

1 **Changes in effective stress during the 2003-2004 Ubaye seismic swarm,**  
2 **France**

3

4 *Running title: Changes in effective stress during the Ubaye swarm*

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## 20 Abstract

21 We study changes in effective stress (normal stress minus pore pressure) that occurred  
22 in the French Alps during the 2003-2004 Ubaye earthquake swarm. Two complementary  
23 datasets are used. Firstly, a set of 974 relocated events allows us to finely characterize  
24 the shape of the seismogenic area and the spatial migration of seismicity during the  
25 crisis. Relocations are performed by a double-difference algorithm. We compute  
26 difference in travel-times at stations both from absolute picking times, and from cross-  
27 correlation delays of multiplets. The resulting catalogue reveals a swarm alignment  
28 along a single planar structure striking N130°E, and dipping 80°W. This relocated  
29 activity displays migration properties consistent with a triggering by a diffusive fluid  
30 overpressure front. This observation argues in favor of a deep-seated fluid circulation,  
31 responsible for a significant part of the seismic activity in Ubaye. Secondly, we analyze  
32 time series of earthquake detections at a single seismological station, located just above  
33 the swarm. This time series forms a dense chronicle of +16,000 events. We use it to  
34 estimate the history of effective stress changes during this sequence. For this purpose, we  
35 model the rate of events by a stochastic Epidemic-Type Aftershock Sequence model  
36 (ETAS) with a non-stationary background seismic rate  $\lambda_0(t)$ . This background rate is  
37 estimated in discrete time windows. Windows lengths are optimally determined  
38 according to a new change-point method, based on the inter-event times distribution.  
39 We propose that background events are directly triggered by a transient fluid  
40 circulation at depth. Then, using rate-and-state constitutive friction laws, we estimate  
41 changes in effective stress for the observed rate of background events. We assume that  
42 changes in effective stress occurred under constant shear stressing rate conditions. We

43 finally obtain a maximum change in effective stress close to -8 MPa, which corresponds  
44 to a maximum fluid overpressure of about 8 MPa under constant normal stress  
45 conditions. This estimate is in good agreement with values obtained from numerical  
46 modeling of fluid flow at depth, or with direct measurements reported from fluid  
47 injection experiments.

48 **Keywords:** *Ubaye seismic swarm, Seismicity rate, Pore-pressure changes, Declustering,*  
49 *Rate-and-State laws, Earthquake relocations.*

## 50 **1. Introduction**

51 Seismic swarms are dense and intensive episodes of microseismic activity. Generally, they do  
52 not consist in a simple succession of many larger shocks and their aftershocks. They rather  
53 exhibit a complex behavior, compared to typical seismic crisis, initiating with an increasing  
54 number of small events and ending after a variable term. The study of these phenomena is thus  
55 very challenging, as they question the very detailed behavior of seismicity. Seismic swarms  
56 also reflect transient changes of in-situ physical properties in the upper crust. Consequently, the  
57 analysis of swarm episodes is of importance, as it may potentially bear crucial information on  
58 the general earthquake preparation process at a human time scale.

59 This study focuses on the Ubaye valley area (Alpes-de-Haute-Provence, France; see Figure 1),  
60 which is the most seismically active region in the French western Alps [*Thouvenot and*  
61 *Fréchet, 2006*]. Seismic activity in this area is characterized both by moderate earthquakes  
62 (e.g. the historical M 5.5 Saint-Paul-sur-Ubaye earthquake in 1959) and episodic swarms.  
63 Using a temporary seismological network, *Fréchet and Pavoni (1979)* conducted the first study  
64 of a swarm in Ubaye. Subsequently, *Guyoton et al. (1990)* described another swarm episode in  
65 1989, soon after the installation of the permanent seismological network Sismalp  
66 (<http://sismalp.obs.ujf-grenoble.fr/>). They located it 5 km NE of Saint-Paul. In the present  
67 study, we analyze the most recent swarm episode in this area, which started in January 2003  
68 close to La Condamine-Châtelard, see Figure 1. This swarm consisted in a period of  
69 continuous seismic activity that lasted about two years. This sequence thus represents a new  
70 opportunity to improve our knowledge on the mechanics of swarm generation, and to study  
71 active faults in the Ubaye area.

72 In the literature, swarm occurrence is commonly related to the circulation of deep-seated fluids  
73 along, or in the vicinity of earthquake faults. Aseismic creep can also constitute an alternative  
74 trigger mechanism [*Lohman and McGuire, 2007*]. The close association between fluids and  
75 swarm relies either on direct observations of surface fluid flow accompanying the seismic  
76 activity (e.g. during the 1965-1967 Matsushiro swarm, Japan [*Tsuneishi and Nakamura,*  
77 *1970*]), or on the close association of swarm episodes with areas of important gas outflow (e.g.  
78 the western Eger rift, Bohemia, Czech Republic [*Weinlich et al., 1999; Hainzl and Ogata,*  
79 *2005; Bräuer et al., 2009*], the central Apennines, Italy [*Chiodini et al., 2000*]). Frequently,  
80 swarms occur in regions of geothermal or volcanic activity (e.g. swarms in the Long Valley  
81 caldera, California [*Savage et al., 1984; Hill and Prejean, 2005*]; at the Yellowstone volcanic  
82 field, western U.S. [*Farrell et al., 2009*]; or east of the Izu Peninsula, Japan [*Ukawa and*  
83 *Tsukahara, 1996*]). These peculiar settings suggest that stress perturbations associated with  
84 fluid overpressure at depth is a plausible mechanism for the driving of seismic swarms [e.g.  
85 *Yamashita, 1999; Hainzl and Ogata, 2005*].

86 During the Ubaye swarm, no fluid outflow was observed at the surface. However, the location  
87 of several hot springs located few tens of kilometers northwards and southwards from the study  
88 area reveals that current fluid circulations take place within the bedrock (Figure 1). According  
89 to these regional settings and to previous studies of swarms worldwide, we show here that a  
90 triggering of the Ubaye swarm by fluid overpressure is a very likely hypothesis. This  
91 hypothesis provides a coherent framework to explain the seismological observations. In section  
92 2, we present the dataset elaborated for the Ubaye seismic swarm. We describe the spatio-  
93 temporal evolution of the relocated dataset in section 3, and present the characteristics of a  
94 diffusive migration pattern. In section 4 we model the rate of events and introduce a new

95 objective statistical procedure to estimate the non-stationary background-forcing rate in  
96 discrete time-windows. In section 5 we estimate the amplitude of the effective stress changes  
97 leading to the observed earthquake rate, deduced from the rate-and-state constitutive laws  
98 [Dieterich, 1994]. We finally discuss our results in section 6.

## 99 **2. Data**

100 This study relies on the analysis of two complementary seismological datasets. The first one is  
101 a relocated catalogue of micro-earthquakes, with magnitudes ranging between -0.3 and 2.7.  
102 This dataset was originally located by the Sismalp seismological network [Thouvenot *et al.*,  
103 1990]. The second dataset consists in a report of (hand-picked) event detections at JAUF, the  
104 closest seismological station (Figure 1). This station was located right above the earthquake  
105 swarm and allowed the detection of a large number of small events. This report constitutes a  
106 chronicle of 16,147 detections with  $M_L$  estimates ranging from -1.3 to 2.7 [Jenatton *et al.*,  
107 2007].

### 108 **2.1 Relocated catalogue**

109 Less than 10% of the 16,147 microearthquakes that occurred in Ubaye during years 2003 and  
110 2004 were detected by a sufficient number of stations to be located. We have reprocessed the  
111 catalogue of earthquake relocations originally presented in Jenatton *et al.* (2007). For this  
112 purpose, we have included phase picks at 5 supplementary stations (deployed in the area from  
113 September 2003 to December 2004), and improved its accuracy by using travel-times  
114 estimated from the cross-correlation of similar events (multiplets). All manual phase picks  
115 and cross-correlation delays were merged in a double-difference algorithm using the

116 HYPODD software [*Waldhauser and Ellsworth, 2000*]. The main advantage of this relocation  
117 technique is that it allows the whole set of events to be located in a single operation. It also  
118 preserves the high accuracy of relative relocations within the multiplet.

119 We obtain one single large multiplet of 799 events with a mean coherence greater than or  
120 equal to 90% on at least 3 stations. High-precision travel time delay measurements were  
121 performed by pair-wise cross-correlation of the first 1.28 second of seismic waveforms in the  
122 spectral domain.

123 The computation of relocation uncertainties by a Monte-Carlo analysis led to an average  
124 location error of 100 m. The relocated catalogue thus consists in 1058 events that occurred  
125 between years 1989 and 2004. Among these, 974 earthquakes occurred during the crisis in  
126 2003-2004 and are displayed on Figure 2. We present a map view (Figure 2, top) and a cross-  
127 section (Figure 2, bottom) of the swarm, with events coordinates projected along a plane trend  
128 of azimuth N130°E and dip 80°W.

## 129 **2.2 Detection time series at station JAUF**

130 The permanent seismological station JAUF recorded 16,147 events that could be hand-picked.  
131 Differences in P- and S-waves arrival times were analyzed to select only events occurring  
132 within the swarm area. Unfortunately, most of them could not be located as they triggered too  
133 few or no other stations. Event magnitudes were estimated from peak amplitudes of  
134 seismograms and distances, according to a calibration based on located events of the sequence  
135 [*Jenatton et al., 2007*]. Magnitudes of this time-series span from -1.3 up to 2.7, leading to a  
136 total energy release equivalent to that of a magnitude 4 event. These authors also showed that  
137 magnitudes are consistent with a Gutenberg-Richter law [*Gutenberg and Richter, 1956*] with  
138 a b-value of  $1.2 \pm 0.03$ . The time-series contains 3546 events with magnitude greater than the

139 completeness threshold  $M_L=0.2$ . This threshold has been determined by visual inspection,  
140 based on the validity of Gutenberg-Richter law for higher magnitudes. We here use origin  
141 times at JAUF to calculate the swarm seismicity rate (Figure 3, grey line). For the sake of  
142 comparison, and in order to verify that both datasets present a similar temporal evolution, we  
143 displayed the rate of the 974 relocated earthquakes on Figure 3 (black curve).

### 144 **3. Spatial evolution of the swarm**

145 This section focuses on two main features of the relocated catalogue. First, it reveals a precise  
146 image of the fault zone geometry (section 3-1) and second, it suggests a peculiar temporal  
147 evolution of the seismic activity along this structure (section 3-2).

#### 148 **3-1. Geometry of the seismogenic structure**

149 In map view (see Figure 2a), the Ubye swarm appears as an elongated narrow cloud of micro-  
150 earthquakes. The seismicity is mainly located within a narrow 8 km-long and 1 km wide band.  
151 At depth, all events are located on a quasi-vertical structure. This, however, does not guarantee  
152 that the seismic activity occurred on a single fault. Such a cloud may as well be defined, for  
153 example, by events distributed along a dense network of numerous short faults with different  
154 orientations. We now aim at determining the fault zone structure associated with this swarm.  
155 We assume that micro-earthquakes are not randomly distributed within a volume but rather  
156 occur along planar faults/fractures. We then search for the preferential plane orientations, by a  
157 simple geometrical analysis of hypocenters spatial distribution.

158 We use the 3-point method (*Fehler et al. 1987*) to detect preferential planar alignments of  
159 hypocenters. This method relies on the distribution of plane orientations (strike, dip) obtained  
160 for each possible set of 3 events in the relocated catalogue (i.e. among 974 events). As the



161 orientation of planes defined by close events will have larger uncertainties because of locations  
162 errors, we restricted our analysis to events separated by at least 100 m. We also used a  
163 maximum separation distance of 10 km in order to remove events located far from the main  
164 swarm cluster. We remove the influence of the cluster elongated shape by normalizing the  
165 distribution of plane orientation with respect to 100 random location sets within a volume of  
166 comparable dimensions. We consider as significant every orientation occurring more than 3.62  
167 standard deviations above the corresponding level obtained with the random datasets. This  
168 corresponds to a ratio of 1 chance in 10,000 that this preferential alignment be indicated by  
169 random variations around the mean number of similar orientations in the random dataset  
170 [Fehler *et al.*, 1987]. The preferred plane then corresponds to the most frequent orientation  
171 above this threshold. This method also allows linking each seismic event with its preferred  
172 plane orientation, interpreted as the fracture plane on which this event most likely fell. For this  
173 purpose, we count how many times each event contributes to a set of 3 events aligned along a  
174 particular orientation. Events with the largest number of counts are those that occur along this  
175 particular plane.

176 Orientations of preferential planes are presented on Figure 4. Polar histograms display the  
177 number of relocated earthquakes associated with each strike (see Figure 4, left) and dip (see  
178 Figure 4, right) orientation. They show a clear prominence for planes striking  $N130^{\circ}E \pm 5^{\circ}$  and  
179 dipping  $80^{\circ} \pm 5^{\circ}$  to the west, according to the convention used in *Aki and Richards (1980)*. This  
180 range of orientations is in good agreement with the general trend of relocated seismicity, and is  
181 also close to the  $N145^{\circ}E$  direction obtained by *Jenatton et al. (2007)* from the set of original  
182 locations. Interestingly, we find no preferential orientation striking perpendicular to the cloud  
183 elongation direction, dismissing any possible interplay of conjugate faults during this episode.

184 We also notice that no temporal pattern is discernible in the evolution of the preferred  
185 orientation. Rather, the whole range of orientations represented on Figure 4 is associated with  
186 events from the initiation to the ending of the swarm episode. All these observations clearly  
187 argue in favor of a single seismogenic discontinuity at depth striking NW-SE and dipping  
188  $80^\circ$ W.

### 189 **3-2. Migration of the swarm activity**

190 The most striking feature of the Ubaye crisis is certainly its temporal evolution. This is  
191 highlighted on Figure 2 by a color-scaling of hypocenters depending on their date of  
192 occurrence. Relocated events exhibit a quasi-unilateral migration of micro-earthquakes from  
193 the NW to the SE, within a band located between 3 and 8 km at depth.

194 We here discuss the diffusive character of the Ubaye swarm migration. For this purpose, we  
195 measure the progressive spreading of the main swarm cluster during the sequence. For each  
196 time  $t$ , we compute the average distance  $R$  between all events that occurred at time  $t_i < t$  and the  
197 first earthquake of the sequence (Figure 5). Several previous studies have already documented  
198 the evolution of this distance  $R$  for earthquake sequences [Noir *et al.*, 1997; Marsan *et al.*,  
199 1999; Marsan *et al.*, 2000; Helmstetter *et al.*, 2003b; Huc and Main, 2003]. For various global  
200 or regional earthquake catalogues, these authors found that  $R$  increases slowly with time,  
201 according to  $R(t) \propto t^H$  with  $H$  close to 0.1 or 0.2. Helmstetter *et al.* (2003b) also noticed that  
202 this  $H$  value may vary from one individual sequence to another, and depends on the methods  
203 used to measure  $R$ . Such a relationship reveals that if a stress diffusion mechanism takes place  
204 within the Earth's crust, it occurs slowly, and may be very weak [Marsan *et al.*, 2000; Huc and  
205 Main, 2003].

206 Inspection of Figure 5 reveals that the seismic activity in Ubaye started to spread about 30 days  
207 after the swarm initiation. The average distance  $R$  increases up to the end of 2004, mainly  
208 along the preferential plane orientation, see also Figure 2. Interestingly, the spreading of the  
209 Ubaye sequence exhibits a quasi-diffusive character, characterized by a diffusion exponent  
210 value  $H=0.41 \pm 0.06$ . Thus, not only did this swarm migrate very clearly, but also this  
211 migration took place according to a process closer to a normal diffusion (i.e. with  $H=0.5$ ) than  
212 to the sub-diffusive process expected for typical earthquake sequences.

213 Normal diffusion processes characterize particle motions in physical systems close to  
214 equilibrium [e.g. *Vlahos et al., 2008*]. Within the Earth's crust, such behavior may either be  
215 related to a viscous relaxation mechanism, or to a pore-pressure balancing mechanism induced  
216 by fluid flow in a relatively homogeneous medium. In Ubaye, as the depth of relocated  
217 hypocenters lies within the upper, elastic, brittle part of the crust, we rather support the latter  
218 mechanism, i.e. fluids. We argue that a deep increase in pore-pressure by fluid flow is the most  
219 likely mechanism, and could unclamp favorably oriented faults/fractures by decreasing the  
220 effective normal stress. In other words, we claim that seismicity in Ubaye is the result of a non-  
221 stationary forcing by fluids, a well-known likely mechanism for the generation of earthquakes  
222 [e.g. *Nur and Booker, 1972*].

223 For several years hydraulic fracturing studies have been focusing on the relationship between  
224 such temporal spreading of the micro-seismicity and physical properties of the fractured  
225 medium, e.g. permeability [see *Shapiro et al. 1997, Shapiro et al., 2006b* for instance].  
226 Although their approach appears very attractive to characterize the fracturing process taking  
227 place during the swarm, these physical models require boundary conditions, or experimental  
228 settings, quite unlikely for natural seismic swarms. For instance, a constant fluid injection rate

229 may not be adequate for the Ubaye swarm, in reference with the size of the seismogenic  
230 volume and the long duration (2 years) of this episode. Nonetheless, the planar shape of the  
231 hypocenters cloud reveals that a fault zone with a higher permeability than the surrounding  
232 host rock was preexisting in the basement. When fluids invaded the medium during the swarm  
233 episode, this zone thus provided a natural channel for fluid circulation, and consequently, for  
234 earthquake occurrence. Recently, *Shapiro and Dinske (2009)* proposed a generalized model for  
235 microearthquakes migration that involves a nonlinear diffusion of fluids. According to their  
236 results,  $H \neq 0.5$  may either follow from a pressure-dependent diffusivity parameter, or from a  
237 time varying fluid injection rate. These two mechanisms may have likely controlled the  
238 migration process observed in Ubaye.

#### 239 **4. Non-stationary forcing of seismicity by fluids**

240 The driving of seismic swarms by fluids has been reported as a likely mechanism in numerous  
241 studies [e.g. *Hill et al., 1977; Yamashita, 1999; Horálek and Fischer, 2008*], although surface  
242 evidences of fluid flow are scarce [e.g. *Tsuneishi and Nakamura, 1970*]. Indeed in Ubaye no  
243 fluid outflow was observed during the sequence [*Jenatton et al., 2007*]. In the following, we  
244 hypothesize that a transient fluid circulation at depth led to a significant part of the swarm  
245 activity, the remaining part resulting from self-sustained cascades of aftershocks [*Hainzl and*  
246 *Ogata, 2005*]. We have developed a new methodology in order to retrieve the rate of micro-  
247 earthquakes induced by a non-stationary background forcing in discrete time-windows. We  
248 later associate this forcing with effective stress changes at depth. The procedure that we  
249 describe in the following aims at modeling the seismicity rate recorded at station JAUF as a  
250 stochastic process.

251 The earthquake rate detected at JAUF (Figure 3) cannot be consistent with a typical  
 252 mainshock-aftershock sequence. In Ubaye, we could not model satisfactorily the sequence as a  
 253 succession of aftershock sequences obeying the Omori law superimposed on a Poissonian  
 254 background rate. Such a behavior would lead to a temporal seismic response similar to that  
 255 modeled with an Epidemic-Type Aftershock Sequence model (ETAS) with a constant  
 256 background seismicity term [*Kagan and Knopoff, 1987; Ogata, 1988*]. Conversely, suitable  
 257 modeling of this sequence requires the involvement of a non-stationary background rate.  
 258 Consequently, we model the earthquake timeseries in Ubaye by a time-dependent Poisson  
 259 process. The probability to observe  $k$  seismic events during a time interval  $dt$  is given by

$$260 \quad P(k | \Lambda) = e^{-\Lambda} \frac{\Lambda^{-k}}{k!} \quad (1)$$

$$261 \quad \text{where} \quad \Lambda = \int_{t-dt}^t \lambda(s) ds$$

262 The rate  $\lambda(t)$  consists in the superposition of two distinct contributions: a non-stationary  
 263 background term  $\lambda_0(t)$  and an epidemic term  $\lambda_e(t)$ . This last term explicitly stands for the  
 264 probability that each event of the sequence generates its own secondary aftershocks [*Kagan*  
 265 *and Knopoff, 1987; Ogata, 1988*],

$$266 \quad \lambda(t) = \lambda_0(t) + \lambda_e(t) \quad (2)$$

$$267 \quad \text{with} \quad \lambda_e(t) = \sum_{i: t_i < t} \frac{A e^{\alpha(M_i - M_c)}}{(t - t_i + c)^p} \quad (3)$$

268 In this expression,  $t_i$  and  $M_i$  are, respectively the occurrence time and magnitude of an  
 269 earthquake  $i$ , whose magnitude is greater than, or equal to the magnitude of completeness  $M_c$ .  
 270  $A$ ,  $\alpha$ ,  $c$  and  $p$  are epidemic parameters. This formulation has been used in previous studies to  
 271 model seismicity rates and to retrieve the evolution of the non-stationary rate. Related studies

272 by *Hainzl and Ogata (2005)* applied such modeling to the Vogtland-West Bohemia swarm, and  
 273 *Matsu'ura and Karakama (2005)* to the Matsushiro swarm, Japan. Both studies improved  
 274 significantly the modeling of seismicity rates with respect to an ETAS model with a constant  
 275 background term  $\lambda_0(t)$ . In addition, *Hainzl and Kraft (2006)* related this non-stationary forcing  
 276  $\lambda_0(t)$  to changes in pore pressure  $P$  according to the formula

$$277 \quad \lambda_0(t) = \lambda_{00} + K \frac{\partial P}{\partial t} \quad (4)$$

278 where  $\lambda_{00}$  is a constant background rate and  $K$  is a proportionality constant. This link was  
 279 recently confirmed by *Llenos et al. (2009)*, who showed that, during swarm episodes, aseismic  
 280 forcing (e.g. fluids or creep) influences preferentially the background activity rate rather than  
 281 other epidemic parameters of the ETAS model.

282 Model estimation is here performed in two steps. Firstly, we determine an optimal set of  
 283 discrete time windows and estimate their respective background rate  $\lambda_0(t)$  for each time  
 284 window, based on the distribution of earthquake inter-event times. Secondly, we obtain the 4  
 285 epidemic parameters ( $A$ ,  $\alpha$ ,  $c$  and  $p$ ) that best explain the observed seismicity rate, using a  
 286 maximum likelihood procedure.

#### 287 **4-1 Discretization of $\lambda_0(t)$**

288 Objective discretization of the function  $\lambda_0(t)$  is an important concern. Indeed, there exists a  
 289 tradeoff between a choice of long time windows - that preserve the epidemic character of the  
 290 model but prevent to retrieve rapid changes of the forcing rate, - and a choice of short time  
 291 windows that tend to annihilate the epidemic contribution  $\lambda_e(t)$ . In the first situation, the model  
 292 converges towards the original ETAS formulation [*Ogata, 1988*] as the length of time windows  
 293 tends towards the length of the sequence. In the last situation, the model converges towards

294  $\lambda(t)=\lambda_0(t)$  as the length of time windows tends towards 0. In both cases, we may miss crucial  
 295 information concerning the interplay between a time-dependent external forcing  $\lambda_0(t)$  and the  
 296 self-triggering  $\lambda_e(t)$  of the seismic activity.

297 To overcome this difficulty, we here propose an objective procedure that optimizes the  
 298 discretization of the time axis into separate intervals for the estimation of  $\lambda_0(t)$ . We aim at  
 299 finding successive non-overlapping time windows during which we consider the background  
 300 external forcing  $\lambda_0(t)$  as constant. The estimation of  $\lambda_0(t)$  for each time window is based on the  
 301 method of *Hainzl et al. (2006)* that builds upon the fact that the probability density function of  
 302 inter-event times can be expressed as

$$303 \quad f(\delta t) = C e^{-a \delta t} (\delta t)^{-b} \quad (5)$$

304

305 with

$$306 \quad C = \frac{a^{1-b}}{\Gamma(1-b)} \quad (6)$$

307 where  $\delta t$  are the inter-event times,  $C$  is a normalization constant and  $\Gamma$  is the gamma function.  
 308 *Hainzl et al. (2006)* showed that  $a$  and  $b$  can be estimated by

$$309 \quad a = \frac{\overline{\delta t}}{\sigma_{\delta t}^2} \quad (7)$$

$$310 \quad b = 1 - (\overline{\delta t} \cdot a) = 1 - \frac{\overline{\delta t}^2}{\sigma_{\delta t}^2} \quad (8)$$

311 We note that this approach relies on the hypothesis of independent inter-event times, and that  
 312 taking into account their interdependence may affect our results. Following these authors, we

313 thus estimate the background rate as  $\lambda_0(t)=a$ . To evaluate the quality of the model  $f(\tau)$ , we  
 314 divide the  $\delta t$ -axis into  $N$  bins  $]0, \delta t_1], ] \delta t_1, \delta t_2], \dots$  such that  $\{\delta t_1, \delta t_2, \dots, \delta t_N\}$  are the observed  
 315 inter-event times ranked in ascending order. For a given bin  $]\delta t_{i-1}, \delta t_i]$  we observe exactly one  
 316 occurrence ( $\delta t_i$ ) of the inter-event times, while the model predicts

$$317 \quad \mu_i = N \int_{\delta t_{i-1}}^{\delta t_i} d\delta t \cdot f(\delta t) \quad (9)$$

318 occurrences, on average. We thus define the likelihood  $\ell = \prod_{i=1}^N e^{-\mu_i} \cdot \mu_i$  of the model, or

319 equivalently

$$320 \quad L = -\log(\ell) = \sum_{i=1}^N \mu_i - \ln(\mu_i) \quad (10)$$

321 Following the gamma law of *Hainzl et al. (2006)*, equations (9) and (10) can be written as

$$322 \quad \mu_i = N.P(1-b, a.\delta t_i) - N.P(1-b, a.\delta t_{i-1}) \quad (11)$$

$$323 \quad L = -\log(\ell) = N.P(1-b, a.\delta t_N) - \sum_{i=1}^N \ln(\mu_i) \quad (12)$$

324 where  $P$  is the lower incomplete gamma function.

325 In order to optimize the selection of time windows during which  $\lambda_0(t)$  is modeled as constant,  
 326 we use an objective change-point analysis. The rationale of the method is the following: let  
 327 consider a time period with  $N$  inter-event times  $\{\delta t_1, \delta t_2, \dots, \delta t_N\}$ . We want to know if this time  
 328 period is better characterized by a change in  $\lambda_0$  at a time  $t$  such that there are  $N_1$  inter-event  
 329 times for the time series prior to  $t$  and  $N_2$  after  $t$  ( $N=N_1+N_2$ ). We thus compare the two  
 330 hypotheses:



331 -  $\lambda_0(t)$  does not vary significantly between these two windows, hence a single model  
 332  $f(\delta t)$  can well describe the inter-event time distribution for the time period ;

333 -  $\lambda_0(t)$  varies significantly between these two windows, and we need to define two  
 334 distinct densities  $f_1$  and  $f_2$ , one for each window.

335 In the first case, the log-likelihood is  $L_1$  as obtained from equation (12). In the second case, we  
 336 compute  $L_2$  from equations (9) and (12), but with

$$337 \quad f(\delta t) = \frac{N_1}{N_1 + N_2} f_1(\delta t) + \frac{N_2}{N_1 + N_2} f_2(\delta t) \quad (13)$$

338 where  $f_1$  and  $f_2$  are parameterized independently for each window.

339 We search for the best time  $t$  (i.e. the change-point) by minimizing  $L_2$ . This change-point is  
 340 then kept if  $L_2$  is significantly lower than  $L_1$ . An objective procedure is to use the Bayesian  
 341 Information Criterion [Davison, 2003]:

$$342 \quad BIC = 2L + n \ln(N) \quad (14)$$

343 where  $n$  is the number of free parameters in the model ( $n_1=2$  in the first hypothesis of only one  
 344 density,  $n_2=5$  in the second hypothesis of two densities and a change-point). We keep the  
 345 change-point if  $\Delta BIC = 2*(L_2 - L_1) + (n_2 - n_1)*\ln(N)$  is negative, hence  $L_2 - L_1 < -3/2*\ln(N)$ .

346 This procedure starts with the entire window and is iterated until no further change-point is  
 347 required. For the Ubye swarm, we obtain a set of 6 discrete time windows for  $\lambda_0(t)$   
 348 corresponding to the interval between two successive change-points. Figure 6 displays the fit  
 349 of empirical inter-event times distributions by gamma distributions from equation 5. These  
 350 diagrams show a good agreement between all inter-event times and the gamma law. By

351 estimating  $\lambda_0(t)$  for each time interval associated with time windows defined according to this  
 352 change-point method, we ultimately provide the stair-step estimate of  $\lambda_0(t)$ , see Figure 7  
 353 (dashed line) and Table 1.

#### 354 **4-2 Epidemic parameters estimate**

355 We estimate the best set of epidemic parameters  $\hat{\theta} = \{A, \alpha, c, p\}$  by a maximum likelihood  
 356 procedure. We define it as the one that maximizes the following log-likelihood function:

$$357 \quad L'(\theta) = \sum_k \ln \lambda(t_k; \lambda_0; \theta) - \int_0^T \lambda(t; \lambda_0; \theta) dt \quad (15)$$

358 where  $T$  is the duration of the catalog, and  $t_k$  are earthquake occurrence times. We suppose  
 359 parameters  $A$ ,  $\alpha$ ,  $c$  and  $p$  to be constant, i.e. we make the hypothesis that the self-triggering  
 360 process remains the same during the whole swarm sequence. Considering the seismicity rate  
 361 model given in equations (2) and (3), we note that, for any  $\theta$ , the log-likelihood value will  
 362 depend strongly on the shape of  $\lambda_0(t)$ . As our strategy for the estimation of  $\hat{\theta}$  relies on an  
 363 independent estimate of  $\lambda_0(t)$ , this procedure guarantees a robust estimation of  $\hat{\theta}$ .

364 Again, we use the BIC criterion (equation 14) with  $n=4$  (number of epidemic parameters),  
 365  $L=L'$  and  $N=3546$  to check that the ETAS model with a non-stationary rate  $\lambda_0(t)$  significantly  
 366 improves the modeling, with respect to the formulation involving only a stationary background  
 367 seismicity rate. The non-stationary parameterization leads to a BIC value of -10304, which is  
 368 smaller than the value of -9880 obtained for the stationary background model. This decrease of  
 369 the BIC criterion thus ensures that the non-stationary model provides a better fit to the data,  
 370 while preserving a reasonable level of model complexity.

371 Best epidemic parameters correspond to values of  $A=0.0199 \pm 0.0006$ ,  $\alpha=1.246 \pm 0.014$ ,  
 372  $c=(1.35 \pm 0.67) \cdot 10^{-4}$  and  $p=1.065 \pm 0.001$ . Confidence intervals here correspond to the range of

373 values enclosing a 63% decrease of the likelihood function. Interestingly, these estimates of  
374 parameters  $A$ ,  $\alpha$ ,  $c$  and  $p$  fall within the common range for seismicity observed in typical  
375 tectonic environments [Ogata, 1992]. This indicates that the self-triggering process in Ubye is  
376 very similar to what is observed along major faults at plate boundaries [e.g. Helmstetter et al.,  
377 2003a; Marsan and Lengline, 2008]. We also interpret this close similarity as an indication that  
378 our modeling procedure properly succeeded at separating both contributions from, on one  
379 hand, the non-stationary forcing and on the other hand, the cascading process of secondary  
380 aftershocks.

381 The resulting model (black curve) of the swarm seismicity rate is in very good agreement with  
382 the rate observed at JAUF (gray curve), see Figure 7. This figure also displays the contribution  
383 of the non-stationary forcing rate  $\lambda_0(t)$  (dashed curve) to the total seismicity rate of the Ubye  
384 swarm. The forcing-induced activity rate increases progressively from the beginning of the  
385 swarm up to its apex between day 174 (2003/06/23) and day 350 (2003/12/16), when it led to  
386 about 5 events per day. Afterwards, this forcing slowly and progressively weakens towards the  
387 end of 2004. The general evolution of the forcing rate consequently presents an evolution that  
388 is quite similar to the overall trend of observed activity. This is an indication that low  
389 frequency variations of the earthquake rate may be related to a slow and progressive external  
390 forcing mechanism, while high frequency variations may be related to cascades of aftershocks  
391 sequences. We also note that our model fails at reproducing the amplitude of the four  
392 prominent peaks of seismic activity occurring respectively at days 174, 198, 243 and 276. This  
393 failure is a direct consequence of the definition of  $\lambda_0(t)$  as a stair-step function. Indeed, by  
394 keeping a constant value for  $\lambda_0(t)$  in each time window, we prevent the model to adapt rapid

395 fluctuations of the background-forcing rate, probably related with strong transients of the fluid  
396 overpressure.

397 As explained in the previous section, our estimates of the background rate rely on *Hainzl et al*  
398 *(2006)*'s method. In Table 1 we also provide estimates obtained from two other procedures.

399 The first alternative technique consists in inverting jointly the ETAS epidemic parameters and  
400 background values for all windows (we use time windows as presented in Figure 7). The

401 second alternative technique attempted at reconstructing the background rate from the  
402 difference between the observed rate of event and the rate of triggered events (estimated from

403 the ETAS triggering kernel using  $A$ ,  $\alpha$ ,  $c$  and  $p$  estimates presented in this section). This daily  
404 background rate estimate was initially smoothed over a 100 days time window, and afterwards

405 averaged for each of the time windows defined above. Although the joint inversion technique  
406 delivers background rate values quite close to estimates using *Hainzl et al (2006)*'s method, the

407 second alternative “background reconstruction” technique show higher discrepancies in respect  
408 to this method. Such differences between background rate estimates for these two techniques

409 (see Table 1) may partly be due to the smoothing used for the background reconstruction  
410 technique (alternative 2), and to the use of different sets of parameters  $A$ ,  $\alpha$ ,  $c$ , and  $p$ . However,

411 all of background rate estimation techniques explained here present overall a reasonable level  
412 of coherency, and background rate estimates undergo very similar evolution patterns.

413 For the next part of the analysis, we use the background estimates obtained using the modified  
414 change-point procedure described in section 4-1. This technique presents the advantages of

415 being the most objective, and the most appropriate method to decluster the Ubye dataset.  
416 Alternative modeling using time windows with constant duration, or constant number of events

417 have proved to lead to worse adjustments, in terms of BIC values. Best results have been  
 418 obtained using the modified change-point technique.

419

## 420 **5. Retrieval of effective stress changes**

421 In this section, we estimate changes in effective stress (normal stress minus pore pressure)  
 422 using the earthquake rate at JAUF declustered from its epidemic cascades of aftershocks. The  
 423 link between the seismicity rate and stress changes arises from the constitutive laws based on  
 424 rate-and-state friction and proposed by *Dieterich (1994)*.

425 In the following, we hypothesize that the rate  $\lambda_0(t)$  is directly related to a time-dependent  
 426 change in effective stress within the swarm area. According to the Mohr-Coulomb criterion a  
 427 decrease of the effective stress  $\sigma = \sigma_n - \tilde{p}$  may favor the friction of rocks (i.e. earthquake  
 428 occurrence) by unclamping faults at depth. Such a decrease of the effective stress can either be  
 429 related to a decrease in normal stress  $\sigma_n$ , or to an increase in pore-pressure  $\tilde{p}$ . This also  
 430 amounts to consider that cascades of secondary aftershocks ( $\lambda(t) - \lambda_0(t)$ ) reflect the amount of  
 431 seismicity triggered by shear stress changes on optimally oriented fault planes.

432 *Dieterich et al. (2000)* showed that local Coulomb stress changes could be estimated from the  
 433 temporal changes of the seismicity rate in a given region. According to these authors, there is a  
 434 non-linear relationship between stress changes and seismicity rates for a population of faults  
 435 governed by rate-and-state friction laws [*Dieterich, 1994*]. The seismicity rate  $R$  depends on a  
 436 state variable  $\gamma$  according to

$$437 \quad R = \frac{r}{\gamma \dot{\tau}_r} \quad (16)$$

438 where  $r$  is a reference seismicity rate under a reference shear stressing rate  $\dot{\tau}_r$ . The evolution of  
 439 the state variable  $\gamma$  is governed by the following differential equation:

$$440 \quad d\gamma = \frac{1}{A'\sigma} \left[ dt - \gamma d\tau + \gamma \left( \frac{\tau}{\sigma} - k \right) d\sigma \right] \quad (17)$$

441 In this expression,  $A'$  and  $k$  are constitutive parameters,  $\sigma$  stands for effective stress and  $\tau$  for  
 442 shear stress.

443 Here, we set  $R(t) = \lambda_0(t)$ , and we calculate  $\gamma(t)$  by use of equation 16. We use a quasi-static  
 444 formulation of equation 17 with time steps of length  $dt = 1$  day. For each time step,  $\sigma(t+dt)$   
 445 corresponds to  $\sigma(t) + d\sigma$ , where  $d\sigma$  is obtained by solving equation 17. In other words, we  
 446 assume a constant stressing rate for shear stress ( $d\tau = \dot{\tau} dt$ ) and a quasi-static evolution of  
 447 effective stress  $d\sigma$  and  $\gamma$ , with  $d\gamma = \gamma(t+dt) - \gamma(t)$ . This approach tends to underestimate large  
 448 amplitude, short-lived changes in  $|d\sigma|$  as the background rate is averaged over longer time  
 449 intervals (see the discussion on time windows in section 4-1).

450 We select parameters values according to values reported in the literature. We consider a  
 451 secular linear increase in shear stress with time of  $\dot{\tau} = 2.5 \text{ kPa.yr}^{-1}$ , based on geodetic estimates  
 452 in the area [Ferhat *et al.*, 1998] and on a shear modulus equal to  $0.25 \cdot 10^{11} \text{ Pa}$ . This hypothesis  
 453 for shear stress changes appeared as the most reasonable due to the likely influence of fluid  
 454 pressure on the swarm activity. In addition, to the authors' knowledge, no complementary  
 455 geodetic dataset exists to better constrain the evolution of  $d\tau$  during this episode. The  
 456 reference earthquake rate  $r$  for  $M_L \geq 0$  is estimated from the rate  $r_1$  of  $M_L \geq 1$  event located in the  
 457 area between 1989 and 2002, when no prominent seismic activity occurred. We obtain  $r_1 = 0.3$   
 458 event/year with  $M_L \geq 1$  from the relocated catalogue, which leads to  $r = r_1 \cdot 10^{b(1-0.2)} = 2.74$   
 459 events/year with  $M_L \geq 0.2$ . We express changes in effective stress relatively to a reference

460 steady-state value  $\sigma_0$  before the swarm initiation. We choose  $\sigma_0$  to be equal to the overburden  
 461 pressure (with bulk density  $\rho=2700 \text{ kg.m}^{-3}$ ) minus the hydrostatic pressure at 5 km depth. This  
 462 leads to a steady-state effective stress of  $\sigma_0=83 \text{ MPa}$ . According to equation 17 the amplitude  
 463 of effective stress changes  $d\sigma$  is directly related to  $\sigma_0$ . We have also observed that the relative  
 464 height of stress steps increases when  $\sigma_0$  increases. As a consequence, the selection of initial  
 465 hydrostatic conditions thus represents a lower bound for changes in effective stress, that is,  
 466 respectively, a higher bound for changes in pore-pressure. Initial shear stress was chosen to be  
 467 equal to 0.6 times the steady-state effective stress, i.e. we suppose the crust to be close to a  
 468 critical state for rupture. Laboratory measurements suggest that the  $A'$  parameter usually  
 469 ranges between  $0.005$  and  $0.015$  [Dieterich *et al.*, 2000]. As we have no a priori knowledge on  
 470 pressure and temperature conditions within the source volume, we choose an average value, i.e.  
 471  $A' = 0.01$ . The resulting amplitude of effective stress is also related to the value of parameter  
 472  $A'$ , see equation 17, although stress changes remain of the same order. That is, we obtained  
 473 maximum stress changes of  $-3$  and of  $-9 \text{ MPa}$ , respectively for  $A'$  equal to  $0.005$  and  $0.015$ .  
 474 Parameter  $k$  is set equal to  $0.23$  [Linker and Dieterich, 1992].  
 475 Figure 8 displays the effective stress history obtained using this procedure. The step-like shape  
 476 is obviously unrealistic but is directly inherited from assumptions on  $\lambda_0(t)$ . This curve should  
 477 consequently be understood as a first-order estimate of effective stress changes during the  
 478 swarm. Negative changes in effective stress mean that the triggering of micro-earthquakes  
 479 during the Ubaye swarm occurred either by a decrease in normal stress or by an increase in  
 480 pore-fluid pressure. Finally, if one assumes constant normal stress conditions, this result  
 481 suggests that a pore-pressure increase of about  $8 \text{ MPa}$  was sufficient to generate 41% (1448

482 background events) of the seismic activity in Ubaye between January 2003 and December  
483 2004.

## 484 **6. Discussion**

485 In the previous sections, we have shown that the Ubaye swarm *i)* occurred on a simple planar  
486 structure striking N130E and dipping 80°W, *ii)* exhibited an unusual diffusive migration of  
487 hypocenters towards the SE, and *iii)* required the contribution of an external non-stationary  
488 forcing rate in addition to the self-triggering of seismicity (via cascades of secondary  
489 aftershocks). Assuming that fluid circulations at depth induced a significant part of this  
490 activity, we explain the migration of earthquake hypocenters as the result of a fluid diffusion  
491 process within the crystalline basement. Moreover, the distribution of seismicity along a  
492 preferential plane suggests that fluids may have propagated through a more permeable channel,  
493 possibly inherited from a preexisting fault structure. The diffusive migration of hypocenters  
494 during the swarm is also an indication that fluid overpressure at depth was not high enough to  
495 open new fractures in the medium.

496 The evocation of deep fluid circulation is of common use for explaining the spatial and  
497 temporal properties of seismic swarms [*Horálek and Fischer, 2008*]. In Ubaye, although no  
498 fluid outflow was observed during the sequence, we propose that a fluid overpressure at depth  
499 was responsible for the 2003-2004 swarm episode. First, this proposition relies on the  
500 similarity of the earthquake migration pattern with those observed during other swarm episodes  
501 that have been convincingly related with fluid circulations [*Tsuneishi and Nakamura, 1970*;  
502 *Horálek and Fischer, 2008*]. Second, it also relies on considerations about the present and past  
503 fluid circulations in the same bedrock, observed few kilometers further south. Recalling that  
504 the swarm activity was confined within a 3 to 8 km band at depth, the seismogenic structure of



505 the swarm is most probably confined within the crystalline bedrock, rather than within the  
506 overlying 1- to 2-km-thick Embrunais-Ubaye nappe [*Jenatton et al., 2007*]. The bedrock crops  
507 out few kilometers south of the Ubaye valley, forming the Argentera Massif. In this massif,  
508 numerous outcropping fault structures and rock weathering related with fluid circulations can  
509 be studied directly in the field. Fault structures show preferential orientations along a direction  
510 sub-parallel to the swarm alignment (see *Baietto et al., 2009* and references therein).  
511 Furthermore, several places in the Argentera Massif are well known for their geothermal  
512 activity, like Bagni di Vinadio, Italia, or Terme di Valdieri, Italia, about 15 km southeast of the  
513 former (Figure 1). *Baietto et al. (2008; 2009)* studied the geological settings related with  
514 geothermal circulations in these areas. They reported an important fluid outflow at Terme di  
515 Valdieri, with a bulk discharge rate of  $50 \text{ kg}\cdot\text{s}^{-1}$  and a fluid temperature reaching up to  $70^\circ\text{C}$ .  
516 According to these authors, fluids chemical properties are also consistent with a circulation  
517 path within the crystalline basement, that is, going down to 5-6 km depth below the surface. As  
518 a consequence, the involvement of fluid circulations within the basement in Ubaye appears a  
519 very reasonable hypothesis, and is quite consistent with circulation depth estimated in the  
520 Argentera area.

521 The analysis presented in section 5 shows that changes in effective stress can be estimated by  
522 use of the complete form of the differential equation for rate-and-state constitutive laws (see  
523 equation 17). Assuming constant normal stress during the sequence, a progressive increase in  
524 pore-pressure up to about 8 MPa could be sufficient to trigger the *16,147* events swarm. Figure  
525 8 also shows that pore-pressure progressively increased to this maximum value in 350 days,  
526 and decreased afterwards by 7 MPa in about 350 days. This slow evolution of the pore-  
527 pressure may explain the particularly long duration of this swarm episode.

528 These estimates of pore-pressure change are in good agreement with numerical modeling of  
529 fluid circulations during swarm episodes, and with observations from fluid injection  
530 experiments. In a recent study of the 1965-1967 Matsushiro swarm in Japan, *Cappa et al.*  
531 (2009) argued that pore-pressure changes of 4 MPa were necessary to quantitatively reproduce  
532 the observed seismicity, deformation, and fluid outflow at the surface. *Hainzl and Ogata*  
533 (2005) also found that a pore-fluid diffusion mechanism with a maximum pore-pressure  
534 change of 2 to 5 MPa was compatible with the seismic properties of the Vogtland-West  
535 Bohemia swarm. In another example, *Miller et al. (2004)* showed that CO<sub>2</sub> pore-pressure  
536 changes of about 10-20 MPa can explain the spatial migration of the 1997 sequence of 6 M>5  
537 earthquakes in central Italy. These authors also argued that such changes in pore-pressure are  
538 large enough to overwhelm static shear stress changes. In Ubaye, we find that for pore-pressure  
539 changes of about 8 MPa, shear stress transfers (leading to successive cascades of aftershocks)  
540 could still induce 59% of the seismic activity. Our estimates also agree with the results of  
541 *Cornet et al. (1997)* who reported seismicity in response to overpressure between 5 and 10  
542 MPa during the 1993 fluid injection experiment at Soultz-sous-Forêts, France. The initiation of  
543 the swarm activity for very slight pore pressure changes (< 1 MPa) during the first days of  
544 2003 is also very consistent with the conclusions of *Zoback et al. (1997)* and *Shapiro et al.*  
545 (2006a), and confirms the critical state of the fault before the swarm episode.  
546 *Toda et al. (2002)* proposed that earthquake swarms might be driven by change in shear  
547 stressing rate. They proposed that, according to this principle, aftershock duration would  
548 decrease with increasing shear stressing rate changes. However, we show here that the decrease  
549 in effective stress due to pore-pressure diffusion at depth constitutes another viable explanation  
550 for swarm generation. Our results also indicate that the seismicity in Ubaye area results from

551 the superposition of a time-varying external forcing over cascades of seismicity with constant  
552 aftershock duration.

## 553 **7- Conclusion**

554 We have presented a new analysis of the Ubaye seismic swarm. This study relies on the  
555 catalogue built by the French Sismalp seismological network, which we improved by  
556 relocating 974 earthquakes. We also used the time series of 16,147 event detections at station  
557 JAUF in 2003-2004. We have identified a clear spatial migration of earthquakes, along a sub-  
558 vertical N130E fault structure. We interpreted this as the result of fluid circulation at depth.  
559 Thus, the initiation and development of the Ubaye swarm could be related to the diffusive  
560 propagation of fluid overpressure within the crystalline basement. An important result of this  
561 study is the assessment of the associated fluid overpressure from the analysis of the earthquake  
562 rate. This calculation is based on rate-and-state constitutive laws applied to the non-stationary  
563 rate of fluid-driven (i.e. background) seismicity. We found that pore-fluid pressure varied with  
564 time during the swarm sequence, with a maximum excess of pore-pressure of 8 MPa, with  
565 respect to the level that preexisted before January 2003. This value is comparable with  
566 estimates from numerical modeling of swarms in Italy and in Japan, or with direct pressure  
567 measurements realized during fluid injection experiments.

568 Besides, some aspects of the fracture process still remain open questions, and could not be  
569 addressed within the framework of the present study. For example, was the permeable channel  
570 localized within the core or within the damage zone of the source fault? What was the  
571 physico-chemical nature of fluids involved? How can we model their path to the seismogenic  
572 zone? Did the presence of the overlying nappes in Ubaye played a role in the structure design  
573 of the source?

574 Each of these aspects needs further investigation in the framework of a careful geological  
575 study of the area. Clarifying the process of fluid refill, its behavior at depth and its interplay  
576 with the basement geology are now essential steps to consider for a comprehensive  
577 explanation of episodic swarm occurrences in the Ubaye valley, and worldwide.

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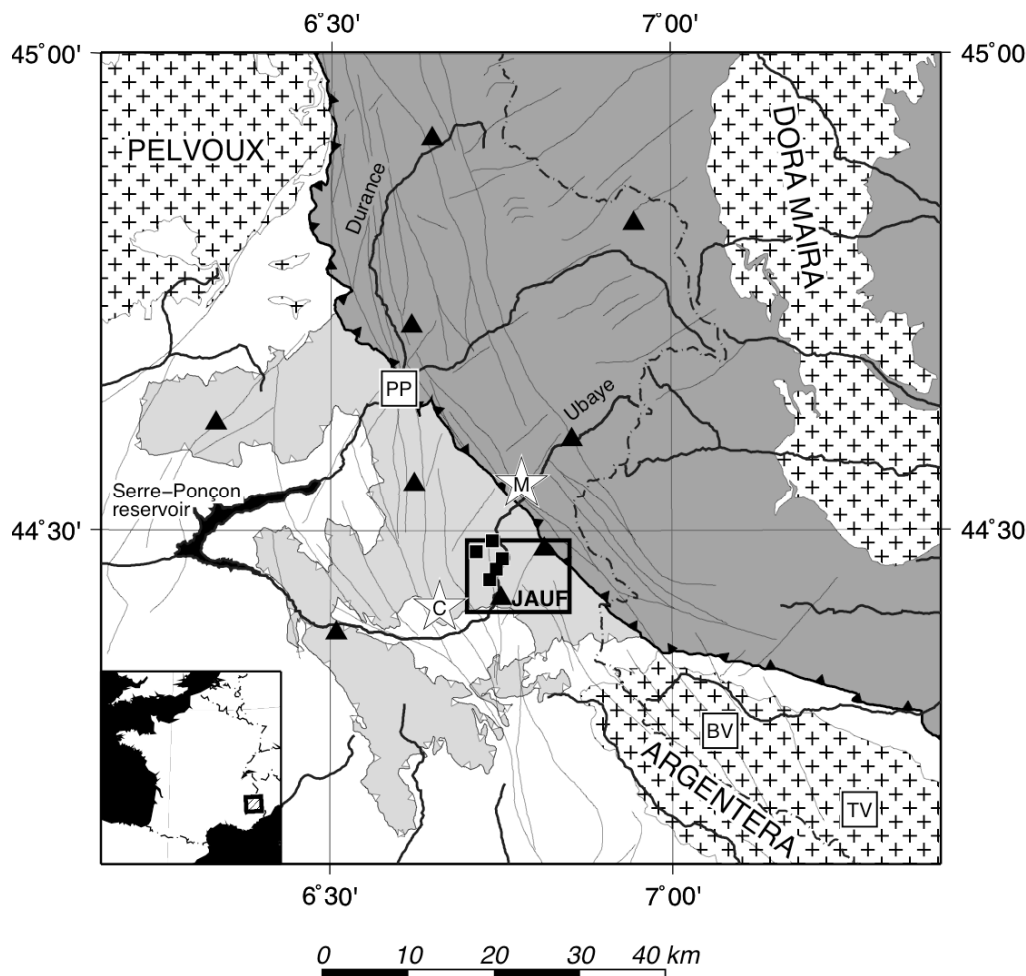
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Window starting time (days)	0	130.7	174	350.8	458.8	614.9
Window ending time (days)	130.7	174	350.8	458.8	614.9	730
$\lambda_0(t)$ ( event/day) <i>Hainzl et al (2006)</i> 's method	<b>1.06</b>	<b>2.52</b>	<b>4.99</b>	<b>1.78</b>	<b>0.65</b>	<b>0.24</b>
$\lambda_0(t)$ ( event/day) Alternative 1: Joint inversion	0.92	3.04	3.79	0.76	0.41	0.27
$\lambda_0(t)$ ( event/day) Alternative 2: Background reconstruction method	0.66	2.93	2.84	0.35	0.21	0.03

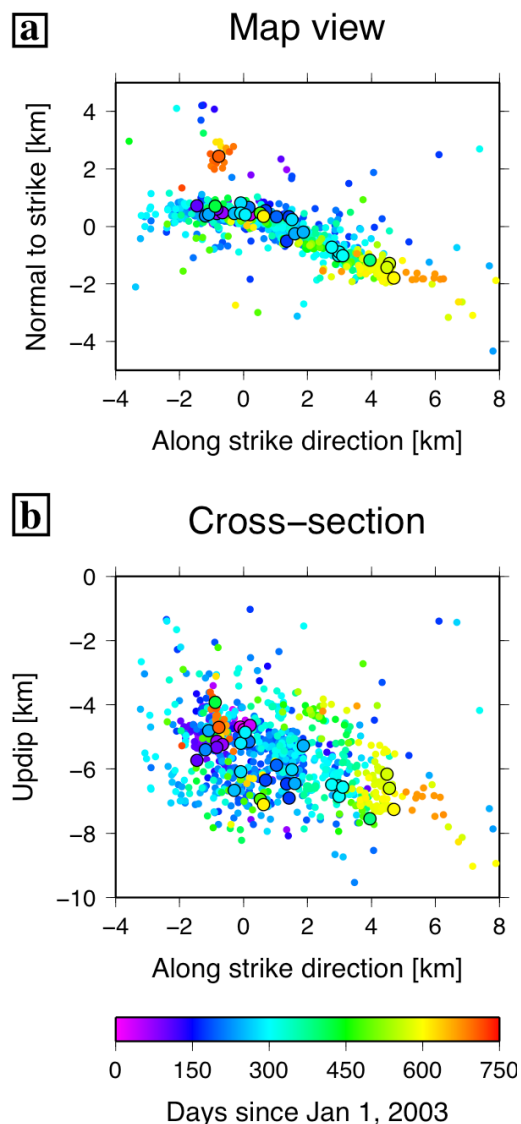
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729 Table 1: Limits of optimal time windows and amplitude of the background rate. We here  
730 present background rate estimates obtained from three different algorithms. Best adjustments  
731 are obtained using *Hainzl et al. (2006)*'s method. Two alternative techniques were tested. The  
732 first one inverts jointly ETAS epidemic parameters and background values. The second  
733 technique reconstructs the background rate from the difference between the observed rate of  
734 event and the rate of triggered events (obtained from the ETAS triggering kernel and  $A$ ,  $\alpha$ ,  $c$ ,  
735 and  $p$  estimates). The differences between the background estimates for the alternative  
736 techniques 1 and 2 may partly be due to the smoothing used for the background reconstruction  
737 technique (alternative 2), and to the use of different sets of ETAS parameters  $A$ ,  $\alpha$ ,  $c$ , and  $p$ .  
738 See section 4-2.



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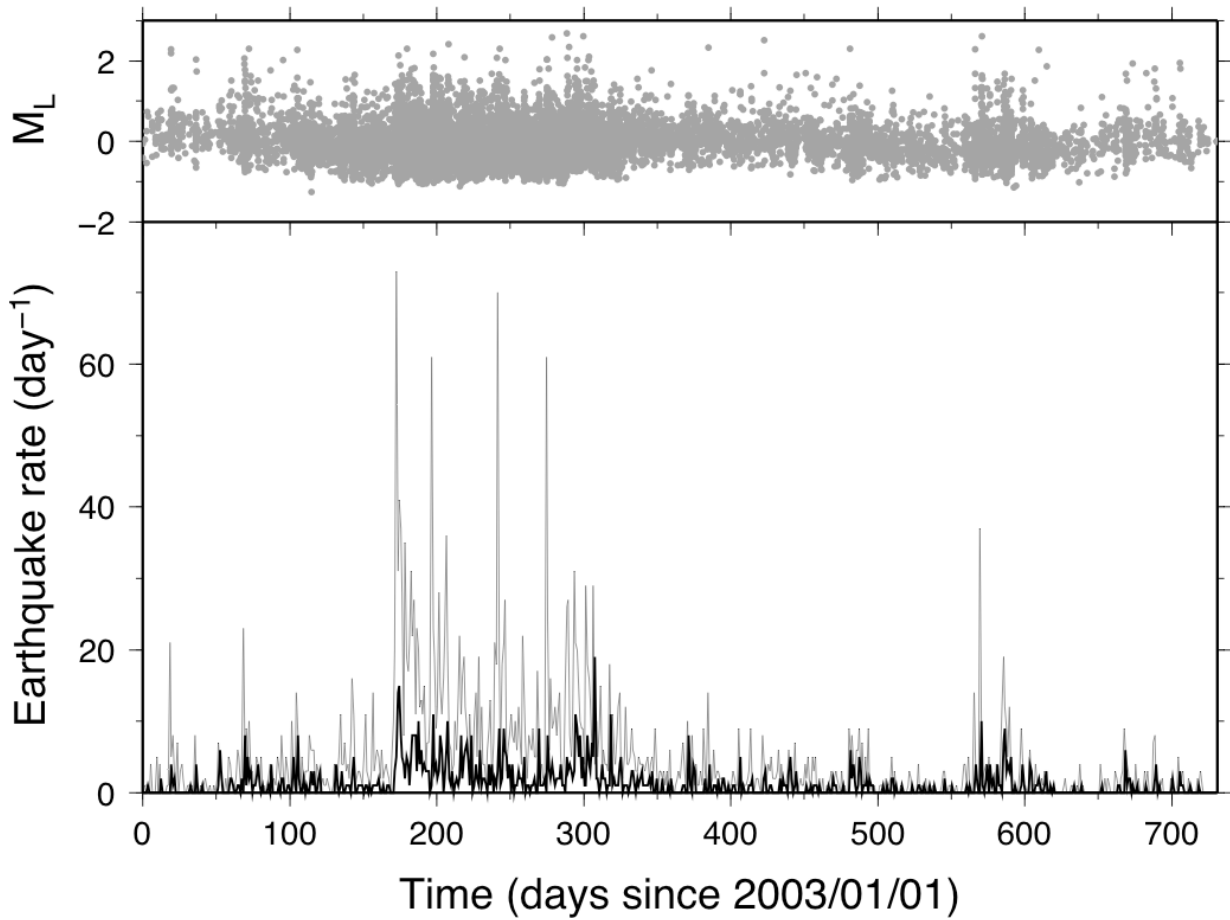
740 **Figure 1:** Map of the Southwestern Alps with main geological features. Crossed areas stand  
 741 for the Pelvoux, Argentera and Dora Maira crystalline massifs. The lightly shaded area is the  
 742 Embrunnais-Ubaye nappes. The dark gray area is the Peninnic domain. Fault traces after *Sue*  
 743 (1998). Stars correspond to macro-seismic (M) and computed (C) epicenters of the 1959 M  
 744 5.5 St-Paul-sur-Ubaye damaging earthquake. Black triangles are permanent seismological  
 745 stations from the Sismalp network, and black squares stand for temporary seismological  
 746 stations deployed in the area from September 2003. White squares are hot springs. PP: Plan de  
 747 Phasy; BV: Bagni di Vinadio; TV: Terme di Valdieri. The dash-dotted line is the French-  
 748 Italian border. The study area is delimited by the box in the center of the map. Modified  
 749 from *Jenatton et al., 2007*.



750

751 **Figure 2:** Map of the Ubaye 2003-2004 seismic swarm. The panels present a relocation of  
 752 974 seismic events a) in map view and b) in cross-section. Coordinates are projected on a  
 753 planar orientation striking N130E, and dipping 80°W. Origins of coordinate axes correspond  
 754 to the surface projection of the swarm centroid (with geographical coordinates 44°27.2N,  
 755 6°45E). Depth is expressed relatively to the sea level. Small dots stand for events with  
 756 magnitude less than 2, and large dots represent earthquakes with magnitude larger than, or  
 757 equal to 2. The color-scale highlights the date of each earthquake from January 2003  
 758 (magenta) to December 2004 (red).

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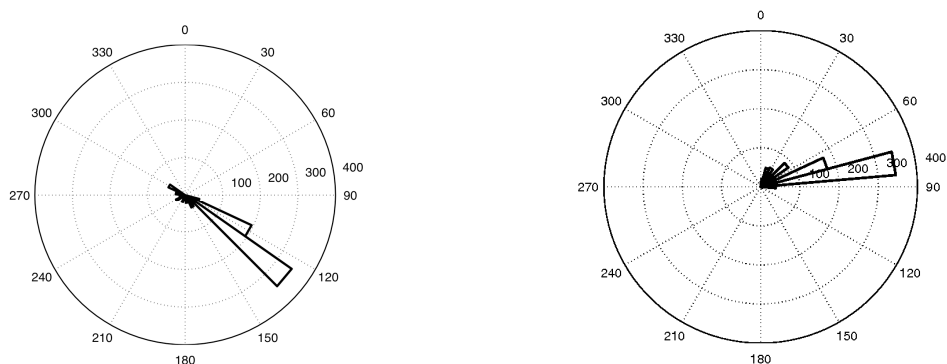
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761 **Figure 3: (Top)** Timeseries and magnitudes of the 16,147 events recorded at station JAUF  
 762 between Jan 1<sup>st</sup>, 2003 (day 0) and Dec 31<sup>st</sup>, 2004 (day 730). **(Bottom)** Rate of  $M_L \geq 0.2$   
 763 earthquakes detected at station JAUF (grey curve) and of  $M_L \geq 1$  earthquakes relocated in this  
 764 study (black curve, see also Figure 2).

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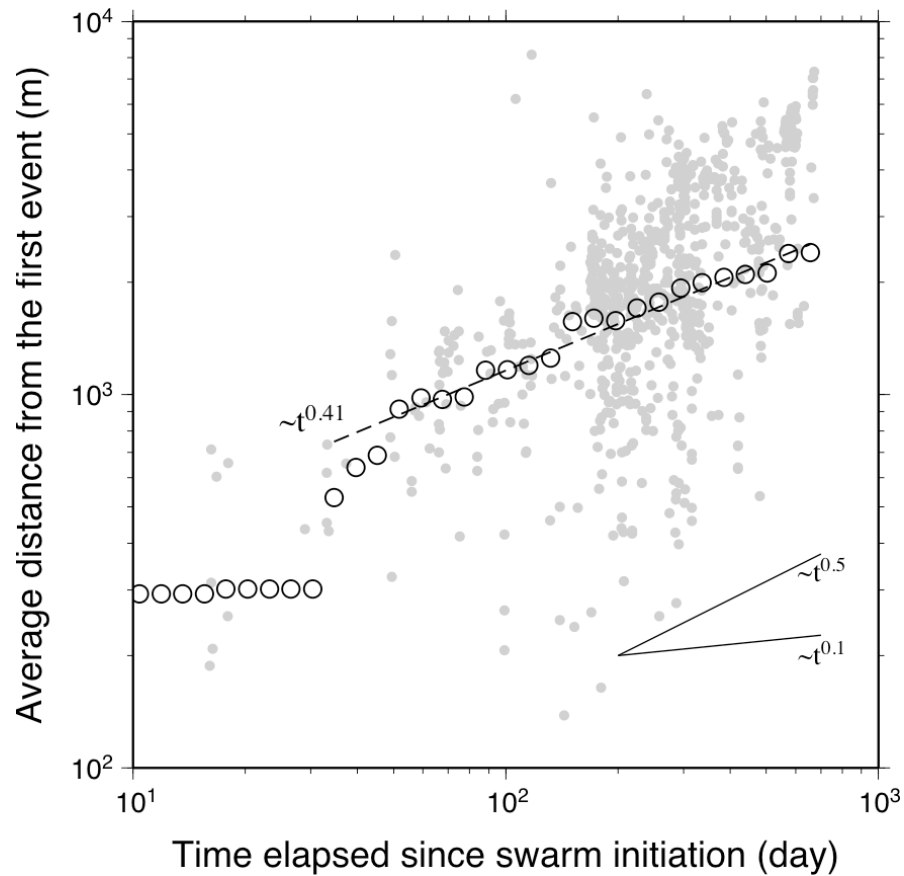
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771 **Figure 4:** Distributions of strike (left) and dip (right) angles for planes associated with seismic  
 772 events of the relocated catalogue. Plane orientations were estimated for each possible set of 3  
 773 earthquakes using the method of *Fehler et al. (1987)*. Sector length indicates the number of  
 774 earthquakes associated with each plane orientation. On the left diagram, sector direction  
 775 indicates the azimuth of planes, with  $0^\circ$  and  $90^\circ$  standing respectively for the North and the  
 776 East directions. Bins are  $10^\circ$  wide. A clear preeminence exists for events occurring along  
 777 planes striking N130°E and dipping 80°W.

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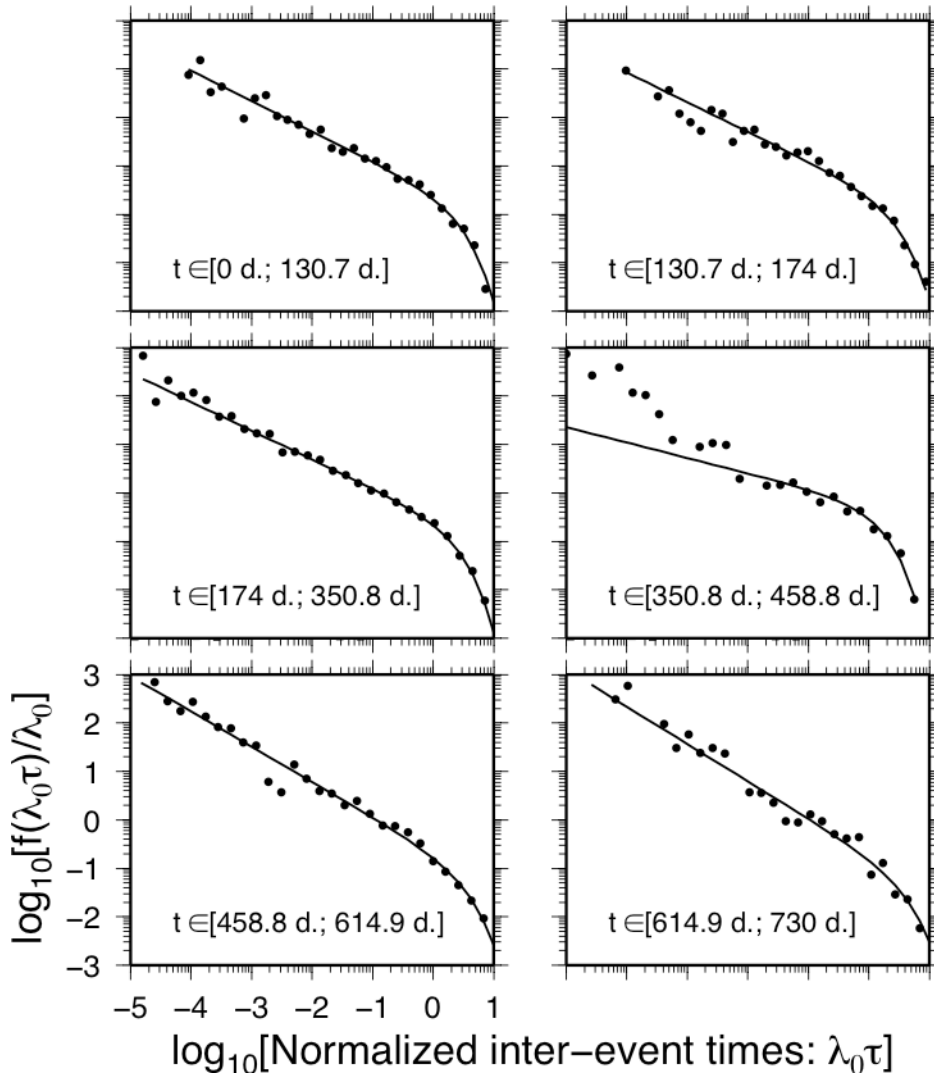


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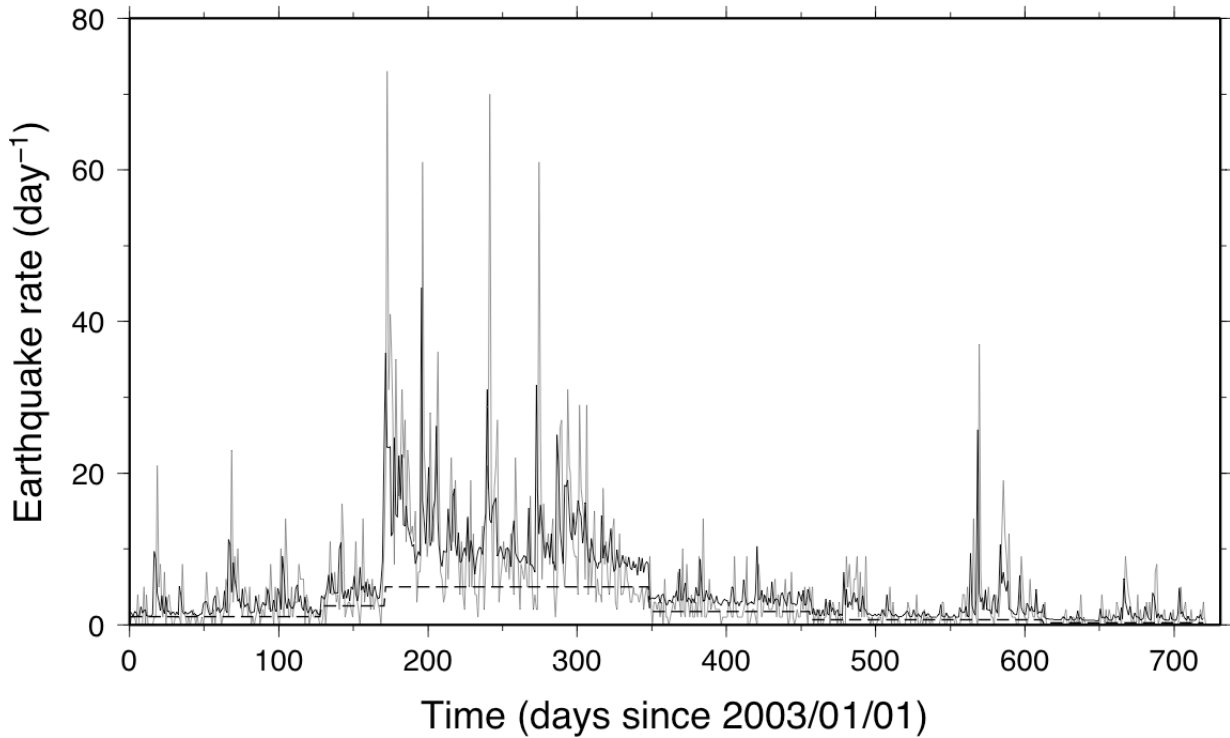
781 **Figure 5:** Characteristic size  $R$  of the main swarm cluster as a function of time. For a given  
 782 time  $t$ ,  $R$  is measured as the average distance between all swarm events that occurred at time  
 783  $t_i < t$  and the first earthquake of the sequence. After  $\sim 30$  days of relative stability, this average  
 784 distance increases as  $R \sim t^H$  with  $H = 0.41 \pm 0.06$ . For the sake of comparison, we have  
 785 represented in the lower right corner slopes that should be expected for a normal diffusive  
 786 process ( $H = 0.5$ ) and for a typical sub-diffusive process expected during aftershock sequences  
 787 ( $H = 0.1$ ). Information on the spreading of the data is given by the grey solid circles, which  
 788 indicate the distance between every relocated earthquake and the first one of the sequence.

789



790

791 **Figure 6:** Adjustment of inter-event times distributions (dots) by a Gamma distribution  
 792 (curve), according to a maximum likelihood method. Each subplot corresponds to the inter-  
 793 event times distribution for a single time window with a constant background rate  $\lambda_0(t)$ . Time  
 794 windows are defined by a change-point analysis, based on significant changes in successive  
 795 inter-event time distributions (see section 4-1).



796

797

798 **Figure 7:** Comparison of the Ubaye seismic activity detected at station JAUF (gray curve)

799 with the best non-stationary ETAS model (black curve), see equations (2) and (3). Best

800 epidemic parameter estimates are  $A=0.0199$ ,  $\alpha=1.246$ ,  $c=1.35 \cdot 10^{-4}$  day and  $p=1.065$ . The

801 stair-step dashed line stands for the non-stationary background contribution  $\lambda_0(t)$  to the

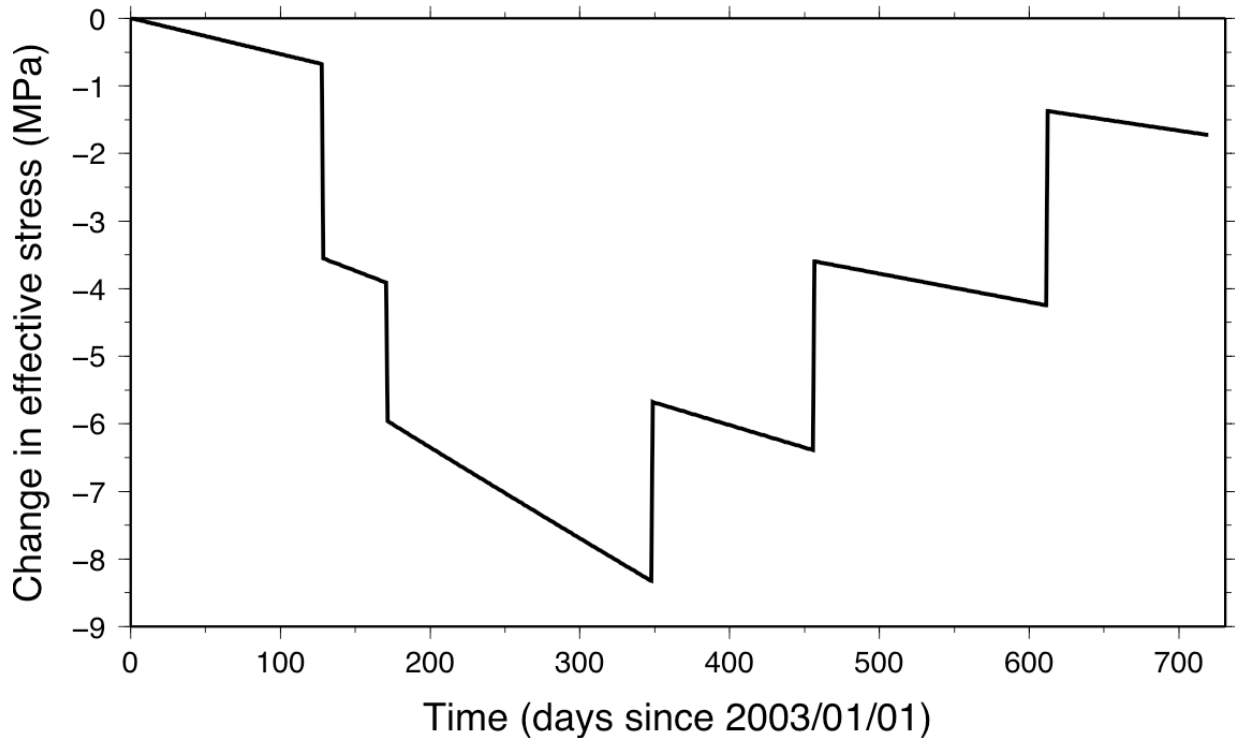
802 seismicity rate. See also Table 1 for a report on the amplitude of  $\lambda_0(t)$  for each time window.

803 This stair-step shape arises from the determination of optimal time windows with a constant

804 background rate  $\lambda_0(t)$ , as determined by the change-point method explained in section 4-1.

805 This method is based on inter-event time adjustments presented on Figure 6.

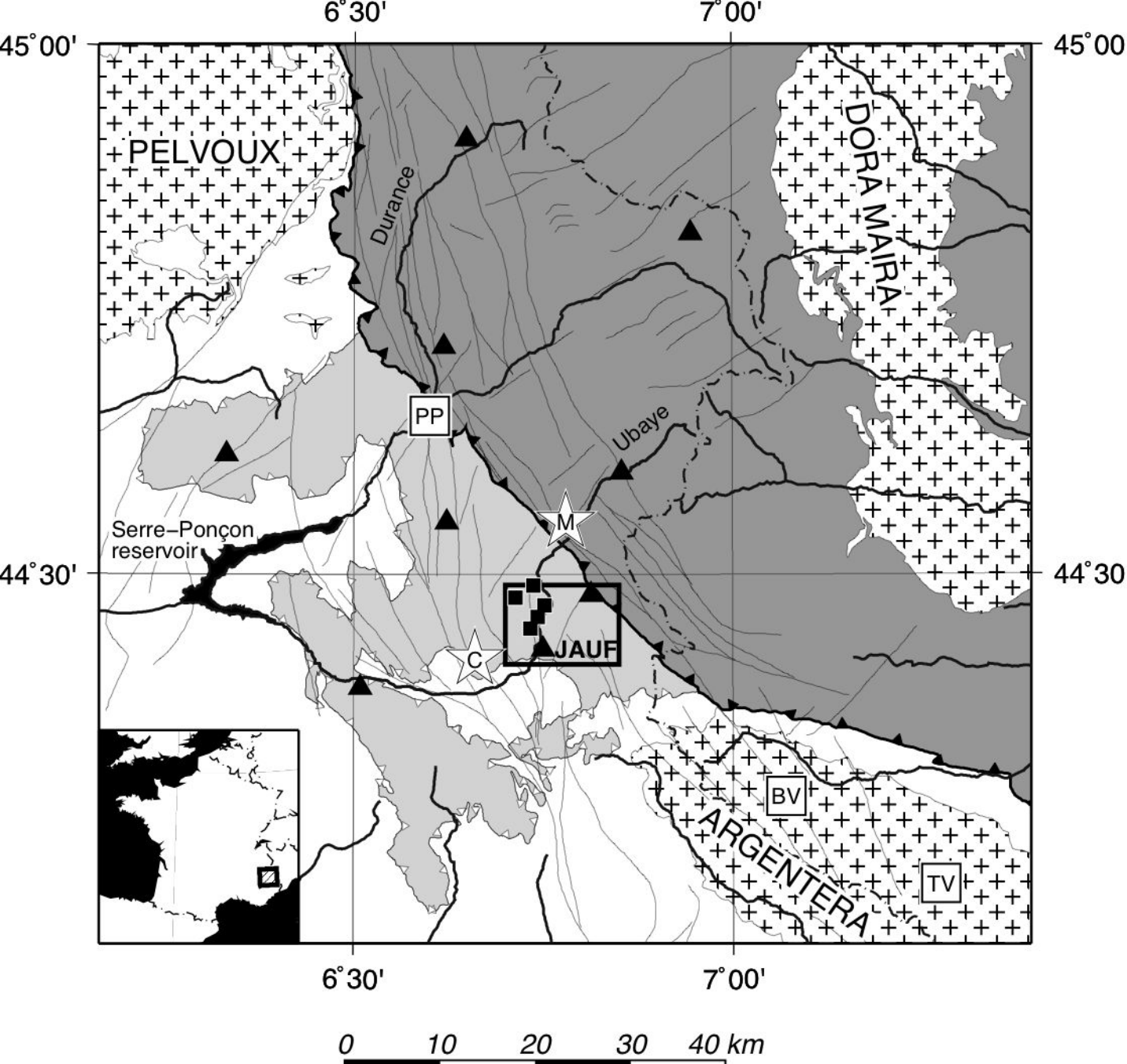
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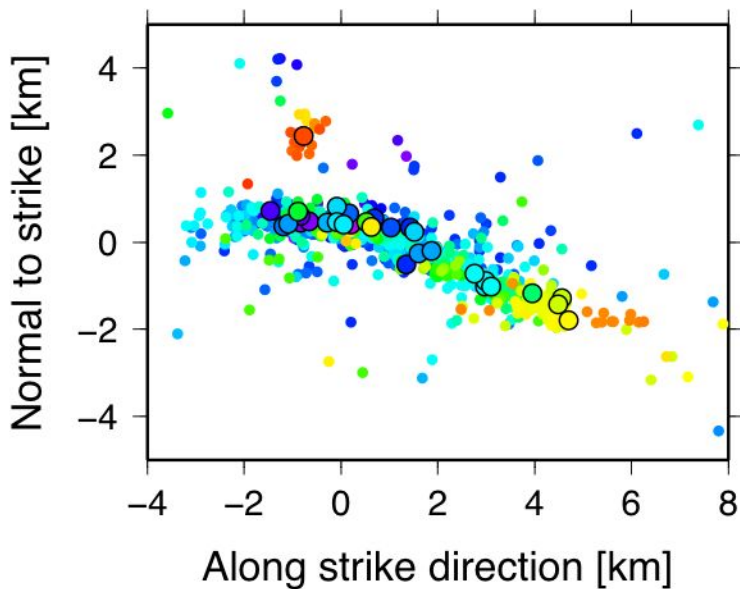
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809 **Figure 8:** Changes in effective stress integrated over the swarm area. These changes are  
 810 estimated from the rate of background event  $\lambda_0(t)$  represented on figure 7, and by use of rate-  
 811 and-state constitutive laws for earthquake production [Dieterich, 1994; Dieterich et al., 2000],  
 812 see section 5. We supposed that this seismicity rate was triggered by changes in effective  
 813 stress under a constant shear stressing rate of  $2.5 \times 10^{-3}$  MPa.yr<sup>-1</sup>. Effective stress is expressed  
 814 relatively to the steady-state value of 83.4 MPa before the swarm initiation. This value comes  
 815 from the difference in overburden pressure (with bulk density  $\rho=2700$  kg.m<sup>-3</sup>) minus the  
 816 hydrostatic pressure at  $z=5$  km.



# **a** Map view



# **b** Cross-section

