

1 **Prediction of Off-Fault Deformation from Experimental Strike-slip Fault**
2 **Structures using the Convolutional Neural Networks**

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4 **L. Chaipornkaew¹, H. Elston², M. Cooke², T. Mukerji¹, S.A. Graham¹**

5 ¹Stanford University

6 ²University of Massachusetts Amherst

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8 Corresponding author: Laainam Chaipornkaew (bestc@stanford.edu)

9 **Key Points:**

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- Evolving experimental strike-slip fault maps are suitable for machine learning. The labels are calculated via image processing.
 - Proposed convolutional neural networks (CNNs) can predict off-fault deformation directly from experimental fault trace maps.
 - Trained CNN performs with 91% accuracy on unseen experimental faults and show promise in predicting kinematic efficiency of crustal faults.

16 Abstract

17 Crustal deformation occurs both as localized slip along faults and distributed deformation
18 off faults; however, we have few robust estimates of off-fault deformation. Scaled physical
19 experiments simulate crustal strike-slip faulting and allow direct measurement of fault slip to
20 regional deformation, quantified as Kinematic Efficiency (KE). We offer an approach for KE
21 prediction using a 2D Convolutional Neural Network (CNN) trained directly on images of fault
22 maps produced by physical experiments. A suite of experiments with different loading rate and
23 basal boundary conditions, contribute over 13,000 fault maps throughout strike-slip fault
24 evolution. Strain maps allow us to directly calculate KE and its uncertainty, utilized in the loss
25 function and performance metric. The trained CNN achieves 91% accuracy in KE prediction of an
26 unseen dataset. The application of the CNN trained on scaled experiments to crustal fault maps
27 provides estimates of off-fault deformation that overlap available geologic estimates.
28

29 Plain Language Summary

30 Where the earth deforms at the boundaries between tectonic plates, some of the
31 deformation is taken up as localized slip along fault surfaces and some of the deformation is
32 distributed around the fault. This distributed deformation is very hard to measure in the Earth's
33 crust. To get around this challenge, we create faults in the laboratory and use the direct
34 measurements of the distributed deformation off of faults to train a machine learning model. The
35 trained model performs well at predicting distributed off-fault deformation from the fault
36 geometry.

37 1 Introduction

38 Despite abundant documentation of distributed deformation, such as folding and fracturing,
39 within bedrock and soil away from primary fault surfaces, we have few estimates of the portion of
40 regional deformation that is permanently accommodated off of faults. Within regions of strike-slip
41 faulting, geologic investigations of structures that record cumulative deformation suggest that ~10-
42 30% of the regional strike-slip strain may occur off of individual strike-slip faults (e.g., (Goren et
43 al., 2015; Gray et al., 2018; Shelef & Oskin, 2010; Titus et al., 2011). Comparisons of coseismic
44 surface slip to geodetic estimates show greater strike slip rate discrepancy for immature faults with
45 < 25 km cumulative slip than more mature faults (Dolan & Haravitch, 2014). Attributing the
46 discrepancy in fault slip rate to off-fault deformation, Dolan & Haravitch (2014) find that immature
47 faults have 40-50% off-fault deformation while mature faults (total slip > 25 km) have 10-15%
48 off-fault deformation. Fault geometry, which is an outcome of fault maturity, exerts primary
49 control on the portion of regional deformation partitioned as fault slip (C. Milliner et al., 2016).
50 Strike-slip faults with smoother traces can more efficiently accommodate slip with lesser off-fault
51 deformation than faults with rough/complex traces in the slip direction (e.g., Chester & Chester,
52 2000; Fang & Dunham, 2013; Newman & Griffith, 2014; Saucier et al., 1992).

53 The hypothesis that smoother faults produce greater slip is strongly supported by scaled
54 physical experiments of strike-slip fault evolution that directly document that as faults mature and
55 become smoother, the % of fault slip quantified as kinematic efficiency ($KE = 1 - \% \text{ off fault}$
56 deformation) increases. KE describes the ratio of incremental strike-slip accommodated along the
57 fault to the total incremental displacement (Hatem et al., 2017). Arrays of echelon faults that
58 develop early in strike slip fault evolution have KE of 50-60% and this increases to 80-90% along

59 the through-going mature strike-slip fault (Hatem et al., 2017). The direct and complete
60 observations available from experiments can inform our interpretations of crustal faulting in ways
61 that field data, which generally only reveal cumulative deformation and parts of the structure,
62 cannot (e.g., Reber et al., 2020). The power of scaled experiments derives from using carefully
63 selected analog materials that allow fault evolutionary processes that occur over very large space
64 and time scales to be simulated in a few hours within the laboratory.

65 What controls the kinematic efficiency of strike-slip faults? Studies of both the coseismic
66 deformation fields and experiments show correlations of amount of fault slip with both fault zone
67 width (Hatem et al., 2017; C. W. Milliner et al., 2015) as well as strike-slip fault trace
68 roughness/complexity (Hatem et al., 2017; C. Milliner et al., 2016). While fractal dimension can
69 quantify the roughness of continuous fault traces (e.g., Brown, 1987) this metric cannot reliably
70 capture the roughness of segmented faults where connectivity controls fault slip. Because any
71 single metric will overlook aspects that may relate strike-slip fault architecture and KE, we need
72 an alternative approach.

73 In this study, we harness a machine learning algorithm on an experimental time series of
74 fault maps to estimate kinematic efficiency. Experiments that are scaled to simulate crustal strike-
75 slip fault development allow direct detailed observation of the evolution of both active fault
76 network and KE under a range of loading rates and boundary conditions. Machine learning has
77 been used to predict the timing and size of lab quakes produced in rock (e.g., Rouet-Leduc et al.,
78 2017) and scaled analog materials (Corbi et al., 2019). We use Convolutional Neural Networks
79 (CNNs), which have proved successful for a wide range of computer vision tasks (e.g., LeCun et
80 al., 2010) because they can relate relevant parameters in higher dimensions to specific prediction
81 tasks. With experimental strike-slip fault dataset, our CNNs associate the complexity of the active
82 fault network with the degree of off-fault deformation.

83 **2 Data and Methodology**

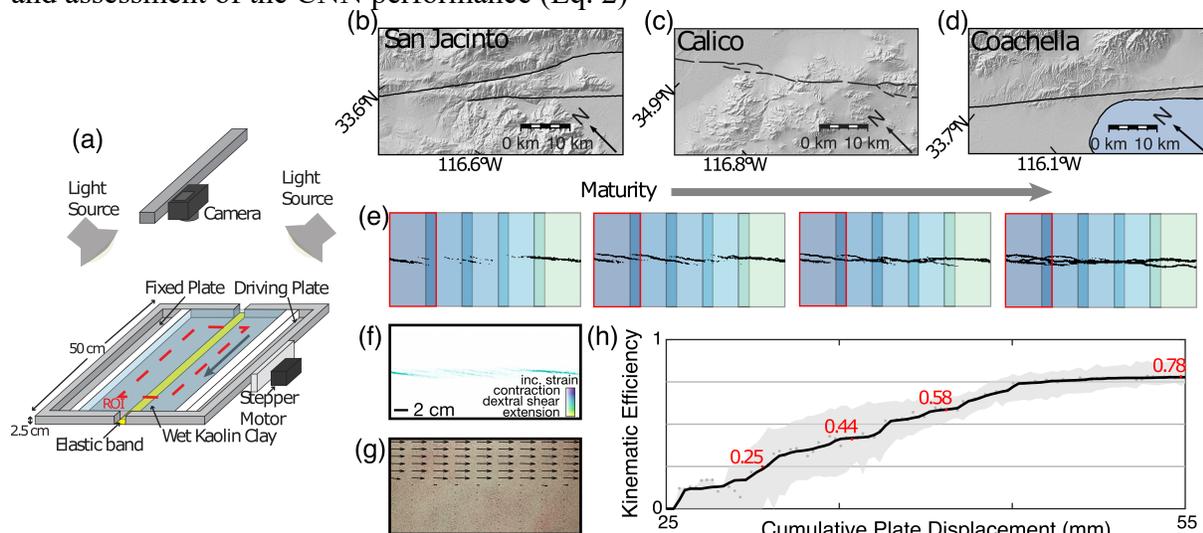
84 **2.1 Experimental fault data**

85 We record the changing complexity of strike-slip faults during their evolution within
86 experiments under various boundary conditions that represent different crustal loading. The table-
87 top deformation apparatus consists of a split box filled with wet kaolin clay (Figure 1a). The
88 benefits of wet kaolin over other crustal analog materials are that 1) wet kaolin creates very clear
89 faults that can be tracked (e.g., Eisenstadt & Sims, 2005; Henza et al., 2010; Oertel, 1965;
90 Tchalenko, 1970), 2) the low but non-zero cohesion of wet kaolin ensures that faults are long-
91 lived; (compared to dry granular materials (Cooke et al., 2013; Eisenstadt & Sims, 2005; Withjack
92 et al., 2007) and 3) the viscoelastic behavior of wet kaolin can simulate off fault relaxation of
93 stresses with the crust (Cooke & van der Elst, 2012). Many studies have used kaolin to simulate
94 evolution of strike-slip fault systems (Cooke et al., 2013; Hatem et al., 2015, 2017; Tchalenko,
95 1970).

96 The scaling of the wet kaolin and details of the experimental set up and analysis are
97 described in the supplement to this paper. We simulated two basal shear conditions: distributed
98 shear via a 2.5 cm wide elastic band secured to the basal plates or localized shear by juxtaposing
99 the two basal plates. Computer-controlled stepper motors displaced one half of the box at a
100 prescribed rate (0.25, 0.5, 1.0, or 1.5 mm/min) parallel to the basal plate discontinuity to initiate

101 dextral strike-slip faulting within the overlying wet kaolin. We conducted experiments at least
 102 twice for each condition for a total of 16 experiments.

103 The experimental active fault maps capture the evolution of strike-slip faults from echelon
 104 crack initiation to through-going slip surface. Because digital image correlation techniques provide
 105 us with precise knowledge of the incremental horizontal displacement fields, we can directly
 106 calculate localized slip along the faults and kinematic efficiency (KE labels) across any portion of
 107 the fault. Additionally, we record the associated standard deviation (SD) of KE across the region
 108 input to the CNN. Both the KE labels and SDs are utilized in the optimization of the CNN (Eq. 1)
 109 and assessment of the CNN performance (Eq. 2)



110 **Figure 1:** (a) Schematic of the distributed basal shear experiment loaded in strike-slip. (b)
 111 incremental displacement vectors at a snapshot of the fault evolution. (c) The shear strain map
 112 derived from (b). (d) Example experiment fault maps (1.5 mm/min distributed basal shear). Color
 113 shading delineates individual windows and their overlap. (e) KE for the experiment increases with
 114 strike-slip fault maturity. The grey band indicates the range of KE within individual windows along
 115 the experimental fault. The red numbers report KE for specific example windows outlined in red
 116 in (d). (f – h) Strike slip fault traces from Southern California show how complexity changes with
 117 increasing fault maturity along the (f) San Jacinto fault (map center at 33.45°N 116.45°W), (g)
 118 Calico fault (map center at 34.65°N 166.6°W), and (h) Coachella segment of the San Andreas fault
 119 near Mecca Hills (map center at 33.58°N 116.95°W).
 120

121 2.2 Data Processing

122 We subsample each fault map into five 128x64 pixel windows with ~ 20% overlap (Fig.
 123 1e). This window size captures multiple echelon strands during early stages of fault development
 124 while allowing larger numbers of unique datasets that are essential for training and testing of the
 125 model. We divide the complete dataset into three statistically equivalent subsets for training (64%),
 126 evaluation (24%), and test (12%) purposes. Since each experiment set-up is repeated, all 5
 127 windows of the first experiments of each set-up are included in the training dataset while the 5
 128 windows within the repeated runs are randomly allocated for training (2/5), evaluation (2/5), and
 129 testing (1/5). With this approach, each dataset contains all ranges of boundary conditions. We use
 130 the unseen test dataset to assess the trained CNN performance.

131 After filtering out early maps prior to the initiation of active faults, the dataset consists
 132 of approximately 13,400 sliced windows. In order to generate a sufficiently large dataset, we apply
 133 common geometric augmentation techniques (e.g., Shorten & Khoshgoftaar, 2019). Trivial
 134 transformation does not contribute to significant diversification of the dataset while over-
 135 exaggerated transformation distorts the fault traces so much that the CNN cannot associate fault
 136 maps to kinematic efficiency. We found that zooming (+/- 5%), shifting (+/- 10%), and flipping
 137 (binary) each window are the most effective ranges of transformation for the dimension and scaling
 138 of our dataset. Augmented fault locations, sizes, and slip sense better represent broad varieties of
 139 potential crustal active fault maps. See supplementary to this paper for further details of the data
 140 processing.

141 2.3 CNN Methodology

142 Convolutional Neural Networks (CNNs) trained using experimental strike-slip fault maps
 143 can provide a useful way to describe the complex and non-linear relationship between active fault
 144 trace complexity and kinematic efficiency. Learning directly from fault maps eliminates the need
 145 to prescribe exact equations to describe complex failure behaviors. The proposed CNNs learn how
 146 active fault traces relate to KE by minimizing a custom loss function L based on a normalized
 147 mean square error as shown in Eq. 1

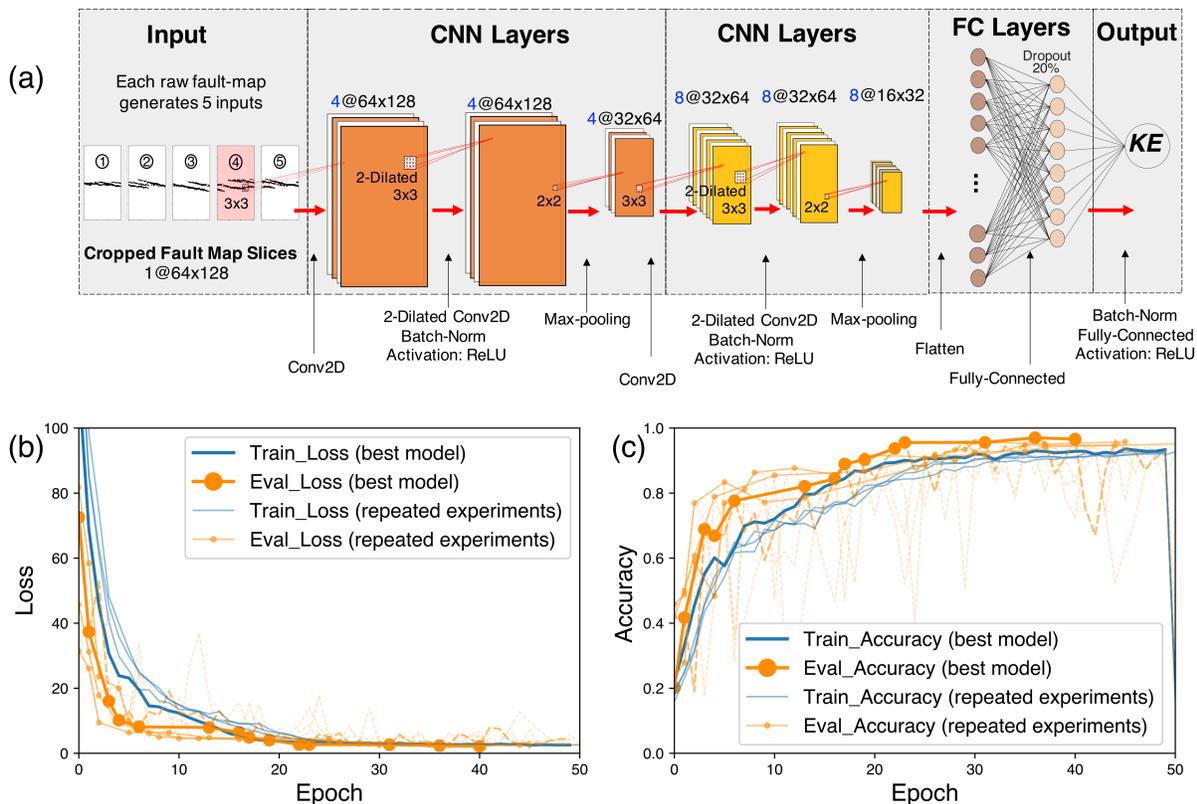
$$148 \quad L = \frac{MSE}{SD^2 + \epsilon} ; MSE = \frac{1}{n} \sum_{i=1}^n (y_i - \hat{y}_i)^2, \epsilon = 1e^{-5} \quad (1)$$

149 The mean square error (MSE) is the squared difference of the estimated values (KE
 150 prediction, \hat{y}_i) and the truth (KE label, y_i). A small value of ϵ ensures a non-zero divisor. Our custom
 151 loss function scales MSE with the squared standard deviation of KE (SD), allowing the model to
 152 learn more precisely where we have the most confidence while relaxing the learning conditions
 153 where uncertainties are high.

154 We train the models with Adam Optimizer (Kingma & Ba, 2017), a modified stochastic
 155 gradient descent with adaptive learning rate. Our CNN network (Fig 2a) has stacked convolutional
 156 layers that have appropriate kernel sizes and dilation parameters to detect features both locally (i.e.
 157 stepovers between faults) and globally (fault connectedness). We then apply batch normalization,
 158 which stabilizes learning with a modest regularization effect that improves the performance (Ioffe
 159 & Szegedy, 2015). We chose the rectified linear (ReLU), as our non-linear activation function, to
 160 enable the network to approximate functions and preserve properties of each feature map
 161 (Kulathunga et al., 2021; Nair & Hinton, 2010). Subsequently, we use max-pooling to highlight
 162 the most representative features and then downsample the feature maps so that they would not be
 163 sensitive to the faults' location within the input maps. Pooled layers also reduce the number of
 164 parameters, and aid computing efficiency before being flattened into a vector in fully-connected
 165 layers. We add a dropout regularizer (Srivastava et al., 2014) to improve generalization and prevent
 166 overfitting in predicting KE.

167 We iterate over a range of network depth and select the most efficient network (Fig. 2a)
 168 that performs well. We assess the performance of our CNN networks by considering the prediction
 169 as correct if the absolute difference of the predicted KE and the true KE label fit within two
 170 standard deviations of the label (Eq. 2).

$$171 \quad \text{Correct if } |y_i - \hat{y}_i| < 2SD \quad (2)$$



174
 175 **Figure 2:** (a) Convolutional neural network architecture designed to optimize for efficiency and
 176 performance. (b-c) Loss and accuracy as we fit the models over 50 training epochs and evaluate
 177 the performance against the loss and accuracy at the end of each epoch. The solid lines represent
 178 the best performing model. Dotted lines represent the results of comparable fitting using the same
 179 set of hyperparameters showing repeatability of all models, achieving consistently high
 180 performances.

181 **3 Results**

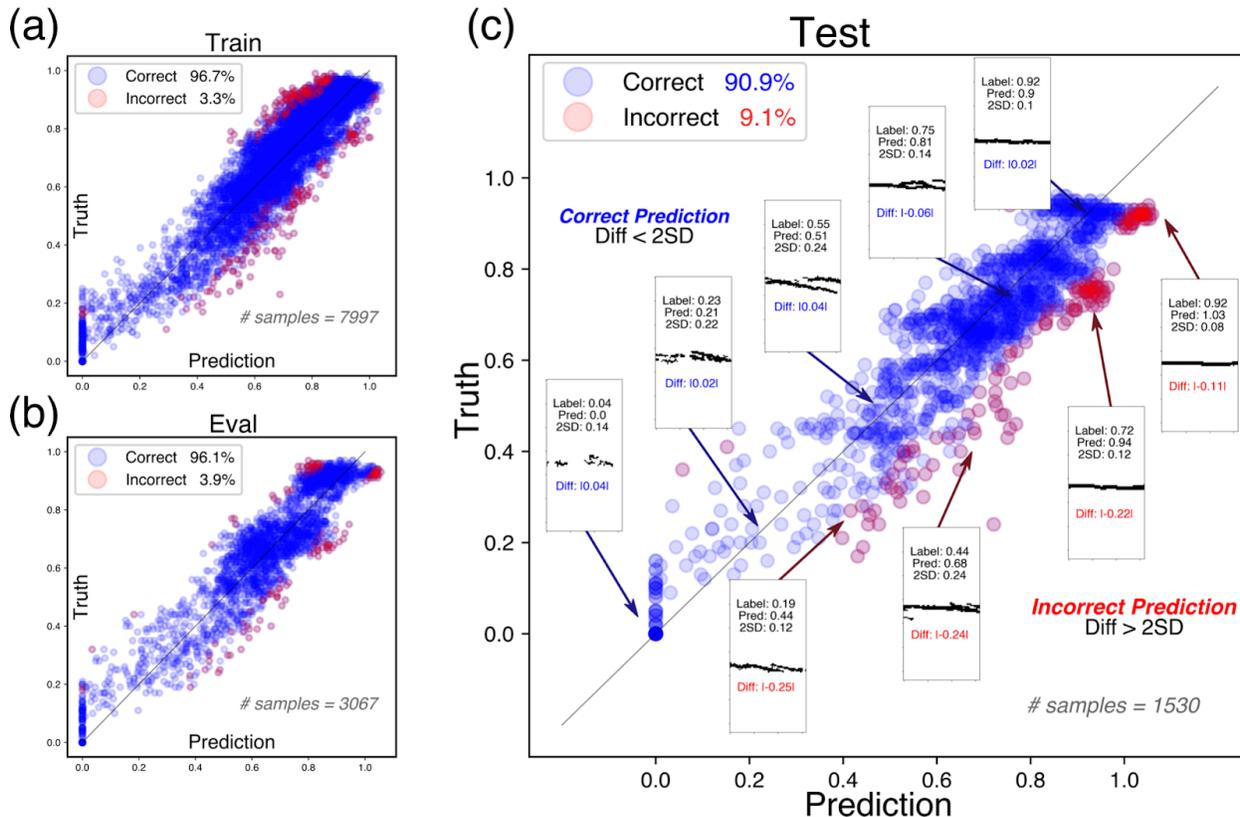
182 **3.1 CNN Prediction on Experimental Faults**

183 To ensure that the trained CNN can generalize to unseen data, we use the minimum loss
 184 (Eq. 1) of the evaluation dataset to guide tuning of the hyperparameters. The best model, and all
 185 repeated training runs illustrate a good fit, and the CNN model stops improving after
 186 approximately 50 training epochs, where we impose an early stopping of the training process(Fig.
 187 2b). Additionally, we confirm the repeatability of the models’ performance by reproducing mini-
 188 batch accuracy over 90% (Table S3) on all training sessions using the same set of hyperparameters
 189 (Table S2) while varying the randomized initialization.

190 Applying the selected CNN’s model (best model) for prediction tasks, we reach high
 191 performance of 96.7% and 96.1% accuracy (Eq.2) in training and evaluation datasets respectively
 192 (Fig 2C). Similarly, prediction on an unseen test dataset yields satisfactory performance of 90.9%
 193 accuracy. These correct predictions for the majority of the dataset extensively represent
 194 experiments with the full range of applied loading rates, basal boundary conditions and stages of

195 fault evolution. On the other hand, the clusters of outliers from more matured faults seem to
 196 correlate to individual experiments within a specific KE range (Fig. 3).

Comparison between Truth (label) and Prediction of KE

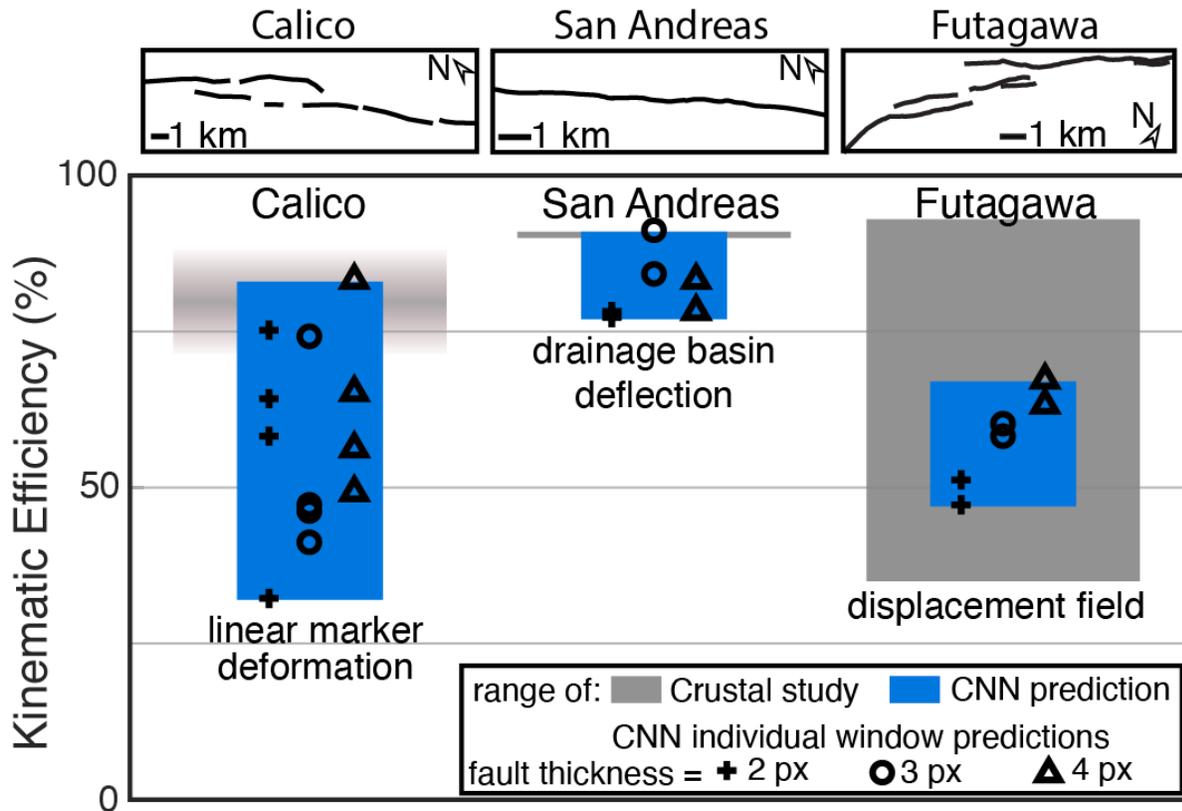


197
 198
 199 **Figure 3:** Prediction performance on training, evaluation, and test datasets using the selected
 200 model that generates the lowest evaluation loss during training for the prediction task. (a)-(b)
 201 Trained CNN can predict KE of both training and evaluation dataset with an accuracy exceeding
 202 96%. (c) Trained CNN can predict KE of an unseen test dataset with 91% accuracy. On the upper
 203 left, we display selected fault maps from all KE ranges. These examples represent datasets that can
 204 be accurately predicted by CNN. On the lower right, we display examples of a few outliers that
 205 cannot be predicted correctly by the trained CNN.

3.2 CNN Application on Crustal Fault Maps

206
 207 Because there are very few geologic estimates of off-fault deformation in the crust, we
 208 strictly train the CNN model using only experimental faults. But since these laboratory simulated
 209 faults are scaled to crusts, the trained CNN has potential to predict KE of crustal faults. Here, we
 210 compare the off-fault deformation estimates from three geologic studies to CNN predicted KE that
 211 use the active fault maps of those studies. These studies use evidence of off-fault deformation
 212 accumulated across different time spans: coseismic deformation associated with 2016 M7
 213 Kumamoto earthquake along the Futagawa fault (Scott et al., 2019), Holocene deformation of
 214 drainages adjacent to the San Andreas fault at Mecca Hills (Gray et al., 2018) and bending of
 215 Mesozoic faults and dikes adjacent to the northern Calico fault in the Eastern California Shear
 216 Zone (Shelef & Oskin, 2010). To prevent misinterpreting a mapped fault trace thickness, which
 217 varies with map scale and may be correlated to fault maturity, we have the CNN predict KE for a
 218 range of fault trace thickness (see supplement). The CNN predicts KEs from the mapped fault

219 traces that overlap all of the geologic estimates (Figure 4). The CNN predicts the greatest off-fault
 220 deformation (lowest KE) for the Calico fault because its trace is the most segmented; the CNN
 221 predicts the least off-fault deformation for the San Andreas, which is the most straight and
 222 continuous. The segmentation of the Calico fault trace produces along-strike variability of its trace
 223 that contributes to the wide range of CNN predicted KEs.
 224



225 **Figure 4.** Crustal fault trace maps and the kinematic efficiency ranges from geologic studies (grey
 226 rectangles with uncertainty represented by shading) and the CNN predictions (blue rectangles).
 227 The different symbols indicate the CNN’s prediction for three different representations of fault
 228 thicknesses, which might vary with map scale. For example, 2 pixels within the dataset used to
 229 train the CNN scales to 200 m in the crust.
 230

231 Interestingly, the range of off-fault deformation estimates vary considerably between the
 232 geologic studies due to the different methods employed. The range of off-fault estimates for
 233 coseismic deformation along the Futagawa fault may be larger than those of Gray et al. (2018) and
 234 Shelef & Oskin (2010) because the digital image correlation methods used by Scott et al. (2019)
 235 allow for more complete detection of off-fault deformation than available from either geomorphic
 236 or geologic records. Having the complete displacement field captures spatial variations in off-fault
 237 deformation whose fingerprint might be averaged within the landscape and within the permanent
 238 deformation of rocks adjacent to the fault. The results here show the potential for the CNN to
 239 estimate crustal fault KE from fault traces alone.
 240

241 4 Discussion

242 The CNN successfully trained here provides accurate prediction of KE and corresponding
243 off-fault deformation of experimental faults. A combination of the optimal hyperparameters,
244 customized loss function, and efficient network architecture contribute to the satisfactory
245 performance of the trained model to predict KE in experimental strike-slip faults. Performance and
246 learnability of the CNNs are impacted by the scale of geometric augmentation, especially the
247 stretching factor. This indicates a sensitivity of scaling and thickness of crustal fault maps that the
248 CNN is able to predict.

249 The width of the map window used for the CNN development can impacts both the KE
250 label and the CNN predicted KE of segmented faults. For example, the segmentation of faults may
251 not be fully captured within the windows that we used in this study. If the window width does not
252 span adjacent fault segments but only captures a single segment, the calculated and predicted KE
253 will be higher than along the segmented fault. Wider windows can sample step overs more reliably.
254 Within the strike-slip experiments, the kinematic efficiency within a single 6.4 cm window has
255 standard deviation up to 20%, demonstrating that KE varies significantly over a relatively short
256 distance along faults.

257 While we expect that more mature faults are more localized than immature faults (e.g.,
258 Tchalenko, 1970), and strike-slip experiments show decreasing shear zone with fault maturity
259 (Hatem et al., 2017), the CNN predicted KE for the crustal fault maps did not vary systematically
260 with fault trace thickness (Fig. 4). Furthermore, the kaolin used here produces highly localized
261 faults whereas other crustal analog materials, such as sand, produce wider zones of faulting and
262 may produce different degrees of off-fault deformation (Reber et al., 2020). The degree of off-
263 fault deformation within viscoelastic materials, such as the kaolin used here, depends on applied
264 loading rate. Because we trained the CNN on experiments with a range of loading rates, the results
265 here incorporate some degree of off-fault deformation variability. Because the active morphology
266 of crustal strike-slip fault may owe to processes not captured in the wet kaolin experiments of this
267 study, the CNN trained here may not accurately predict off-fault deformation of all strike-slip
268 faults. Retraining the CNN on additional data sets may produce more robust predictive tools for
269 crustal faults.

270 5 Conclusion

271 Because seismic hazard analyses benefit from estimates of off-fault deformation, we need
272 reliable ways to quantify the portion of strain that is accommodated off of faults. Here, we offer
273 an alternative approach for Kinematic Efficiency (KE) prediction in strike-slip using a 2D
274 Convolutional Neural Network, that is trained directly on images of fault maps produced by fault
275 experiments scaled to simulate crustal strike-slip faults. Our dataset captures the whole evolution
276 of strike-slip faults and allows precise calculation of off-fault deformation (1-KE). We use a
277 custom loss function and custom accuracy, which fully utilize both the KE labels and their standard
278 deviation. We tune the set of hyperparameters to optimize our CNN training. The final CNN model
279 has the ability to predict on an unseen test dataset with 91% accuracy. Lastly, the match of the
280 CNN to crustal fault maps with off-fault deformation estimates shows the potential for applying
281 experimentally trained CNNs to crustal faults.

282

283 Data Availability Statement

284 We have submitted the experimental PIV experiment data and strain map animations of all
 285 experiments to the EPOS analog modeling repository at GFZ (Cooke et al, 2021). Dataset to this
 286 manuscript is published to EPOS data repository at <https://doi.org/10.5880/GFZ.fidgeo.2021.029>.
 287 Because the EPOS DOI link provided is not yet activated, the authors temporarily upload our
 288 dataset as Supporting Information for review purposes. The codes and selected models used in this
 289 paper are available via GitHub Repository, deposited at <https://doi.org/10.5281/zenodo.5155156>
 290

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 296

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