

1 Determination of Hashin-Shtrikman
2 Bounds on the Effective Elastic Moduli of
3 Polycrystals of any Symmetry

4

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12 Abstract

13 Although methods to determine optimal Hashin-Shtrikman bounds for polycrystals
14 of cubic to monoclinic symmetry have been described, the calculation of bounds for
15 triclinic crystals has not previously been possible. The recent determination of
16 elastic moduli of common minerals with low symmetry provides motivation to
17 extend the Hashin-Shtrikman formulation to lower symmetry. Here, Hashin-
18 Shtrikman moduli, valid for crystals of any symmetry, are calculated as a function of
19 the properties of a reference isotropic material. Defining the difference between
20 moduli of the crystal and the moduli of the reference isotropic material as the
21 residual tensor, the optimal lower (and upper) bounding moduli are found by a
22 search along the boundary of positive (or negative) definite regimes of the residual
23 elasticity tensor. The new numerical approach reproduces earlier results for higher
24 symmetry crystals and successfully provides optimal bounds for triclinic crystals
25 that have previously not been subject to analysis. The algorithm is sufficiently
26 compact that implementation is relatively easy within any modern computational
27 environment. Hashin-Shtrikman bounds for triclinic minerals in the plagioclase
28 solid solution series are reported. These bounds are significantly narrower than
29 extremal Voigt-Reuss bounds. The Hill averages moduli lie within the Hashin-
30 Shtrikman bounds.

31 Keywords

32 polycrystal, aggregate, elasticity, Hashin-Shtrikman, Voigt-Reuss-Hill, isotropic-
33 average

34

35 Highlights

- 36 • An improved method to calculate Hashin-Shtrikman bounds for polycrystal
37 aggregates elasticity is given
- 38 • The algorithm is illustrated graphically to improve comprehension of the
39 underlying theory and numerical methods
- 40 • The algorithm, using modern numerical environments, results in compact
41 code
- 42 • The new method works for crystals of any symmetry class
- 43 • Results for low symmetry crystals, that could not previously be analyzed, are
44 reported.

45 Introduction

46 Elastic properties of polycrystals (aggregates of many crystals) are relevant in
47 engineering and technical applications (see the review by Adams and Olson 1999)
48 as well as in the geosciences. Since the elasticity of rocks (as polycrystalline
49 aggregates) controls seismic wave speeds, efforts to understand Earth composition
50 on the basis of its seismic structure require an ability to predict aggregate
51 properties from single crystal properties (eg. Hacker *et al.* 2003).

52 The pioneering work of Hashin and Shtrikman (1962, 1963) gave derivation of
53 isotropic elastic properties for crystal aggregates that have no preferred orientation
54 of the individual grains. In contrast to the unphysical Voigt (uniform strain on all
55 crystals), Reuss (uniform stress on all crystals), or Hill (average of the two) bounds
56 (Hill 1952, 1963), Hashin and Shtrikman determined bounds based on limits of
57 elastic energy deviations from a reference isotropic state. These so-called Hashin-
58 Shtrikman (H-S) optimal bounds must lie within the Voigt-Reuss (V-R) bounds.
59 Furthermore, empirical evidence suggests that measurements appropriately lie
60 within H-S bounds (Watt *et al.* 1976, Brown *et al.* 2013). Watt *et al.* (1976) argued
61 that the Hashin-Shtrikman optimal bounds are the tightest constraints that can be
62 determined without a detailed description of the microstructure of a material (the
63 shape and size distributions of crystals within the aggregate). Thus, H-S optimal
64 bounds provide a key constraint on the behavior of systems that are otherwise not
65 well characterized.

66 Although the generalized theory for bounds as given by Hashin and Shtrikman is
67 valid for any crystal symmetry, prior implementations (Peselnick and Meister
68 (1965), Watt (1979, 1980, 1986), Watt and Peselnick (1980)) relied on (symmetry-
69 dependent) analytical factoring of the residual elastic tensor. This tensor is defined
70 as the difference between the actual anisotropic moduli and moduli of a reference
71 isotropic material. As discussed in the next section, the optimal bounds are
72 extremal values in regimes where the residual elastic tensor is either positive
73 definite or negative definite. Low symmetry crystals have complicated expressions
74 for the positive (negative) definite boundaries. In the case of monoclinic crystals,
75 closed forms could not be determined for all conditions and iterative numerical
76 solutions were required (*eg.* Watt 1980). No attempt has been reported to factor
77 the (more complicated) lower symmetry triclinic tensor. Efforts to realize practical
78 calculations of optimal H-S bounds culminated with the publication by Watt (1987)
79 of an algorithm, appropriate for cubic through monoclinic symmetries. That
80 FORTRAN code required a complex mix of analytic and numerical calculations. Each
81 symmetry class was handled differently as a result of the changing topology
82 associated with the positive (negative) definite bounding conditions.

83 Despite the theoretical advantages of Hashin-Shtrikman bounds, the use of Voigt-
84 Reuss-Hill bounds has remained ubiquitous in the geosciences. In part this may
85 represent an implicit judgment that the Hill average of Voigt and Reuss bounds is
86 adequate. However, Hashin-Shtrikman bounds may have also been avoided as a

87 result of a perception that these bounds are too difficult to calculate. Maintaining an
 88 executable version of the older generation FORTRAN code was not an easy task.
 89 Furthermore, the complexity of the algorithm used in that code may have inhibited
 90 more widespread understanding and routine use of H-S bounds.

91 In this study, the fundamental equations for Hashin-Shtrikman moduli are
 92 implemented in a high-level language (MATLAB) and contemporary numerical
 93 methods are employed to search for the optimal bounds. The size of the code is
 94 dramatically smaller. The method is symmetry class independent. It exactly
 95 reproduces earlier (higher symmetry) results and is extended to applications in the
 96 case of triclinic crystals.

97 Theory

98 Key equations of the derivation given by Hashin and Shtrikman (1962, 1963) are
 99 reproduced here in order to identify necessary numerical steps. The elastic energy
 100 of a polycrystal aggregate is

$$101 \quad U = \frac{1}{2} \int \sigma_{ij} \epsilon_{ij} dV \quad (1)$$

102 Given “effective” isotropic moduli K^* and G^* (the quantities to be bounded here), the
 103 elastic energy of the aggregate is approximated as

$$104 \quad U_o \cong \frac{1}{2} [9K^*(\epsilon^o)^2 + 2G^* \epsilon_{ij}^o \epsilon_{ij}^o] \quad (2)$$

105 where σ_{ij} and ϵ_{ij} are the stress and strain tensors, $\epsilon^o = \frac{1}{3} \epsilon_{kk}^o$ is the isotropic non-
 106 deviatoric strain, and ϵ_{ij}^o is the isotropic deviatoric strain. Define the residual stress
 107 tensor as:

$$108 \quad R_{ijkl} = C_{ijkl} - C_{ijkl}^o \quad (3)$$

109 where C_{ijkl} is the anisotropic elastic tensor for the crystal of interest and C_{ijkl}^o is the
 110 elastic tensor of a (variously described in the literature as the “fictive”, “comparison”
 111 or) “reference” isotropic material:

$$112 \quad C_{ijkl}^o = \left(K_o + \frac{2}{3} G_o \right) \delta_{ij} \delta_{kl} + 2G_o I_{ijkl} \quad (4)$$

113 where K_o and G_o are moduli for the “reference” material. Within the variational
 114 framework of the theory, these “reference” moduli are free parameters that can be
 115 adjusted to find the appropriate bounding “effective” elastic moduli.

116 With the 4th order tensor isotropic operator defined as:

$$117 \quad I_{ijkl} = \frac{1}{2} (\delta_{ik} \delta_{jl} + \delta_{il} \delta_{jk}) \quad (5)$$

118 H_{ijkl} is determined by:

119
$$H_{ijmn}R_{mnkl} = I_{ijkl} \quad (6)$$

120 If the differences between the actual stresses in a polycrystal and stresses in the
121 “reference” material are defined by

122
$$p_{ij} = \sigma_{ij} - C_{ijkl}^o \epsilon_{kl} \quad (7)$$

123 Hashin and Shtrikman found that the extremes of elastic deviatoric energy with
124 respect to p_{ij} required that

125
$$[H_{ijkl}(\Omega) - \beta I_{ijkl} - \gamma \delta_{ij} \delta_{kl}] p_{kl}(\Omega) = \epsilon_{ij}^o - \beta [I_{ijkl} - \gamma \delta_{ij} \delta_{kl}] \langle p_{kl} \rangle \quad (8)$$

126 where Ω is the orientation of a particular crystal relative to the coordinate system,
127 angle brackets represent averages over all orientations, and

128
$$\beta = \frac{-3(K_o + 2G_o)}{5G_o(3K_o + 4G_o)} \quad (9)$$

129
$$\alpha = \frac{-3}{3K_o + 4G_o} \quad (10)$$

130
$$\gamma = \frac{1}{9}(\alpha - 3\beta) \quad (11)$$

131 Defining

132
$$A_{ijkl} = H_{ijkl} - \beta I_{ijkl} - \gamma \delta_{ij} \delta_{kl} \quad (12)$$

133 and determining B_{ijkl} such that:

134
$$B_{ijmn}A_{mnkl} = I_{ijkl} \quad (13)$$

135 Hashin and Shtrikman rewrote Equation 8 in terms of B_{ijkl} and averaged over all
136 orientations to give:

137
$$\langle p_{ij} \rangle = \langle B_{ijkl} \rangle (\epsilon_{mn}^o - \beta I_{mnkl} \langle p_{kl} \rangle - \gamma \delta_{mn} \delta_{kl} \langle p_{kl} \rangle) \quad (14)$$

138 where the average of $\langle B_{ijkl} \rangle$ is

139
$$\langle B_{ijkl} \rangle = B_1 \delta_{ij} \delta_{kl} + 2B_2 I_{ijkl} \quad (15)$$

140 This can be reduced to:

141
$$B_{ijkl} \delta_{ij} \delta_{kl} = 9B_1 + 6B_2 \quad (16)$$

142
$$B_{ijkl} \delta_{ik} \delta_{jl} = 3B_1 + 12B_2 \quad (17)$$

143 Application of pure dilatational strain in equation 14 gives an “effective” bulk
144 modulus:

145
$$K^* = K_o + \frac{3B_1 + 2B_2}{3 + \alpha(3B_1 + 2B_2)} \quad (18)$$

146 Application of pure shear strain in equation 14 gives an “effective” shear modulus

$$147 \quad G^* = G_o + \frac{B_2}{1+2\beta B_2} \quad (19)$$

148 Within the variational framework of the Hashin-Shtrikman derivation, the “effective”
149 moduli are maximized or minimized through appropriate choices for K_o and G_o
150 subject to whether the tensor of deviatoric stresses R_{ijkl} is either positive definite or
151 negative definite. Such extremal values are the optimal bounding moduli.

152 The problem can be graphically understood with reference to Figure 1. Here elastic
153 moduli for the triclinic plagioclase feldspar, albite, as reported in (Brown *et al.*
154 2006) are used. However, the topology and trends are similar for all crystals of all
155 symmetry classes. The horizontal axis is the parameter G_o and the vertical axis is the
156 parameter K_o . Domains where R_{ijkl} is either positive or negative definite are given
157 with dark shading. The tensor is always positive definite for small values of K_o and
158 G_o . The tensor is always negative definite for large values. Boundary locations
159 depend on the specific moduli of a particular crystal. As noted by Hill (1963), the
160 lower positive definite boundary trends to the Reuss bulk modulus as G_o goes to
161 zero. As G_o goes to infinity, the negative definite boundary trends to the Voigt
162 average bulk modulus. Both K^* and G^* are monotonic functions of K_o and G_o .
163 Contours of constant G^* (equation 19) are plotted as the light lines in the figure. As
164 shown, a maximal (optimal) value of G^* occurs in the positive definite region and a
165 minimal (optimal) value for G^* occurs in the negative definite region. These points
166 are marks as B and C and represent the optimal Hashin-Shtrikman bounds on the
167 shear modulus. Similar contours in K^* provide the graphical solution for optimal
168 bulk moduli. As graphically demonstrated, the optimal bounds always lie on the
169 boundary of the positive (negative) definite regions.

170 Implementation

171 The following MATLAB code fragments illustrate numerical implementation of the
172 theory described above. All 4th order elastic tensor quantities are mapped, using the
173 Voigt notation (Nye 1957), into 6x6 elasticity matrixes. There is no loss in generality.

174 Determination of the Hashin-Shtrikman moduli (equations 18 and 19) can be
175 accomplished as follows. Given scalar values for the reference material moduli, the
176 compliance factors (equations 9-11) are calculated:

```
177     alpha=-3/(3*ko+4*go);  
178     beta=-3*(ko+2*go)/(5*go*(3*ko+4*go));  
179     gamma=(alpha-3*beta)/9;
```

180
181 The form of the isotropic operator for elastic tensors is defined in equation 5. In the
182 6x6 matrix representation, the first three diagonal terms are always one while the
183 last three elements can be either ½ or 2, depending on how the operator is invoked.
184 These two forms are labeled I and Iinv.
185

```

186     I=eye(6,6);
187     Iinv=I;
188     Iinv(4:6,4:6)=2*I(4:6,4:6);
189     I(4:6,4:6)=.5*I(4:6,4:6);
190

```

191 The 6x6 isotropic modulus matrix (equation 4) is given by

```

192
193     co=2*go*I;
194     co(1:3,1:3)=co(1:3,1:3)+(ko-2/3*go)*ones(3,3);
195

```

196 The residual matrix (equation 3) and its inverse (equation 6) are:

```

197
198     R=cij-co;
199     H=inv(R);
200

```

201 Equations 12 and 13 are implemented as follows (note the use of the inverse
202 isotropic operator when working with compliances):

```

203
204     A=H-beta*Iinv;
205     A(1:3,1:3)=A(1:3,1:3)-gamma*ones(3,3);
206     B=inv(A);
207

```

208 Orientationally averaged values for the B matrix (equations 16 and 17) are given by:

```

209
210     sumB1=sum(sum(B(1:3,1:3)));
211     dB=diag(B);
212     sumB2=sum(dB(1:3))+2*sum(dB(4:6));
213     B1=(2*sumB1-sumB2)/15;
214     B2=(3*sumB2-sumB1)/30;
215

```

216 The Hashin-Shtrikman effective moduli ("khs" and "ghs") are then determined
217 (equations 18 and 19):

```

218
219     khs=ko+(3*B1+2*B2)/(3+alpha*(3*B1+2*B2));
220     ghs=go+B2/(1+2*beta*B2);
221

```

222 As shown in the previous section, the optimal bounds on the Hashin-Shtrikman
223 moduli lie on the boundaries of the positive (negative) definite regions of matrix R.
224 R is positive (negative) definite if and only if all eigenvalues of R are either all
225 positive or all negative. The following code sets the variable value to 1 if positive
226 definite and to -1 if negative definite.

```

227     [~,D]=eig(R);
228     s=sum(sign(diag(D)));
229     value=0;
230     if s==6,
231         value=1;
232     elseif s==-6,
233         value=-1;
234     end
235

```

236 The fragments given above are assembled into the MATLAB function `hscal` with
237 inputs being the reference material moduli (k_0 and g_0) and (as a 6x6 matrix) the
238 crystal (anisotropic) elastic moduli c_{ij} . Output by this function are the H-S effective
239 moduli and the variable `value` (1 for positive definite, -1 for negative definite and 0
240 otherwise).

241 Finding optimal bounds for the effective moduli requires a search along the positive
242 (negative) definite boundaries. As illustrated in Figure 1, the positive definite
243 boundary at $k_0=0$ (lower point A) is found with a search along the lower (g_0) axis
244 as shown below. The smallest possible reference shear modulus (essentially zero) is
245 given by g_{min} and g_{max} is an upper bound that is pragmatically set large (1000
246 GPa).

```
247     dg=(gmax-gmin)/2;  
248     go=gmin+dg;  
249     dg=dg/2;  
250     [~,vo]=hscal(kmin,go,cij); % vo is 1, 0, or -1  
251 while du>.01  
  
252     if vo==0  
253         gn=go-dg; % point is on right side of boundary – move left  
254     else  
255         gn=go+dg; % point is on left side of boundary – move right  
256     end  
257     [hs,vn]=hscal(kmin,gn,cij);  
258     dg=abs(gn-go)/2; % now search in smaller region  
259     go=gn;  
260     vo=vn;  
261 end  
262
```

263 With the “reference” shear modulus set to range from zero to point A of Figure 1, the
264 positive definite boundary is searched to find the point with maximal values of the
265 H-S moduli (point B). Either the bulk or shear modulus can be tested for the
266 maximal value with little change in results. The boundary is found for each specified
267 value of g_0 by searching along k_0 (using similar coding as given above). The search
268 is controlled by the standard MATLAB function `fminbnd`, a bounded search
269 algorithm for the maximum (minimum) of a function of a single variable. `fminbnd`
270 uses the “golden section” method (Brent 1973) with parabolic interpolation. Since
271 both H-S moduli are monotonically increasing functions of k_0 and g_0 , a single
272 extremal value exists along the boundary as shown in Figure 1.

273 Since one or more eigenvalues of the residual elasticity matrix R_{ijkl} goes to zero on
274 the positive (negative) definite boundary, it is necessary to move slightly off the
275 boundary in order to insure that necessary matrix inversions are adequately scaled.
276 However, since Hashin-Shtrikman moduli vary relatively slowly (as shown in Figure
277 1) negligible changes to the calculated bounds result from avoiding the exact
278 boundary. The search along the negative definite boundary (minimum g_0 found at
279 upper point A of Figure 1), to find the smallest upper values of the H-S moduli (point
280 C of Figure 1) proceeds in a similar way.

281 The MATLAB function included with this paper, `HSBounds`, returns the optimal H-S
282 bounds. This function makes use of “nested” sub-functions within the main function.
283 In MATLAB, variables defined within `HSBounds` are locally available to any nested
284 function. In particular, the elastic moduli matrix `cij_local` can be used by
285 `lowerbound`, `upperbound`, and the functions called by these functions. This
286 avoids the need to define global variables in order to use the built-in MATLAB
287 function `fminbnd`.

288 Minimal error checking is provided. `HSBounds` checks that the input matrix is
289 appropriately 6x6, symmetric, and positive definite. Thus, the user is expected to
290 construct the correct 6x6 matrix of elastic moduli. Moduli could be passed to
291 `HSBounds` as a (more compact) vector. However, problems arise in deciding on the
292 order of moduli and in tracking the symmetry-differing number of moduli. The
293 current implementation avoids difficulties (in the sense that conventions to
294 construct the matrix from a vector can differ) between the user and the function.

295 Four matrix arrays are returned by `HSBounds`. The first is a 2x2 array that contains
296 upper and lower optimal H-S bounds for the bulk modulus and shear modulus. The
297 second array (3x2) contains the V-R-H bounds. The third array (2x2) is a listing of
298 the “reference” moduli at the optimal points. The fourth array (1x2) gives values of
299 the reference shear modulus at the points labeled A in Figure 1. The third and fourth
300 output arrays are provided in order to confirm that reasonable results have been
301 obtained. All returned results should be interrelated as shown by the topology
302 plotted in Figure 1. In all currently tested cases, results have been sensible.

303 If the m-files `HSBounds.m` and `test_HSBounds.m` are in the MATLAB path, invoking
304 the script `test_HSBounds` will calculate bounds for the examples used in Watt (1987).
305 The current code should reproduce his results to 0.01 GPa. Newly reported (Brown
306 *et al.* 2013) elastic moduli for triclinic plagioclase feldspars are also included in the
307 script. H-S bounds based on these data are further discussed below.

308 Discussion

309 The current implementation has been tested against the examples provided by Watt
310 (1987). Results for reported moduli agree to 0.01 GPa, the least significant figure
311 given in the earlier work. Since the current implementation and the former
312 implementation used ~0.01 GPa internally as a convergence criteria, this agreement
313 is acceptable and exceeds experimental uncertainty by about an order of magnitude.

314 Hashin-Shtrikman bounds for recently reported triclinic plagioclase feldspars elastic
315 moduli (Brown *et al.* 2013) are given in Table 1. The underlying data are listed in
316 `test_HSBounds`. The seven crystals range in composition in the solid solution
317 series from albite ($\text{NaSi}_3\text{AlO}_8$) to anorthite ($\text{CaSi}_2\text{Al}_2\text{O}_8$). Compositions are reported
318 in terms of anorthite content (An_x where $x=0$ for albite and $x=100$ for anorthite). In
319 all cases, the H-S bounds are significantly tighter than the V-R bounds and the (Hill)
320 average of the V-R bounds lies between the H-S bounds. There is a decrease in the

321 width of all bounds between An_0 and An_{96} as the overall anisotropy of plagioclase
322 feldspars decrease with increasing anorthite composition.

323 Conclusions

324 A new implementation, based on a straightforward and transparent algorithm, for
325 calculation of isotropic polycrystal aggregate elastic behavior is reported. The
326 method allows calculation of bounds derived by Hashin and Shtrikman (1962, 1963)
327 for crystals having any symmetry. The method is given here as a MATLAB function.
328 However, it is easily transferable to any modern computational environment that
329 has access to standard numerical algorithms. For the first time Hashin- Shtrikman
330 bounds have been calculated and reported for crystals of triclinic symmetry. In all
331 cases examined, the Hill average of Voigt and Reuss bounds lies between the upper
332 and lower Hashin-Shtrikman bounds.

333 Although Watt *et al.* (1976) argued compellingly that Hashin-Shtrikman bounds are
334 preferable in situations where the shape and size distributions of grains are not
335 constrained, the use of Voigt-Reuss-Hill bounds has remained ubiquitous in the
336 geosciences. In part this represents an implicit judgment that, within uncertainties,
337 the Hill average of Voigt-Reuss bounds may be adequate. However, Hashin-
338 Shtrikman bounds may have also been avoided as a result of prior calculational
339 difficulties. Maintaining an executable version of the older generation FORTRAN
340 code was not an easy task. Furthermore, the complexity of the previous algorithm
341 may have inhibited more widespread understanding and use of Hashin-Shtrikman
342 bounds. The current implementation is accomplished with a compact code that will
343 hopefully be more routinely used by the community.

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347 References

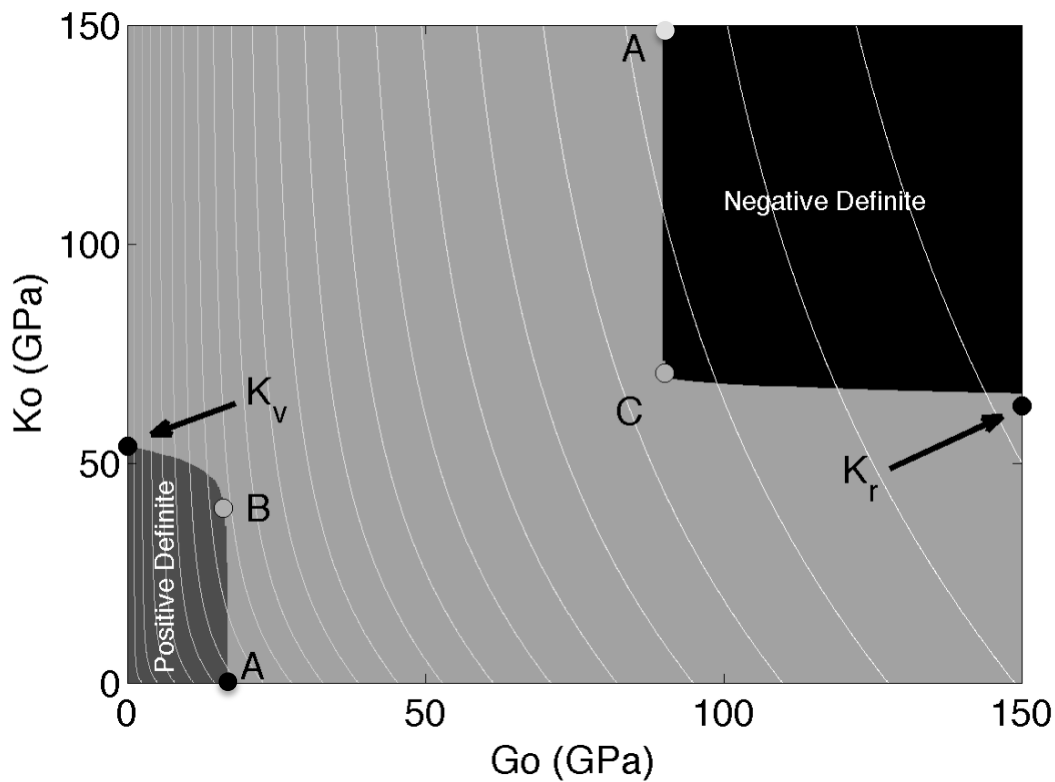
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Composition	Modulus (GPa)	Voigt	+HS	Hill	-HS	Reuss
An ₀	K	63.1	60.3	58.6	57.1	54.1
	G	41.4	36.7	35.6	32.9	29.8
An ₂₅	K	69.2	67.5	66.7	66.0	64.3
	G	39.5	36.2	35.3	33.7	31.1
An ₃₇	K	73.0	71.6	70.9	70.3	68.8
	G	42.3	38.8	37.9	36.2	33.6
An ₄₈	K	77.6	76.4	75.8	75.3	74.1
	G	42.9	39.3	38.4	36.6	33.9
An ₆₀	K	77.0	76.1	75.4	75.2	73.9
	G	41.2	38.4	37.6	36.3	33.9
An ₇₈	K	82.3	81.1	80.3	80.0	78.3
	G	41.1	38.4	37.7	36.5	34.3
An ₉₆	K	88.7	87.3	86.4	86.1	84.1
	G	42.5	39.9	39.1	38.0	35.7

386

387 Table 1. Isotropic average moduli for plagioclase feldspars based on the triclinic
388 elastic moduli reported by Brown et al. 2013.



389

390 Figure 1. Isotropic averaging of elastic moduli for albite (An_0) as a function of the
 391 reference isotropic moduli. In the lower left corner (dark shade) the residual
 392 elastic tensor R_{ijkl} is positive definite. In the upper corner (shaded black) R_{ijkl} is
 393 negative definite. The Voigt average bulk modulus is plotted at $G_0 = 0$ and the
 394 Reuss average bulk modulus is plotted on the right side. The contours (intervals
 395 of about 0.4 GPa) are values of the Hashin Shtrikman shear modulus (function of
 396 K_0 and G_0) that increase from left to right. Two points labeled A define the limits
 397 of the positive (negative) boundaries with respect to G_0 . Point B marks the
 398 location on the boundary where the optimal maximum lower limit Hashin
 399 Shtrikman moduli are found. Point C is the location on the boundary where the
 400 optimal minimum upper limit Hashin Shtrikman moduli are found.

Computer Code

[Click here to download Computer Code: HSBounds.m](#)

Computer Code

[Click here to download Computer Code: test_HSBounds.m](#)