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Article:

Subgrain rotation recrystallization during shearing: insights from full-field numerical simulations of halite polycrystals

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Key Points:

- Full-field numerical simulations of subgrain rotation recrystallization, able to reproduce experiments, are presented for first time

- Intracrystalline recovery strongly decreases grain size reduction but does not change crystal preferred orientations

- Mean subgrain misorientations can be used as a strain gauge for polycrystals undergoing recrystallization, following a universal law

26   **Abstract**

27   We present, for the first time, results of full-field numerical simulations of subgrain rotation
28   recrystallization of halite polycrystals during simple shear deformation. The series of simulations
29   show how microstructures are controlled by the competition between (i) grain size reduction by
30   dislocation creep and (ii) intracrystalline recovery encompassing subgrain coarsening (SGC) by
31   coalescence through rotation and alignment of the lattices of neighboring subgrains. A strong
32   grain size reduction develops in models without intracrystalline recovery, as a result of the
33   formation of high-angle grain boundaries when local misorientations exceed 15°. The activation
34   of subgrain coarsening associated with recovery decreases the stored strain energy and results in
35   grains with low intracrystalline heterogeneities. However, this type of recrystallization does not
36   significantly modify crystal preferred orientations. Lattice orientation and grain boundary maps
37   reveal that this full-field modelling approach is able to successfully reproduce the evolution of
38   dry halite microstructures from laboratory deformation experiments, thus opening new
39   opportunities in this field of research. We demonstrate how the mean subgrain boundary
40   misorientations can be used to estimate the strain accommodated by dislocation creep using a
41   universal scaling exponent of about 2/3, as predicted by theoretical models. In addition, this
42   strain gauge can be potentially applied to estimate the intensity of intracrystalline recovery,
43   associated with temperature, using EBSD maps in areas with strain gradients.

44   **1 Introduction**

45   Understanding rock deformation microstructures is essential to unravel tectonic processes
46   and to predict physical properties of crustal and mantle rocks. Polycrystalline aggregates
47   typically develop crystal preferred orientations (CPO) and may lead to strongly anisotropic
48   behavior when they are deformed by dislocation creep [*Urai et al.*, 1986; *Passchier and Trouw*,
49   2005]. Halite (NaCl) is a widely used mineral to understand the behavior of rocks deformed in
50   the ductile regime. It has very special properties, since it is nearly incompressible, highly soluble,
51   has a very low permeability, and can flow ductilely in the solid state under relatively low stresses.
52   Therefore, it is widely used for deformation and recrystallization experiments, and is an accepted
53   analogue material for silicates that deform ductilely at much higher temperatures and pressures
54   [e.g., *Guillope and Poirier*, 1979]. At low temperature and dry conditions halite deforms by
55   dislocation creep, with subgrain rotation [SGR; e.g., *Urai et al.*, 1986; *Trimby et al.*, 2000] being
56   the dominant recrystallization mechanism [regime 2 of *Hirth and Tullis*, 1992]. This results in an
57   anisotropic behavior with the development of strong intracrystalline heterogeneities. SGR is
58   linked to the formation of subgrain boundaries as a consequence of strain, and is also associated
59   with the reduction of free energy by the activation of intracrystalline processes that result in the
60   reorganization of subgrains (recovery) [e.g., *Halfpenny et al.*, 2006; *Karato*, 2012]. Two main
61   processes influence the formation of subgrain boundaries: (i) annihilation of dislocations of
62   opposite signs and (ii) polygonization, which consists on the alignment of dislocations
63   [*Humphreys and Hatherly*, 2004; *Borthwick and Piazolo*, 2010]. In such a situation, dislocations
64   move and interact to form low-angle subgrain boundaries (LAGB), leading to an increase in
65   misorientation between subgrains [*Urai et al.*, 1986]. Progressive strain increases this
66   misorientation angle until a critical value is reached, allowing the subgrains to become new
67   grains as their boundaries achieve high angles (HAGB). This critical angle ranges between 10º
68   and 15º, when the distances between dislocations are similar to the atomic ones [*Karato*, 2012].
69   This process results in a strong grain size reduction with increasing deformation and the
70   formation of recrystallized grains that tend to have a size similar to that of the subgrains.

71   Several studies have analyzed the development of low-angle boundaries and how
72 misorientations are related to strain. Two types of dislocation boundaries are distinguished
73 [*Kuhlmann-Wilsdorf and Hansen*, 1991; *Pantleon*, 2001]: incidental dislocation boundaries
74 (IDBs), which result from statistical mutual trapping of dislocations, and geometrically necessary
75 boundaries (GNBs), which form due to the activation of different sets of slip systems or the
76 different activity of the same set of slip systems on each side of the boundary. *Hughes et al.*
77 [1997; 1998; 2003] proposed a material-independent universal scaling behavior between the
78 average misorientation (θ_{av}) of the system and the natural strain (ε) using metal deformation
79 experiments. *Pantleon* [1997; 1998; 2001] and *Sethna and Coffman* [2003] confirmed these
80 scaling laws and provided explanations for the misorientation distributions and their scaling
81 laws, focusing on metals. *Pennock et al.* [2005] proposed a new approach, in which
82 misorientations are measured on a grain basis, and obtained a slightly different scaling law. If
83 this universal scaling also applies to rocks, this strain gauge can be a useful tool, since it allows
84 the estimation of strain by measuring misorientations from deformed samples with electron
85 backscatter diffraction analysis (EBSD). However, this method has only been applied to cases of
86 coaxial deformation, and the interplay between dislocation creep and synchronous recovery of
87 intracrystalline defects or post-deformation annealing can result in a substantial modification of
88 the microstructure and the reduction of subgrain misorientations associated with the decrease of
89 free energy (i.e., boundary and strain stored energies). This process can strongly affect
90 microstructures in halite and other materials [*Borthwick and Piazolo*, 2010], thus potentially
91 hindering the use of subgrain misorientations as a strain gauge.

92   Numerical simulation is a very useful tool that can complement the study of natural and
93 experimental samples, because it allows analysis of the effects of single or coupled deformation
94 processes in a wide range of deformation scenarios and for systems with variable material
95 properties. Moreover, simulations can overcome some of the limitations of experiments, because
96 variable sample sizes can be studied, and also high finite strain can be achieved at low strain
97 rates. The numerical evolution of textures and crystallographic preferred orientations (CPOs) of
98 polycrystalline aggregates has been widely investigated using kinematic [e.g., D-REX, *Kaminsky*
99 *and Ribe*, 2001] and self-consistent approaches, such as the viscoplastic self-consistent
100 formulation (VPSC) [*Wenk et al.*, 1989; *Lebensohn et al.*, 2003]. The VPSC method models the
101 reorientation of grains through intracrystalline slip and grain interaction assuming a homogenous
102 equivalent matrix. It adequately predicts lattice rotations depending on the slip system activity,
103 and shows results similar to those observed in experiments or predicted by finite element models
104 [see *Lebensohn et al.*, 2003]. However, these methods have the limitation that they only simulate
105 viscoplastic deformation and that dynamic recrystallization is only incorporated by using
106 probabilistic models. For instance, *Signorelli and Tommasi* [2015] successfully simulated
107 subgrain rotation recrystallization and the resulting CPOs in olivine with the VPSC approach, but
108 using an ad hoc probabilistic law for grain size reduction. In a similar way, the kinematical code
109 D-REX [*Kaminsky and Ribe*, 2001] incorporates dynamic recrystallization processes through
110 two dimensionless parameters that account for grain boundary migration and nucleation.
111 However, all these methods are not full-field, and therefore cannot model the full range of
112 intracrystalline heterogeneities and intercrystalline interactions that develop in polycrystals.
113 Apart from these disadvantages, all the methods mentioned above do not allow to visualize the
114 explicit evolution of the microstructures with deformation and are only restricted to the texture,
115 and sometimes grain size evolution.

116　　　　Recently, a full-field crystal viscoplastic approach based on the Fast Fourier Transform
117　(VPFFT) [*Lebensohn*, 2001; *Lebensohn et al.*, 2008] has been integrated within the ELLE
118　software platform [*Jessell et al.*, 2001] to simulate coupled geological processes during
119　deformation and metamorphism [*Griera et al.*, 2011; *Griera et al.*, 2013; *Llorens et al.*, 2016a;
120　*Llorens et al.,* 2016b; *Llorens et al.,* 2017; *Steinbach et al.*, 2017]. In this model the laws
121　controlling grain size reduction and intracrystalline recovery are defined from the mapped
122　variation of misorientations related to the relative misfit between local lattice orientations,
123　providing a more realistic framework for the simulation of microstructures. Additionally, this
124　code is able to simulate the spatial evolution of deformation, which has a strong influence on the
125　resulting microstructures, and can model processes such as strain localization up to high strain
126　[*Llorens et al.*, 2016b]. This method allows a full control on the relative contribution of each
127　deformation mechanism during microstructure evolution. Finally, although VPFFT/ELLE is
128　expensive in computational time, it provides results in the same format as those obtained with
129　EBSD analysis from natural and experimental samples, allowing direct comparisons.

130　　　　This contribution presents numerical simulations of pure halite deformation and
131　recrystallization under dry conditions at relatively low temperatures (< 200°C) up to a shear
132　strain of four, with the aim of understanding the behavior of polycrystalline aggregates
133　undergoing subgrain rotation recrystallization. At these temperatures, the rate of grain boundary
134　migration (GBM) is negligible, hence only intracrystalline recovery is considered here. We
135　briefly introduce the VPFFT/ELLE method and present a series of numerical experiments in
136　which a polycrystalline aggregate is deformed varying the strength along halite slip systems.
137　Viscoplastic deformation is coupled with a process that simulates intracrystalline recovery
138　associated with the decrease of free energy by subgrain rotation. In this way, we evaluate the
139　competition between dislocation creep and recovery, and show how the interplay between these
140　processes influences the resulting microstructures. Moreover, we assess the use of subgrain
141　misorientations as a strain gauge in situations of simple shear deformation incorporating dynamic
142　recrystallization by subgrain rotation and recovery. Since most rocks undergo intracrystalline
143　recovery during and after deformation, we aim to understand how this process affects the strain
144　gauge and whether misorientations can also be used to unravel the environmental conditions
145　associated with recovery (i.e., temperature). The numerical results match well those from coaxial
146　experiments by *Pennock et al.* [2005], torsion experiments by *Armann* [2008] or CPO modelling
147　by *Wenk et al.* [2009], and allow the study of microstructures in a much wider range of
148　conditions than those in the laboratory. This numerical method is not restricted to halite, but can
149　also be applied to less studied and less accessible polycrystalline aggregates of minerals with a
150　similar structure and slip systems, such as magnesiowüstite in the lower mantle.

151　**2 Methods**

152　　　　The microstructural evolution of a pure halite polycrystalline aggregate during
153　deformation creep and recrystallization is numerically simulated using the software platform
154　ELLE [*Jessell et al.*, 2001; http://www.elle.ws]. ELLE is open-source software for the simulation
155　of rock microstructures during deformation and metamorphism. Our models are based on the
156　coupling of a full-field viscoplastic formulation based on the Fast Fourier Transform (VPFFT
157　code; *Lebensohn* [2001]; *Lebensohn et al.* [2008]) and ELLE modules to simulate recovery
158　[*Borthwick et al.*, 2014]. ELLE has been successfully used to model a range of coupled
159　microstructural processes, such as static grain growth, strain localization, dynamic

160 recrystallization, rotation of rigid objects in anisotropic rocks and coupled deformation and
161 recrystallization of polar ice [e.g., *Griera et al.*, 2011; *Griera et al.*, 2013; *Llorens et al.*, 2016a;
162 *Llorens et al.*, 2016b; *Llorens et al.*, 2017; *Steinbach et al.*, 2017, and references thereof]. The
163 last four of these studies made use of the coupled VPFFT/ELLE approach that it is utilized for
164 our simulations. This method allows simulating deformation of a polycrystalline aggregate by
165 dislocation creep and dynamic recrystallization up to high strains, similar to those observed in
166 nature.

167 The VPFFT code calculates lattice rotations associated with viscoplastic deformation.
168 From these data, recrystallization processes such as grain boundary migration, new grain
169 nucleation or intracrystalline recovery can be simulated using ELLE processes (see descriptions
170 below). In the present study, only the process of recovery is considered, while grain boundary
171 migration, new grain nucleation and grain boundary sliding are deliberately not incorporated.
172 This contribution therefore aims to study the process of subgrain rotation recrystallization in
173 isolation, prior to its coupling with other recrystallization processes in future studies. Our
174 simulations thus cover the idealized regime II (rotational-recrystallization dominated) of *Hirth*
175 *and Tullis* [1992]. This is coherent with results from pure-halite deformation experiments under
176 dry conditions and relatively low temperatures (lower than 200°C), where the three last processes
177 are not active [*Urai et al.*, 2008]. We therefore concentrate on the analysis of the competition
178 between (i) grain size reduction caused by dislocation creep and (ii) subgrain coarsening by
179 coalescence through rotation and alignment of the lattices of neighboring subgrains (SGC),
180 associated with intracrystalline recovery. The recovery (SGC) process reduces subgrain
181 misorientations associated with the decrease of free energy (i.e., boundary and stored strain
182 energies), thus producing coarsening and coalescence of subgrains that compensate grain size
183 reduction associated with dislocation creep.

184 2.1 VPFFT – Viscoplastic deformation

185 In this section we provide a brief summary of the VPFFT approach. A more detailed
186 explanation of the code and how it is implemented can be found in *Lebensohn* [2001] and
187 *Lebensohn et al.* [2008]. This FFT-based code is a full-field formulation that provides a solution
188 of the micromechanical problem by finding a stress and strain-rate field that minimizes the
189 average local work rate under the compatibility and equilibrium constraints (see *Lebensohn*
190 [2001]). In this full-field approach, lattice orientations are mapped on a rectangular grid of
191 Fourier points or unconnected nodes (*unodes*) that represent small material elements and that are
192 also used to store local stress, strain rate and dislocation densities. Lattice rotations due to plastic
193 deformation by dislocation slip are calculated from the velocity gradient and stress fields. The
194 local mechanical response of a non-linear heterogeneous material can be calculated as a
195 convolution integral between Green functions associated with a linear homogenous medium and
196 a polarization field containing all the information on the heterogeneity and nonlinearity of the
197 material's behavior. For periodic media, the Fourier transform allows converting convolution
198 integrals in real space to simple products in the Fourier space. Therefore, the FFTs are used to
199 transform the polarization field into Fourier space, and thus get the mechanical fields by
200 transforming the convolution product back to real space. Since the polarization depend on the
201 unknown mechanical fields, an iterative method is used to obtain a compatible strain-rate field
202 and a stress field in equilibrium related by the constitutive equation.

203   The viscoplastic behavior of polycrystals is defined using a non-linear viscous rate-
204   dependent model, where deformation is assumed to be accommodated by dislocation glide
205   [*Lebensohn*, 2001] along a number of pre-defined slip systems. The constitutive equation
206   between the strain rate $\dot{\varepsilon}_{ij}(\mathbf{x})$ and the deviatoric stress $\sigma'(\mathbf{x})$ is given by:

207
$$\dot{\varepsilon}_{ij}(x) = \sum_{s=1}^{N_s} m_{ij}^s(x)\dot{\gamma}^s(x) = \dot{\gamma}_0 \sum_{s=1}^{N_s} m_{ij}^s(x) \left| \frac{m^s(x):\sigma'(x)}{\tau^s(x)} \right|^q sgn\big(m^s(x):\sigma'(x)\big), \quad (1)$$

208   where m^s, $\dot{\gamma}^s$ and τ^s are the symmetric Schmid tensor, the shear strain rate and the critical
209   resolved shear stress defined for the slip system s, respectively. $\dot{\gamma}_0$ is the reference strain rate, q is
210   the rate sensitivity exponent and N_s is the number of slip systems in the crystal.

211   Once the iteration converges, the microstructure is updated using an explicit scheme
212   assuming that the mechanical fields are constant during a small time increment Δt. The new
213   position of a point $\mathbf{x}$ of the Fourier grid is determined using the velocity fluctuation term $\tilde{v}_i(\mathbf{x})$
214   (Eq. 25 in *Lebensohn* [2001]) arising from the heterogeneity field as

215
$$X_i(\mathbf{x}) = x_i^0 + \left(\dot{E}_{ij}x_j^0 + \tilde{v}_i(\mathbf{x}) \right) \times \Delta t, \quad (2)$$

216   where $\dot{E}_{ij}$ is the macroscopic strain rate. The local crystallographic orientations are updated
217   according to the following local lattice rotation

218
$$\omega_{ij}(\boldsymbol{x}) = \left(\dot{\Omega}(\boldsymbol{x}) + \tilde{\omega}(\boldsymbol{x}) - \dot{\omega}_{ij}^p(\boldsymbol{x}) \right) \times \Delta t, \quad (3)$$

219   where $\dot{\Omega}(\boldsymbol{x})$ is the average rotation rate of the macroscopic velocity gradient tensor, $\tilde{\omega}(\boldsymbol{x})$ is the
220   local fluctuation in the rotation-rate obtained by taking the antisymmetric part of the velocity
221   gradient fluctuation term $\tilde{v}_{i,j}(\mathbf{x})$, and finally the last term $\dot{\omega}_{ij}^p(\boldsymbol{x})$ is the plastic rotation-rate of the
222   crystal lattice that it is calculated as $\sum_{s=1}^{N_s} \alpha_{ij}^s(\boldsymbol{x})\dot{\gamma}^s(\boldsymbol{x})$, where α_{ij}^s is the anti-symmetric Schmid
223   tensor. Lattice misorientations between neighboring Fourier points form where rotation gradients
224   develop, as a consequence of the formation of deformation gradients. As such, high subgrain
225   misorientations develop in areas of high strain gradients. After VPFFT induces lattice rotations,
226   and before the intracrystalline recovery process, a routine checks if the local misorientation
227   exceeds the local misorientation angle that defines a high-angle grain boundary (HAGB). A new
228   HAGB is thus created when misorientation exceeds 15°. This results in the formation of
229   recrystallized, new grains, and hence in grain size reduction. Grains in the model are defined by
230   nodes that are connected by straight grain-boundary segments, and therefore named boundary
231   nodes (*bnodes*). As grain boundary migration [e.g., *Piazolo et al.*, 2002; *Llorens et al.*, 2016a;
232   *Llorens et al.*, 2016b; *Llorens et al.*, 2017] is disabled in this study, the only role of HAGBs is to
233   restrict recovery and subgrain-boundary formation within individual grains. *Bnodes* are displaced
234   by deformation according to Eq. (2).

235   2.2 ELLE – Intracrystalline recovery

236   After each deformation step, the new microstructure configuration provided by the
237   VPFFT calculation is used by the ELLE-recovery module that simulates intracrystalline recovery

238   that is driven by a reduction of the local misorientation generated by dislocations, following a
239   modification of the method of *Borthwick et al.* [2014] and *Llorens et al.* [2016a] (see Supporting
240   Information for a full description of the method). Lattice-orientation heterogeneities are reduced
241   by local rotation of the lattice without moving high-angle grain boundaries (HAGB). The
242   recovery routine simulates annihilation of dislocations and their rearrangement into low-angle
243   subgrain boundaries (i.e., polygonization; *Urai et al.* [1986]) and the development of areas with
244   homogenous crystal orientations by coalescence through rotation and alignment of the lattices of
245   neighboring subgrains.

246   The smallest region with a homogenous lattice orientation in the model is a *unode*
247   (unconnected node), which is treated as a subgrain or crystallite. Geometrical necessary
248   dislocations arise from orientation differences between the lattices in adjacent *unodes*. Rotation
249   of the lattice in one single *unode* changes these orientation differences and, hence, the local
250   dislocation density and associated energy. Since all geometrically necessary dislocations are
251   located at the boundaries between *unodes*, their energy can be treated as a boundary energy that
252   is a function of orientation difference between *unodes*. The recovery routine essentially
253   calculates and applies small increments of lattice orientation in individual *unodes* that is driven
254   by the associated dislocation energy reduction. The model assumes that the rotation rate of a
255   crystallite/subgrain is proportional to the torque (Q) generated by the change of surface energy
256   associated with the misorientation reduction [*Randle*, 1993]. A linear relation between the
257   angular velocity ω and a driving torque Q is assumed

$$\omega = M'Q \tag{4}$$

259   where M' is the rotational mobility [*Moldovan et al.*, 2002]. Considering a 2D microstructure,
260   the torque acting on a crystallite delimited by n subgrain boundaries (*sb*) is given by

$$Q = \sum_n l_{sb} \, d\gamma_{sb}/d\theta_{sb} \tag{5}$$

262   where l_{sb} denotes the boundary length with grain boundary energy γ_{sb} and misorientation angle
263   θ_{sb} across the boundary between the reference subgrain and a neighboring subgrain *sb*. In the
264   model, each crystallite (*unode*) is regarded as a small, square (potential) subgrain. For low-angle
265   boundaries, the boundary energy is calculated as a function of the misorientation angle with the
266   Read-Shockley equation [*Read and Shockley*, 1950]. For such misorientation angles, the
267   equivalent rotations by crystal symmetry are considered in order to obtain the minimum
268   misorientation θ between two crystallites or *unodes* (i.e., disorientation). In the original model by
269   *Moldovan et al.* [2001; 2002], the rotation mobility M' was expressed as function of boundary
270   and/or lattice self-diffusion. Here, our approach differs from the original one because we have
271   assumed that *unode* (crystallite) lattice rotation is accommodated by cooperative
272   motion/rearrangement of boundary dislocations (*Li* [1962]), by reducing the local misorientation.
273   Since we assume rigid rotation of square *unodes*, a mechanism of boundary and lattice diffusion
274   is required in order to keep areas constant along their edges. Due to the lack of experimental
275   data, and as a first approach, we assume that subgrain rotation can be described as a linear
276   viscous process where M' is expressed as function of the effective viscosity of the material η (see
277   Supporting Information for the full description). For a square shape this relationship is

$$M' = \frac{1}{8\eta}\frac{1}{d^2} \tag{7}$$

279   where *d* is the subgrain size (i.e., one *unode*).

280   The recovery process in ELLE assumes that each *unode* is a potential subgrain and thus
281   the boundary energy and misorientation is minimized by the rotation of each *unode*. The
282   algorithm starts by choosing a random *unode* and finding the first-neighboring *unodes* that
283   belong to the same grain. The crystal orientation of the reference *unode* is rotated towards the
284   value that results in the maximum reduction in energy calculated from systematic trial rotations,
285   being the crystal orientation unchanged if all trial positions result in an increase of energy of the
286   neighborhood. This procedure is repeated for each *unode* in random order every time step. The
287   numerical predictions were verified by *Borthwick et al.* [2014] using results from intracrystalline
288   evolution during annealing experiments of deformed single salt crystals. Our method presents
289   some slight differences with that of *Borthwick et al.* [2014]. These are that: (i) rotation in our
290   approach depends on the boundary energy reduction and (ii) we use a direct relationship between
291   *M'* and the material properties based on the material's effective viscosity (see Supporting
292   Information for more details). An alternative way to constrain *M'* could be based on the use of
293   misorientation decay during annealing experiments. Although there is data from high-
294   temperature halite experiments [e.g., *Borthwick et al.* 2012 and references therein], there is
295   certainly no published data for halite deformed in the low-temperature regime. Therefore, the
296   approach taken is the most appropriate for estimating *M'* values. A comparison of the kinetics of
297   recovery calculated from annealing experiments versus those using our approach is discussed in
298   the Supporting Information and Fig. S1.

299   2.3 Experimental setup and postprocessing

300   An initial microstructure composed of 255 grains is discretized into a resolution of
301   256x256 Fourier points (or *unodes*), resulting in a unit cell formed by 65,536 nodes**.** These nodes
302   provide the physical properties within grains and store the lattice orientation, defined with the
303   three Euler angles. A set of random initial orientations (Figure 1) was assigned to the initial
304   grains, and the initial crystal preferred orientation (CPO) results in near isotropic bulk behavior.
305   The data structure on VPFFT/ELLE is fully periodic, in a way that grains reaching one side of
306   the model continue on the other side. The initial model is a 1x1 cm square and, therefore, the
307   *unode* distance is set to *d*=1/256 cm. Every deformation time step all the parts of the model
308   outside the square unit cell are repositioned back into it. This improves the visualization of the
309   microstructures, even when high shear strains are reached. In ELLE, each process is simulated as
310   a separate module that acts on the data structure [*Jessell et al.*, 2001]. The program flow and
311   coupling between the viscoplastic VPFFT code and ELLE are similar to those used by *Griera et*
312   *al.* [2011], *Griera et al.* [2013], *Llorens et al.* [2016a], *Llorens et al.* [2016b], *Llorens et al.*
313   [2017] and *Steinbach et al.* [2017]. Each process is activated sequentially in a loop that
314   represents a small increment Δ*γ* of viscoplastic deformation calculated with VPFFT followed by
315   recovery during a small time increment Δ*t*. Since an elastic component is not incorporated in our
316   models, the mechanical response of the viscoplastic model only depends on the current
317   configuration. Moreover, the same operator-splitting procedure of coupling processes
318   sequentially has been successfully used in a number of viscous and viscoplastic numerical
319   simulation studies utilizing the ELLE platform (see *Piazolo et al.* [2002], *Bons et al.*, [2008],
320   *Jessell et al.* [2009], *Griera et al.* [2013], *Llorens et al.* [2013], *Llorens et al.* [2017], *Steinbach*
321   *et al.* [2016] and references thereof), and tested for our specific model configuration (see below).

322   The constitutive behavior of halite polycrystals is simulated using a system with cubic
323   symmetry where deformation is accommodated by three sets of slip systems: $\{110\}\langle\bar{1}10\rangle$,
324    $\{100\}\langle011\rangle$ and $\{111\}\langle\bar{1}10\rangle$ [e.g., *Carter and Heard*, 1970]. In this approach, the resistance of
325   slip systems to glide is defined by a critical resolved shear stress (τ^s). The degree of anisotropy
326   (A) is set as the ratio between the critical resolved shear stress with respect to the easiest glide
327   system, which is $\{110\}\langle\bar{1}10\rangle$ for halite at low temperature. Following single crystal experiments
328   by *Carter and Heard* [1970], we have set CRSS as three times higher for the $\{100\}\langle011\rangle$ slip
329   system (i.e., $A=3$), and two times for the $\{111\}\langle\bar{1}10\rangle$ system (i.e., $A=2$). The stress exponent is
330   set to $q=7$ for all the experiments. From a mechanical point of view, the VPFFT approach
331   assumes that the CRSS' do not change throughout time (i.e., there is no hardening associated
332   with interaction of dislocations), and therefore these A values are kept constant throughout the
333   simulation. Experimental observations indicate that climb of dislocations is not active in halite at
334   the simulated range of temperatures [e.g., *Borthwick and Piazolo*, 2010], hence hardening of
335   CRSS (e.g., by cross slip) associated with strong interaction between slip systems is not expected
336   here.

337   Dextral simple-shear deformation was modeled in increments of $\Delta\gamma=0.04$ up to $\gamma=4$,
338   although significantly higher shear strains can be achieved at the cost of calculation time. Four
339   different recovery scenarios were modeled by varying the number of computational steps of the
340   recovery (SGC) process per deformation step: SGC0, SGC1, SGC10 and SGC25. A constant
341   time step of 2×10^8 s (~6 years) was used for all simulations and, therefore, the shear strain rate
342   was 2×10^{-10} s^{-1}. There are no experimental data to constrain the rotation mobility M' parameter
343   used in the recovery models. The M' value was calculated with equation (7), taking a reference
344   viscosity of 5×10^{16} Pa·s (model SGC1). This value was determined from flow laws derived from
345   halite experiments for the given strain rate (after *Urai et al.* [2008]), assuming a low temperature
346   (< 50 ºC) and for our strain rate. As the strain rate is constant for all models, an increase of the
347   number of recovery steps implies a reduction of the effective viscosity. We interpret this
348   reduction as associated with a temperature increase that causes a higher activity of
349   recrystallization processes. For the SSG10 and SSG25 simulations the estimated viscosities are
350   5×10^{15} Pa·s and 2×10^{15} Pa·s, respectively. This range of calculated values is in agreement with
351   bulk viscosities observed from halite deformation experiments for the aforementioned low
352   temperature conditions [*Urai et al.*, 2008]. For the model without recovery (SGC0), the rotation
353   mobility is assumed to be sufficiently small not to produce microstructure modifications for the
354   time and length scale of our simulations. The viscosity of this model should be at least higher
355   than that of the reference model SGC1.

356   The numerical results were post-processed using the texture calculation toolbox MTEX
357   (http://mtex.googlecode.com; *Bachmann et al.* [2010], *Mainprice et al.* [2011]). MTEX allows
358   generating maps (i.e., lattice orientation, misorientation boundaries) and analyzing the CPOs in a
359   similar way as for EBSD data of natural or experimental samples, thus allowing a direct
360   comparison of 2D sections.

361   A series of simulations based on the model SGC10 were analyzed in order to investigate
362   the influence of the time step size on the resulting microstructures. For this purpose, we ran
363   models with incremental shear strains of $\Delta\gamma=0.008, 0.016, 0.024, 0.032, 0.04, 0.08, 0.12$ and
364   0.16, keeping the same balance of subgrain coarsening with respect to shearing. This means that

365   runs with a larger shear strain increment underwent a higher number of recovery (SGC) steps.
366   The results are summarized in Figure S2 (Supporting Information) and demonstrate that the
367   chosen time step size has a very limited influence on the results. This difference is associated
368   with the fact that relatively high misorientations are reduced in the first step of the SGC process.
369   We chose to run the models with a shear strain increment of Δ_{inc}=0.04 per time step as a
370   compromise between accuracy and simulation time. The difference between this base model and
371   that with very small time steps is very small, with a variation of less than 0.2° of the mean
372   misorientation of the model (Figure S2).

3 Results

374   Orientation maps resulting from the simulations without recovery (SSG0) show a
375   microstructure with strong grain size reduction and increasing elongation of relict grains (defined
376   by the original grain boundaries) with progressive deformation (Figure 2; Movie ms01 of the
377   SGC0 model in additional supporting information). These processes become extreme at
378   relatively high shear strains, where only a few large relict grains immersed in a recrystallized
379   matrix are recognizable (e.g., Figure 2d at γ=4). It is worth noting that the term recrystallized
380   matrix here refers to areas of small grains formed by rotation recrystallization (i.e., by the so
381   called grain refinement process in metallurgical and material science). As expected, the angle
382   between the developing foliation and the shear plane progressively reduces with increasing
383   strain, although at γ=4 the foliation is still oblique to the shear plane. Relict grains tend to show a
384   shape-preferred orientation oblique to the shear plane and coherent with the imposed dextral
385   shear sense. Deformation is distributed along the polycrystal, and no localization bands in areas
386   with preferred grain size reduction can be distinguished. With increasing shear strain, grain
387   orientations trend towards acquiring {110} orientations parallel to the shear direction (i.e., green
388   tones in Figure 2), while very few grains with {111} parallel to the shear direction (i.e., blue
389   tones in Figure 2) can be found.

390   Grains deform internally in a different way depending on their initial geometry and
391   orientation and those of their neighbors. For example, at relatively low strains (γ=1) some grains
392   develop a network of subgrains (Figure 2b), while others have homogeneous crystal orientations
393   or smooth orientation gradients without distinct subgrain boundaries. The first detectable low-
394   angle grain boundaries (LAGB; smaller than 15º) tend to form next to triple nodes, because
395   orientation differences between grains in these areas tend to result in strain incompatibility and
396   therefore lead to the activation of different slip systems. Some of these LAGBs subsequently
397   develop into high-angle grain boundaries (HAGB; higher than 15º) to form new and smaller
398   grains, which display a parent and daughter grain structure between relict and recrystallized
399   grains (i.e., formed by rotation recrystallization). Areas with recrystallized grains tend to be
400   initially isolated, surrounding parental grains. With progressive strain these areas tend to join and
401   form connected bands that finally result in a continuous matrix at higher strain. At relatively low
402   strains (γ=1) new grains formed by rotation recrystallization tend to be grouped in clusters.
403   Grains with denser subgrain networks have a tendency to have {100} close to the shear direction
404   (red tones in Figure 2). The orientation of subgrain boundaries in banded grains generally varies
405   between the direction of the grain elongation or foliation and the shear plane. Subgrain rotation
406   significantly increases with progressive strain, causing a strong grain size reduction in the SGC0
407   model.

408   Simulations that include intracrystalline recovery show that subgrain coarsening and
409 coalescence significantly reduce subgrain misorientations and therefore the density of subgrain
410 boundaries. Thus, the intensity of grain size reduction is significantly lower in those models,
411 allowing the survival of larger grains and subgrains with progressive deformation (Figure 3;
412 Movie ms02 of the SGC0 model in additional supporting information). Crystal preferred
413 orientations (CPOs) are qualitatively not changed when there is recovery, but their intensity is
414 enhanced (Figs. 3, 4). Subgrain-free grains dominate in simulations with strong recovery
415 (SGC10 or SGC25; Figure 3g-l), with many grains having internal misorientations lower than 5º.
416 Orientation maps of the deviation of individual *unodes* or crystallites with respect to the mean
417 orientation of the grain help to highlight the subgrain structure (Figure 3c,f,i,l). Strong subgrain
418 size reduction with significant deviations from the mean orientation of the grains can be seen in
419 simulations with low or no recovery (SGC1 or SGC0). However, increasing recovery strongly
420 reduces these deviations and the map shows clearer (white) areas, meaning that the
421 misorientation of crystallites with respect to the grain mean is very low.

422   A close look at the grains better reveals the effects of recovery. For example, Figure 5
423 shows details of three selected grains (indicated in Figure 1), comparing the experiment without
424 recovery (SGC0) with that with 10 steps of recovery per deformation step (SGC10). The increase
425 of recovery reduces the spread of orientations and decreases subgrain boundary misorientations.
426 The results illustrate how two grains with relatively similar initial orientations (A and B) develop
427 different lattice orientation distributions after a shear strain of one. Three subgrains with very
428 different orientations develop in grain A. The new grain limits are subparallel to the shear plane.
429 Contrary to this, grain B develops banded subgrains, with alternating orientations. The new grain
430 boundaries within this grain are oriented parallel to its elongation direction. Grain C shows the
431 same orientations in both cases, although there are more subgrain boundaries in the model
432 without recovery (SGC0). For the three cases, subgrain boundaries are sub-parallel to a direction
433 of the {110} planes. There is a maximum clustering of axes parallel to the <100> direction (i.e.,
434 parallel to the normal of the intermediate strain axis of simple shear deformation). On the
435 contrary, the other axes are more dispersed. This indicates that the misorientation axes for this
436 type of boundaries is <100> and corresponds to a tilted boundary, as this axis is included in the
437 boundary plane.

438   Stereograms reveal that crystal orientation poles are oriented almost identical for the
439 whole series of experiments, but there is more scattering and a less intense CPO in the models
440 with limited or no recovery. At all stages of deformation, orientations are spread, as indicated by
441 orientation maps (Figs. 2,3) and pole figures (Figure 4). Despite the scattered distribution, the
442 {110} and {111} pole figures at $\gamma=1$ already display a weak hexagonal symmetry, both in models
443 with and without recovery. On the contrary, the {100} stereogram shows a more asymmetric
444 pattern, which evolves with progressive deformation towards a pattern with a maximum
445 perpendicular to the shear plane and two maxima at 45º to it. At $\gamma=4$ there are two {110} maxima
446 parallel and perpendicular to the shear plane, respectively, plus another four maxima at 45º of it.
447 Four {111} maxima form at 45º to the shear direction. Orientations in individual grains display a
448 wide distribution with a similar symmetry to that of the bulk, although they can appear rotated
449 depending on the initial orientation of the selected grain and its neighbors (Figure 4).

450   The analysis of the slip system activity reveals that all the sets of pre-defined slip systems
451 all contribute to deformation (Figs. 6, 7). In all our simulations, nearly 50% of strain is

452   accommodated, on average, by the {111} systems. At the onset of deformation, when grain
453   distribution is random, 48% of strain is accommodated by these systems, 34% by the easiest
454   glide {110} system, and 18% by the hardest {100} systems. In order to check the consistency of
455   these values, the SGC0 simulation was repeated ten times with different initial grain orientations,
456   and the maximum deviation of bulk activities at γ=1 was ±0.4%. With increasing strain, the
457   activity of {111} systems remains approximately constant, while that of the {110} system
458   slightly decreases and {100} increases. At γ=4, and for the model without subgrain coarsening,
459   29% of strain is accommodated by the {110} system and 24% by {100}. When there is recovery,
460   the activity of {111} system remains similar but the activity balance between the hardest and
461   easiest slip systems slightly changes throughout the experiment, although the activity of the
462   {110} system is always higher than that of the {100} (Figure 6d at γ=4). Maps displaying the
463   distribution of slip system activity show that the {111} systems dominate and widely affect the
464   whole sample (pale tones in Figure 7). The relative activity of the second slip system, either
465   {110} (blue) or {100} (red), determines the evolution of each grain. Some grains, such as those
466   marked with A, B and C, start displaying banded regions with differences in slip system activity
467   from the onset of deformation (Figure 7a), thus giving rise to subgrains that evolve to form new
468   grains with increasing strain. In some cases, subgrains can form even if the same slip systems
469   dominate, but they have different activities. The subgrains developed in the lower part of grain
470   A, which are all determined by {100} systems, are a good example of this phenomenon (Figs. 5
471   and 7b). The slip system activity maps are relatively similar in models with and without
472   recovery. For the three selected grains of Figure 5, subgrain boundaries are formed as
473   consequence of differences in the activation of the {110} and {100} sets between subgrains.

474   The frequency distribution of geometric mean misorientations of initial individual grains
475   is shown in Figure 8. At the onset of deformation, subgrain boundaries showed low mean
476   misorientations, which rapidly increased and spread with progressive deformation. However, the
477   rate of this increase slows down at relatively high strains. The distribution of mean values for
478   individual grains is close to exponential at the beginning of deformation, but becomes closer to
479   normal at higher strains (e.g., at γ=2-4) for the models without recovery (SGC0). When subgrain
480   coarsening is active (in models with SGC>0), mean misorientation values are significantly lower,
481   although their spread is similar to the cases without SGC. Values at higher strains tend to deviate
482   from a normal distribution with increasing SGC.

4 Discussion

484   The main objectives of this study are (i) to investigate the microstructural evolution of
485   halite polycrystals during simple shear deformation with subgrain rotation recrystallization, and
486   (ii) to assess the use of subgrain misorientations as a strain gauge in polycrystals that undergo
487   different intensities of intracrystalline recovery. We specifically simulate halite deformation and
488   recrystallization under dry conditions and at relatively low temperatures, focusing on the
489   competition between (i) grain size reduction by subgrain rotation induced by dislocation creep
490   and (ii) subgrain coarsening driven by the reduction of local misorientation associated with
491   intracrystalline recovery. Our simple-shear simulations produce qualitatively similar results to
492   those from halite deformation experiments by other authors, validating the proposed numerical
493   approach. Specifically, our numerical microstructures (Figs. 2, 3, 5) and CPOs (Figure 4) can be
494   directly compared with the published torsion experiments of dry halite at 100 and 200 °C by
495   *Armann* [2008] and *Wenk et al.* [2009]. Our calculated values of mean misorientation and

496   subgrain misorientation statistics are qualitatively similar to those obtained with EBSD by
497   *Pennock et al.* [2005] for dry halite deformed in coaxial conditions at 165±10ºC.

498   The experiment without recovery (SGC0) very well illustrates the process of grain size
499   reduction, with the formation of LAGBs that evolve to HAGBs. Subgrains start forming at the
500   early stages of deformation, as in other materials [e.g., *Hurley and Humphreys*, 2003]. Subgrain
501   formation and the development of subgrain misorientations do not only depend on the initial
502   grain orientation, but also on the relative orientations of the surrounding grains. This was also
503   observed in experiments by *Pennock et al.* [2005]. The SGC0 simulation reproduces very similar
504   CPOs as those with the VPSC approach [e.g., *Wenk et al.*, 2009], in which only deformation by
505   dislocation glide is taken into account. In this situation, there is a strong grain size reduction (see
506   evolution of number of grains in Fig. 8a-e), but there are a few relict grains that can survive
507   throughout deformation, depending on their initial orientation and that of their neighbors. As
508   expected, grain elongation increases and rotates towards the shear plane with increasing strain.
509   Orientation maps show a wide distribution, although grains with {110} orientations parallel to
510   the shear direction dominate. The predicted CPOs also reproduce those from low-temperature
511   halite experiments by *Armann* [2008] and *Wenk et al.* [2009] well, although our simulations
512   produce less scattering. This is probably due to the complete absence of other recrystallization
513   processes or deformation mechanisms in the simulations. The addition of recovery changes the
514   deformational behavior of the samples, since subgrain recrystallization associated with the
515   reduction of stored strain and boundary energies significantly decreases grain size reduction
516   (values displayed in Fig. 8), especially in the experiments SGC10 and SGC25. This process does
517   not change CPOs, but results in a more homogeneous microstructure. As indicated in section 2.3,
518   the increase of recovery is simulated with the assumption of a reduction of the effective viscosity
519   of the material, allowing more rotation at the same driving force. Since viscosity is temperature-
520   dependent, this effect would be linked to a temperature increment in natural cases [*Borthwick*
521   *and Piazolo*, 2010].

522   A detailed analysis of the slip system activity reveals that the three sets of slip systems all
523   contribute to accommodation of strain, with the {111} systems the most active through time in
524   all numerical experiments. This result is consistent with the VPSC simulations of *Wenk et al.*
525   [2009] after their models reached a relatively stable slip system activity (at γ~3.5). This
526   predominance can be explained because there are twelve {111} slip systems, and only six of the
527   other two sets ({110} and {100}). Contrarily to VPSC models, the weakest {110} slip systems
528   dominate over the hardest {100} ones in our simulations. However, this difference varies with
529   progressive strain and is not very marked (Figure 6). Moreover, our results show how subgrain
530   coarsening associated with recovery can also slightly modify the distribution of slip system
531   activity, in addition to non-coaxial flow, making the use of texture patterns to determine slip
532   system activity more complex in such systems. Maps of slip system activity support this
533   observation (Figure 7).

534   In principle, subgrain misorientations can be used as a strain gauge for dislocation creep
535   deformation in crystalline materials, if we can determine how the misorientation angles correlate
536   with strain [e.g., *Pennock et al.*, 2004; 2005]. This tool can be especially useful for structural
537   analysis in areas where there is a recognizable strain gradient. Over the past 15 years, EBSD
538   mapping has allowed the collection of large misorientation datasets in materials such as metals or
539   halite [e.g., *Randle and Enger*, 2000; *Humphreys*, 2001; *Pennock et al.*, 2002; 2005; 2006;

540   *Hurley and Humphreys*, 2003; *Pennock and Drury*, 2005, among others]. As discussed in the
541   introduction, a power law relationship of the average subgrain boundary misorientation of the
542   whole sample (θ_{av}) and natural strain (ε) can be found, and this scaling relationship seems to be
543   universal [e.g., *Hughes et al.*, 1997; 1998; 2003; *Pantleon*, 1997; 1998; 2001; *Sethna and*
544   *Coffman*, 2003]. These studies propose that $\theta_{av} \sim \varepsilon^{n=2/3}$ for geometrically necessary boundaries
545   (GBN's).

546   *Pennock and Drury* [2005] measured n=0.41 in halite pure shear experiments, while
547   *Pennock et al.* [2005] obtained n=0.42 when using the average subgrain misorientations within
548   grains ($\theta_{av,grains}$), instead of the whole sample:

$$\theta_{av\text{-}grains} = k_1\, \varepsilon^n \tag{8}$$

550   where k_1 is a constant, with a value of 3.3° for their experiments. Our subgrain-misorientation
551   data measured on a grain basis closely follow the universal exponent of n=2/3 (Figure 9). Note
552   that here we use the geometric mean instead of the average, since this is a more appropriate
553   parameter given that misorientations distributions are frequently non-Gaussian (Figure 8).
554   Moreover, we prefer to calculate a weighted geometric mean, in a way that the contribution of
555   each grain to the mean depends on their number of crystallites. We find that the k_1 constant
556   depends on the intensity of recovery (SGC), and hence on temperature, and k_1 decreases from
557   4.82° for SGC0 to 0.72° for SGC25 (see list of values in Figure 9). Since only the models with
558   recovery can be scaled, k_1 appears capped at about 4.82° for the model SGC0. The applicability
559   of this law is limited at the other end of the range by the rate where grain boundary migration
560   becomes a significant factor for the subgrain structure. It is important to note that the scaling law
561   is not the best power law fit of the simulation data (Figure 9). With increasing recovery, the best
562   fit exponent decreases from n=0.81 for SGC0 to 0.53 for SGC25. However, the coefficients of
563   determination R^2 between these data and the predicted values are high (Figure 9), and therefore
564   the proposed law provides a good approximation. Our results demonstrate that recovery
565   influences the exponent of the scaling law and can help to interpret the low n values obtained by
566   *Pennock and Drury* [2005; 2006] (n=0.41-0.42). This low exponent can be related to the
567   activation of intracrystalline recrystallization processes during those deformation experiments,
568   leading to a decrease of intracrystalline heterogeneities and a reduction of n. Our simulations
569   show how the mean subgrain misorientations within grains can be used as a strain gauge in
570   materials undergoing intracrystalline recovery, not only in coaxial deformation conditions but
571   also in simple shear up to high strain. The values obtained confirm that the universal exponent
572   proposed above applies to halite, at least when it is deformed in the absence of grain boundary
573   migration. Additionally, this strain gauge could be potentially applied to rock that underwent
574   grain boundary migration if grain nuclei keep relatively high misorientations (e.g., as in *Schléder*
575   *and Urai* [2007]). However, to verify this a whole new study would need to be made.
576   Unfortunately, our misorientation data cannot be compared with those from torsion (simple
577   shear) halite experiments, since *Armann* [2008] or *Wenk et al.* [2009] did not provide
578   quantifications of misorientation.

579   The models presented in this contribution reproduce the behavior of dry halite deformed
580   at low temperatures (<200 °C) well. This type of simulations may not only be key for
581   understanding halite rheology, but also that of other minerals with similar symmetry and slip
582   systems. For example, magnesiowüstite deforms plastically in the lower mantle, where it is one

583 of the two major phases, potentially resulting in strain weakening and localized deformation
584 [*Girard et al.*, 2016]. Full-field simulations such as the ones presented here, can provide new
585 insights into the interplay of deformation mechanisms and resulting flow laws in the mantle, thus
586 improving our understanding of Earth's dynamics.

587 **5 Conclusions**

588 We presented a new method to model subgrain rotation recrystallization in
589 polycrystalline aggregates, and applied it to dry halite. The analysis of the resulting
590 microstructures led to the following main conclusions:

591 • The VPFFT/ELLE numerical approach presented in this contribution accurately
592 reproduces experimental microstructures, allowing the systematic analysis of systems in
593 which multiple deformation processes are active. This full-field method has been applied
594 to halite for first time, providing new insights into the competition between (i) grain size
595 reduction by dislocation creep and (ii) subgrain coarsening by coalescence through
596 rotation and alignment of the lattices of neighboring subgrains, associated with
597 intracrystalline recovery.

598 • Viscoplastic deformation results in the development of low-angle grain boundaries that
599 evolve to form high-angle grain boundaries, leading to a strong grain size reduction. The
600 activation of subgrain coarsening associated with the decrease of strain stored energy by
601 recovery significantly decreases grain size reduction, although grain orientations are
602 similar in all cases.

603 • Subgrain coarsening does not significantly modify crystal preferred orientations, but
604 results in less scattered crystal orientations.

605 • All the sets of pre-defined slip systems contribute to deformation, with changes in their
606 relative activity depending on progressive strain and the amount of subgrain coarsening.
607 These results are in accordance with published laboratory experiments and viscoplastic
608 self-consistent simulations.

609 • Mean subgrain misorientations per grain can be used as a strain gauge in systems with
610 different degrees of subgrain rotation recrystallization, with a universal scaling exponent
611 of $n{\sim}2/3$ that accounts for all cases. The intensity of intracrystalline recovery, and hence
612 temperature, can potentially be estimated with this strain gauge if misorientations can be
613 measured in an area with a strain gradient. This type of strain gauge can be further
614 developed and refined for different geological materials if misorientation data from
615 experiments and field studies are available for comparison with simulations.

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786   **Figure captions**

787   **Figure 1**. Initial model configuration, with the original orientation of grains. Three grains are
788   selected for a more detailed analysis (shown in Figure 5). Orientations are shown with respect to
789   the *x* axis.

790   **Figure 2**. Orientation and grain boundary map of a simulation SGC0 with only viscoplastic
791   deformation, i.e., without recovery (SGC0). Orientations are shown with respect to the horizontal
792   *x* axis. The trace of the shear plane is horizontal and the shear sense is dextral in this and the
793   following figures.

794   **Figure 3**. Orientation and grain boundary map of a series of simulations with different degrees of
795   recovery, at a shear strain of $\gamma=1$: (a-c) SGC0 (no recovery, only viscoplastic deformation), (d-f)
796   SGC1, (g-i), SGC10, (j-l), SGC25 (1, 10 and 25 steps of recovery per deformation step,
797   respectively). (a), (d), (g) and (j) show EBSD crystal orientation maps (as in Figure 2). (b), (e),
798   (h) and (k) display misorientation maps. (c), (f), (i) and (l) show the misorientation with respect
799   to the mean of the grain, using the original grains as reference (Figure 1). Note that in order to
800   show details only one fourth of the model area is displayed.

801   **Figure 4**. Pole figures for the simulations shown in Figure 3. Stereograms on the left and right
802   groups of columns show the CPO evolution for the simulations without recovery (SGC0) and
803   with 25 steps of recover per deformation time step (SGC25), respectively. Equal area projection,
804   with linear contour intervals. The pole figures show that the addition of the recovery process has
805   remarkably little effect on the CPO's.

806   **Figure 5**. Orientation and grain boundary maps showing details of three selected grains (see
807   Figure 1 for their original orientation and geometry) in the models with SGC0 and SGC10 at
808    $\gamma=1$.The addition of subgrain coalescence reduces subgrain boundary misorientations and
809   reduces the crystal orientation spread and the formation of grain and subgrain boundaries. Note
810   that the color coding for grain boundaries is the same as in Figures 2 and 3.

811   **Figure 6**. Evolution with progressive strain of the slip system activity for the different
812   simulations, calculated as the average of all *unodes* or crystallites in the simulation.

813   **Figure 7**. Distribution of the slip system activity for the SGC0 simulation, at two deformation
814   stages: (a) $\gamma=0.04$ and (b) $\gamma=1$.

815   **Figure 8.** Frequency distribution of grain geometric mean misorientations for different
816   deformation stages (expressed in terms of shear strain γ), for all the experiments performed.
817   Geometric means of misorientation distributions $\theta_{mean\text{-}grains}$ are indicated, together with the
818   standard deviation of the mean. Misorientations were calculated with respect to the grains at the
819   current time step, considering that grains form when the misorientation is higher than 15º. The
820   total number of grains is also displayed as an indication of the intensity of grain size reduction.
821   The value in parentheses corresponds to the number of grains that contain at least ten crystallites,
822   and which are considered for the strain gauge discussed in section 4 (see below).

823   **Figure 9**. Weighted geometric mean of grain misorientation as a function of natural strain,
824   calculated with equation (8). Geometric means are weighted according to the number of

825   crystallites per grain. Only grains with a minimum of ten crystallites are considered for the
826   calculation. Solid lines show the theoretical power-law relationship for experiments with
827   different intensity of intracrystalline recovery using the k_1 values listed in the legend and a
828   universal n exponent of 2/3 (see discussion section). The R^2 coefficients are calculated with
829   respect to this scaling law. Dashed lines show the best fit for each model (with R^2), with
830   exponents of 0.81 (SGC0), 0.76 (SGC1), 0.66 (SGC10) and 0.53 (SG25). The experimental data
831   from *Pennock et al.* [2005] are displayed and used to calculate the power-law relationship for the
832   experiment without recovery (SGC0) (thick solid line). These data are used as a reference to
833   normalize the results of our series of numerical simulations, at $\varepsilon=1$.

834

Figure 1.
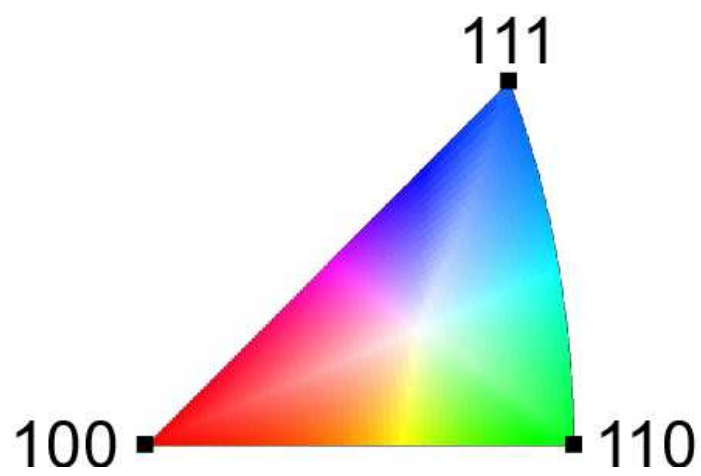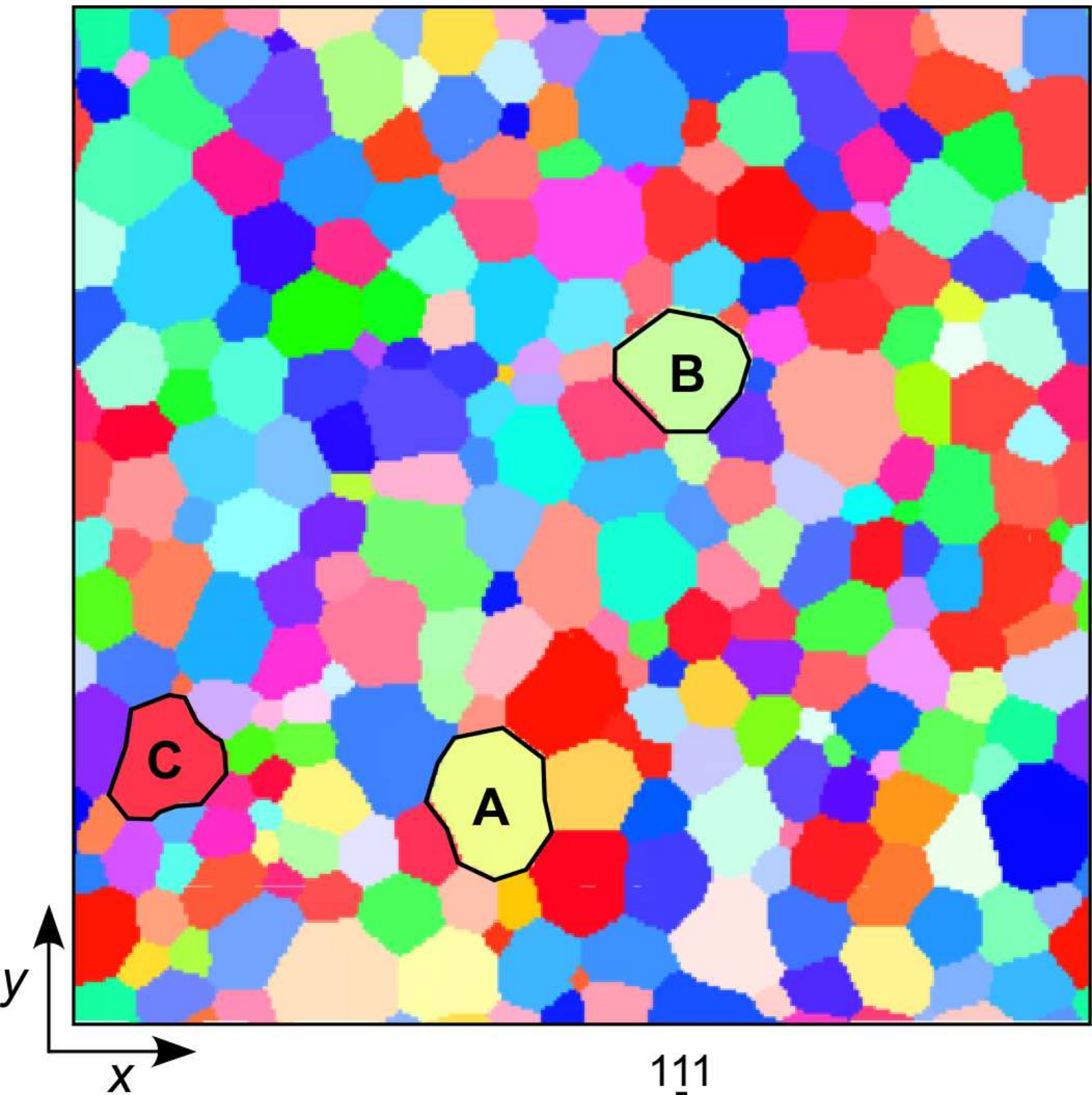
Figure 2 (revised).

grain and subgrain boundaries:

5º - 10º

10º - 15º

>15º

111

100   110
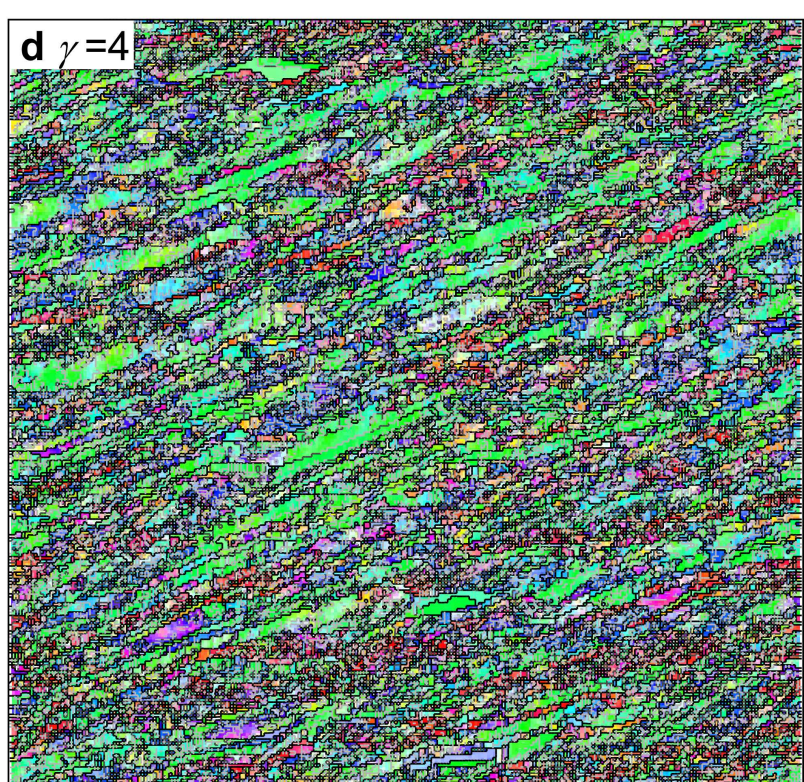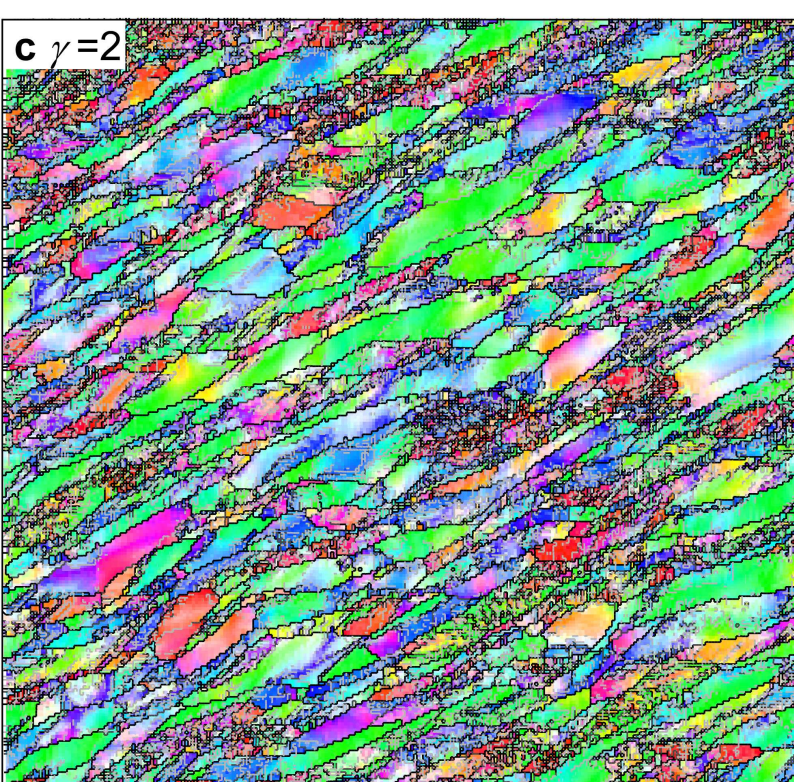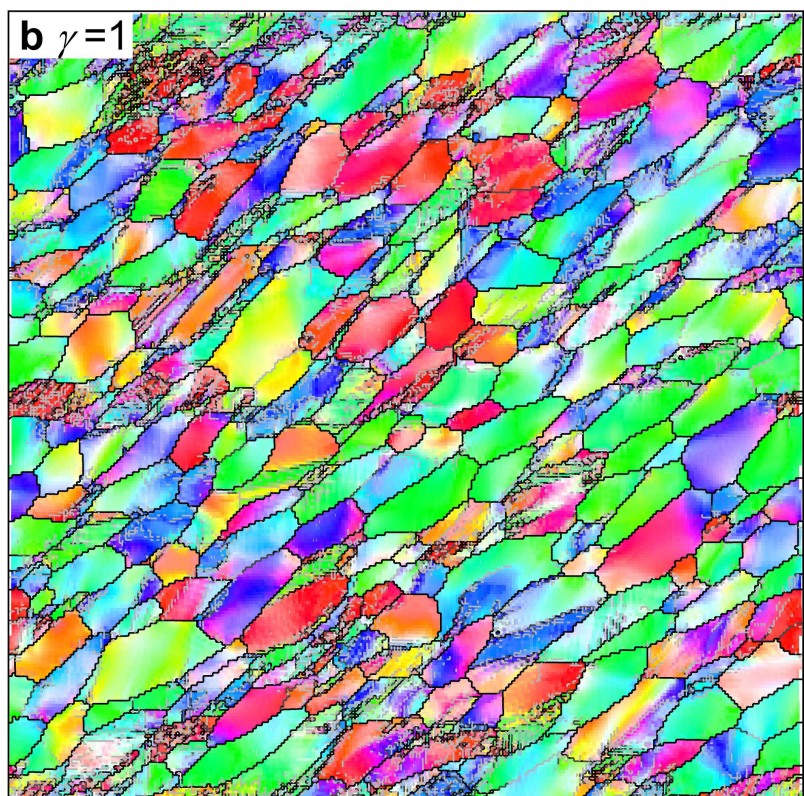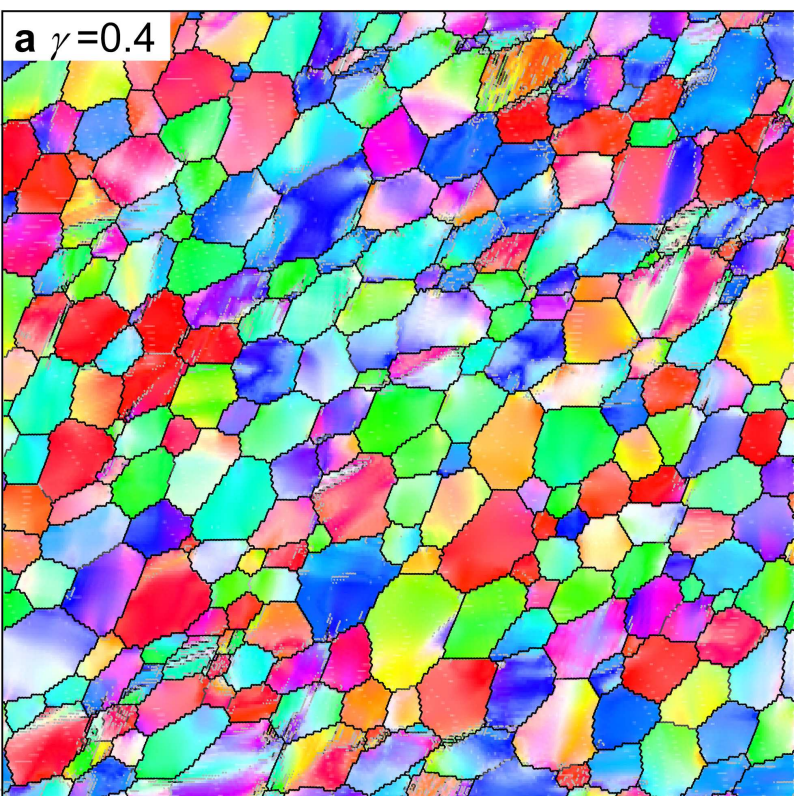
Figure 3.

grain and subgrain boundaries:

5° - 10°

10° - 15°

>15°

111

100   110

a SGC0

b

c

d SGC1

e

f

g SGC10

h

i

j SGC25

k

l

Figure 4.

SGC0

{100} {110} {111}

SGC25

{100} {110} {111}

Figure 5.

SGC0 γ=1 SGC10

grain A

grain B

grain C

100
110
111

100
110
111

100
110
111

100
110
111

100
110
111

100
110
111

111
100 110
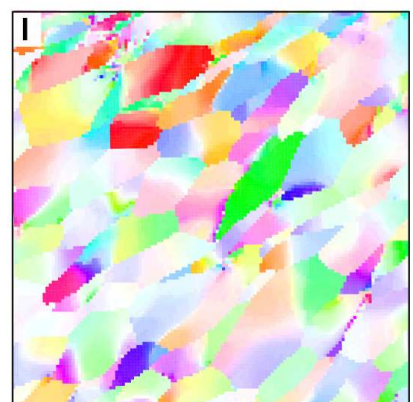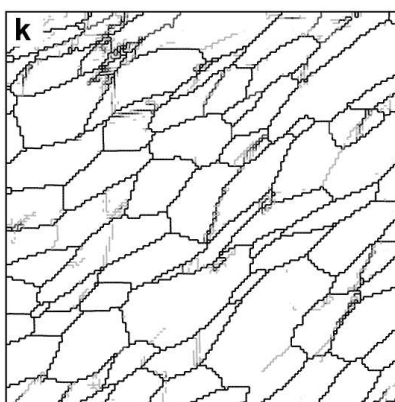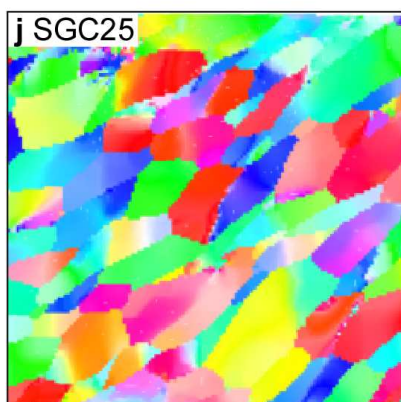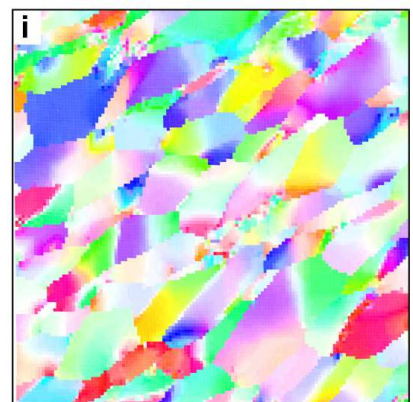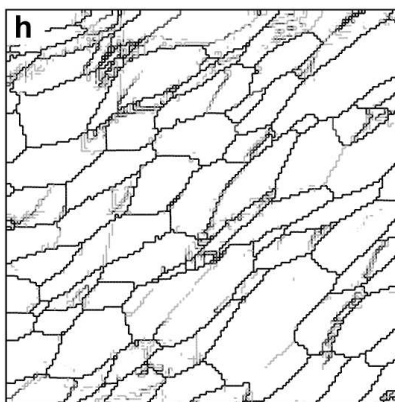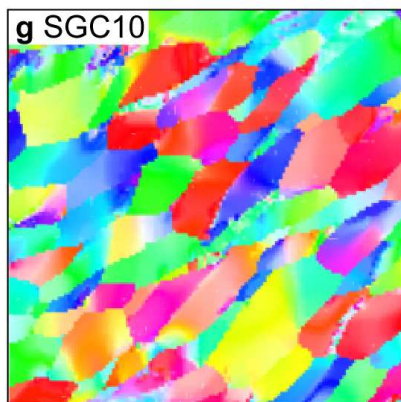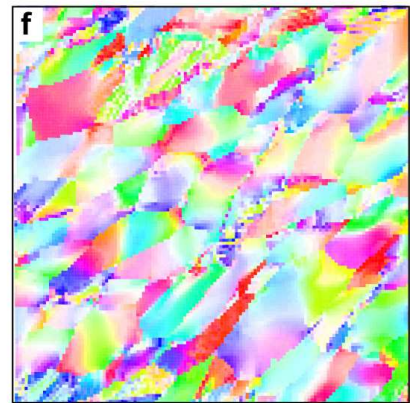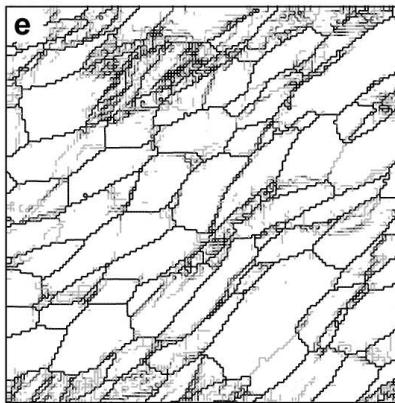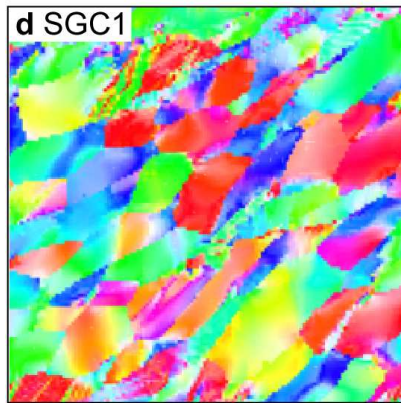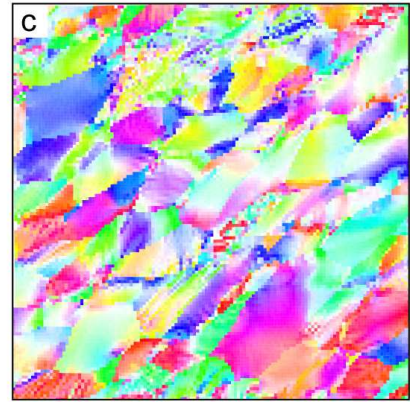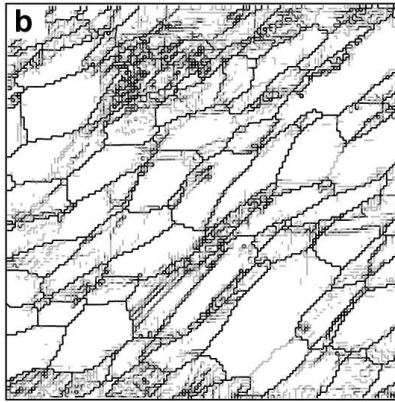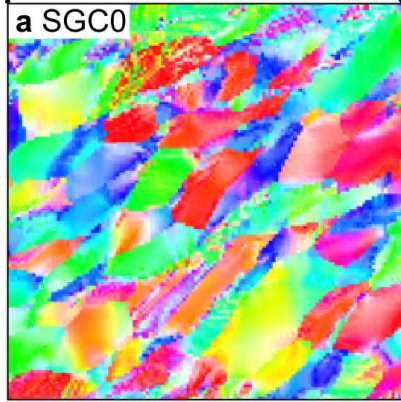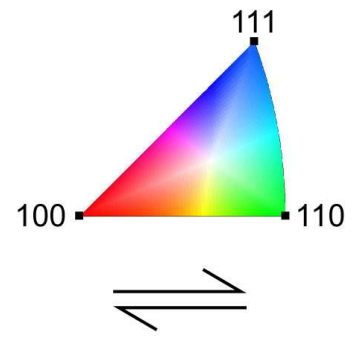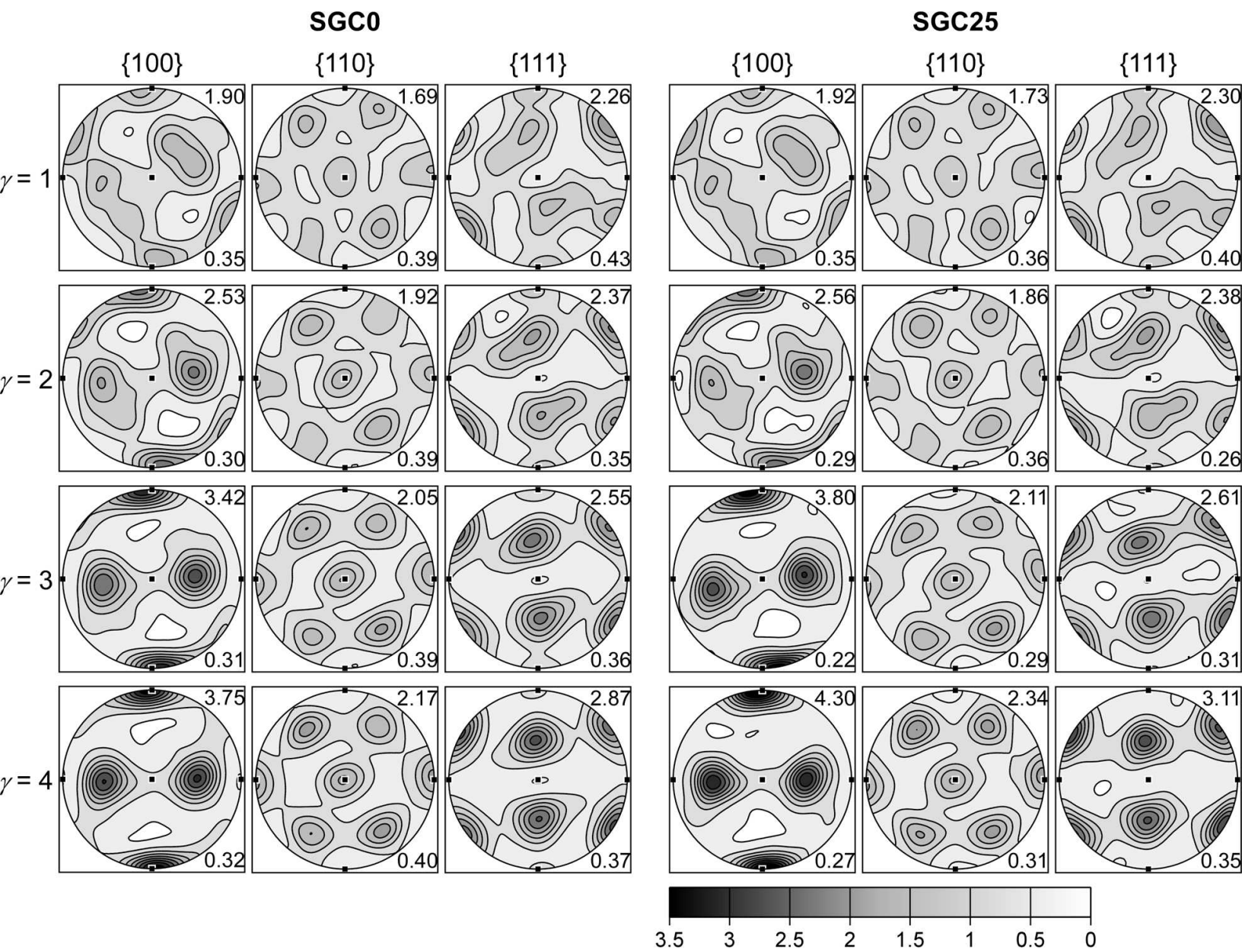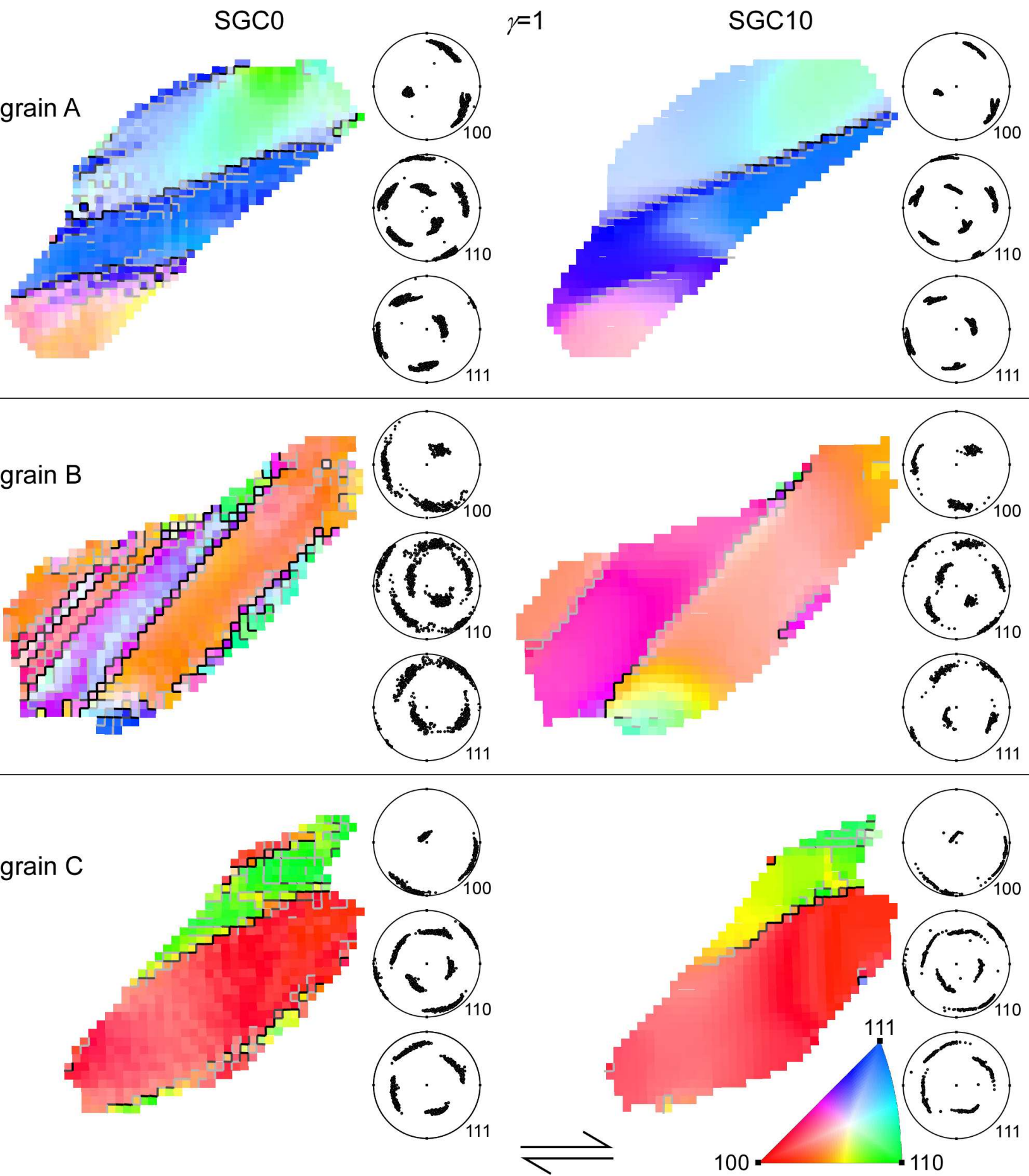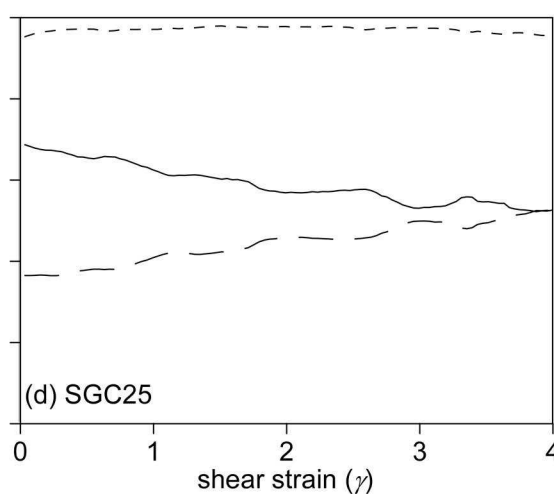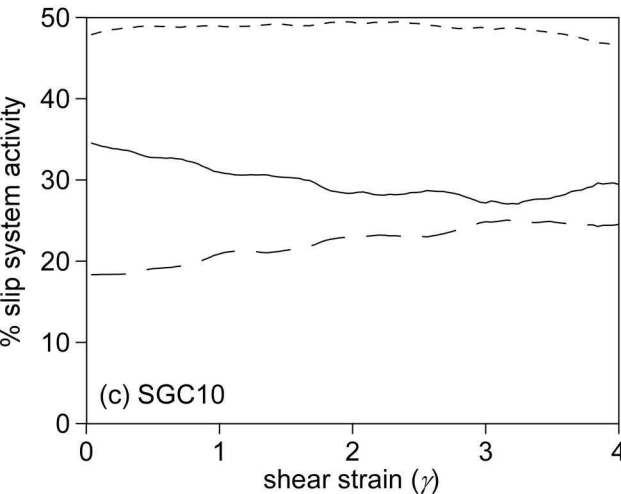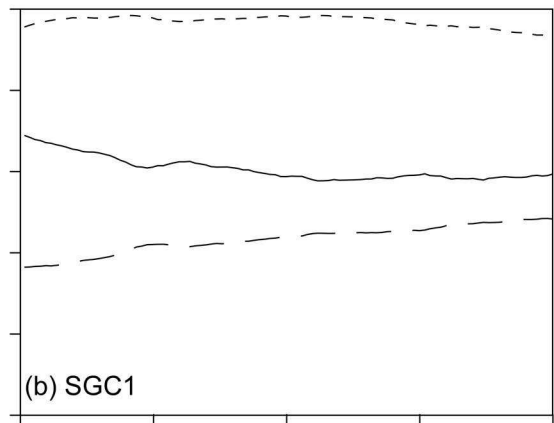
Figure 6 (revised).

Figure 7.

Figure 8 (revised).

Figure. Histograms of mean misorientation per current grain (°) for SGC0, SGC1, SGC10, and SGC25 at shear strains γ = 0.2, 0.4, 1, 2, and 4.

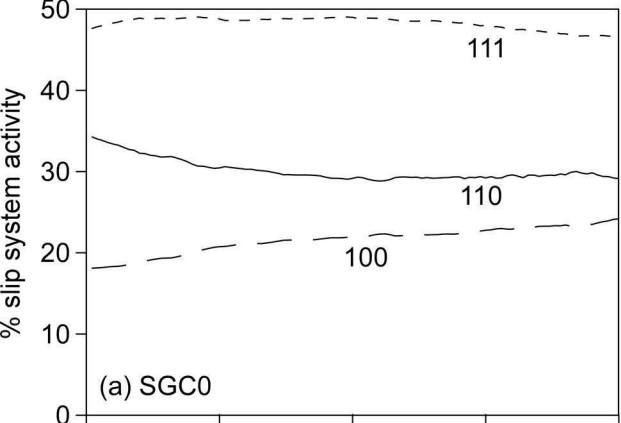| Panel	Label	γ	Mean misorientation	Grains
a	SGC0	0.2	0.83°±0.04°	255 (254) grains
b	SGC0	0.4	1.40°±0.06°	259 (254) grains
c	SGC0	1	3.09°±0.10°	298 (265) grains
d	SGC0	2	5.38°±0.09°	593 (391) grains
e	SGC0	4	7.38°±0.06°	2,059 (1,127) grains
f	SGC1	0.2	0.66°±0.03°	255 (249) grains
g	SGC1	0.4	1.08°±0.05°	259 (250) grains
h	SGC1	1	2.35°±0.09°	298 (265) grains
i	SGC1	2	4.22°±0.11°	504 (354) grains
j	SGC1	4	5.72±0.07°	1,822 (1,038) grains
k	SGC10	0.2	0.30°±0.02°	255 (248) grains
l	SGC10	0.4	0.46°±0.03°	259 (248) grains
m	SGC10	1	0.88°±0.07°	292 (258) grains
n	SGC10	2	1.39°±0.09°	359 (304) grains
o	SGC10	4	2.42°±0.09°	1,077 (685) grains
p	SGC25	0.2	0.22°±0.01°	255 (249) grains
q	SGC25	0.4	0.31°±0.02°	259 (248) grains
r	SGC25	1	0.54°±0.05°	277 (254) grains
s	SGC25	2	0.75°±0.06°	347 (296) grains
t	SGC25	4	1.15°±0.08°	715 (526) grains

y-axis: frequency; x-axis: mean misorientation per current grain (°)

Figure 9 (revised).