REVISED VERSION 1

1	HOW GEOMETRY AND ANISOTROPY AFFECT RESIDUAL STRAIN IN HOST-
2	INCLUSION SYSTEM: COUPLING EXPERIMENTAL AND NUMERICAL
3	APPROACHES
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18	Abstract
19	Raman spectroscopy provides information on the residual strain state of host-inclusion systems that,
20	coupled with the elastic geobarometry theory, can be used to retrieve the P-T conditions of inclusion
21	entrapment. In-situ Raman measurements of zircon and coesite inclusions in garnet from the
22	Ultrahigh-pressure Dora Maira Massif show that rounded inclusions exhibit constant Raman shifts
23	throughout their entire volume. In contrast, we demonstrate that Raman shifts can vary from the
24	center to the edges and corners of faceted inclusions. Step-by-step polishing of the garnet host show
25	that the strain in both rounded and prismatic inclusions is gradually released as the inclusion
26	approaches the free surface of the host. More importantly our experimental results coupled with
27	selected numerical simulations demonstrate that the magnitude and the rate of the strain release
28	depends also on the contrast in elastic properties between the host and the inclusion and on the
29	inclusion crystallographic orientation with respect to the external surface. These results allowed us to
30 31	give new methodological guidelines for determining the residual strain in host inclusion systems.
32	Keywords: elastic barometry; inclusion; Raman spectroscopy; zircon; garnet; coesite; Dora Maira
33	Massif; Ultra High Pressure metamorphism;
34	Introduction

Introduction

Elastic geobarometry for host-inclusion systems is based on measurements of the residual strains produced during exhumation as a consequence of the contrast in elastic

37 properties between the host and the inclusion. The residual strain in the inclusions can be 38 measured by micro-Raman spectroscopy or X-ray diffraction and can be used to provide 39 estimates of pressure and temperature (P-T) conditions for metamorphic rocks that are not 40 dependent on chemical equilibrium (e.g., Rosenfeld and Chase, 1961; Enami et al., 2007; 41 Angel et al., 2015; Anzolini et al., 2018; Murri et al., 2018). Models for elastic geobarometry 42 only apply to the simple case of elastically isotropic host-inclusion pairs with a simple ideal 43 geometry where a small spherical inclusion is trapped in an infinite host (Angel et al., 2015). 44 Recent numerical models showed that any deviations from the idealized geometry 45 significantly affects the estimation of "residual pressure" (Mazzucchelli et al., 2018). Indeed, 46 gradients in non-spherical inclusions have been already reported (e.g. Zhukov and Korsakov, 47 2015; Murri et al., 2018). Moreover, several studies pointed out the effects on the residual 48 "pressure" determination of the inclusion size and its partial exposure with respect to the 49 mineral host surface (e.g. Rosenfeld and Chase, 1961; Enami et al., 2007; Zhang, 1998; 50 Mazzucchelli et al. 2018). Nevertheless, open questions still remain, including: what is the 51 effect of the inclusion anisotropy on the residual strain release? How much can the contrast 52 in properties between the host and the inclusion and their geometry influence the residual 53 strain? Therefore, we propose an alternative way to test the effect of the geometry of the 54 host-inclusion system on the Raman signal and on the calculated residual pressure upon 55 to collect spectra from selected inclusions with different shape, size and polishing: 56 crystallographic orientation, while performing several steps of polishing of the rock thick 57 section to bring the inclusion closer to the external surface of the host.

In this manuscript we report the Raman spectra of rounded and elongated zircon inclusions and a rounded coesite inclusion in pyrope from the ultrahigh-pressure (UHP) Alpine Dora Maira Massif measured before and after several subsequent steps of polishing. The measured "residual pressures" are compared with the results of a set of Finite Element

62	models following the approach of Mazzucchelli et al. (2018). This allows us to provide new
63	methodological guidelines and examples of correction curves to adjust measurements carried
64	out on faceted and anisotropic inclusions and/or close to the host surface.
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66	Sample description
67	We analyzed zircon and coesite inclusions within pyrope megablasts and
68	porphyroblasts respectively, from the whiteschist of the Brossasco-Isasca UHP unit in the
69	Gilba locality, whose petrography and petrology were reported by several authors (e.g.
70	Chopin, 1984; Hermann, 2003). Whiteschists occur as lenses inside ortho-gneiss and para-
71	gneiss of the Monometamorphic Complex (data repository) and mainly consist of quartz,
72	phengite, kyanite and porphyroblastic to megablastic pyrope-rich garnet. The Dora Maira
73	whiteschist shows a phengite, garnet and kyanite-bearing foliation that wraps around the
74	garnet megablasts (up to 15 cm across). The latter contain numerous inclusions (from few
75	microns to 1 mm in size) mainly of kyanite, rutile and zircon. Garnet porphyroblasts (up to 2
76	mm in size) within the foliated rock matrix contain rutile, zircon and coesite inclusions.
77	Coesite grains are frequently surrounded by quartz rims and palisade quartz structures
78	(Chopin, 1984), but we only measured the rare monocrystalline unaltered coesite inclusions.
79	For the application of elastic geobarometry we selected garnet-core and rim domains
80	unaltered and free of fractures. In these domains, the coesite and zircon inclusions are
81	surrounded by birefringent haloes (Figure 1), indicating that the structure of the garnet host
82	around the inclusions is anisotropically strained.
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Methods

As pointed out previously (Zhang, 1998; Mazzucchelli et al., 2018), only small isolated inclusions far from any free surface of the garnet thick sections (e.g. distance > 3

radii of the inclusion) do not suffer potential strain release. Therefore, for this study we prepared polished sections of 250-260 μ m thickness. We performed Raman spectroscopic measurements only on inclusions at the center of the section with a mean linear size smaller than 50 μ m, (i.e. considerably less than the distance to the host surface).

Micro-Raman scattering measurements were conducted in backscattering geometry with a Horiba Jobin-Yvon T64000 triple-monochromator spectrometer with a spectral resolution of $\sim 2 \text{ cm}^{-1}$ and instrumental accuracy in peak positions of $\sim 0.35 \text{ cm}^{-1}$. For each inclusion, a series of spot measurements were carried out along the equatorial plane of the inclusion as shown in Figure 2. Details of the measurements and data processing are given in the supplementary materials.

97 We collected Raman spectra before and after polishing of the garnet hosts by known 98 amounts. The inclusion distance from the surface (i.e. the distance between the equatorial 99 plane of the inclusion and the host external surface) was estimated by means of optical focus 100 coupled with the controlled z-position motorized microscope stage. We repeated the 101 procedure until the inclusion was half-exposed. This allowed us to observe the "real time" 102 evolution of the strains inside the inclusions in terms of changes in the Raman frequencies. 103 Here we show examples of single crystals of zircon: one rounded (20 µm radius) and one 104 prismatic (80 µm along the long axis), labelled S2 and S3, respectively and one rounded 105 single crystal of coesite (15 µm radius, sample S24) in the garnet megablasts and 106 porphyroblasts, respectively. No prismatic or idiomorphic coesite inclusions have been 107 found. Since our inclusions are elastically anisotropic, their orientation with respect to the 108 polishing surface is critical for the interpretation of the results by means of numerical 109 simulations. The idiomorphic zircon grain S3 has the c axis inclined with respect to the 110 polishing surface by approximately 20° (estimated optically). Analysis of the peak intensities 111 in the polarized Raman spectra suggests that the rounded zircon grain S2 has its c axis

almost perpendicular to the surface. The coesite crystal S24 was rounded and the absence of pronounced changes in the Raman intensities measured in different scattering geometries makes it impossible to determine its orientation and therefore it was not possible to perform numerical simulations for this inclusion.

116 Finite element simulations have been carried out to support the interpretation of our 117 measurements of zircon inclusions S2 and S3 and to evaluate the effect of the proximity of 118 the inclusion to the external surface of the thick section on the residual strain of the inclusion 119 (procedures as in Mazzucchelli et al., 2018, further details are reported in data repository). 120 Elastic anisotropy has been incorporated in the model for the zircon inclusions. The pyrope 121 host was treated as isotropic because its universal elastic anisotropy index (Ranganathan and Ostoja-Starzewski, 2008) is negligible (i.e. 9×10^{-4}), based on the elastic moduli reported by 122 123 Sinogeikin and Bass (2002). The use of isotropic elastic properties for the host allows us to 124 neglect the mutual crystallographic orientation of the host and the inclusion. For our 125 purposes, the only relevant orientation is that of the inclusion with respect to the surface of 126 the petrographic section.

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Results and discussion

129 Both rounded and idiomorphic inclusions close to the center of the section display Raman 130 peak positions shifted toward higher wavelengths compared to free reference crystals. Within the instrumental precision (± 0.35 cm⁻¹), the rounded zircon inclusion S2 and the rounded 131 132 coesite inclusion S24 showed no spatial variation of the Raman peak positions within the 133 inclusions. On the other hand, for idiomorphic crystals (zircon inclusion S3 with welldeveloped corners and edges) there is a steady increase in the peak positions of about 1 cm⁻¹ 134 135 from the center towards the edges of the inclusions (Figure 2 B). This is a direct 136 consequence of strain heterogeneity in the inclusion, which can be caused by chemical

137 zonation, zoned radiation-induced damage and/or an imposed strain gradient. The 138 substitution of elements such as Th, U, or Hf for Zr, may cause expansion (U, Th) or 139 contraction (Hf) of the zircon unit cell (Nasdala et al., 1998), leading to a change in the 140 phonon wavenumbers. However, compositional analysis of the exposed grain performed 141 after the final step of polishing did not reveal any chemical zonation (see supplementary 142 material). Radioactive decay of elements such as U and Th can induce structural damage, 143 leading to Raman peak broadening and a shift towards lower wavenumbers (Binvignat et al., 144 2018). However, the full-width-at-half-maximum (FWHM) of a given phonon mode for totally entrapped S3 remains the same throughout the entire grain and within the 145 146 instrumental spectral resolution and is equal to that of well crystalline zircon (Binvignat et 147 al., 2018), thus indicating a high degree of crystallinity throughout the entire grain bulk. 148 Since the zircon inclusion S3 is chemically homogeneous (see Appendix A.1) and well-149 crystalline, the variable Raman shift in it is due to its faceted shape (Eshelby, 1957), because 150 the edges and corners act as stress concentrators (Zhang, 1998; Mazzucchelli et al., 2018). 151 After polishing the Raman spectra of S3 became homogeneous within the fully exposed part 152 of the sample (Figure 2 B), confirming that the variation in the peak position in a single 153 crystal for all bands was caused by the shape of the crystal.

154 A decrease in the Raman band wavenumbers was measured at the center of the inclusions 155 upon polishing for all the investigated samples of zircon and coesite. As an example, Figure 3A shows the B_{1g} mode near 1008 cm⁻¹ measured on zircon sample S3 at three different steps 156 157 of polishing. Strictly speaking, the phonon wavenumbers are directly related to the strain, 158 rather than to the applied pressure. Moreover, for elastically anisotropic materials the same 159 relative volume change can be obtained by different strains, for example as induced by hydrostatic or deviatoric stress. Therefore, the commonly used direct proportionality 160 161 between the Raman peak positions and residual pressure is a strongly oversimplified

162 assumption (Murri et al., 2018). Nonetheless, if we assume that the change in Raman 163 wavenumber ω is linear with mean stress P (i.e. $\frac{\partial \omega}{\partial P}$ is constant), we can introduce the 164 normalized change in the peak position $\Delta \omega_{norm}$ as a parameter to express the relative 165 release in "pressure" as the inclusion becomes closer to the external surface of the host 166 during polishing:

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$$\Delta \omega_{norm} = \frac{\left(\left(\omega_{I,d} - \omega_{I,0} \right) \frac{\partial P}{\partial \omega} - \left(\omega_{I,\infty} - \omega_{I,0} \right) \frac{\partial P}{\partial \omega} \right)}{\left(\omega_{I,\infty} - \omega_{I,0} \right) \frac{\partial P}{\partial \omega}} = \frac{P_{I,d} - P_{I,\infty}}{P_{I,\infty}}$$

$$= \frac{\left(\omega_{I,d} - \omega_{I,\infty} \right)}{\left(\omega_{I,\infty} - \omega_{I,0} \right)} = \Gamma$$
(1)

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169 Where is the wavenumber for a free crystal measured at ambient conditions, and 170 are the wavenumber and the corresponding pressure for an inclusion in an infinitely 171 large host (i.e. before the polishing, when the inclusion was far from the surface of the host), 172 while are the wavenumber measured on the inclusion and its pressure after and 173 each polishing step and associated to a specific normalized distance d (i.e. the distance from 174 the inclusion center to the host external surface divided by the corresponding inclusion 175 radius). Under these assumptions, equation (1) shows that $\Delta \omega_{norm}$ becomes equivalent to 176 the geometrical factor $\boldsymbol{\Gamma}$ defined by Mazzucchelli et al. (2018). 177 As can be seen in Figure 3 B and C, the normalized change in the peak position $\Delta \omega_{norm}$ 178 decreases progressively towards -1 (i.e. the Raman shift becomes equal to that of the free 179 inclusion), when the inclusion approaches the host surface. The trends of "pressure" release 180 estimated from the Raman spectra measured on our zircon samples show the same pattern

181 with those calculated from numerical simulations performed on similar geometries and

182 crystallographic orientations (e.g. see the dotted lines in fig. 3 B). However, the experimental 183 data suggest a greater amount of stress release compared to the numerical simulations. For example, at a normalized distance of 1 (inclusion just in contact with the external surface). 184 185 the calculated stress release is approximately 50%, whereas that obtained from experimental 186 data is about 70% (fig. 3 A). There are at least two contributions to this discrepancy: (i) for 187 non-cubic inclusions, direct conversion of Raman shifts into pressures using a hydrostatic 188 calibration is incorrect; (ii) when the inclusion is close to the surface, strain gradients may be 189 relaxed through plasticity or micro-fractures that are not considered in our purely elastic 190 numerical models. Interestingly, our experiments show that even after partial exposure of the 191 inclusion (i.e. for normalized distances ≤ 1) the Raman shift does not record full strain 192 release (i.e. the inclusion is not at ambient conditions). In Figure 3 C, for example, the 193 polished coesite inclusion still shows 40% of its original residual strain. Finally, the 194 difference in the strain release between zircon and coesite inclusions is probably due to the 195 different contrast in properties with respect the host garnet. Indeed, since coesite is softer 196 than zircon, the host garnet can still retain a greater amount of its residual strain even if half 197 of the inclusion is exposed. This implies the possibility to have thinner hosts for softer 198 inclusions such as coesite or quartz in garnet but, however, the possibility of fracturing 199 during polishing is high (Enami et al., 2007).

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Implications

Our measurements show that Raman shift is homogeneous only in rounded inclusions while it is non-homogeneous in faceted ones (Figure 2 A and B), in a full agreement with numerical calculations (Mazzucchelli et al. 2018) and theory (Eshelby, 1957). Therefore, multiple Raman spectra collected on faceted inclusions should not be averaged if their differences are larger than the instrumental peak precision. Instead, to avoid the effects of

grain shape on Raman peak positions, only Raman spectra measured at the center of the
inclusions should be used because there we can apply the geometrical correction (see
Mazzucchelli et al., 2018).

210 Our polishing experiments confirm that the Raman shift on the inclusion decreases as the 211 inclusion gets closer to the external surface (Rosenfeld and Chase, 1961; Zhang, 1998; 212 Mazzucchelli et al., 2018). Therefore, only inclusions whose centers are distant more than 4 213 radii (Figure 3 B) from the section surface and internal surfaces of the host should be used. If 214 the Raman peak positions vary from one inclusion to another, even when the inclusions are 215 properly selected, this indicates that some other factor is responsible, such as chemical 216 variation in the host or inclusions, or growth of the host and thus inclusion entrapment under 217 different conditions, such as along a prograde subduction path. More importantly, our 218 results, coupled with our FE numerical simulations, show how anisotropy (i.e. 219 crystallographic orientation of the inclusion with respect to the external surface) and the 220 contrast between the inclusion and host physical properties influences the strain release 221 during polishing. Furthermore, even when an inclusion is exposed at the surface of the host 222 grain, it can still exhibit a variation in the peak position with respect to a free crystal, and 223 thus residual strains and stresses (Figure 3 C). Therefore, partially entrapped grains as a 224 strain free standard should be avoided or chosen very carefully against which to measure the 225 Raman shifts of unexposed inclusions.

Finally, as an example, if we calculate from our experimental Raman shift values the strain and then the mean stress in the inclusion after subsequent polishing steps, following the approach given by Murri et al. (2018), the zircon S3 has an initial residual pressure (P_{inc}) before polishing of 0.5 GPa. After 55 microns of polishing (1.5 of normalized distance in figure 3 B), when the inclusion is still buried in its garnet host, the P_{inc} drops to 0.2 GPa. A value of 0.06 GPa is recorded when the inclusion is half exposed. For zircon S2 the initial

P_{inc} was about 0.9 GPa and about 0.3 GPa when the inclusion was just touching the external surface of the host. In the supplementary material a table showing the evolution of the P_{inc} as function of the polishing for the two zircon inclusions is reported (Table S.8). For coesite no reliable data are available to give the strain state of the inclusion from the Raman peak positions.

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293 Figure captions

Figure 1. A polished pyrope megablast section with partial talc + chlorite alteration along fractures and rims. The red square shows an example of a mm-sized fracture-free garnet area selected for this study, in which zircon and coesite crystalline inclusions exhibiting straininduced birefringent haloes in the surrounding host have been found.

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Figure 2. Position of the Raman peak $A_{1g} \sim 975 \text{ cm}^{-1}$ in a rounded (A) and an idiomorphic (B) zircon crystal before and after the final step of polishing. The solid lines in the plots are guides for the eye; the dashed line in (B) traces the data points measured after two days of final exposure of the grain.

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Figure 3. (A) Raman scattering arising from the antisymmetric SiO₄ stretching (the B_{1g} crystal phonon mode ~ 1008 cm⁻¹) measured when the grain S3 was fully entrapped (red

306	line), at an intermediate stage of polishing (yellow), and when the inclusion was exposed at
307	the final stage of polishing (green line). The numbers are the measured Raman shifts. (B)
308	Measured normalized wavenumber shifts $\Delta \omega_{norm}$ for zircon S2 (green circles) and zircon S3
309	(blue squares) versus the normalized distance d to the host surface along with gaussian fits to
310	the corresponding data $A_{1g} \sim 975$ and $B_{1g} \sim 1008$ cm ⁻¹ data sets (solid lines) as well as the
311	calculated geometrical factor Γ (dashed lines) from the FE model; $\Delta \omega_{\text{norm}}(d)$ and $\Gamma(d)$ show
312	the same trend within uncertainties. (C) Measured $\Delta \omega_{\text{norm}}(d)$ (red circles) and a gaussian fit
313	to $A_{1g} \sim 119$ and ~ 521 cm ⁻¹ (solid line) for S24 coesite inclusion
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