodetic measurements. Thus, even for a subaerial wedge, the geodetically derived interseismic velocity field cannot be used to reliably infer the frictional properties of its shallow portion.

Fault properties in subduction zones may be different from those in continental collision zones, particularly due to the availability of fluids, which may alter both the mineralogy of the downgoing sediments and the seismogenic properties of the megathrust (e.g., Saffer, 2017). Sea floor geodetic observations at subduction zones are limited due to cost and logistics, and the errors in such measurements are typically an order of magnitude larger than on land, although the rates of convergence are also typically higher (DeMets et al., 2010).

We consider the case of the Nankai subduction zone offshore Japan, using both land-based and seafloor geodetic data reported by Yokota et al. (2016). We select data within a 100-km-wide profile centered on the western half of the island of Shikoku (Figures 3b and S4). We project the trench-normal component of the horizontal velocities along an azimuth of 330°, consistent with the mean local slip directions of

---

**Figure 3.** Comparison of horizontal geodetic velocities to model results showing $W_f/W_T = 0, 0.18,$ and 0.36. (a) Data from Nepal (Kreemer et al., 2014) are horizontal velocities perpendicular to smoothed strike of the Main Himalayan Thrust (MHT) (015°); (b) data from Nankai (Yokota et al., 2016) are horizontal velocities perpendicular to the trench (330°). Gray vertical lines show location of downdip edge of locking in each model. The reference frame is India fixed in (a) and Eurasia fixed in (b). Data used to construct these profiles are shown in map view in Figures S3 and S4.
earthquakes (though there are few earthquakes and the scatter is large), and use a megathrust dip of 8°, based on the Slab1.0 model (Hayes et al., 2012). We conducted a simple grid search and find that the model best fits the data with a wide downdip transition zone between 190 and 290 km from the trench, and a convergence rate of 55 mm/year (Figure 3b). In the Nankai Trough, the updip limit of the locked megathrust has been proposed to be located 40 km from the trench ($W_u/W_T = 0.21$) based on estimates of low-grade metamorphic reaction conditions (Moore & Saffer, 2001). As with Nepal, we use three models to illustrate a range of scenarios: $W_u/W_T = 0$ (fully locked), $W_u/W_T = 0.2$, and $W_u/W_T = 0.4$. Our models show a pattern similar to Nepal, with creep rates of up to a maximum of 10 mm/year at the fault tip—again, close to the measurement uncertainty of seafloor geodesy and highlighting the difficulty of using geodetic inversions for interseismic coupling to infer the frictional properties of the shallow megathrust.

4. Discussion

Our results show that if the downdip part of a megathrust is locked continuously along strike, the resulting stress shadow will prevent significant shallow creep updip, regardless of the mechanical properties of the shallow fault. Therefore, purely kinematic descriptions of slip rate deficit on a megathrust are not sufficient to discriminate the fault’s frictional properties.

Our two-dimensional model is representative of convergent margins with continuous along-strike locking of the deep megathrust over a distance greater than their width. We do not consider along-strike variations in frictional locking in detail, which can result in higher creep rates of the shallow megathrust near the edges of locked patches (e.g., Hetland & Simons, 2010). This effect is difficult to quantify concisely, but we illustrate it with one realization of a three-dimensional model in Figure S4, which shows that even for an isolated locked patch, the kinematic coupling ratio updip of the locked area remains above 0.5, with most of the area above 0.75 if the patch is wider than its depth.

4.1. Frictional Properties of the Shallow Megathrust

The seismogenic properties of the downdip megathrust have been studied extensively (e.g., Fitch & Scholz, 1971; Hyndman, 2013; Hyndman et al., 1997; Hyndman & Wang, 1993; Savage, 1983; Tichelaar & Ruff, 1993), but there still is significant uncertainty about the frictional properties of the shallow megathrust (e.g., Lay & Schwarz, 2004; Schmalzle et al., 2014; Wang & Dixon, 2004). Following the 2011 Tohoku-Oki earthquake, which exhibited large amounts of slip at the trench (e.g., Kido et al., 2011; Sun et al., 2017), there has been renewed interest in defining the seismogenic potential of the shallowest parts of megathrusts.

One long-standing model for megathrust behavior is that the fault interface is seismogenic between ~10 to ~30 km depth, with downdip and updip limits of frictional locking bounding the seismogenic zone (Hyndman et al., 1997). Various mechanisms have been proposed to control the location of the updip limit: the onset of velocity strengthening (or stable) frictional behavior in quartzo-feldespathic rocks at temperatures below 80°C (Blanpied et al., 1995); the pressure-dependent frictional transition between velocity strengthening unconsolidated fault gouge and deeper, mature fault zones (Byrne et al., 1988; Marone & Scholz, 1988); the phase transition in clays between illite and smectite in fault gouge (Hyndman et al., 1997; Vrolijk, 1990); and the onset of a series of phase transitions and diageneric processes that change fluid availability and pressure (Moore & Saffer, 2001; Moreno et al., 2014).

The lack of shallow earthquakes in this region has also commonly been used to infer a change in fault properties at shallow depths (e.g., Marone & Scholz, 1988; Schwarz & DeShon, 2007), but our results suggest instead that this may simply reflect the absence of significant loading stresses. This highlights the key problem encountered when implying direct links between kinematic and mechanical properties of a fault: even though a fault may be frictionally unlocked, if there is no driving force, it will not move and therefore be coupled. Furthermore, observations of shallow creep following earthquakes on terrestrial thrust faults are rare (e.g., Copley & Reynolds, 2014).

The shallowest part of the megathrust is often interpreted as a series of asperities embedded in a creeping or conditionally stable medium, located updip of a mostly locked fault area (e.g., Lay et al., 2012; Lay & Kanamori, 1981). Geodetic studies of subduction zones seem to reinforce this model by estimating patches of high coupling, or high slip rate deficit, surrounded by regions of interseismic creep, despite having limited or no resolution near the trench. These highly coupled “asperities” tend to coincide with regions where there is higher
model resolution (e.g., Konca et al., 2008; Xue et al., 2015), with creeping areas corresponding to regions with little or no model resolution. In fact, these shallow variations are commonly an artifact of the modeling procedure, which either assumes zero coupling at the trench (e.g., Loveless & Meade, 2010; Xue et al., 2015) or includes a minimization of the moment deficit rate, which causes areas with low model resolution to default to fully creeping (e.g., Chlieh et al., 2008, 2014; Konca et al., 2008; Perfettini et al., 2010). Some models may be further biased by problems such as poorly known incoming plate motions and the partitioning of convergence onto faults located within the upper plate (Bradley et al., 2017; Chlieh et al., 2008, McCaffrey, 1991). Where existing geodetic networks have been enhanced by the addition of offshore sites, they have largely failed to show evidence for low coupling near the trench (e.g., Gagnon et al., 2005; Yokota et al., 2016).

4.2. Slip Budget Throughout the Seismic Cycle
Regardless of its frictional properties, our results indicate that the shallow megathrust above a locked zone most likely does not undergo significant interseismic creep. This means that the accumulated slip deficit must be released either coseismically or postseismically. Which of these two is dominant depends on the frictional properties of the fault: velocity weakening behavior would induce larger coseismic slip, while velocity strengthening behavior would result in more postseismic deformation. In the case of coseismic release, the resultant earthquake would be larger than expected, if the shallow megathrust is assumed to be creeping, and will represent an increased hazard.

The accumulated strain over several earthquake cycles, however, would be largely indistinguishable between these cases, making it difficult to infer mechanical properties of the megathrust from observed thrust structures in the accretionary wedge. Thus, in the absence of locally instrumented earthquakes, neither geologic nor interseismic geodetic data are well suited to predict the coseismic behavior of the shallow megathrust (Bilek & Lay, 2002), with the possible exception of extensional structures in the shallow wedge, which may indicate shallow coseismic rupture (e.g., Geersen et al., 2018).

One possible indicator of the frictional properties of the megathrust may be the observed spatial variation in the frequency content of seismic ruptures. The shallow parts of megathrust ruptures are commonly depleted in high-frequency radiation (Denolle et al., 2015; Huang et al., 2012; Lay et al., 2012; Yao et al., 2013; Yue et al., 2016), which has been interpreted to be a consequence of rupture dynamics. Future work in this area, particularly with realistic dynamic rupture simulations, may help elucidate the origin of this phenomenon.

4.3. Implications for Seafloor Geodesy
Our models suggest that interseismic creep rates on most shallow megathrusts are too low to be detected by current seafloor instruments. However, these instruments can still improve our understanding of shallow megathrusts if they are placed in areas where the signal is more likely to be large. We suggest three cases. First, if the downdip area is not locked, the strain gradient in the shallow megathrust will be high. For example, limited land-based data from the island of Java suggest that the Sunda megathrust there may be mostly uncoupled (Abercrombie et al., 2001; Grevemeyer & Tiwari, 2006; Scholz & Campos, 1995), but tsunami earthquakes in 1994 and 2006 (Abercrombie et al., 2001; Ammon et al., 2006) suggest that the updip portion may be velocity weakening. Second, if the updip part of the megathrust is not coupled, there should be an abrupt step in horizontal velocities at the trench. Placing one station on the downgoing plate and another on the hanging wall close to the trench may allow detection of this step while also providing critical information about the downgoing plate velocity, which is often lacking. However, the placement of the instruments is critical to avoid local effects due to thrust ramps that may impede free slip, and which are almost always present at the front of accreting wedges (e.g., Becl et al., 2017; Gulick et al., 2004; Moore et al., 1990). Transverse faults that cross the wedge could also significantly impact site velocities. Finally, seafloor geodetic data obtained during the coseismic period could constrain the dynamic aspect of the shallow fault system and help separate its coseismic and postseismic behavior.

5. Conclusions
We have quantified the creep rate of a shallow unlocked megathrust located in the stress shadow of a deeper locked portion of the fault. The creep rate near the trench is in all cases low, and relatively insensitive to the assumed width of shallow frictional unlocking. Our results, which are based on the stress state of a convergent margin, stand in contrast with the majority of purely kinematic models that do not take into account...
stresses and predict creep up to the plate rate at the fault tip. We show that models assuming full shallow creep require a nonphysical tensile driving force in the accretionary wedge. Even in cases where geodetic data are available close to the trench, limited information can be inferred about the frictional properties of the fault, as a fault patch located within a stress shadow lacks the driving force needed to slip and thereby reveal its properties. Areas with spatially variable or absent deep locked patches may be sites of increased shallow creep and are key targets for future seafloor geodetic observations.

Acknowledgments
This research is supported by the National Research Foundation of Singapore and the Singapore Ministry of Education under the Research Centres of Excellence initiative and its Singapore NRF Fellowship scheme (National Research Fellow award NRF-NRF2013-06). This work comprises Earth Observatory of Singapore contribution 192. We acknowledge Jack Loveless and an anonymous reviewer for helpful reviews that improved the quality and clarity of this manuscript. All data are available from sources cited in the reference section.

References