

1 Fault reactivation and strain partitioning across the brittle-
2 ductile transition

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5 **ABSTRACT**

6 The so-called “brittle-ductile transition” is thought to be the strongest part of the
7 lithosphere, and defines the lower limit of the seismogenic zone. It is characterized not
8 only by a transition from localized to distributed (ductile) deformation, but also by a
9 gradual change in microscale deformation mechanism, from microcracking to crystal
10 plasticity. These two transitions can occur separately under different conditions. The
11 threshold conditions bounding the transitions are expected to control how deformation is
12 partitioned between localized fault slip and bulk ductile deformation. Here, we report
13 results from triaxial deformation experiments on pre-faulted cores of Carrara marble over
14 a range of confining pressures, and determine the relative partitioning of the total
15 deformation between bulk strain and on-fault slip. We find that the transition initiates
16 when fault strength (σ_f) exceeds the yield stress (σ_y) of the bulk rock, and terminates
17 when it exceeds its ductile flow stress (σ_{flow}). In this domain, yield in the **bulk** [\[\[bulk](#)
18 **rock?]] occurs first, and fault slip is reactivated as a result of bulk strain hardening. The
19 contribution of fault slip to the total deformation is proportional to the ratio (σ_f
20 $- \sigma_y$)/($\sigma_{flow} - \sigma_y$). We propose an updated crustal strength profile extending the localized-
21 ductile transition toward shallower regions where the strength of the crust would be**

22 limited by fault friction, but significant proportions of tectonic deformation could be
23 accommodated simultaneously by distributed ductile flow.

24 INTRODUCTION AND METHODOLOGY

25 Under the low pressure and temperature conditions of the upper crust, rocks
26 generally deform by grain-scale microcracking, and crustal-scale deformation is
27 accommodated by slip on discrete fault planes. In this regime, the overall strength of the
28 crust is limited by fault friction (Scholz, 2002; Paterson and Wong, 2005). Deeper in the
29 crust, at higher pressure and temperature, rock deformation becomes more diffuse, and
30 may be driven by crystal plastic phenomena such as dislocation creep. Here, the overall
31 strength of rocks can generally be described by a steady-state flow law sensitive
32 primarily to temperature and strain rate (e.g., Goetze and Brace, 1972; Evans and
33 Kohlstedt, 1995). The transition between these two rheological domains, the so-called
34 “brittle-ductile transition”, occurs over a pressure and temperature range where rocks
35 deform by an interplay of cracking and crystal plasticity. The brittle-ductile transition
36 commonly loosely refers to the progressive change in crustal rheology with increasing
37 depth; here we will use the term “ductile” in the sense described by Rutter (1986),
38 whereby it refers to macroscale distributed flow, regardless of the nature of the
39 deformation mechanism, and will use “brittle” to describe fracturing processes at all
40 scales.

41 In nature, the brittle-ductile transition zone has been identified in exhumed shear
42 zones showing markers of crystal plasticity (e.g., mylonites) overprinted by slip planes
43 and pseudotachylites that are inherent to the brittle regime (e.g., Sibson, 1980; Passchier,
44 1982; Hobbs et al., 1986). Such field evidence suggests that the transition in deformation

45 mechanism is associated with a change in the degree of strain localization, from narrow
46 frictional slip zones to wider plastic shear zones.

47 Laboratory experiments have shown that the transition from localized fracture to
48 ductile flow generally occurs when the frictional strength of the fault, σ_f , equals **[[or**
49 **exceeds?]]** the bulk flow stress of the rock, σ_{flow} (Byerlee, 1968; Kohlstedt et al., 1995).
50 However, distributed deformation at the macroscopic scale may still be dominated by
51 brittle microscale processes, and only further increases in pressure and temperature lead
52 to fully crystal-plastic flow. This shows that the macroscale transition in strain
53 localization (localized-ductile transition) is not necessarily the same as the microscale
54 transition in deformation mechanism (brittle-plastic transition) and that the two
55 transitions can occur under different pressure and temperature conditions. The resulting
56 complex interplay between brittle and plastic mechanisms makes the flow stress σ_{flow}
57 sensitive to a large number of parameters in the ductile regime (see **Evans et al.,**
58 **1995****[[Evans et al., 1995 is not in the reference list]]**, and references therein), notably
59 the imposed strain rate and the accumulated strain.

60 Furthermore, the criterion $\sigma_{flow} > \sigma_f$ for the onset of ductile deformation was
61 originally established from studies on initially intact materials undergoing a simple
62 monotonic loading history, and describes deformation regimes in a binary manner
63 (localized or distributed) without emphasizing the potential for coexistence of both fault
64 slip and bulk ductile flow. The applicability of this criterion to the crust might therefore
65 be limited, because crustal-scale deformation is controlled by preexisting structures
66 (faults and shear zones; see, e.g., Goetze and Evans, 1979; Brace and Kohlstedt, 1980).
67 Thus, it remains unclear if and how faults are reactivated across the brittle-ductile

68 transition. Previous experimental studies have commonly used sample geometries that
69 enforce sliding on narrow shear zones between essentially rigid blocks under increasing
70 pressure and temperature conditions (e.g., Shimamoto, 1986; Pec et al., 2016), which do
71 not allow for quantification of partitioning between fault slip and bulk strain.

72 Here, we conducted rock deformation experiments on pre-faulted samples of
73 Carrara marble and monitored strain partitioning and fault reactivation across the
74 localized-ductile transition. Our experiments were performed at room temperature and
75 confining pressures (P_c) from 5 to 80 MPa. We determined partitioning of the total
76 shortening between fault slip and off-fault matrix strain by subtracting the matrix strain
77 (measured with strain gauges) from the total shortening (measured with external
78 displacement transducers).

79 Experiments were conducted in two stages. During the first stage, samples were
80 pre-faulted by loading at $P_c = 5$ MPa until localized brittle failure occurred. Following
81 failure, an additional increment of shortening $\Delta L/L$ (L —length) of either 0.1% or 1% was
82 allowed to accumulate before proceeding to the second stage, in order to test any effect of
83 accumulated fault slip on the transition. In the second stage, P_c was increased stepwise
84 from 5 to 80 MPa in 5 or 10 MPa increments. At each pressure step, the samples were
85 reloaded at an axial shortening rate of $\dot{\epsilon} = 10^{-5}$ s^{-1} **[[Should the units for shortening rate**
86 **include a length unit (all instances)? If not, briefly explain how this is normalized]]**
87 **unshortil** 0.1% of irrecoverable axial shortening was accumulated, and then unloaded
88 before proceeding to the next pressure step (see Section DR1 and Fig. DR2 in the GSA
89 Data Repository¹ for an extended methodology, and Table DR3 for a summary of
90 experimental conditions).

91 **RESULTS**

92 During the first stage (Fig. 1), the sample behaves in a manner typical of the
93 brittle regime, and the stress drop (accompanied by partial relaxation of the off-fault
94 elastic strain) marks the formation of the macroscopic shear fault. During the second
95 stage, at each confining pressure step, the stress-shortening relationship is initially linear,
96 but deviates from linearity at some threshold stress σ_y , and then tends to plateau (Fig.
97 1A). This “plateau” stress increases significantly with increasing P_c . At low P_c (10 and 20
98 MPa), the matrix strain (ϵ_{matrix}) initially increases at the same rate as the total shortening
99 ($\Delta L/L$), then deviates toward a constant value. The deviation point occurs at a stress
100 denoted σ_f , and marks the onset of fault slip (triangles in Fig. 1B). At intermediate P_c
101 (30–60 MPa), the same deviation is observed to occur, but ϵ_{matrix} continues to increase
102 beyond this point, albeit at a lower rate, indicating contributions from both matrix strain
103 and fault slip to the total shortening. This observation appears to be independent of
104 shortening, as demonstrated in an additional experiment where a single, second-stage
105 deformation cycle was performed at $P_c = 35$ MPa, which shows no further deviation in
106 matrix strain for a total shortening of up to a further 2% (Fig. DR4). Finally, at the
107 highest P_c (70 MPa and above), ϵ_{matrix} remains equal to $\Delta L/L$ throughout the deformation
108 cycle, which implies that the fault is fully locked.

109 To assess the extent of microcracking in the matrix, we measured the horizontal
110 P-wave speed across the fault during each deformation cycle (Fig. DR5). The wave speed
111 at the start of each cycle increased with confining pressure. During deformation, the wave
112 speed changed very little for cycles at $P_c < 30$ MPa, but decreased progressively for all

113 cycles at higher pressures. The magnitude of the decrease in P-wave speed increased with
114 increasing P_c from 30 to 60 MPa but then decreased at higher confinement.

115 At $P_c = 10$ and 20 MPa, the yield stress and the fault strength are equal, and the
116 calculated slip contributes close to 100% of the total shortening (Figs. 2A and 2D).
117 Between $P_c = 30$ MPa and $P_c = 60$ MPa, σ_f increases linearly with P_c , whereas σ_y
118 remains approximately constant at ~ 115 MPa. Over this pressure range, the slip
119 contribution progressively decreases from $\sim 80\%$ at $P_c = 30$ MPa down to $\sim 15\%$ at $P_c =$
120 60 MPa. At $P_c = 70$ MPa and above, the fault is fully locked, σ_f becomes inaccessible,
121 and the slip contribution drops to zero. During the experiment where more slip is
122 accumulated on the fault (1% rather than 0.1%) prior to stage 2 (Figs. 2B and 2E), σ_f and
123 σ_y behave in a comparable manner to that described above, but σ_f increases with
124 increasing P_c at a slightly higher rate. As a result, the deviation between the two initiates
125 at $P_c = 20$ MPa and the fault becomes fully locked around $P_c = 55$ MPa. Similarly, the
126 slip contribution decreases from $>60\%$ at $P_c = 20$ MPa to 20% at $P_c = 45$ MPa. During
127 the experiment at the higher shortening rate of 10^{-4} s^{-1} (Figs. 2C and 2F), the trend
128 remains the same, but the P_c domain over which $\sigma_f = \sigma_y$ extends up to 35 MPa. From P_c
129 = 40 MPa to $P_c = 60$ MPa, σ_f continues to increase linearly with increasing P_c , and σ_y
130 remains approximately constant at 135 MPa. The slip contribution decreases from $\sim 80\%$
131 at $P_c = 40$ MPa to 0% at $P_c = 60$ MPa. At the lower shortening rate of 10^{-6} s^{-1} , the stress
132 at the onset of fault slip σ_f does not differ significantly from that at higher shortening
133 rates. By contrast with the test performed at 10^{-4} s^{-1} , where the decrease in slip
134 contribution initiates at $P_c \approx 40$ MPa, at the lower rate of 10^{-6} s^{-1} , that decrease initiates
135 at $P_c \approx 15$ MPa.

136 **DISCUSSION AND CONCLUSION**

137 Our results show that with increasing confining pressure, faulted Carrara marble
138 samples gradually shift from purely localized behavior where most of the deformation is
139 accommodated by slip on the fault, to ductile behavior where strain is homogeneously
140 distributed throughout the sample and the fault is locked. The transition commences at
141 the confining pressure where fault strength becomes larger than matrix yield stress ($\sigma_f >$
142 σ_y), and terminates when fault strength becomes equal to matrix flow stress ($\sigma_f = \sigma_{\text{flow}}$)
143 (Figs. 1A, 1B, and **1C**[[Fig. 1 does not have a panel C – should this be Fig. 2?]]). Thus,
144 a transitional behavior where both fault slip and matrix deformation coexist occurs over a
145 range of conditions delimited by $\sigma_y < \sigma_f < \sigma_{\text{flow}}$.

146 When $\sigma_f = \sigma_y$, no matrix strain is recorded (confirmed by the absence of
147 significant variations in P-wave speed), and the yield stress of the rock is controlled by
148 fault friction alone. This can be explained by the fact that, at low P_c , the fault frictional
149 strength is likely lower than the yield stress of the off-fault matrix material (Fredrich et
150 al., 1989). However, when $\sigma_f > \sigma_y$, the rock initially yields in the matrix and deformation
151 is entirely ductile. The associated decrease in P-wave speed indicates that this ductility is
152 driven mostly by diffuse microcracking. However, upon further loading, strain hardening
153 eventually leads to reactivation of the fault when the applied stress reaches σ_f (confirmed
154 by the existence of a single fault plane in post-mortem samples; Figs. DR6 and DR7).
155 After reactivation, both ductile matrix strain and fault slip operate simultaneously, and
156 partitioning of the total shortening between them is proportional to the ratio $(\sigma_f -$
157 $\sigma_y)/(\sigma_{\text{flow}} - \sigma_y)$, regardless of shortening rate and initial fault slip (Fig. 3). When $\sigma_f \geq$
158 σ_{flow} , the fault is locked and the deformation is fully ductile. The decrease in magnitude

159 of the drop in P-wave speed under these conditions suggests that the contribution of
160 microcracking to the overall deformation decreases with respect to that of crystal
161 plasticity (Fredrich et al., 1989).

162 Our observations highlight the key role of the yield stress in the partitioning
163 between localized fault slip and bulk deformation of the matrix. In Carrara marble, the
164 control on yield stress switches from microcracking to crystal plasticity at low P_c (~50
165 MPa; Fredrich et al., 1989; Fig. 4). This is corroborated by the pressure-insensitive
166 behavior exhibited by our yield stress data at $P_c > 40$ MPa (Figs. 2A–2C). Remarkably,
167 the impact of **rate** **[[Rate of what?]]** on the partitioning of deformation is well captured,
168 to first order, by the rate dependency of yield stress only (Fig. 3).

169 Our results are compatible with **those of** previous studies on silicate rocks using
170 initially intact samples, where a similar progression from initial ductile yielding to strain
171 localization and faulting with increasing deformation has been reported for conditions
172 approaching the brittle-ductile transition (Hirth and Tullis, 1994). Additionally, the
173 coexistence of ductile flow and localized shear zones has been observed in granite and
174 feldspar aggregates (Tullis and Yund, 1977, 1992).

175 The existence of a zone of transitional behavior delimited by the yield stress can
176 be integrated into a crustal-strength profile model (e.g., Kirby, 1980; Brace and
177 Kohlstedt, 1980; Sibson, 1983; Fig. 4). Because yield stress is systematically lower than
178 the flow stress, it appears that the transitional regime where ductile and localized strain
179 coexist extends toward shallower depths compared to previous models of the brittle-
180 ductile transition, into a depth range usually considered to be fully localized. In this zone,
181 crustal strength is still controlled by fault friction, but with increasing depth, a growing

182 proportion of the strain can be accommodated off-fault as the yield stress diverges from
183 the frictional strength. This would suggest an overall widening of the shear zone, which is
184 consistent with geological (e.g., Sibson, 1977; Scholz, 1988; Shimamoto, 1989; Cooper
185 et al., 2010, 2017) and geophysical (e.g., Cowie et al., 2013) observations. Furthermore,
186 high strain rates during seismic and post-seismic slip would increase both yield and flow
187 stresses, therefore shifting the transition zone to greater depth. This is consistent with the
188 existence of a zone of alternating behavior as discussed by Scholz (1988) and the
189 formation of complex overprinted brittle and ductile structures observed in nature (e.g.,
190 Sibson, 1980; Melosh et al., 2014). Conversely, lower strain rates during the interseismic
191 period (10^{-12} s^{-1} to 10^{-15} s^{-1}) would reduce yield and flow stresses, which would in turn
192 promote ductile deformation by shifting the transition zone to shallower depths. In this
193 region of the crust, fault reactivation is dependent on the ability of the crust to harden
194 with increasing strain. If recovery mechanisms are active, it is possible that large amounts
195 of tectonic strain can be accommodated off-fault during transient deformation episodes,
196 and if recovery is predominant, fault reactivation never occurs. Therefore, the gray area
197 in Figure 4 represents all possible stress states in the crust. This rheology could explain
198 the abnormally low stresses recorded around major faults (e.g., Behr and Platt, 2014), but
199 the mechanisms responsible for low-temperature strain hardening and recovery are, to
200 date, mostly unknown.

201 Unfortunately, there is a paucity of systematic data on low-temperature yield
202 stress in crustal rocks. However, laboratory studies on wet quartz single crystals (e.g.,
203 Balderman, 1974; Doukhan and Trépiéd, 1985) suggest low-temperature yield stresses on

204 the order of 50–100 MPa, which would imply a transition zone depth of only a few
205 kilometers in continental crust.

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298 FIGURE CAPTIONS

299 Figure 1. Mechanical data for full fault reactivation experiment (1% accumulated slip,
300 **axial shortening rate** $\dot{\epsilon} = 10^{-5} \text{ s}^{-1}$). A: Differential stress against total axial shortening. B:
301 Matrix strain against total axial shortening. Unloading phases of each cycle have been
302 removed to aid clarity. Squares represent point at which sample yields, and triangles
303 represent **point** at which the fault in the sample is reactivated (i.e., begins to slip).
304 Numbers above curves represent confining pressure (P_c , in MPa). Inset in B shows the
305 two different recorded deformations. **[[Clarify what is shown in the panel B inset – is
306 this a diagram of the experiment setup? Cross-sectional or plan view? What is the
307 diagonal line? Also explain the triangular diagram at the lower-right corner of
308 panel B]]**
309 **[[In the figure, in axis descriptions, enclose units in parentheses rather than square
310 brackets; italicize “P” in “ P_c ”]]**

311

312 Figure 2. A–C: Flow stress (σ_{flow}), maximum stress (σ_{max}), fault strength (σ_f), and yield
313 stress (σ_y) **for experiments at varying confining pressure**. D–F: Slip contribution to the
314 total shortening during each deformation cycle **for experiments at varying confining
315 pressure**. Data represent three different scenarios: panels A and D, 0.1% imposed
316 accumulated fault slip and **axial shortening rate** $\dot{\epsilon} = 10^{-5} \text{ s}^{-1}$; panels B and E, 1% imposed

317 accumulated fault slip and $\dot{\epsilon} = 10^{-5} \text{ s}^{-1}$; and panels C and F, 0.1% imposed accumulated
318 fault slip and $\dot{\epsilon} = 10^{-4} \text{ s}^{-1}$ (open symbols) and 10^{-6} s^{-1} (solid symbols).

319 **[[In the figure, in axis descriptions, enclose units in parentheses rather than square
320 brackets]]**

321

322 Figure 3. Slip contribution to total shortening as function of the ratio $(\sigma_f - \sigma_y)/(\sigma_{\text{flow}} -$
323 $\sigma_y)$. Each set of symbols represents different experimental conditions: circles, 0.1%
324 accumulated slip **and axial shortening rate** $\dot{\epsilon} = 10^{-5} \text{ s}^{-1}$; triangles, 1% accumulated slip
325 and $\dot{\epsilon} = 10^{-5} \text{ s}^{-1}$; and stars, 0.1% accumulated slip and $\dot{\epsilon} = 10^{-4} \text{ s}^{-1}$.

326 **[[In the figure, in axis descriptions, enclose units in parentheses rather than square
327 brackets; remove italics from all instances of “ σ ”]]**

328

329 Figure 4. Conceptual model of crustal strength. Bold line represents strength profile, and
330 gray area, possible stress states in crust. **[[Explain what the last column describes, and
331 what the downward-pointing arrows indicate in the rightmost two columns]]** **Loc.—**
332 **localized deformation; Distrib.—distributed (ductile) deformation; Crys.—crystal.**

333 **[[In the figure, delete the spaces surrounding the hyphens in “Semibrittle-plastic”
334 and “Localized-ductile”]]**

335

336 ¹GSA Data Repository item 2019xxx, extended methodology (Section DR1), sample
337 pictures (Fig. DR2), summary of the experimental conditions (Table DR3), mechanical
338 data for single-cycle experiment (Fig. DR4), P-wave speed data (Fig. DR5), post-mortem
339 sample picture (Fig. DR6), and slip proportion measurements (Fig. DR7), is available

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340 online at <http://www.geosociety.org/datarepository/2019/>, or on request from

341 editing@geosociety.org.







