

# Spatio-temporal Characteristics of Frictional Properties on the Subducting Pacific Plate Off the East of Tohoku District, Japan Estimated from Stress Drops of Small Earthquakes

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## Full paper

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1 **Spatio-temporal characteristics of frictional properties on the**  
2 **subducting Pacific Plate off the east of Tohoku district, Japan**  
3 **estimated from stress drops of small earthquakes**

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## 6 **Abstract**

7 The east coast of the Tohoku district, Japan has a high seismicity, including aftershocks of the 2011 M9  
8 Tohoku earthquake. We analyzed 1142 earthquakes with  $4.4 \leq M_W \leq 5.0$  that occurred in 2003  
9 through 2018 and obtained spatio-temporal pattern of stress drop on the Pacific Plate that subducts  
10 beneath the Okhotsk Plate. Here we show that small earthquakes at edges of a region with a large slip  
11 during the 2011 Tohoku earthquake had high values of stress drop, indicating that the areas had a high  
12 frictional strength and suppressed the coseismic slip of the 2011 Tohoku earthquake. In addition, stress  
13 drops of small earthquakes in some of the areas likely decreased after the 2011 Tohoku earthquake. This  
14 indicates that the frictional strength decreased at the areas due to the following aftershocks of the 2011  
15 Tohoku earthquake, consistent with a high aftershock activity. This also supports that the frictional  
16 properties on a subducting plate interface can be monitored by stress drops of small earthquakes, as  
17 pointed out by some previous studies.

## 18 **Keywords**

19 Frictional properties, Pacific Plate, Stress drop, Spatio-temporal pattern, Small earthquake, East coast  
20 of the Tohoku district, 2011 Tohoku earthquake

## 21 **Background**

### 22 **Tectonics and characteristics of earthquakes off the east coast of the Tohoku district, Japan**

23 Numerous large earthquakes as well as the huge 2011 Tohoku earthquake with  $M_W$  9.0 have been observed  
24 off the east coast of the Tohoku district, Japan, associated with the subduction of the Pacific Plate  
25 beneath the Okhotsk Plate at a rate of 80-100 mm/year DeMets et al. (1990). Some previous studies  
26 have suggested the spatial heterogeneity of the frictional properties on the plate interface in this region.  
27 Yamanaka and Kikuchi (2004) analyzed source processes of large interplate earthquakes that occurred off  
28 the east coast of the Tohoku district, Japan and found that areas with a large coseismic displacement,  
29 where they refer to as asperities, distributed as stepping stones. They also pointed out that the typical  
30 size of individual asperities in northeastern Japan was M7 class and that an M8 class earthquake could  
31 be caused when several asperities were synchronized. Nishikawa et al. (2019) analyzed waveforms of

32 slow earthquakes observed by the new S-net ocean-bottom seismic network and investigated their spatial  
33 distribution along the Japan Trench. They found that the area that ruptured during the 2011 Tohoku  
34 earthquake was bounded by areas that have large numbers of slow earthquakes. They reported that a  
35 segmentation likely caused to cease the coseismic rupture of the 2011 Tohoku earthquake, which provides  
36 important information for a risk assessment from future major earthquakes. Baba et al. (2020) detected  
37 very low frequency earthquakes (VLFEs) off the Hokkaido and Tohoku Pacific coasts by a matched-filter  
38 technique. They pointed out that their spatial distribution is consistent with the afterslip of the 2003  
39 Tokachi-Oki earthquake ( $M_W$  8.0). They also found that the VLFE activity inside a large coseismic slip  
40 area of the 2011 Tohoku earthquake was low thereafter, whereas outside the area, VLFE activity increased  
41 after the 2011 Tohoku earthquake. These results suggest that there is significant spatial heterogeneity of  
42 the frictional properties on the plate interface in this region.

43 As many small earthquakes have been occurring on the subducting Pacific Plate off the east coast of the  
44 Tohoku district, they provide a good opportunity for investigating the pattern of their stress drops in  
45 both space and time and its implication with respect to the frictional properties on the plate interface.  
46 In this study, we investigated stress drops of these small earthquakes following the method of Yamada et  
47 al. (2010, 2015, 2017) and discussed the correlation of their spatial pattern with slip distribution of the  
48 2011 Tohoku earthquake and other large historical earthquakes. In the next subsection, we summarize  
49 the significance of stress drop analysis.

### 50 **Significance of analysis on stress drop**

51 Stress drop is an important source parameter which indicates the difference between the initial and  
52 residual stress levels associated with an earthquake, that is, the shear stresses before and after the  
53 earthquake rupture. Stress drop of small and large earthquakes have been investigated and have almost  
54 confirmed the self-similarity of earthquakes (Kanamori and Anderson (1975); Abercrombie (1995); Prieto  
55 et al. (2004); Yamada et al. (2005, 2007); Kwiatak et al. (2011); Yoshimitsu et al. (2014)). This self-  
56 similarity is important in that we can use values of stress drop as indicators of the difference between  
57 the shear strength and the dynamic stress level on the fault plane, independent of the earthquake size.  
58 We have to note here that the self-similarity of earthquakes for a broad range of magnitude remains a  
59 matter of debate and is not fully confirmed. Some studies have pointed out that earthquakes might have  
60 a weak dissimilarity Malagnini et al. (2008). However, small earthquakes with a narrow magnitude range,  
61 as considered in this study, do not indicate a strong dissimilarity and their stress drops can be treated

62 as an indicator of frictional properties.

63 Heterogeneity of stress and strength in space and time has been investigated by stress drops of earth-  
64 quakes, especially for the last fifteen years. Allman and Shearer (2007) estimated stress drops of small  
65 earthquakes near Parkfield, California and investigated relationships of their spatial and temporal varia-  
66 tions around the source region of the 2004 Parkfield earthquake. They concluded that earthquakes around  
67 the coseismic rupture area of the 2004 Parkfield earthquake had higher values of stress drop compared to  
68 the values of earthquakes outside the region. For even finer scale, Yamada et al. (2010) investigated stress  
69 drops of small earthquakes which occurred on the fault plane of the 2006 Kiholo Bay earthquake with  
70  $M_W$  6.7 and discussed the spatial characteristics of stress drop compared to the coseismic slip distribution  
71 of the earthquake. They found that small earthquakes around patches with a large displacement during  
72 the main shock had larger values of stress drop and concluded that the spatial pattern of the stress drop  
73 reflects coherent variations in the difference of strength and the residual stress level. Urano et al. (2015)  
74 carried out a similar analysis for the 2007 Noto Hanto earthquake and pointed out that static stress drops  
75 of aftershocks in the area with a large coseismic slip during the mainshock are larger than those in a small  
76 slip area. This result also suggests that *in-situ* frictional properties can be estimated from stress drops of  
77 small earthquakes, the same as the conclusion of Yamada et al. (2010). Oth (2013) calculated stress drops  
78 of earthquakes in Japan and concluded that the values had strong correlation with heat flow variations.  
79 Yamada et al. (2015) investigated a cluster earthquake activity in the Tanzawa Mountains region, Japan  
80 and found that the activity showed the hypocenter migration and consisted of earthquakes with a small  
81 stress drop. They concluded that the activity would be triggered by the increase of pore pressure due  
82 to fluid, that is, the decrease of the shear strength. Yamada et al. (2017) analyzed stress drops of small  
83 earthquakes off the Pacific coast of Hokkaido, Japan and found that the spatial pattern in stress drops  
84 has a good correlation with spatial characteristics of coseismic displacements during individual historical  
85 large earthquakes. Moyer et al. (2018) estimated stress drops of small earthquakes ( $2.3 \leq M_W \leq 4.0$ )  
86 on Gofar transform fault at the East Pacific Rise and found an inverse correlation between stress drop  
87 and the reduction of P wave velocity, which they interpreted as the effect of damage around the fault  
88 zone. They also pointed out that earthquakes following the mainshock ( $M_W$ 6.0) had lower values of stress  
89 drop, consistent with increased damage and decreased fault strength after a large earthquake. Although  
90 estimation of stress drop in general includes some assumptions such as circular faults explained in the  
91 next section, these previous studies strongly suggest that the results of stress drop indicate actual physical

92 characteristics on fault planes of earthquakes.

93 Some studies, on the other hand, raised questions if the values of estimated stress drop reflect frictional  
94 properties. Shearer et al. (2006) analyzed stress drops of aftershocks associated with the 1992 Landers  
95 earthquake and investigated the relationship of their spatial pattern to the coseismic slip on three major  
96 segments derived by Wald and Heaton (1994). They found that stress drops of aftershocks on the northern  
97 segment (Camp Rock/Emerson faults) had a good correlation with the slip distribution. However, they  
98 also pointed out that the values on the southern segment (Landers/Johnson Valley faults) showed a weaker  
99 consistency and they were anti-correlated on the central segment (Homestead Valley fault). Hardebeck  
100 and Aron (2009) investigated stress drops of earthquakes on Hayward fault. They found that stress  
101 drops were well correlated with an applied shear stress but did not show a direct correlation with the  
102 proposed strength of the wall-rock geology. As they noted, this suggests that the stress drop would give  
103 an information on the fault strength, but the relation between fault strength and the strength of wall  
104 rock would be complex. Our result will provide an example whether or not stress drops estimated from  
105 seismograms can be used for investigating frictional properties on earthquake faults.

## 106 **Methods**

107 Following the method of Yamada et al. (2010, 2015, 2017), we investigated stress drops of 1142 small  
108 earthquakes ( $4.4 \leq M \leq 5.0$ ) off the east coast of Tohoku district, Japan, that occurred in 2003 through  
109 2018 (Fig.1). Both of the earthquakes before and after the 2011 M9 Tohoku earthquake are included  
110 in the analysis. Note that  $M$  indicates the magnitude of an earthquake as determined by the Japan  
111 Meteorological Agency (JMA) in this paper. The hypocenters of the 1142 earthquakes were located  $35.0^\circ$   
112 N through  $41.5^\circ$  N and  $140.5^\circ$  E through  $145.0^\circ$  E in latitude and longitude directions, respectively, with  
113 a depth of  $\pm 15$  km from the interface of the Pacific Plate, which had been derived by Nakajima and  
114 Hasegawa (2006). Because of the poor azimuthal coverage of seismic stations, the distance of 15 km in  
115 depth direction is within the range of uncertainty in the hypocenter estimation in the study area. We  
116 analyzed waveforms recorded at stations, which have been maintained by National Research Institute for  
117 Earth Science and Disaster Resilience, Japan (NIED), Hokkaido University, Hirosaki University, Tohoku  
118 University, and JMA.

119 An observed waveform as a function of time  $W(t)$  includes the effects of the source  $S(t)$ , the path from  
120 a hypocenter to a seismic station  $P(t)$ , site amplification effects  $A(t)$ , and the instrumental response of

121 a seismometer  $I(t)$ , that is:

$$W(t) = S(t) * P(t) * A(t) * I(t), \quad (1)$$

122 where the operator  $*$  indicates convolution. Because the convolution is expressed as a scalar product in  
123 the frequency domain, the following equation holds:

$$W(f) = S(f) \cdot P(f) \cdot A(f) \cdot I(f), \quad (2)$$

124 where  $W(f)$ ,  $S(f)$ ,  $P(f)$ ,  $A(f)$ , and  $I(f)$  are expressions of  $W(t)$ ,  $S(t)$ ,  $P(t)$ ,  $A(t)$ , and  $I(t)$  in the  
125 frequency domain, respectively. If we know the functions of  $P(f)$ ,  $A(f)$ , and  $I(f)$ , we can then obtain  
126 the Green's function and extract the source effect from the observed waveform. As it is difficult in actual  
127 to estimate the Green's function precisely, we adopted the method of empirical Green's function (EGF)  
128 (Hartzell (1978)).

129 The observed seismograms of two earthquakes at a receiver can be expressed as follows:

$$W_1(f) = S_1(f) \cdot P_1(f) \cdot A_1(f) \cdot I(f), \quad (3)$$

130

$$W_2(f) = S_2(f) \cdot P_2(f) \cdot A_2(f) \cdot I(f). \quad (4)$$

131 If the hypocenters of the two earthquakes are identical, the soil beneath the seismic station acts linearly  
132 independent of the amplitude of the incoming waveforms, and no velocity change takes place during the  
133 two earthquakes, then the path and site effects are exactly the same, which shows

$$P_1(f) = P_2(f), \quad (5)$$

134 and

$$A_1(f) = A_2(f). \quad (6)$$

135 In this case, we can derive the ratio of source effects on two earthquakes by calculating the ratio of the  
136 observed waveforms in the frequency domain,

$$\frac{W_1(f)}{W_2(f)} = \frac{S_1(f) \cdot P_1(f) \cdot A_1(f) \cdot I(f)}{S_2(f) \cdot P_2(f) \cdot A_2(f) \cdot I(f)} = \frac{S_1(f)}{S_2(f)}. \quad (7)$$

137 Eq. (7) gives the spectral ratio of each pair of an analyzed and an EGF earthquakes. It is assumed in  
138 this study that source spectrum of an earthquake  $S^C(f)$  can be expressed by the omega-squared model  
139 of Boatwright (1978), which is formulated as follows:

$$S^C(f) = R^C(f) \cdot M_0^C(f) \cdot \left\{ \frac{1}{1 + (f/f_0^C)^4} \right\}^{1/2}, \quad (8)$$

140 where  $R$ ,  $M_0$ , and  $f_0$  are the coefficient of the radiation pattern, the seismic moment, and the corner  
 141 frequency of the earthquake, respectively.  $C$  indicates the wave type, which corresponds to either P or S.  
 142 This assumption suggests that we approximated the fault as a circular plane. The deconvolved spectra  
 143 of velocity  $|\dot{u}_r^C(f)|$  can then be expressed by the following equation:

$$\begin{aligned}
 |\dot{u}_r^C(f)| &= \left| \frac{S_A^C(f)}{S_E^C(f)} \right| = \frac{R_A^C \cdot M_{0A}}{R_E^C \cdot M_{0E}} \cdot \left\{ \frac{1 + (f/f_{0E}^C)^4}{1 + (f/f_{0A}^C)^4} \right\}^{1/2} \\
 &= R_r^C M_{0r} \cdot \left\{ \frac{1 + (f/f_{0E}^C)^4}{1 + (f/f_{0A}^C)^4} \right\}^{1/2}, \tag{9}
 \end{aligned}$$

144 where subscripts  $A$  and  $E$  correspond to analyzed and EGF earthquakes, respectively. Moreover,  $R_r^C$  and  
 145  $M_{0r}$  indicate the relative values of  $R_A^C/R_E^C$  and  $M_{0A}/M_{0E}$ , respectively. The value of  $R_r^C$  is equal to 1 if  
 146 the focal mechanisms and hypocenters of the analyzed and EGF earthquakes are exactly the same. The  
 147 sampling rate of waveforms analyzed in this study was 100 Hz. We used waveforms of earthquakes in 2012  
 148 through 2018 (after the 2011 Tohoku earthquake) with M3.5 which were closest to the hypocenters of the  
 149 analyzed earthquakes as the EGFs. A list of analyzed and EGF earthquakes in this study is available as  
 150 an additional file (refer to eqlist.txt).

151 We adopted earthquakes with M3.5 as EGFs and analyzed corner frequencies of earthquakes in a relatively  
 152 narrow magnitude range ( $4.4 \leq M \leq 5.0$ ). This treatment is based on the following considerations. In  
 153 order to ensure a good signal-to-noise ratio of EGFs, especially for spectra of lower frequencies, we used  
 154 waveforms of earthquakes with M3.5 as EGFs. The lower limit (M4.4) of the analyzed earthquakes was  
 155 set for keeping a difference in magnitude of about 1 compared to the EGFs and ensuring quality in  
 156 estimating the corner frequencies. As stress drops are calculated for individual earthquakes, the values  
 157 for large earthquakes would represent the average characteristics of individual large fault planes. This is  
 158 not good condition because the values of stress drop for large earthquakes might not reflect local frictional  
 159 characteristics. We can avoid this problem by adopting an upper limit of magnitude for analyzing stress  
 160 drops of earthquakes. In addition, as waveforms of some large earthquakes were clipped, we fixed the  
 161 maximum size of earthquake to M5.0 in the analysis.

162 We estimated the spectral ratios of P and S waves for individual pairs of an earthquake and an EGF.  
 163 The spectral ratios were analyzed for three time windows with a length of 1024 data points, or 10.23 s.  
 164 The beginning of the first time window were set to be 0.50 s prior to the arrival times of either the P or S  
 165 waves. The elapsed times of the two successive time windows were set to be 1.28 and 2.56 s, respectively.



166 The spectral ratio can be approximated as following equations by taking the logarithm of Eq. (9):

$$\ln |\dot{u}_r^C(f)| \approx g(f; f_{0A}^C; f_{0E}^C), \quad (10)$$

$$g(f; f_{0A}^C; f_{0E}^C) = \ln(R_r^C M_{0r}) - \frac{1}{2} \ln \left\{ 1 + (f/f_{0A}^C)^4 \right\} \\ + \frac{1}{2} \ln \left\{ 1 + (f/f_{0E}^C)^4 \right\}. \quad (11)$$

167 Before fitting individual analyzed spectral ratios with the theoretical function expressed by Eqs. (10) and  
 168 (11), we resampled the data points so that the interval in frequency was equal to 0.05 on a  $\log_{10}$  scale.  
 169 As a result, we obtained 20 data points (frequency bands) for each order of frequency. This procedure  
 170 allowed us to treat high- and low-frequency data equivalently. We also estimated the standard deviation  
 171 of the spectral ratio for each frequency band and used the value as a weight in fitting data, as explained  
 172 below.

173 We investigated the values of  $R_r^C M_{0r}$ ,  $f_{0A}^C$ , and  $f_{0E}^C$  in Eq. (11) for each station by a grid search that gave  
 174 the minimum residual for the spectral ratios of three time windows, similar to Imanishi and Ellsworth  
 175 (2006). Here values of residual  $R$  can be defined by the following equation,

$$R = \sum_i \frac{\{\ln \dot{u}_r^C(f) - g(f; f_{0A}^C; f_{0E}^C)\}^2}{\sigma_i^2} \quad (12)$$

176 where  $\sigma_i$  is the standard deviation for each frequency band calculated in resampling the spectral ratio.  
 177 All of the earthquakes analyzed in this study have four or more stations available for the corner frequency  
 178 estimation. We used data within the frequency range of 0.7 Hz through 20 Hz to calculate the residual in  
 179 Eq. (12) and investigated corner frequencies by grid search between 0.3 and 20 Hz. This frequency range  
 180 and the length of the time window (10.23 s, or 1024 data points) were adopted so that corner frequencies  
 181 of earthquakes with  $4.4 \leq M \leq 5.0$  could be estimated correctly, which would be around 1-3 Hz as  
 182 expected by the self-similarity of earthquakes. Fig. 2 shows an example of the corner frequency analysis,  
 183 including S-wave velocity seismograms, their spectra, deconvolved spectra after the resampling, and the  
 184 obtained curves of spectral ratio that were used for investigating a corner frequency. Another example  
 185 is provided as a supplemental figure Fig. A1, which shows the analysis for the P wave for the same  
 186 earthquake and the same station as shown in Fig. 2. Examples for another earthquake are also provided  
 187 as supplemental figures (Figs. A2 and A3). We confirm that waveforms have a good signal-to-noise ratio  
 188 larger than a factor of five even for low frequencies between 0.7 and 2 Hz for EGF earthquakes.

189 Finally, we estimated the values of stress drop following Madariaga (1976):

$$\Delta\sigma^C = \frac{7}{16} M_{0A} \left( \frac{f_{0A}^C}{kV_S} \right)^3, \quad (13)$$

190 where  $V_S$  is the shear wave velocity, which we set 4.5 km/s referring to Matsubara and Obara (2011),  
191 and  $C$  corresponds to the wave type (P or S). The seismic moment  $M_0$  in newton meters (Nm) can be  
192 calculated from  $M_W$  using the following equation Hanks and Kanamori (1979):  $\log_{10} M_0 = 1.5M_W + 9.1$ .  
193 We fixed the value  $k$  as 0.32 and 0.21 for P and S waves, respectively, assuming that the rupture of  
194 earthquakes expanded with a speed of  $0.9V_S$  Madariaga (1976). We will discuss the effect of the value  $k$   
195 in the section “Discussion.” It is assumed in this study that  $M$  is equivalent to the moment magnitude  
196  $M_W$  in calculating stress drops. The validity of this assumption will also be discussed in the section  
197 “Discussion.”

## 198 Results

### 199 Spatial pattern of stress drop

200 Figs. 3 and 4 show the spatial distribution of stress drop estimated from P and S waves, which are  
201 superposed on the coseismic slip distribution of large earthquakes, including the 2011 Tohoku earthquake.  
202 The results of individual earthquakes in Figs. 3(a)(c) are available as Additional files (refer to results\_P.txt  
203 and results\_S.txt). Both of the results derived from P and S waves indicate spatial heterogeneity on stress  
204 drop, suggesting that the frictional properties on the Pacific plate are heterogeneous in space.

205 We found that areas with a large coseismic displacement during the 1968 Tokachi-oki earthquake have  
206 higher values of stress drop. This is consistent with the result of Yamada et al. (2017) and suggests that  
207 these areas have higher shear strength. Similarly, an area with a large stress drop can be seen at the  
208 south-east tip of the coseismic displacement during the 1978 Miyagi-oki earthquake. It is likely that the  
209 area acted as a barrier because of a higher shear strength in 1978, whereas it had been included inside  
210 the source area in 1936. In addition, the areas marked as A and B in Fig. 4 have a higher value of stress  
211 drop. Both of the areas coincide with the regions where moderate-sized earthquakes regularly take place  
212 every several years (Uchida et al. (2007); Okuda and Ide (2018)). These results can also be reasonably  
213 explained that there is significant spatial heterogeneity in frictional properties and these areas have a  
214 higher shear strength.

215 However, we have to note that slip distributions obtained by the waveform inversion may include large

216 uncertainty (Mai et al. (2016)). The significance of the results, as well as the discrepancy between the  
217 absolute values of stress drop derived from P and S waves will be discussed in the section “Discussion.”

### 218 **Temporal change of stress drop: Effects of the 2011 Tohoku earthquake**

219 We would also like to point out the temporal change in stress drop associated with the 2011 Tohoku  
220 earthquake. Fig. 5 shows spatial patterns of stress drop before and after the 2011 Tohoku earthquake, as  
221 well as that estimated from all the earthquakes analyzed in this study (2003 through 2018). Areas marked  
222 as C and D, which correspond to western tips of the large coseismic displacement during the 2011 Tohoku  
223 earthquake, have higher values of stress drop before the earthquake (Fig. 5a). After the 2011 Tohoku  
224 earthquakes, values of stress drop in these areas decreased to the value around the average all over the  
225 study area as shown in Fig. 5(b). Fig. 6 shows stress drops of analyzed earthquakes as a function of  
226 depth and seismic moment, as well as the temporal changes. Stress drops of earthquakes show no clear  
227 dependency on depth, seismic moment, and time. Therefore, the temporal changes in Figs. 5(a)(b) and  
228 6(d)(e) suggest the changes of frictional properties in time and are not artifacts nor apparent ones.  
229 We discuss these results from physical point of view in the next section.

## 230 **Discussion**

### 231 **Interpretation of our results from the physical viewpoint of earthquake rupture**

232 We found that earthquakes at edges of a large coseismic slip with a large gradient in displacement during  
233 the 2011 Tohoku earthquake show a high value of stress drop. As mentioned in the subsection 1.2, stress  
234 drop is an indicator of the difference between the shear strength and the dynamic stress level. Therefore,  
235 the spatial pattern obtained in this study likely to reflect the spatial heterogeneity in frictional properties  
236 on the plate interface between the Pacific and Okhotsk plates.

237 In addition, stress drops of earthquakes at the above area seem to decrease after the 2011 Tohoku  
238 earthquake. This would indicate a gradual weakening of the shear strength due to the stress concentration  
239 associated with the coseismic slip during the 2011 Tohoku earthquake (Ohnaka and Shen (1999)). Another  
240 possibility would be an effect of fluid (Yamada et al. (2015)). As fluid confined in a crack on the plate  
241 interface can reduce the normal stress, the increase of fluid pressure can decrease the shear strength,  
242 resulting in a smaller stress drop.

243 It is true that a smaller stress drop would be observed if the dynamic stress level increased for some  
244 reason. However, it would be hard to be the case. Di Toro et al. (2011) pointed out that the dynamic

245 stress level depends on the slip velocity; a slower slip velocity gives a higher dynamic stress level. If the  
246 decrease of stress drop were caused by a slow-down of the slip velocity, all the events after the 2011  
247 Tohoku earthquake had to have a slower slip velocity. If this were the case, observed waveforms would  
248 have shown some notable change of their characteristics, which we did not observe at all. Therefore, we  
249 conclude that the observed temporal change in stress drop would be caused not by the increase of the  
250 dynamic stress level, but the decrease of the shear strength due to the stress concentration associated  
251 with the coseismic slip of the 2011 Tohoku earthquake.

### 252 **Comparison to previous studies**

253 Uchide et al. (2014) investigated spatial pattern of stress drop before the 2011 Tohoku earthquake in  
254 the same region by a method different from that of this paper. The spatial distribution of stress drop  
255 before the 2011 Tohoku earthquake in our results is very much consistent with that shown in Uchide et  
256 al. (2014), suggesting the robustness of our analysis. However, there is a discrepancy between the two  
257 results. Although Uchide et al. (2014) insisted that they found a strong increase in stress drop with depth  
258 between 30 km and 60 km, such an increase cannot be seen in our result (Fig. 6). We are not sure of  
259 the reason, but one possibility would be the difference of waveforms used as empirical Green's functions.  
260 We used waveforms of earthquakes (M3.5) in the vicinity of individual analyzed earthquakes with a good  
261 signal-to-noise ratio for all over the frequency band used in the analysis (Figs. 2, A1, A2 and A3) as local  
262 empirical Green's functions so that fine-scale heterogeneity can be detected. Accumulation of the *in-situ*  
263 seismic data, including ones observed by S-net (Kubota et al. (2020)), would provide good opportunity  
264 for investigating source characteristics, such as stress drop, of earthquakes with higher precision in the  
265 region analyzed in this paper in the near future.

### 266 **Difference of stress drops from P and S waves**

267 As each earthquake has one value of stress drop, the value of stress drop for an earthquake calculated  
268 from P wave should be the same as the value derived from S wave. However, our results in Figs. 3 and  
269 4 indicate that the absolute values of stress drop deduced from P waves are much lower than the values  
270 derived from S waves. This discrepancy originates from the value of  $k$  in Eq. (13), that is, the assumed  
271 rupture speed in the model. Hence, the discrepancy provides an insight into the rupture characteristics  
272 of analyzed small earthquakes, as described in detail in Yamada et al. (2017). We briefly explain the  
273 significance of the discrepancy here.

274 The model of Madariaga (1976), which is used in this study and is commonly adopted in stress drop

275 estimation, assumes that the rupture initiates from the center of a circular fault plane and propagates  
 276 with a certain rupture speed that is slower than the P-wave velocity. The values of 0.32 and 0.21 for  
 277 constant  $k$  in Eq. 13 depend on the assumed rupture speed, which we fixed to be 90% of the S-wave  
 278 velocity  $V_S$ . These factors become smaller for a slower rupture propagation, and the value  $k$  for P wave  
 279 is much more sensitive to the rupture speed than that for S wave (Madariaga (1976)). As the estimated  
 280 values of stress drop from P waves in our study are smaller than those from S waves, slower rupture  
 281 speeds result in the values of stress drop being closer. Thus, our results suggest that the actual rupture  
 282 speed of the analyzed earthquakes would be slower than  $0.9V_S$ . This is consistent with many studies  
 283 of source process that reported the rupture on a fault plane propagates with a speed of 70 – 80% of  
 284  $V_S$ , independent of earthquake magnitude (Wald and Heaton (1994); Yamada et al. (2005)), with a few  
 285 exceptions (Ji et al. (2002); Walker and Shearer (2009)).

286 Stress drops derived from P and S waves in Figs. 3 and 4 show exactly the same spatial pattern. This  
 287 strongly suggests that our results for stress drop are stably estimated and that their lateral characteristics  
 288 indicates the spatial heterogeneity of the frictional properties on the interface of the subducting Pacific  
 289 Plate in the study area.

#### 290 **Validity associated with the assumption of $M = M_W$**

291 We estimated stress drops under the assumption that the value of  $M$  determined by JMA is equivalent  
 292 to  $M_W$ . As our results might include an artifact due to this assumption, we investigated its validity. Fig.  
 293 7 shows the relationship between  $M$  and values of  $3.5 + (2/3) \log_{10} (R_r^C M_{0r})$  in Eq. (9) for individual  
 294 earthquakes, which correspond to moment magnitudes of analyzed earthquakes if individual pairs of  
 295 analyzed and EGF earthquakes have identical focal mechanisms ( $R_r^C = 1$ ) and if the values of  $M_W$  for  
 296 EGF earthquakes are 3.5 ( $M_{3.5} = M_W 3.5$ ). We herein refer to the value of  $3.5 + (2/3) \log_{10} (R_r^C M_{0r})$   
 297 as apparent magnitude. As we adopted earthquakes with M3.5 as EGFs, Fig. 7 suggests that the  
 298 actual values of  $M_W$  would be slightly smaller than  $M$  values, which is consistent with Uchide and  
 299 Imanishi (2018). This result implies that the absolute values of stress drop derived in this study might  
 300 be overestimated. However, Fig. 7 shows a clear linear relationship between the two parameters with a  
 301 slope of 1. This fact strongly suggests that the spatial pattern in stress drop obtained in this study is  
 302 reliable.

## 303 **Conclusion**

304 We summarize our conclusion as follows.

- 305 (1) Areas with a high stress drop are located at edges of a large coseismic slip with a high gradient in  
306 displacement during the 2011 Tohoku earthquake.
- 307 (2) The areas with a high stress drop showed temporal change on values of stress drop after the 2011  
308 Tohoku earthquake.
- 309 (3) The fact (2) may indicate a gradual weakening of the shear strength due to the stress concentration  
310 associated with the coseismic slip during the 2011 Tohoku earthquake Ohnaka and Shen (1999).
- 311 (4) Temporal change in stress drop likely to reflect the change in the shear strength. As the dynamic  
312 stress level depends on the slip velocity Di Toro et al. (2011), our results can hardly be explained as  
313 the change in the dynamic stress level.

314 Our results suggest that the frictional properties on a subducting plate interface can be monitored by  
315 stress drops of small earthquakes, as pointed out by some previous studies including Yamada et al. (2017),  
316 which provides important information for strong motion estimation due to future large earthquakes.

## 317 **List of abbreviations**

318 JMA: Japan Meteorological Agency

319  $M_W$ : Moment magnitude

320 NIED: National Research Institute for Earth Science and Disaster Resilience, Japan

## 321 **Availability of data and materials**

322 Waveform data that are analyzed in this study can be downloaded from the website of Hi-net, NIED  
323 (<https://www.hinet.bosai.go.jp>). A list of earthquakes analyzed in this study and their stress drops  
324 estimated from P and S waves are available as following supplementary information files; eqlist.txt,  
325 result\_P.txt, and result\_S.txt, respectively.

## 326 **Competing interests**

327 The authors declare that they have no competing interests.

328 **Funding**

329 Not applicable.

330 **Authors' contributions**

331 TY designed the research project, conducted the analysis, and wrote the manuscript. MD carried out  
332 preliminary analyses. JK participated in the discussion of the results. All of the authors read and approved  
333 the final manuscript.

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342 Hokkaido Univ., Hirosaki Univ., Tohoku Univ. and JMA, which can be downloaded from the NIED  
343 Hi-net website (<https://www.hinet.bosai.go.jp>). The authors would like to thank the individuals who  
344 have been maintaining these seismic stations. We also used arrival times of P and S waves which were  
345 determined by JMA. The authors would also like to express our gratitudes to Takeshi Iinuma and  
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347 Generic Mapping Tools software Wessel and Smith (1995).

348 **Appendix A. Other examples of the corner frequency analyses**

349 In addition to Fig. 2, we will show three examples of deconvolved spectra as well as waveforms in time  
350 and frequency domains (Figs. A1, A2, and A3). We can see waveforms analyzed have good  
351 signal-to-noise ratios and confirm that deconvolved spectra are well fitted by the omega-squared model.

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Figure 1. (a) Seismicity around the study region from 2003 to 2018. Hypocenters with  $M$  equal to or greater than 3.0, as determined by JMA, are plotted. The size and color of the symbols show the magnitude and depth of earthquakes, respectively. It is clearly described that most earthquakes take place on the subduction interface of the Pacific Plate. (b) Epicenters of analyzed earthquakes and locations of seismic stations used in this study. The red circles show hypocenters, and the blue squares represent seismic stations, including stations of Hi-net (NIED), JMA, Hokkaido University, Hirosaki University, and Tohoku University. The depth of the upper surface of the subducting Pacific Plate is indicated by orange lines with an interval of 20 km Kita et al. (2010); Nakajima and Hasegawa (2006); Nakajima et al. (2009). Waveforms observed at the stations N.TROH and N.IWEH are displayed in Figs. 2, A1, A2, and A3.

Figure 2. (a) Example of an analyzed waveform of an earthquake with  $M4.8$ . The horizontal color bars show three time windows used in obtaining spectra, which were (S0) -0.50 to 9.73 s, (S1) 0.78 to 11.01 s, and (S2) 2.06 to 12.29 s after the arrival time of S wave. The gray line indicates a time window from 12.00 to 1.77 s before the P arrival, which was used to calculate the noise spectrum in (b). Individual time windows include 1,024 data points. (b) Waveform spectra for the four time windows marked in (a). (c) Example of a waveform of an  $M3.5$  earthquake that was used for an EGF. Note that the vertical scale is different from that in (a). (d) Waveform spectra for the four time windows marked in (c). (e) Deconvolved spectra with the best-fit omega-squared model. The color lines show deconvolved source spectra, that is, (b) divided by (d), for three individual time windows with a resampling of frequency bands. The black broken line indicates the best-fit omega-squared model with corner frequencies of 1.0 and 2.5 Hz for the analyzed and EGF earthquakes, respectively.

Figure 3. (a) Stress drops for individual earthquakes estimated from P waves. The color and scale of circles express values of stress drop and earthquake magnitudes, respectively. The thick lines show the depth of the upper surface of the subducting Pacific Plate Kita et al. (2010); Nakajima and Hasegawa (2006); Nakajima et al. (2009). Thin contours indicate the coseismic displacement of the 2011 Tohoku earthquake with  $M_W$ 9.0 Iinuma et al. (2012) at an interval of 2 m. (b) Spatially smoothed pattern of stress drop, which was derived from (a) at grid points at intervals of 0.1 degrees in latitude and longitude. Value at individual grid points were calculated as the average of stress drops of earthquakes within 20 km of the epicentral distance from the grid points. No values were assigned at grid points with less than four earthquakes within 20 km of the epicentral distance. (c) Values of stress drop obtained from S waves. (d) Spatially smoothed pattern of stress drop derived from (c).

Figure 4. Spatially smoothed stress drop derived from (a) P-wave and (b) S-wave analyses, the same as Figure 3. Thin contours show coseismic displacements of the following M7-8 large earthquakes for the 1968 Tokachi-oki, the 1978 Miyagi-oki, the 1981 Miyagi-oki, the 1989 Sanriku-oki, and the 2003 Miyagi-oki at an interval of 0.5 m Nagai et al. (2001); Yamanaka and Kikuchi (2004). Areas A and B, corresponding to areas where repeating earthquakes have been observed Uchida et al. (2007); Okuda and Ide (2018), have higher values of stress drop. Refer to the text in detail.

Figure 5. (a) Spatial distribution of smoothed stress drop estimated by S-wave analyses from 2003 to 2010, which is before the 2011 Tohoku earthquake. Thin contours show the coseismic displacement of the 2011 Tohoku earthquake at an interval of 2 m, the same as Figure 3 Iinuma et al. (2012). Please note that values were not assigned at grid points with less than four earthquakes within 20 km of the epicentral distance. (b) Stress drops from 2012 to 2018. Clear temporal changes are observed associated with the 2011 Tohoku earthquake in areas C and D, corresponding to edges of the coseismic slip. (c) Stress drops for all the analyzed period of 2003 through 2018.

Figure 6. (a) Values of stress drop estimated from S waves as a function of focal depth. The red circles show average values for each depth band for every 10 km. Vertical bars express standard errors for individual earthquakes, as obtained from results at individual seismic stations and components. (b) Values of stress drop estimated from S waves as a function of magnitude. The red circles indicate average values for individual magnitude ranges. Vertical bars show standard errors (same as (a)). (c) Stress drops as a function of time for all the analyzed earthquakes. (d) Temporal characteristics of stress drop in the area C. (e) Temporal features of stress drop in the area D.

Figure 7. Relationship between the JMA magnitude and the apparent magnitude derived as the sum of the magnitude of EGF earthquakes (3.5) and values of  $(2/3) \log(R_r^C M_{0r})$  in Equation (9). Results in (a) and (b) show those derived from P and S waves, respectively.

Figure A1. (a) Example of an analyzed waveform of an earthquake with M4.8, which was recorded by the UD component at the station N.TROH. The color lines indicate the three time windows used in deconvolution, which were (P0) -0.50 to 9.73 s, (P1) 0.78 to 11.01 s, and (P2) 2.06 to 12.29 s after the P arrival similar to Fig. 2. The gray line shows a time window from 12.00 to 1.77 s before the arrival time of the P wave, which was used to calculate the spectrum of a noise in (b). Each time window has 1,024 data points. (b) Spectra of waveforms for the four time windows shown in (a). (c) Example of a waveform of an M3.5 earthquake that was used for an EGF. Note that the vertical scales in (a) and (c) are different. (d) Spectra of waveforms for the four time windows shown in (c). (e) Deconvolved spectra with the fitted omega-squared model. The color lines are deconvolved source spectra, that is, (b) divided by (d), for three individual time windows with a resampling of frequency bands. The black broken line shows the fitted omega-squared model with corner frequencies of 1.0 and 3.2 Hz for the analyzed and EGF earthquakes, respectively.

Figure A2. (a) Example of an analyzed waveform of an earthquake with M4.4, which was recorded by the UD component at the station N.IWEH. (b) Spectra of waveforms for the four time windows shown in (a). (c) Example of a waveform of an M3.5 earthquake that was used for an EGF. Note that the vertical scales in (a) and (c) are different. (d) Spectra of waveforms for the four time windows shown in (c). (e) Deconvolved spectra with the fitted omega-squared model. The color lines are deconvolved source spectra, that is, (b) divided by (d), for three individual time windows with a resampling of frequency bands. The black broken line shows the fitted omega-squared model with corner frequencies of 10.0 and 15.8 Hz for the analyzed and EGF earthquakes, respectively.

Figure A3. (a) Example of an analyzed waveform of an earthquake with M4.4, which was recorded by the NS component at the station N.IWEH. (b) Spectra of waveforms for the four time windows shown in (a). (c) Example of a waveform of an M3.5 earthquake that was used for an EGF. Note that the vertical scales in (a) and (c) are different. (d) Spectra of waveforms for the four time windows shown in (c). (e) Deconvolved spectra with the fitted omega-squared model. The color lines are deconvolved source spectra, that is, (b) divided by (d), for three individual time windows with a resampling of frequency bands. The black broken line shows the fitted omega-squared model with corner frequencies of 6.3 and 12.6 Hz for the analyzed and EGF earthquakes, respectively.

# Figures

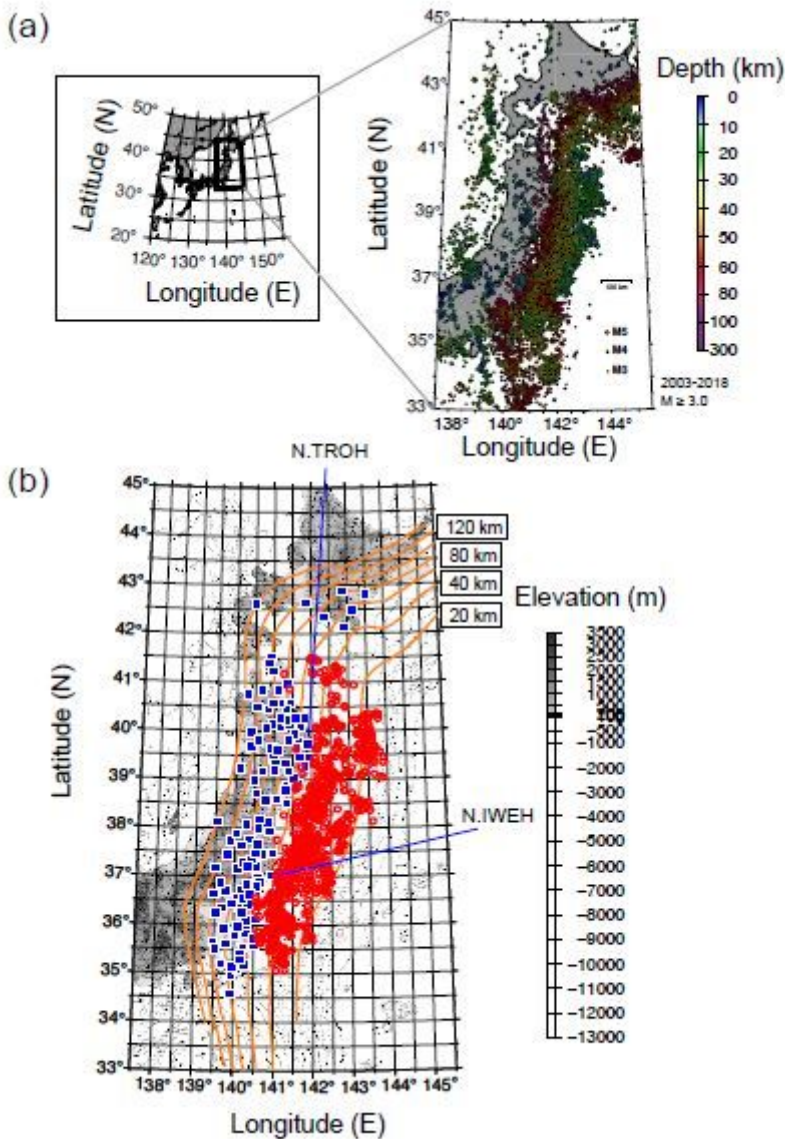
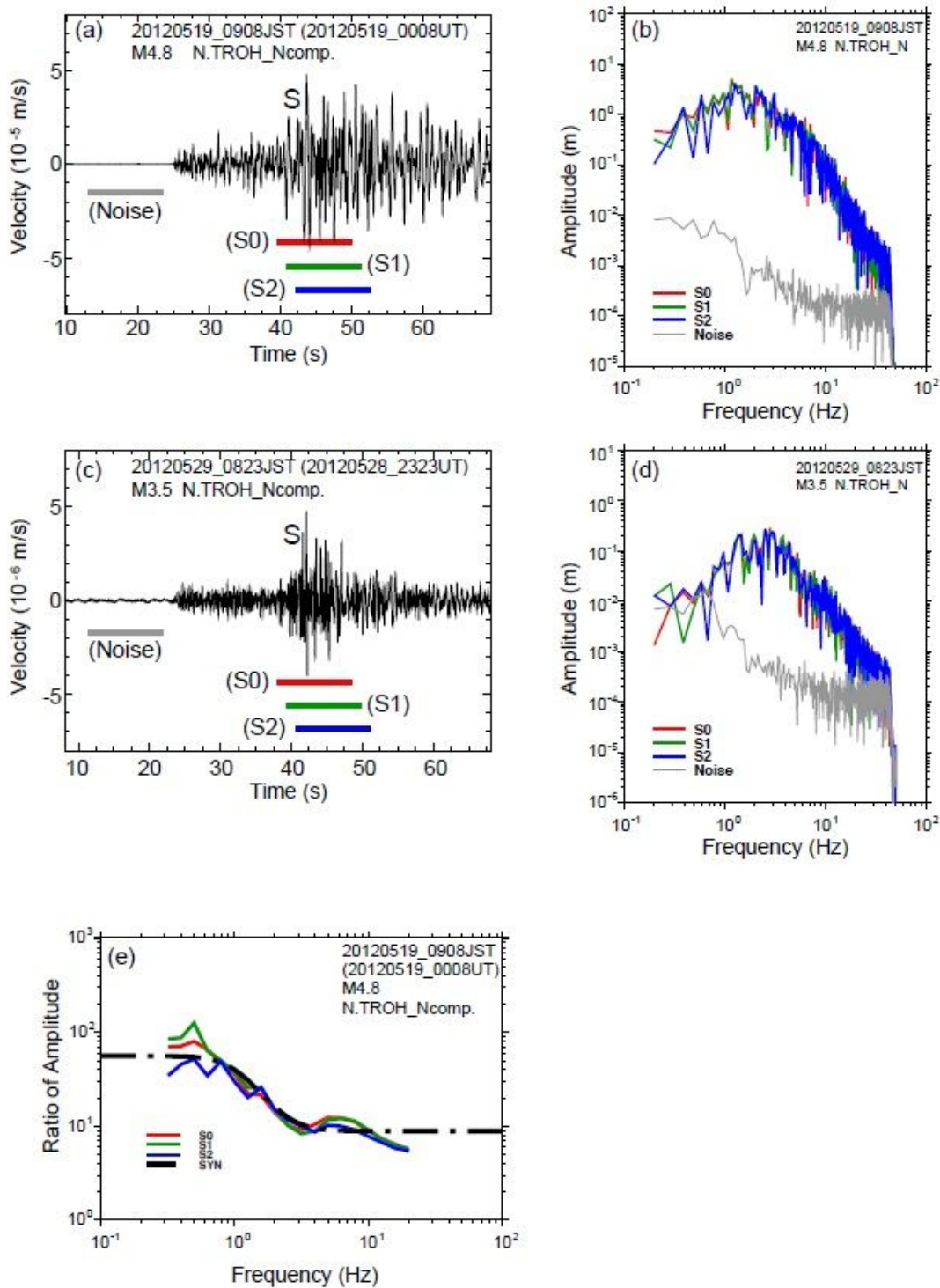


Figure 1

(a) Seismicity around the study region from 2003 to 2018. Hypocenters with M equal to or greater than 3.0, as determined by JMA, are plotted. The size and color of the symbols show the magnitude and depth of earthquakes, respectively. It is clearly described that most earthquakes take place on the subduction interface of the Pacific Plate. (b) Epicenters of analyzed earthquakes and locations of seismic stations used in this study. The red circles show hypocenters, and the blue squares represent seismic stations, including stations of Hi-net (NIED), JMA, Hokkaido University, Hirosaki University, and Tohoku University. The depth of the upper surface of the subducting Pacific Plate is indicated by orange lines with an interval of 20 km Kita et al. (2010); Nakajima and Hasegawa (2006); Nakajima et al. (2009). Waveforms observed at the stations N.TROH and N.IWEH are displayed in Figs. 2, A1, A2, and A3.





**Figure 2**

(a) Example of an analyzed waveform of an earthquake with M4.8. The horizontal color bars show three time windows used in obtaining spectra, which were (S0) -0.50 to 9.73 s, (S1) 0.78 to 11.01 s, and (S2) 2.06 to 12.29 s after the arrival time of S wave. The gray line indicates a time window from 12.00 to 1.77 s before the P arrival, which was used to calculate the noise spectrum in (b). Individual time windows include 1,024 data points. (b) Waveform spectra for the four time windows marked in (a). (c) Example of

a waveform of an M3.5 earthquake that was used for an EGF. Note that the vertical scale is different from that in (a). (d) Waveform spectra for the four time windows marked in (c). (e) Deconvolved spectra with the best-fit omega-squared model. The color lines show deconvolved source spectra, that is, (b) divided by (d), for three individual time windows with a resampling of frequency bands. The black broken line indicates the best-fit omega-squared model with corner frequencies of 1.0 and 2.5 Hz for the analyzed and EGF earthquakes, respectively.

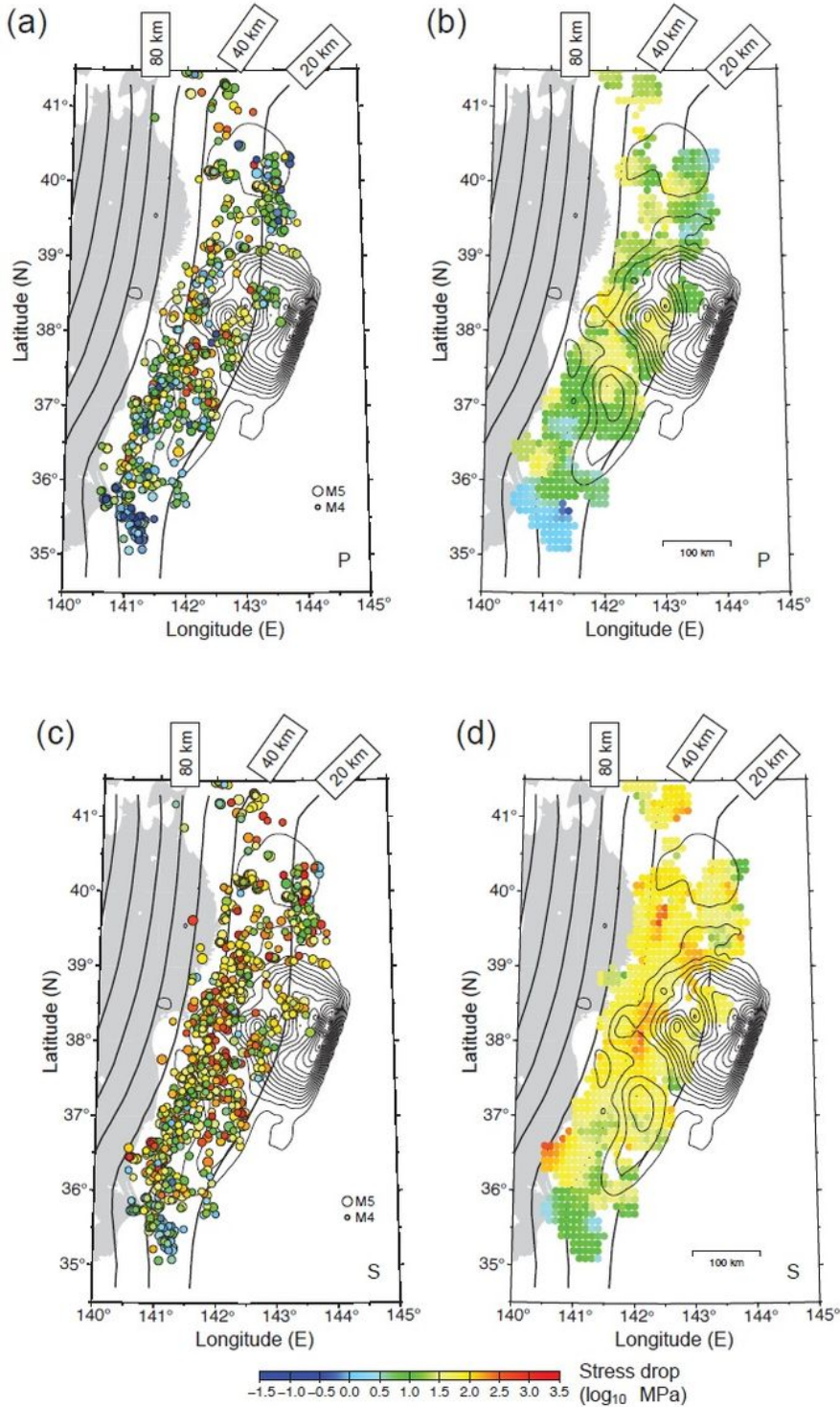
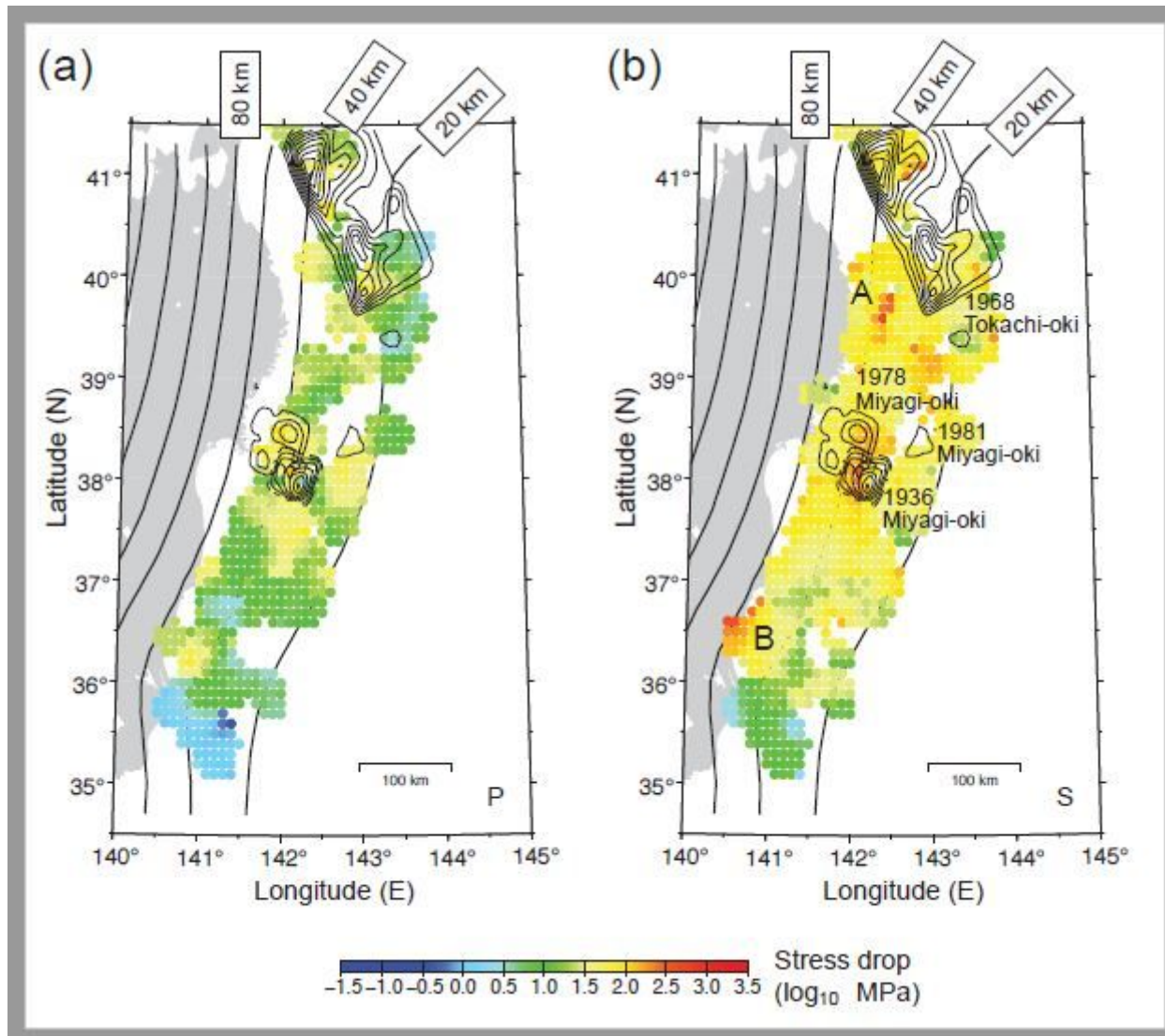


Figure 3

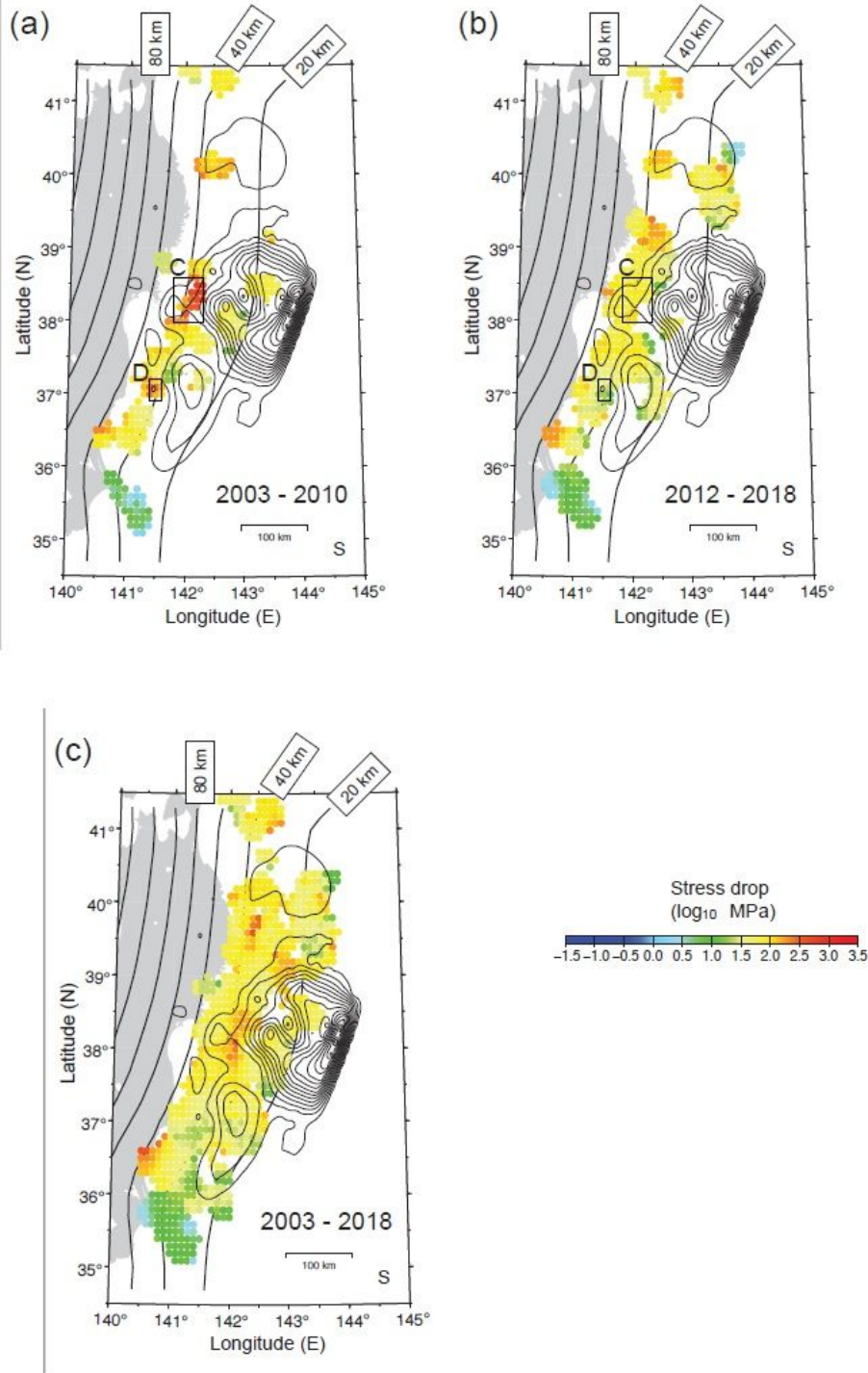
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**Figure 4**

Spatially smoothed stress drop derived from (a) P-wave and (b) S-wave analyses, the same as Figure 3. Thin contours show coseismic displacements of the following M7-8 large earthquakes for the 1968 Tokachi-oki, the 1978 Miyagi-oki, the 1981 Miyagi-oki, the 1989 Sanriku-oki, and the 2003 Miyagi-oki at an interval of 0.5 m Nagai et al. (2001); Yamanaka and Kikuchi (2004). Areas A and B, corresponding to

areas where repeating earthquakes have been observed Uchida et al. (2007); Okuda and Ide (2018), have higher values of stress drop. Refer to the text in detail.



**Figure 5**

(a) Spatial distribution of smoothed stress drop estimated by S-wave analyses from 2003 to 2010, which is before the 2011 Tohoku earthquake. Thin contours show the coseismic displacement of the 2011 Tohoku earthquake at an interval of 2 m, the same as Figure 3 Iinuma et al. (2012). Please note that

values were not assigned at grid points with less than four earthquakes within 20 km of the epicentral distance. (b) Stress drops from 2012 to 2018. Clear temporal changes are observed associated with the 2011 Tohoku earthquake in areas C and D, corresponding to edges of the coseismic slip. (c) Stress drops for all the analyzed period of 2003 through 2018.

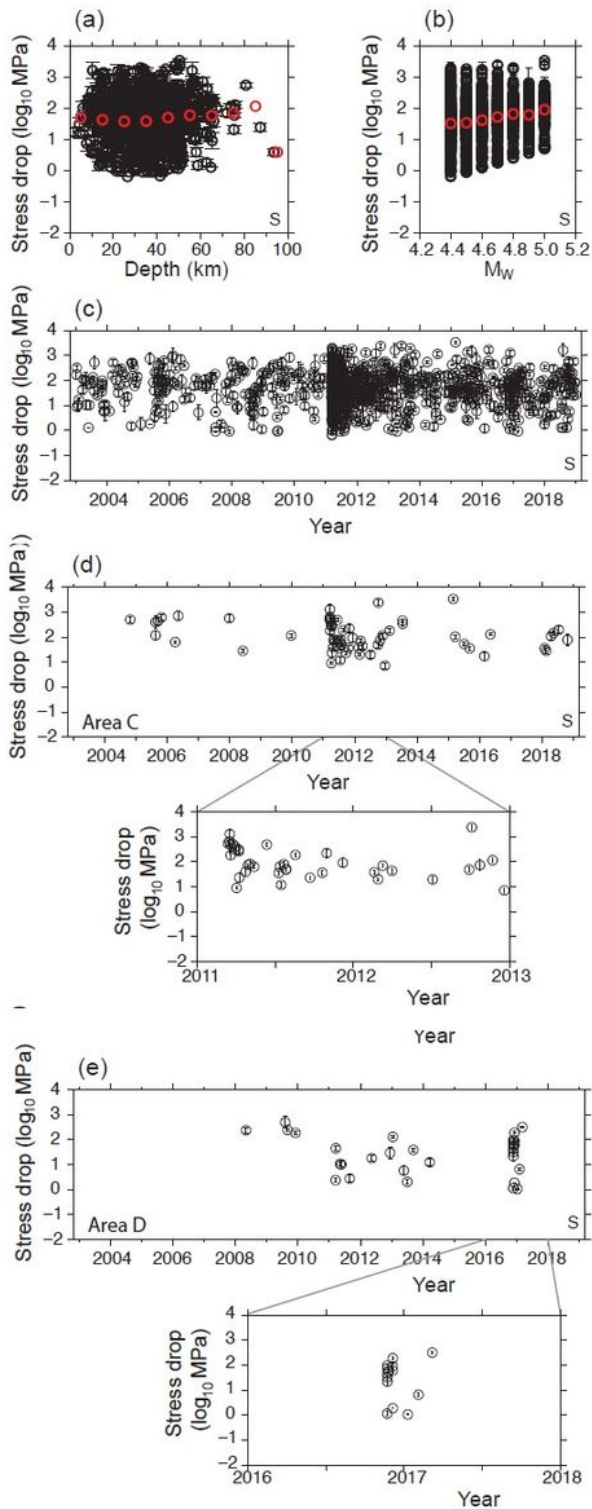
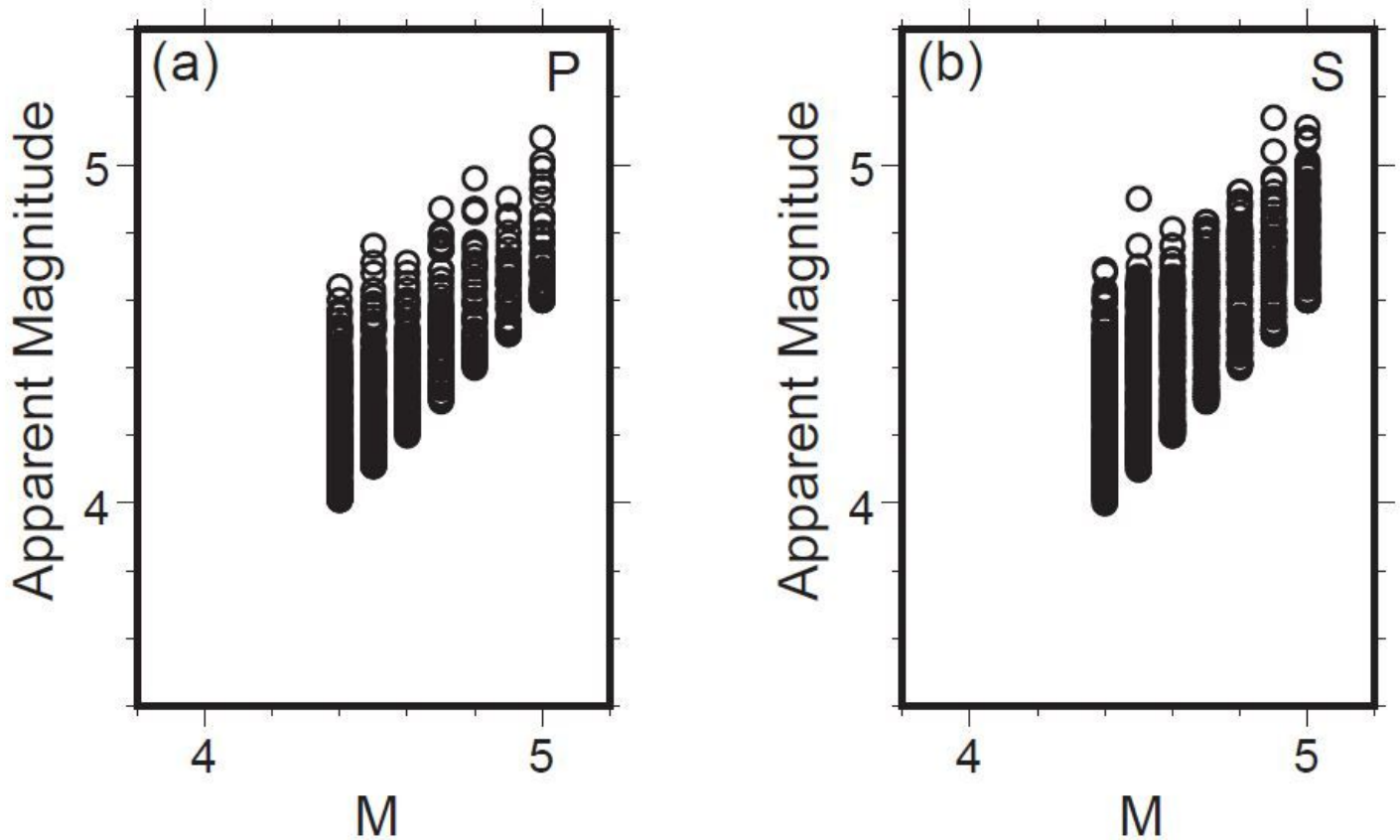


Figure 6

(a) Values of stress drop estimated from S waves as a function of focal depth. The red circles show average values for each depth band for every 10 km. Vertical bars express standard errors for individual earthquakes, as obtained from results at individual seismic stations and components. (b) Values of stress drop estimated from S waves as a function of magnitude. The red circles indicate average values for individual magnitude ranges. Vertical bars show standard errors (same as (a)). (c) Stress drops as a function of time for all the analyzed earthquakes. (d) Temporal characteristics of stress drop in the area C. (e) Temporal features of stress drop in the area D.



**Figure 7**

Relationship between the JMA magnitude and the apparent magnitude derived as the sum of the magnitude of EGF earthquakes (3.5) and values of  $(2=3) \log RCr M0r$  in Equation (9). Results in (a) and (b) show those derived from P and S waves, respectively.

## Supplementary Files

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