Constraining the far-field in situ stress state near a deep South African gold mine

Amie M. Lucier\textsuperscript{a,b,*}, Mark D. Zoback\textsuperscript{b}, Vincent Heesakkers\textsuperscript{c}, Ze’ev Reches\textsuperscript{c}, Shaun K. Murphy\textsuperscript{d}

\textsuperscript{a} Shell International Exploration and Production, PO Box 481, Houston, Texas 77001-0481, USA
\textsuperscript{b} Stanford University, Stanford, California
\textsuperscript{c} University of Oklahoma, Norman, Oklahoma
\textsuperscript{d} AngloGold Ashanti, South Africa

\textbf{Abstract}

We present and test a new technique for determining the far-field virgin state of stress near the TauTona gold mine. The technique we used to constrain the far-field stress state follows an iterative forward modelling approach that combines observations of drilling-induced borehole failures in borehole images, boundary element modelling of the mining-induced stress perturbations, and forward modelling of borehole failures based on the results of the boundary element modelling. Using this approach, we constrained a range of principal stress orientations and magnitudes that are consistent with all the observed failures and other stress indicators. We found that the state of stress is a normal faulting regime (\(S_1 < S_{\text{max}} < S_{\text{min}}\)) with principal stress orientations that are slightly deviated from vertical and horizontal and, therefore, denoted with a (*). The maximum principal stress, \(S_1\), is deviated \(-10^\circ\) from vertical plunging towards the NNW with a magnitude gradient of \(-27\ \text{MPa/km}\). The intermediate principal stress, \(S_{\text{max}}\), is inclined \(-10^\circ\) from horizontal plunging towards an azimuth of \(-156^\circ\) and has a magnitude gradient of \(-24\ \text{MPa/km}\). The least principal stress, \(S_{\text{min}}\), is inclined \(-5^\circ\) from horizontal plunging towards an azimuth of \(247^\circ\) and has a magnitude gradient of \(-14\ \text{MPa/km}\). This stress state indicates that the crust is in a state of frictional faulting equilibrium, such that normal faulting is likely to occur on cohesionless pre-existing fault planes that are optimally oriented to the stress field. Modelling of breakout rotations and gaps in breakout occurrence associated with recent fault slip on critically stressed faults located \(> 100\ \text{m}\) from the mine further confirmed this stress state.

\textcopyright\ 2008 Elsevier Ltd. All rights reserved.

\textbf{1. Introduction}

As mining around the world moves deeper underground, understanding the stress field at depth, and how mining activity perturbs it, becomes increasingly important for mine safety. As a result of the mining-induced stress perturbations, deep underground mines tend to have appreciable mining-induced seismicity associated with them. Near the gold mines in the Witwatersrand Basin of South Africa, some of the deepest mines in the world, seismicity was first reported in 1908, about twenty years after the onset of gold mining in the region. Gane et al. [1] first directly associated the seismicity with the mining. Later, Gane et al. [2] established the close proximity of the event locations to the active mining faces. McGarr et al. [3] showed that most of the seismicity occurs in regions near the mining face with very large mining-induced stress perturbations. A more complete characterisation of the far-field stress will lead to better modelling of the mining-induced stress perturbations around the excavation. In turn, this can guide mining activities in the future and improve overall safety in the mines.

Constraining the far-field stress state is an important part of the Natural Earthquake Laboratory in South African Mines (NELSAM) project, which is working to develop a near-field laboratory to study earthquakes at seismogenic depths [4–6]. The deep gold mines of South Africa are unique locations for near-field studies of earthquake mechanics because of the high rate of mining-induced seismicity and the direct access to faults at seismogenic depths. However, the perturbation of the in situ stresses by the large-scale mining activities creates a complex stress field that complicates our understanding of the physical mechanisms controlling the induced seismicity. As part of the NELSAM project, we developed a new method to constrain the far-field in situ stress state surrounding the TauTona gold mine in the Western Deep Levels of the Witwatersrand Basin of South Africa.

Much of the previously published work on characterizing the far-field in situ stress state near the deep mines in the
Witwatersrand Basin relies on borehole strain relief measurements [7–9]. In their review of global stress measurements, McGarr and Gay [10] showed that in South Africa the stress state at depths below 2 km is typically a normal faulting stress regime, in which the vertical stress exceeds the horizontal stresses. These measurements also show that the minimum horizontal stress, $\sigma_{hmin}$, magnitude is typically much lower than the vertical stress magnitude, $\sigma_v$, although there was considerable scatter in the measurements.

In this study, we use both near- and far-field observations of stress indicators and boundary element modelling to constrain the far-field stress state and model the near-field perturbation of that stress state. The stress indicators used in the analysis are drilling-induced failures (i.e., breakouts and drilling-induced tensile fractures [DITFs]) observed in image logs from boreholes drilled within the mine at a variety of orientations. Peska and Zoback [11] discussed the mechanics controlling the formation of compressive and tensile failures in boreholes drilled at arbitrary orientations to principal stresses. These features have previously been used to constrain the stress states around oil and gas fields [e.g., 12]. Stacey and Wesseloo [13] review the use of these features for evaluating in situ stresses in deep mines. Because of the complexity of the stress perturbation around the mining excavation, the addition of boundary element modelling was necessary to analyse the drilling-induced failures observed in the near-field of the excavation. The technique we present follows an iterative forward modelling approach to constrain the far-field stress state that is consistent with the stress indicators observed in the near- and far-field to the mining excavation.

2. Data

2.1. Mine layout and rock properties

Because the mine excavations perturb the in situ stress state, a clear understanding of the geometry of the mine layout and the material properties of the in situ rock and backfill is critical. The geometry of the mine is illustrated in Fig. 1. The mining occurs along 0.5–1.5 m thick planar deposits of gold-bearing conglomerates, referred to as “reefs”. In the TauTona mine, the Carbon Leader Reef is mined; in the shallower Mponeng mine (red), which overlaps TauTona towards the southwest, the Venterdorp Contact Reef is mined. The bedding dips about 20° towards the SSE.

The NELSAM study area is located in the tunnels below the stope in the southeastern part of the mine. The reef in this region is offset by the Pretorius Fault Zone (PFZ), an ancient normal to strike-slip fault zone that dips steeply and strikes approximately NE-SW. This is an area of active mining and is near the deepest part of the mine at a depth of approximately 3.6 km. In Fig. 1d, the active mining region is categorized into three mining steps (1, 2, and 3) that represent the extent of mining at June 2005, January 2006, and June 2006, respectively. These correspond to the times at which borehole drilling and image logging occurred. The access tunnels have a more localised effect (out to \sim 2 tunnel
radii) on the stress state than the stope. Therefore, for the purpose of this work, they are only modelled in the NELSAM area where borehole logging was carried out as shown in Figs. 1c and d and 2.

The intact host rock is primarily quartzite. The average material properties for the host rock used in the modelling include a uniaxial compressive strength of 200 MPa, Poisson’s ratio of 0.20 and a Young’s modulus of 70 GPa, as based on laboratory measurements [14,15]. These values have been used in previous studies in TauTona [16]. In Fig. 1, the green and yellow regions represent backfilled excavations in TauTona and the red represents the backfilled excavation in Mponeng. The backfill is a slurry of waste material that is pumped back into the excavation to provide support. The material properties of the backfill in TauTona and Mponeng were provided by the mine engineers and are calibrated based on previous modelling by the mining engineers (Shaun Murphy, personal communication). The backfill materials have no cohesion or tensile strength and a friction angle of 10°. The Mponeng backfill has a shear modulus of 10 MPa and a normal modulus of 16 MPa and TauTona backfill has a shear modulus of 14.4 MPa and a normal modulus of 14.4 MPa. The shear and normal moduli relate the elastic shear and normal displacements and the shear and normal stresses acting on the material.

2.2. Borehole camera image logs

Borehole image logs provide oriented images of the walls of the boreholes. Drilling-induced borehole failures such as DITFs and borehole breakouts as well as natural fractures that intersect the boreholes can be observed in these image logs. In this work, image logs were collected in six 6.6–11.5 m vertical boreholes (sites 2 and 3 in the 118 level and sites 7V, 9, 10, and 13 in the 120 level), five 9.6–39-m long boreholes deviated 43–80° from vertical (3 boreholes at site DAF in the 118 level and site 7N and 7S in the 120 level), and in the long subhorizontal LIC118 borehole in the 118 level (Fig. 2). The LIC118 borehole is deviated 70–85° from vertical towards the east and 418 m of image log data were collected. Logging at sites 10, 13, and LIC118 corresponds to mining step one (June 2005), logging at sites 9 and DAF 1 corresponds to mining step two (January 2006), and logging at sites 2, 3, 7, and DAF 5 and DAF BIO corresponds to mining step...
the only borehole where both DITFs and breakouts were observed, although the breakouts were poorly formed. Site 13 and LIC118 boreholes both had breakouts. Two of the boreholes at the DAF site (5 and BIO) and the vertical borehole at site 7 (V) had DITFs. In some of the boreholes, no drilling-induced failures were observed. The image log collected in borehole 1 at the DAF site was of poor quality and could not be analysed.

The LIC118 borehole was of particular importance for this analysis, because it was drilled into the far-field stress state away from the mining excavation. Breakouts occurred starting at a measured depth of 35 m and were observed throughout the length of the borehole (Fig. 5). A large-scale rotation in the position of the breakouts around the borehole walls occurred between 35 and about 150 m measured depth. From 150 m to the end of the borehole, the breakout positions and widths were relatively consistent, confirming that the borehole is extending into the far-field stress state. The breakouts formed on the sides of the borehole suggesting a vertically oriented maximum compression. Localised rotations in the breakout position as well as gaps in breakout occurrence were also observed throughout the length of the borehole image log.

3. Methodology for constraining the far-field stresses

3.1. Borehole data analysis

The first step of the workflow is to analyse and document the drilling-induced failures observed in the borehole image logs. The results of this analysis are summarised in Table 1. Site 10 was the only borehole where both DITFs and breakouts were observed, although the breakouts were poorly formed. Site 13 and LIC118 boreholes both had breakouts. Two of the boreholes at the DAF site (5 and BIO) and the vertical borehole at site 7 (V) had DITFs. In some of the boreholes, no drilling-induced failures were observed. The image log collected in borehole 1 at the DAF site was of poor quality and could not be analysed.

The LIC118 borehole was of particular importance for this analysis, because it was drilled into the far-field stress state away from the mining excavation. Breakouts occurred starting at a measured depth of 35 m and were observed throughout the length of the borehole (Fig. 5). A large-scale rotation in the position of the breakouts around the borehole walls occurred between 35 and about 150 m measured depth. From 150 m to the end of the borehole, the breakout positions and widths were relatively consistent, confirming that the borehole is extending into the far-field stress state. The breakouts formed on the sides of the borehole suggesting a vertically oriented maximum compression. Localised rotations in the breakout position as well as gaps in breakout occurrence were also observed throughout the length of the borehole image log.

3.2. Building boundary element model

A boundary element modelling program Map3D [17], which was developed for mining applications, was used to numerically model the response of the rock to the mining activity. Map3D is based on an indirect boundary element method. The program has been used to examine the stress perturbation from mining and the associated failure in several mine settings [e.g., 18–20]. The model accounts for the geometry of the stope and access tunnels, the structural support provided by backfill materials, and the stress loading conditions applied by the far-field in situ stress state. The model simulates the rock mass response to these inputs while honouring the physical constraints of equilibrium, continuity, and elasticity. The model space begins as a homogeneous, elastic medium that approximates the in situ host rock; therefore, far-field boundary conditions are accommodated. The mining excavation and access tunnel are then incorporated as elements and the response to these elements is calculated on specified grids.

The mine geometry shown in Fig. 1 was modelled with two types of elements referred to as fictitious forces and displacement discontinuities. Because the access tunnels in the NELSAM study area are void spaces, they were modelled as fictitious force elements that have zero surface stresses. The stope was modelled with displacement discontinuity elements which had material property values corresponding to the appropriate backfill materials modelled with an elasto–plastic constitutive law.

The stress state at each borehole needed to be analysed based on the extent of the mining at the time of the camera logging. This corresponds to three mining steps: June 2005, January 2006, and June 2006 (Fig. 1d). The BEM simulates the stress perturbations after each of these mining steps and calculates the results on specified grids (at the borehole locations, on planes of interest near the boreholes, and along mapped fault planes) within the model.

3.3. Initial far-field stress model estimate

The first step of the workflow is to analyse and document the drilling-induced failures observed in the borehole image logs. The results of this analysis are summarised in Table 1. Site 10 was the only borehole where both DITFs and breakouts were observed, although the breakouts were poorly formed. Site 13 and LIC118 boreholes both had breakouts. Two of the boreholes at the DAF site (5 and BIO) and the vertical borehole at site 7 (V) had DITFs. In some of the boreholes, no drilling-induced failures were observed. The image log collected in borehole 1 at the DAF site was of poor quality and could not be analysed.

The LIC118 borehole was of particular importance for this analysis, because it was drilled into the far-field stress state away from the mining excavation. Breakouts occurred starting at a measured depth of 35 m and were observed throughout the length of the borehole (Fig. 5). A large-scale rotation in the position of the breakouts around the borehole walls occurred between 35 and about 150 m measured depth. From 150 m to the end of the borehole, the breakout positions and widths were relatively consistent, confirming that the borehole is extending into the far-field stress state. The breakouts formed on the sides of the borehole suggesting a vertically oriented maximum compression. Localised rotations in the breakout position as well as gaps in breakout occurrence were also observed throughout the length of the borehole image log.
For borehole trajectory, Dev is deviation from vertical and Azi is borehole azimuth.

### 3.3.1. Stress regime

We initially assumed that the principal stresses were oriented vertically ($S_v$) and horizontally ($S_{\text{max}}$ and $S_{\text{min}}$). While this is a simple assumption, it is often observed in stable cratonic crust [21] around the world. We also assumed a normal faulting stress regime such that $S_v > S_{\text{max}} > S_{\text{min}}$. This was based on the observations of McGarr and Gay [10], the overcoring measurements, and the position of the breakouts observed in the LIC118 borehole.

### 3.3.2. Horizontal stress orientations

We used information from the overcoring stress measurements and the drilling-induced failures observed in the vertical boreholes as an initial estimate the orientations of the horizontal stresses. The overcoring measurements indicated an $S_{\text{max}}$ azimuth of 153° [14]. The DITFs at site 10 suggest an $S_{\text{max}}$ azimuth of 158° and the breakouts observed at site 13 borehole suggest an $S_{\text{max}}$ azimuth of 155°. Based on these three consistent observations, we chose an initial $S_{\text{max}}$ orientation of 155° and an orthogonal $S_{\text{min}}$ azimuth of 245°.

### 3.3.3. Vertical stress magnitude

The initial $S_v$ magnitude results from the weight of the overburden material. The average density of the overburden at TauTona was estimated to be 2700 kg/m³. By integrating the density over the depth of the mine, the average $S_v$ gradient was estimated to be 27 MPa/km.

### 3.3.4. Pore pressure

No direct measurements of the pore pressure, $P_p$, have been made in or around the mine. Furthermore, the dewatering of the area directly around the mine makes $P_p$ difficult to quantify. Within the mine, $P_p$ is considered to be negligible. However, given the low permeability of the rocks in TauTona ($\sim 10^{-29}$ m²), the diffusion rates are on the order of 30 m over 10 years or 70 m over 50 years [22]. Based on these rates, we estimated that the influence of the dewatering extends about 100 m away from the mine. Previous studies have shown that hydrostatic $P_p$ is observed around the world in deep boreholes, even those in low porosity ($< 2\%$) and very-low permeability crystalline rocks [22–24]. Therefore, it was assumed that the far-field virgin stress state has hydrostatic despite the dewatering and general dryness observed in the mine.

### 3.3.5. $S_{\text{min}}$ magnitude

Breakout rotations and gaps in breakout occurrence were observed throughout the length of the LIC118 borehole image log. Previous studies have shown that these features in the observed breakouts are associated with recent slip on faults [25,26]. This suggests that the far-field stress state around the mine is likely to be critically stressed (i.e., faults which are well-oriented to the stress field are near the point of frictional slip). Thus, frictional faulting theory could be used to constrain the maximum difference between the vertical principal stress magnitude ($S_v$ in normal faulting areas) and the minimum principal stress magnitude, $S_3$ [12]. In frictional faulting theory, the ratio of the maximum effective stress ($\sigma_1$) to the minimum effective stress ($\sigma_3$) is controlled by the coefficient of friction ($\mu$) of optimally oriented faults in the crust.

$$\frac{S_1 - P_p}{S_3 - P_p} = \frac{\sigma_1}{\sigma_3} = \frac{\sqrt{\mu^2 + 1} + \mu}{\sqrt{\mu^2 + 1} - \mu}$$

This equation defines the upper limit for the $\sigma_1/\sigma_3$ ratio. The general range for $\mu$ observed in the brittle upper crust is 0.6–1.0 [27,28]. Solving for $S_3$ in Eq. (1) using $\mu = 1$ predicts the lower bound for $S_3$ to be 13 MPa/km ($S_1 = 27$ MPa/km, $P_p = 10$ MPa/km).
3.3. Modelling borehole failure with BEM results

Drilling-induced borehole failures result from the concentration of the effective stresses around the borehole walls during and after drilling. The position and width of the drilling-induced failures (and angle of inclination for the case of en echelon DITFs) depends on the relative orientations of the borehole and the principal stresses [11]. Breakouts form when the stress concentration at the borehole wall exceeds the rock strength. DITFs form when the tensile stress concentration at the wellbore wall is less than the tensile strength of the rock. In a vertical borehole with principal stresses oriented vertically and horizontally, breakouts form in the direction of $S_{h\text{min}}$ and DITFs form in the $S_{h\text{max}}$ direction. However, when the borehole and/or the principal stress orientations are deviated from vertical, there is no simple relationship between the stress orientations and the position around the borehole at which the drilling-induced failures will occur [11].

In this study, we used a forward modelling tensor transformation technique to model failures, because for all the cases the boreholes and/or stress field were deviated from vertical. The mining-perturbed principal stress magnitudes and orientations at locations along the boreholes were solved for using the BEM. The far-field stress model from step 3 provided the initial conditions for the model. Using the (1) mining-perturbed stresses at the borehole locations, (2) borehole orientations, and (3) rock properties, the expected borehole failures were predicted. The results of both the BEM calculation using the initial far-field stress model and the breakout modelling based on those results are shown for the LIC118 borehole in Fig. 6.

3.5. Comparing borehole failure observations with modelling results

The final step in the methodology is to compare the borehole failures modelled in the previous step to the observed borehole failures in the image logs in all of the boreholes (Table 1). If the modelled failures were not consistent with the observed failures (based on a qualitative comparison), then the far-field stress model used in the BEM was not considered within the range of acceptable models. The results from the LIC118 borehole had the most weight, because these were less dependent on the details of the boundary element model and they sample the far-field stress state. Overall, the modelled breakouts for LIC118 using the initial far-field stress model were consistent with the observed breakouts, although the modelling did not predict the absence of breakouts at the beginning of the borehole (Fig. 6b).

In the other boreholes, the modelled failures using the initial model were mostly consistent with the observations. In sites 2, 7N, and 9, where no failures were observed, the modelling predicted no failures. However, at sites 3 and 7S, where failures were observed, the modelling predicted the formation of DITFs at the beginning of the boreholes. Breakouts and DITFs were modelled at site 10 in the observed orientations, but the breakouts at both sites 10 and 13 were modelled with larger than the observed widths. At site 7V, the modelled DITFs were consistent with the observations. However, breakouts were modelled although they were not observed in the borehole. In both the BIO and the boreholes at the DAF site, DITFs were modelled and observed.

The initial stress model provided a good starting point for the analysis. To determine the range of stress models consistent with the observations, steps 3–5 in the methodology (Fig. 4) were repeated by systematically testing each of the assumptions used to constrain the initial stress state model. Because of the nature of the borehole image data, the limitations of the boundary element

---

**Fig. 5.** Breakout observations in the LIC118 borehole. These are shown as an “unwrapped” borehole wall, with angle around the hole plotted with measured depth. Breakout positions are plotted in a borehole reference frame that is relative to the bottom of the borehole looking down the borehole. The widths of the breakouts are also indicated.

---

3.3.6. $S_{h\text{max}}$ magnitude

Observations from the overcoring measurements and the DITFs observed in the site 10 borehole were used to estimate the magnitude of the intermediate stress, $S_{h\text{max}}$. The minimum and maximum horizontal stress magnitudes measured from overcoring differ by nearly a factor of two. Likewise, the presence of DITFs at site 10 suggested significant horizontal stress anisotropy [12]. Therefore, the initial $S_{h\text{max}}$ gradient was estimated to be 26 MPa/km, which is twice that of $S_{\text{hmin}}$ but slightly less than $S_{v}$.

In summary, the initial far-field stress state model was a normal faulting regime with $S_{v}$, $S_{h\text{max}}$, $S_{h\text{min}}$, and $P_{p}$ gradients of 27, 26, 13, and 10 MPa/km, respectively. The $S_{h\text{max}}$ azimuth is 155° and the $S_{h\text{min}}$ azimuth is 245°. While these stress magnitudes and orientations provided a reasonable starting point for the far-field stress model, as discussed below, each of them was subject to revision based on the results of steps 4 and 5 of the workflow.

---

modelling, and the forward modelling approach, the solution to the far-field stress will be non-unique. The goal of this work was to constrain the range of stress models over which the modelled borehole failures were consistent with the observations.

4. Results

The initial estimate of the far-field stress state was updated by testing the main assumptions used to constrain it. These assumptions were: (1) normal faulting stress regime with vertical and horizontal principal stresses, (2) horizontal stress orientations, (3) $S_v$ magnitude, (4) $P_p$ magnitude, (5) $S_{h\min}$ magnitude, and (6) $S_{H\max}$ magnitude. The details of these tests are summarised in Appendix A. This analysis resulted in a well-constrained stress model for the region around the TauTona gold mine which is described below.

The resulting stress model suggests that the crust around TauTona is critically stressed, such that the stress magnitudes are constrained by frictional failure equilibrium theory and small stress perturbations may lead pre-existing, optimally oriented faults into failure. We provide further evidence that supports a critically stressed crust by modelling the localised rotations and gaps in the occurrence of breakouts observed along the LIC118 image log. We show that these features are associated with faults that are optimally oriented for recent slip.

4.1. Far-field stress model

We constrained the range of far-field stress models that were consistent with the observed data in both the near- and far-field of the mining excavation. The far-field stress model is summarised in Fig. 7. The magnitudes of the principal stresses are plotted with depth in Fig. 7a and the range of principal stress orientations are shown in the green shaded regions of Fig. 7b. The state of stress is a normal faulting regime ($S_v > S_{H\max} > S_{h\min}$) with principal stress orientations that are slightly deviated from vertical and horizontal and, therefore, denoted with a (*). The maximum principal stress, $S_v$, is deviated $0–20^\circ$ from vertical plunging towards the NNW and has a magnitude gradient ranging from 26.7 to 27.3 MPa/km. The intermediate principal stress, $S_{H\max}$, is inclined $0–20^\circ$ from horizontal plunging towards an azimuth between $145^\circ$ and $168^\circ$ and has a range in magnitude gradient between 21 and 26 MPa/km. The least principal stress, $S_{h\min}$, is inclined $0–10^\circ$ down from horizontal towards an azimuth between $235^\circ$ and $258^\circ$ and has a magnitude gradient ranging from 12.9 to 15.5 MPa/km. A representative far-field stress model is shown by the symbols in Fig. 7. The principal stress magnitude gradients are 27.2, 24, and 14 MPa/km; and principal stress orientations are an $S_v$ azimuth of $345^\circ$ and plunge of $80^\circ$, an $S_{H\max}$ azimuth of $157^\circ$ and plunge of $10^\circ$, and a nearly horizontal $S_{h\min}$ with an azimuth of $247^\circ$. This stress model was chosen to investigate critically stressed faults in the vicinity of the mine.

Fig. 6. Boundary element modelling results based on the initial far-field stress model. (A) Principal stress orientations (arrows) and magnitudes (colour scale) along a vertical plane extending from the LIC118 borehole trajectory. The intersection of the plane and the stope is shown by a white line. The 118 (red) and 120 (blue) tunnels are shown for reference. (B) Observed (green) and modelled (blue) breakouts along the LIC118 borehole. The data is plotted in a borehole reference frame looking down hole.
4.2. Critically stressed crust

The far-field state of stress around TauTona is in frictional faulting equilibrium as predicted by Mohr-Coulomb failure criterion, such that the crust is in a constant state of frictional failure along optimally oriented, cohesionless, pre-existing faults (Fig. 8). While the rate of the brittle deformation in shield areas like the Kaapvaal Craton of South Africa is quite slow as compared to most intraplate regions, well-oriented faults are still critically stressed [29]. This frictional failure results in stress drops that limit the stress magnitudes that can be sustained in the crust. A fault plane is optimally oriented, or critically stressed, when the Coulomb failure function (CFF) resolved on the fault is positive. This occurs when the shear stress (τ) resolved on the fault plane is greater than the product of the effective normal stress (Sn/C0Pp, where Sn is normal stress) and μ along the fault plane.

\[
\text{CFF} = \tau - \mu(S_n - P_p)
\]  (2)

Faults dipping 50–85° to the ENE or WSW are critically stressed in the far-field stress state (Fig. 8).

The critically stressed crust near TauTona is supported by observations of localised breakout rotations and gaps in breakout occurrence along the LIC118 borehole (Fig. 5). Previous work has shown that localised rotations in the position of breakouts and interruptions in breakout formation are associated with stress perturbations from recent slip on nearby faults [25,26]. To determine if these breakout observations were consistent with the constrained stress state, we examined if they could be explained by slip on the natural faults observed in the LIC118 image logs. First, natural faults corresponding to local breakout rotations or gaps in the occurrence of breakouts were identified in the image log. Then, we determined whether the fault orientations were critically stressed (i.e., CFF > 0) in either the virgin (i.e., representative stress state defined above) or mining-perturbed stress state (from BEM calculation). For a critically stressed fault, we predicted the breakout formation expected as a result of the orientation of the borehole relative to the stress field, which has been perturbed by both the mining and slip on the fault.

We followed the methodology proposed by Barton and Zoback [25] to analyse the breakout rotations and gaps with respect to the critically stressed faults. First, the local perturbation of the stress field due to slip on the critically stressed fault was modelled. This required the determination of the slip vector on the fault. The slip direction is the direction of maximum shear stress (τ) resolved on
the fault plane, which is a function of the fault orientation and the mining-induced stress state at the fault location as described by Keilis-Borok [30] for a fault patch of dimensions $2L \times 2L$ in Eq. (3).

$$d = \Delta \tau_s \frac{16}{7\pi \sqrt{\pi}} \frac{2L}{C \sqrt{2L}}$$

The magnitude of the slip vector, $d$, depends on the fault patch size, the shear modulus of the faulted material, $G$, and the stress drop, $\Delta \tau_s$. Shamir and Zoback [26] showed that the size of the slip patch is on the order of the size of the anomaly of the breakout formation. The magnitude of $\Delta \tau_s$ is a percentage of the available shear stress in the slip direction and controls the magnitude of the anomaly. Next, the breakout formation around the faults was modelled based on the combined effects of the fault-perturbed stress field, mining-perturbed stress field, borehole trajectory, drilling conditions, and rock properties including rock strength and Young’s.

Fig. 9 shows two examples of the breakout modelling analysis for faults that become critically stressed due to the mining-induced stress changes. Because the faults have become critically stressed due to the recent mining-induced stress perturbations, it is likely that any slip on these faults occurred recently. In the first example, we examined a fault which strikes $115^\circ$ and dips $78^\circ$ and corresponds to a localised rotation in breakout position at about 131 m measured depth in the LIC118 borehole (Fig. 9A). Based on the length of the breakout rotation, we estimated a square fault patch of $64 \text{ m}^2$ centred on the borehole. Slip on a fault of this size and orientation in the mining-perturbed stress field would have a

---

**Fig. 9.** Two examples of modelling breakouts near critically stressed faults. (A) Modelling fault slip that resulted in a rotation in the breakout position. On the left, fault plane poles are plotted on a lower hemisphere stereonet and colour coded with CFF for both the virgin and mining-perturbed stress fields at the fault location. The analysed fault orientation is indicated by the black X. The right centre panel shows the borehole image log data and interpretation of the fault and breakouts. The data is shown as an unwrapped borehole in a reference frame of looking down the borehole. The right panel compares the observed breakouts (green) with the modelled breakouts (blue). The fault is shown in red (red). (B) Modelling slip on a fault that resulted in a gap in breakout occurrence. The panels are the same as described for A.

rake of 43.3° and 6.3 mm of dislocation. Assuming a complete stress drop, the stress relief would be 23.4 MPa. Based on this fault perturbed stress field, the predicted breakout formation closely matched the observed local breakout rotation.

In Fig. 9B, we illustrate that slip on critically stressed faults observed in the LIC118 borehole image log can also be associated with the gaps in breakout. A fault striking 126° and dipping 53° was observed at 106.4 m measured depth. The local stress perturbation associated with slip on a 100 m² square fault patch of that orientation (i.e., 11.4 mm of slip with a rake of 58.9°) centred on the borehole with a complete stress drop (33.6 MPa) resulted in a gap in the formation of breakouts around it. This was consistent with the breakout observations at that depth, providing further support for the far-field state of stress that was constrained in this work.

5. Conclusions and recommendations

The state of stress around TauTona was determined to be in a normal faulting regime with ENE and WSW dipping normal faults being critically stressed. Because the stress state is critically stressed, stress perturbations, such as those associated with the stope excavation, can reactivate faults at orientations that were previously stable. The implications of this are currently being investigated with respect to specific faults observed in the mine.

The workflow developed in this paper combines elements of techniques that are used to constrain stresses in deep boreholes and oil and gas wells [12] along with boundary element modelling to constrain the far-field stresses near a deep underground mine. Without the BEM, the data collected in the near-field boreholes could not be effectively interpreted, therefore, the incorporation of the BEM calculations of the mining-induced stress perturbation is an essential step in this workflow. The implementation of the workflow in this study also indicates ways in which it could be improved upon. Although, we recognise that there are a number of operational and financial constraints of working in an active mine. First, one or more long boreholes that extend into the far-field stress state must be logged with a borehole camera to assess borehole failures in the virgin stress field. Increasing the number of boreholes that reach the far-field with different borehole trajectories will result in a more well-constrained stress model. In the near-field to the excavation, logging of vertical boreholes is preferable to deviated boreholes both for the ease of data acquisition and data analysis. These boreholes should be at least 10 m long (although longer boreholes are preferred) and located away from complicated tunnel intersections. The optimal locations of the boreholes should be chosen based on preliminary BEM results. Boreholes should be located where there is minimal complexity of the mining perturbed stress state and where the mining-perturbed stress state is likely to result in borehole failures. Our final recommendation is that \( P_o \) and the \( S_3 \) magnitude should be measured in the boreholes that reach the far-field. The \( S_3 \) magnitude can be measured with minifract tests, which are commonly used in oil and gas wells. Having a measurement of \( S_3 \) would decrease the number of assumptions that are needed to constrain the stress state and would result in a more precisely constrained far-field stress state.

Acknowledgments

This work was made possible, thanks to invaluable help by Hannes Möller, Pieter van Zyl, and many underground workers in TauTona mine of AngloGoldAshanti. We would like to thank Gerrie van Asegen and Gerhard Hofmann of ISS International for their help with Map3D. Thanks to AngloGoldAshanti for the permission to use the TauTona mine data for the modelling. This work is supported by the National Science Foundation under Grant no. 0409605 (NELSAM). Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation. Other sponsors of this work include Inter-Continental Drilling Program (ICDP), AngloGoldAshanti, ISS International, and National Research Foundation (NRF).

Appendix A

Section 3.3 outlines the assumptions used to estimate the initial far-field stress state which defines the initial conditions for the BEM calculations. To constrain the range in far-field stress states consistent with the observed data, the limits of these assumptions were systematically tested by repeating steps 3–5 of the workflow (Fig. 4). The limits of the horizontal stress magnitudes tested were constrained by frictional failure theory. For a specified \( S_v \), \( P_o \), and \( \mu \), the frictional failure limits for both \( S_{imax} \) and \( S_{imin} \) can be defined using a “constrain stress” polygon [31] (Fig. A1a). The “stress space” defined by the polygons limits the range of stress magnitudes that were tested for validity in this analysis (Fig. A1a).

Fig. A1b shows the region of the stress polygon that represents a normal faulting (NF) regime. The combinations of horizontal stress magnitudes tested in this analysis are labelled numerically 1 though 8. In Fig. A1c, the stress orientations used in some of the models are labelled alphabetically A through D. We refer to the models in terms of these labels. For example, the initial stress model which has the magnitudes summarised by the blue circle labelled (1) in Fig. A1b and the orientations of the blue symbols labelled A in Fig. A1c is called model 1A. The assumptions that were tested are: (1) normal faulting stress regime with vertical and horizontal principal stresses, (2) horizontal stress orientations, (3) \( S_v \) magnitude, (4) \( P_o \) magnitude, (5) \( S_{imin} \) magnitude, and (6) \( S_{imax} \) magnitude.

A.1. Stress regime

The first assumption for the initial stress model was that the principal stresses are oriented vertically and horizontally and the vertical stress is greater than the horizontal stresses. To test whether the stresses are aligned vertically and horizontally, we analysed stress models with the stress magnitude parameters of 2 (Fig. A1b) and with the vertical stress deviated 10°, 15°, and 20° from vertical. First, \( S_v \) was deviated from vertical towards an azimuth of 345° (the azimuth of \( S_1 \) from the overcoring measurements). The \( S_2 \) azimuth was fixed at 155°, but the \( S_2 \) inclination angle and \( S_0 \) orientation were adjusted as \( S_1 \) was deviated to maintain the orthogonal nature of the principal stresses. As the deviation angle increased, the breakout positions modelled in the far-field of the LIC118 borehole-rotated clockwise around the borehole wall (looking down the borehole). The predicted breakouts from the initial stress model were centred at 97°–277° from the bottom of the hole. For a stress state with \( S_v \) deviated 20° to the NNW, the breakouts were predicted at 108°–288° from the bottom. The observed breakouts are centred at approximately 105°–285°. Therefore, the deviation of \( S_1 \) from vertical towards the NNW resulted in a more consistent fit to the observed breakouts in the LIC118 borehole and had little to no effect on the failures modelled in the shorter boreholes in the near-field of the mining.
We also tested the sensitivity of the modelling to the azimuth of $S_1$ by rotating the azimuth by $\pm 5^\circ$ from 345°. This slight rotation did not have a significant effect on the modelled failures. However, when $S_1$ is deviated 20° from vertical towards an azimuth of 165° and $S_2$ is deviated 20° from horizontal with an azimuth of 335° (stress model 2B in Fig. A1), the breakouts modelled in the LIC118 borehole were positioned at 85° and 265° from the bottom of the hole. The conclusion from these tests was that $S_1$ is likely deviated up to 10–20° from vertical towards the NNW (Fig. A1c). Because $S_1$ is nearly vertical, we refer to it as $S_v$.

The initial stress model also assumed that the stress regime was normal faulting, as indicated in McGarr and Gay [10]. This assumption was tested using model 4D, a strike-slip faulting stress model in which $S_{Hmax} = 30$ MPa/km > $S_v = 27.2$ MPa/km > $S_{Hmin} = 14$ MPa/km (Fig. A1). Because breakouts form normal to the direction of maximum compression along the borehole, a subhorizontal $S_1$ acting on a subhorizontal borehole...
results in breakouts modelled closer to the top and bottom of the borehole rather than near the sides of the borehole, as observed. The larger magnitude of $S_1$ also modelled larger breakout widths (up to 180°) than the observed widths of about 60°. These results are inconsistent with the breakout observations.

A.2. Horizontal stress orientations

In the initial model, the azimuth of $S_{Hmax}$ ($S_2$) was 155° and $S_{hmin}$ ($S_3$) was 245°. Since the trajectory of $S_{vp}$ is likely slightly deviated from vertical, $S_2$ is also likely to be inclined horizontal, and is, therefore, referred to as $S_{hmax}$. We tested the effects of rotating the azimuth of $S_{Hmax}$ clockwise to 168° and counterclockwise to 148° (shown by the black open circles in model 2C in Fig. A1) on the borehole failure modelling. Rotating the horizontal stress azimuths had very little effect on the breakouts modelled along the LIC118 borehole. However, it had a significant effect on the orientations of the failures modelled in the near-field vertical boreholes (Table A1). The $S_{Hmax}$ azimuth of 148° resulted in a better fit to the observed borehole failure positions at sites 10 and 13, while an azimuth of 168° was more consistent with site 7V failures. Therefore, the range of acceptable $S_{hmax}$ azimuths was constrained to be between 145° and 168° with an inclination up to 20° from horizontal (Figs. 7 and A1c).

A.3. Vertical stress magnitude

The $S_{vp}$ magnitude was well constrained based on the density of the overburden material which is about 2700 kg/m³. Furthermore, the breakouts in the far-field of the LIC118 borehole are primarily controlled by the magnitude $S_{vp}$ and the uniaxial compressive strength of the rock. In this work, we used a uniaxial compressive rock strength of 200 MPa from laboratory measurements to model the breakouts. Increasing the magnitude of $S_{vp}$ resulted in breakout widths that were too large and decreasing it resulted in breakout widths that were too small. Based on this analysis, the $S_{vp}$ gradient ranges from 26.7 to 27.3 MPa/km.

A.4. Pore pressure

The initial stress model had a hydrostatic $P_p$ gradient of 10 MPa/km. This assumption was consistent with the observations that the crust around TauTona is critically stressed. As mentioned above, hydrostatic $P_p$ is typically observed in deep boreholes in low porosity (<2%) and very low permeability crystalline basement rocks in intraplate regions [22–24]. Without any direct measurements of $P_p$, we continued to assume $P_p$ is hydrostatic for all the analyses, and to constrain $S_3$, as discussed in the next section.

A.5. $S_{hmin}$ magnitude

In the initial stress model, the $S_3$ magnitude was limited by a coefficient of sliding friction of $\mu = 1.0$ in a critically stressed crust. This value of $\mu$ is the upper limit of the generally assumed range of $\mu$ (0.6–1.0) for the brittle crust [22,27]. Rock mechanics experiments measured a $\mu = 0.82$ for the quartzite and a $\mu = 0.58$ for the cataclasite that is found in the fault trace of many pre-existing faults [14]. The “constrain stress” polygon, which is defined by frictional faulting theory, decreases in size with decreasing values of $\mu$ [31] (Fig. A1a). For $P_p = 10$ MPa/km, $S_{vp} = 27.2$ MPa/km, and $\mu = 1$, the lower limit of $S_{hmin}$ is 12.9 MPa/km, while if $\mu = 0.6$, $S_{hmin}$ is limited to 15.5 MPa/km.

To test the magnitude of $S_{hmin}$, we analysed the borehole failure modelling results based on BEM calculations using stress models 2D and 3D (Fig. A1). For the LIC118 borehole, both stress models predicted breakouts consistent with the far-field observations. Model 2D ($\mu = 1.0$) is more consistent with the near-field observations. The breakout widths predicted at sites 10 and 13 and at the top of LIC118 more closely matched the observations. The DITFs at site 10 and 7V were also better represented with stress model 2D. There was no significant difference between the two models in the other boreholes. While model 3D was less consistent with the near-field observations, it could not be ruled out. For this reason, the $S_{hmin}$ gradient was constrained to be between 12.9 and 15.5 MPa/km (Figs. 8 and A1b).

A.6. $S_{Hmax}$ magnitude

The initial stress model assumed that the $S_{Hmax} > S_{hmin}$. To test this assumption, we compared the failure predictions from three stress models: 5D, 6D, and 7D, where the $S_{Hmax}$ gradients are 25, 22.5, and 20 MPa/km, respectively (Fig. A1). All the stress models predicted borehole failures that were consistent with the far-field breakout observations in the LIC118 borehole. In general, the borehole failure models based on the BEM calculations using the smaller $S_{Hmax}$ gradients better represented the absence of breakouts that was observed at the top of the LIC118 (Fig. 6), but were not as consistent with the other near-field observations. The borehole failure modelling based on stress model 7D predicted the absence of failures at the top of the LIC118 borehole and the breakouts at site 10, but does not predict any breakouts at site 13 or any DITFs at site 7V. Because of the lack of consistency with the near-field borehole observations, we excluded stress model 7D from the range of acceptable far-field stress states. We constrained the range of $S_{Hmax}$ gradients for a gradient of $S_{hmin}$ of 14 MPa/km ($\mu = 0.8$) to be 22.5–25.5 MPa/km. The acceptable $S_{Hmax}$ range is smaller (25–26 MPa/km) for an $S_{hmin}$ of 15.5 MPa/km ($\mu = 0.6$) and larger (21–25) for an $S_{hmin}$ of 13 ($\mu = 1.0$) (as shown in the green shaded regions of Figs. 8 and A1b).

## References