

Surrogate-enhanced higher order eigenstrain-based reduced order homogenization for polycrystal plasticity

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1 **Abstract**

2 Reduced-order models (ROMs) are frequently employed within concurrent multiscale frame-
3 works to enhance the efficiency of nonlinear simulations and to mitigate the substantial com-
4 putational expense associated with direct nonlinear homogenization schemes. Among these,
5 transformation field analysis (TFA)-based ROMs have gained particular prominence due to
6 their reliance on linear elastic simulations for model construction and their characteristically low
7 dimensionality. However, extensive studies have demonstrated that these models often exhibit
8 an artificially stiff response when applied across a broad spectrum of materials. In the present
9 study, a higher order eigenstrain homogenization scheme is presented to mitigate the overly stiff
10 response predicted by these models. Another challenge with the incorporation of nonuniform or
11 higher order basis within models based on TFA is the expensive integration of the constitutive
12 response due to nonuniform fields. A novel approach to compute these integrals is established
13 that reduces the number of integration parameters over complex three-dimensional domains
14 without additional spatial constraints. It is demonstrated that the linear modes can soften the
15 elasto-plastic response and that the proposed integration method achieves approximately an
16 order-of-magnitude improvement in computational efficiency compared to brute-force integration
17 over a background mesh.

18 Keywords: Computational homogenization; Reduced order modeling; Multiscale modeling;
19 Crystal plasticity

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20 1 Introduction

21 Accurate modeling of the nonlinear mechanical behavior of structures made of advanced materials
22 with complex microstructures such as metal alloys, composites, and architected materials requires
23 the development and application of multiscale methods [1]. A variety of such methods are available
24 (e.g., computational homogenization [2], variational multiscale enrichment [3], multiscale finite
25 elements [4, 5]) to address specific classes of problems and material systems. For scale separable
26 problems, a classical strategy is the computational homogenization (CH) method, which requires
27 solving coupled nonlinear boundary value problems (BVPs) at both the macroscale and microscale
28 using finite elements or other numerical techniques [6, 7, 8]. CH has been successfully applied to
29 investigate various multiscale phenomena, such as the influence of microscale and mesoscale defects
30 on the multiscale response of additively manufactured composites [9], the role of microstructural
31 morphology in the response of heterogeneous interfaces [10], among many others.

32 The computational cost of CH implementations is typically high and significant computational
33 resources for simulating realistic-sized structures are required. This challenge has limited its broader
34 adoption. To address this limitation, reduced order models (ROMs) are employed by approximating
35 the microscale response without resorting to full-field methods such as the finite element method
36 (FEM) or the spectral method. A variety of ROM approaches have been developed in the literature
37 including transformation field analysis (TFA) [11, 12], nonuniform TFA (NTFA) [13, 14, 15, 16, 17]
38 and its extensions [18, 19, 20], numerical potentials [21], self-consistent clustering analysis [22], eigen-
39 deformation methods [23, 24, 25, 26], eigenstrain-based reduced order homogenization (EHM) [27,
40 28, 29, 30], deep material network [31] and proper orthogonal decomposition (POD) [32, 33, 34], with
41 continuing developments exploring hybrid physics-informed and machine learning frameworks [35,
42 36].

43 ROM frameworks generally consist of two distinct stages: (1) “offline” model construction
44 (or training); and (2) “online” execution. During the offline stage (i.e., prior to the execution of
45 the multiscale simulation), the ROM is constructed based on a pre-defined set of microstructure
46 simulations. Model construction for some ROM approaches such as the NTFA, POD, and machine
47 learning-based surrogate models involves conducting a comprehensive set of nonlinear and history-
48 dependent microscale simulations subjected to a wide range of loading paths. In EHM, a predefined
49 set of linear elastic simulations independent of the loading path is needed. During the online stage,
50 the microscale BVP is replaced by the ROM, a nonlinear algebraic system of equations posed over a
51 coarse approximation space spanned by a small number of basis functions. This substitution leads
52 to significant computational efficiency, as the reduced system is of much lower dimension and can be
53 efficiently coupled with the macroscopic solver.

54 While EHM and other TFA-based ROMs offer significant efficiency gains for nonlinear multiscale
55 simulations, they can exhibit limitations in capturing inelastic responses for certain loading paths
56 and microstructures. A common issue is an artificially stiff response compared to direct numerical
57 simulations, a phenomenon reported in multiple prior studies [37, 28, 38]. The prediction error
58 is generally more severe in high phase-contrast materials (e.g., carbon fiber reinforced polymer
59 composites) than in lower phase-contrast materials such as polycrystalline metals. To address this
60 shortcoming, several strategies have been explored, including ROM refinement based on phase
61 subpartitioning [23, 39, 40, 22], online ROM reconstruction using instantaneous moduli [37, 30, 41],
62 and the use of nonuniform basis functions [42, 14, 19, 18]. Incorporating the instantaneous moduli
63 yields substantial improvement for high-phase-contrast microstructures but offers limited benefit
64 in low-phase-contrast cases and requires online reconstruction, which is computationally expensive.
65 A straightforward alternative is to subdivide each phase domain into smaller reduced-order parts,
66 analogous to h -refinement in finite element analysis. However, meaningful accuracy gains generally
67 require many subpartitions, even with advanced algorithms, as shown for both polycrystalline [25]
68 and composite [43] microstructures. In contrast, the incorporation of nonuniform basis functions has
69 demonstrated significant performance improvements, particularly when the basis functions are well
70 chosen.

71 A broad range of basis constructions has been explored for composite materials, including
72 piecewise-uniform [11, 12], piecewise-polynomial [19], mixed discretizations [15], and globally nonuni-
73 form bases [14]. Michel and Suquet [14] introduced the use of globally nonuniform basis functions in
74 the NTFA framework, deriving them from nonlinear full-field microstructure simulations. Similar
75 strategies were later explored by Fritzen et al. [18] and by Beel and Fish [44] who advocated using a
76 small set of six unidirectional loading simulations for the construction of the reduced basis. These ap-
77 proaches generally achieve high accuracy, particularly when the applied loading remains close to that
78 used in constructing the basis functions. Sepe et al. [19] proposed analytical basis functions to avoid
79 the cost of such a priori nonlinear simulations, demonstrating their effectiveness for two-dimensional
80 elastoplastic composites. Covezzi et al. [15] developed a mixed discretization for two-dimensional
81 elastoviscoplastic composites, employing divergence-free stress bases alongside piecewise-linear strain
82 and inelastic-strain functions. An additional challenge associated with the use of nonuniform basis
83 functions is integrating the nonlinear constitutive law efficiently [19]. This challenge has been tackled
84 by using reduced version of the constitutive model [14], Gauss point clustering [45], evolving Gauss
85 points [44], second order Taylor expansions [46], and empirical quadrature method [47].

86 The focus of the present study is achieving consistent improvement in ROM accuracy compared to
87 the classical EHM approach in the context of low-phase-contrast polycrystalline materials regardless

88 of loading and microstructural morphology. We employ polynomial-type higher-order basis functions
89 to achieve this consistent accuracy improvement and accurately capture intragrain heterogeneity.
90 First, a set of microscale equilibrium problems for higher-order basis functions is derived to describe
91 the offline stage. For the online stage, reduced order versions of the constitutive equations are
92 derived using variational principles which include a computationally intensive integration of the
93 viscoplastic flow rule. We reformulate the integration problem and propose a machine-learning-based
94 surrogate model that performs constitutive integration more efficiently. The primary contributions
95 of this work are twofold: (i) the application of the ROM enhanced with higher-order basis functions
96 to three-dimensional polycrystal plasticity problems, and (ii) the development of a novel surrogate
97 approach to significantly reduce integration time.

98 The remainder of this manuscript is organized as follows: The EHM methodology is briefly
99 summarized and the mathematical formulation for the proposed higher order model is derived and
100 discussed in Section 2. Starting with a brief reintroduction of the key equations from classical EHM,
101 Section 2.1 presents the higher-order discretization. Sections 2.2 and 2.3 use this discretization to
102 derive the reduced constitutive law and evolution equations. Section 2.4 introduces the surrogate
103 framework, followed by the offline stage comprising the influence-function problems in Section 2.5.
104 Section 2.6 concludes with the description of the ROM algorithm. Numerical experiments performed
105 to assess the accuracy of the proposed method are discussed in Section 3. Conclusions are presented
106 in Section 4.

107 The following notation is used unless otherwise stated. Tensor fields are provided in Cartesian
108 coordinates and are denoted as italic lightface letters (A_{ijkl} or σ_{ij}), in indicial notation, or in boldface
109 italic, (\mathbf{A} or $\boldsymbol{\sigma}$), in tensor notation. Scalars are denoted by lightface letters, α without indices.
110 Parentheses in the subscript indicate the symmetric part of the tensor. A comma in the indices
111 indicates partial spatial derivative. The top right superscript is used as a descriptor. The bottom
112 left subscript denotes time increment. Overbar indicates macroscopic quantity averaged over the
113 microstructural domain while overhead dot indicates time derivative. N_{ph} denotes number of grains
114 in the polycrystal, N_m the number of modes per grain, and N_{Voigt} the number of Voigt components
115 (six in three-dimensional simulations).

116 2 Higher order EHM (HEHM)

117 Consider a macroscopic domain, $\Omega \subset \mathbb{R}^3$, that is made of a periodic polycrystalline microstructural
118 volume, $\Theta \subset \mathbb{R}^3$. The material constituents that occupy the domain behave in an inelastic manner,

119 which is idealized using the small strain theory and additive decomposition of the total strain

$$\sigma_{ij}(\mathbf{x}, \mathbf{y}, t) = L_{ijkl}(\mathbf{y}) [\varepsilon_{kl}(\mathbf{x}, \mathbf{y}, t) - \mu_{kl}(\mathbf{x}, \mathbf{y}, t)] \quad (1)$$

120 where $\boldsymbol{\sigma}$ is the stress tensor, \mathbf{L} the tensor of elastic moduli, $\boldsymbol{\varepsilon}$ the total strain, and $\boldsymbol{\mu}$ the inelastic
121 strain. \mathbf{x} denotes the macroscopic position vector defined over Ω , \mathbf{y} is the microscopic position
122 vector defined over Θ , and t is the time coordinate. The strain field over the microstructural volume
123 at an arbitrary position \mathbf{x} of the macroscale structure is decomposed as

$$\varepsilon_{ij}(\mathbf{x}, \mathbf{y}, t) = \bar{\varepsilon}_{ij}(\mathbf{x}, t) + \tilde{\varepsilon}_{ij}(\mathbf{x}, \mathbf{y}, t) \quad (2)$$

124 where $\bar{\varepsilon}$ is the macroscale strain tensor, and $\tilde{\varepsilon}$ is the zero-mean microscale strain perturbation over
125 the microstructural volume. The strain perturbation field is then expanded as follows [28]

$$\tilde{\varepsilon}_{ij}(\mathbf{x}, \mathbf{y}, t) = H_{(i,j)mn}(\mathbf{y}) \bar{\varepsilon}_{mn}(\mathbf{x}, t) + \int_{\Theta} h_{(i,j)mn}(\mathbf{y}, \hat{\mathbf{y}}) \mu_{mn}(\mathbf{x}, \hat{\mathbf{y}}, t) d\hat{\mathbf{y}} \quad (3)$$

126 where $\mathbf{H}(\mathbf{y})$ and $\mathbf{h}(\mathbf{y}, \hat{\mathbf{y}})$ are elastic and phase influence functions, respectively.

127 2.1 Field-discretization

128 The ansatz in Eq. 3 forms the foundation of the EHM model. In the classical EHM formulation [28],
129 the spatial distribution of the inelastic strain and the stress fields over the microstructural volume is
130 approximated as piecewise-uniform over prescribed subdomains of Θ . In this section, we propose
131 an extension of this approximation by including a hierarchy of higher-order basis functions. The
132 goal of this extension is to monotonically increase the accuracy of a ROM prepared by a given
133 set of basis functions by including additional higher-order basis functions from the hierarchy. Let
134 $\{\Theta^{(\alpha)} \in \Theta \mid \alpha = 1, \dots, N_{\text{ph}}\}$ denote a partition of Θ . We proceed with the following discretization of
135 the inelastic strain and stress fields

$$\mu_{ij}(\mathbf{x}, \mathbf{y}, t) = \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{p=1}^{N_{\text{m}}} N^{(\alpha,p)}(\mathbf{y}) \mu_{ij}^{(\alpha,p)}(\mathbf{x}, t) \quad (4)$$

$$\sigma_{ij}(\mathbf{x}, \mathbf{y}, t) = \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{p=1}^{N_{\text{m}}} N^{(\alpha,p)}(\mathbf{y}) \sigma_{ij}^{(\alpha,p)}(\mathbf{x}, t) \quad (5)$$

136 where $N^{(\alpha,p)}$ is a basis function associated with part α and mode p , and $\boldsymbol{\mu}^{(\alpha,p)}$ and $\boldsymbol{\sigma}^{(\alpha,p)}$ are the
137 corresponding eigenstrain and stress coefficients, respectively.

138 In the present study, polynomial basis functions are used following the ideas proposed in
 139 Ref. [19]. The basis functions are chosen such that they have compact support within their parts,
 140 i.e., $N^{(\alpha,p)}(\mathbf{y} = \Theta \cap \overline{\Theta^{(\alpha)}}) = 0$. This property of the basis functions enables partial localization of
 141 the constitutive equations; for instance, the Schmid tensor remains constant within a grain and
 142 does not require additional treatment. Furthermore, the basis functions are constructed to satisfy
 143 orthonormality condition given as

$$\int_{\Theta^{(\beta)}} N^{(\beta,p)}(\mathbf{y}) N^{(\beta,q)}(\mathbf{y}) d\mathbf{y} = \begin{cases} 0, & p \neq q, \\ 1, & p = q. \end{cases} \quad (6)$$

144 Orthonormalizing the basis functions beforehand simplifies the numerical implementation and
 145 improves conditioning of the reduced system as elaborated in Section 2.3.

146 Construction of the orthonormal basis functions can be achieved by the Gram-Schmidt orthonor-
 147 malization procedure. For consistency with the classical EHM formulation, the first basis function
 148 is constrained to be constant within its corresponding part: $\tilde{N}^{(\beta,1)} = 1$. To generate higher-order
 149 basis functions based on polynomial expansions, we begin by selecting a set of linearly independent,
 150 non-orthogonal functions. For instance, the set of linear polynomials are

$$\tilde{N}^{(\beta,2)} = y_1, \tilde{N}^{(\beta,3)} = y_2, \tilde{N}^{(\beta,4)} = y_3; \quad \mathbf{y} \in \Theta^{(\beta)}. \quad (7)$$

151 The orthonormalized basis functions are then obtained recursively via the Gram-Schmidt process,
 152 with the first mode given by

$$N^{(\beta,1)}(\mathbf{y}) = \frac{\tilde{N}^{(\beta,1)}(\mathbf{y})}{\sqrt{\int_{\Theta^{(\beta)}} \tilde{N}^{(\beta,1)}(\mathbf{y}) \tilde{N}^{(\beta,1)}(\mathbf{y}) d\mathbf{y}}} \quad (8)$$

153 and the rest of the modes given by

$$\hat{N}^{(\beta,p)}(\mathbf{y}) = \tilde{N}^{(\beta,p)}(\mathbf{y}) - \sum_{q=1}^{p-1} \left(\frac{\int_{\Theta^{(\beta)}} \tilde{N}^{(\beta,p)}(\mathbf{y}) N^{(\beta,q)}(\mathbf{y}) d\mathbf{y}}{\int_{\Theta^{(\beta)}} N^{(\beta,q)}(\mathbf{y}) N^{(\beta,q)}(\mathbf{y}) d\mathbf{y}} \right) N^{(\beta,q)}(\mathbf{y}) \quad (9)$$

$$N^{(\beta,p)}(\mathbf{y}) = \frac{\hat{N}^{(\beta,p)}(\mathbf{y})}{\sqrt{\int_{\Theta^{(\beta)}} \hat{N}^{(\beta,p)}(\mathbf{y}) \hat{N}^{(\beta,p)}(\mathbf{y}) d\mathbf{y}}}. \quad (10)$$

154 This approach is conceptually analogous to p -refinement in finite element analysis, where the order
 155 of interpolation within each element is increased to more accurately capture field nonuniformities. As
 156 an illustrative example, the functions $\tilde{N}^{(\beta,1)} = 1, \tilde{N}^{(\beta,2)} = y_1, \tilde{N}^{(\beta,3)} = y_2, \tilde{N}^{(\beta,4)} = y_1^2$ are plotted over

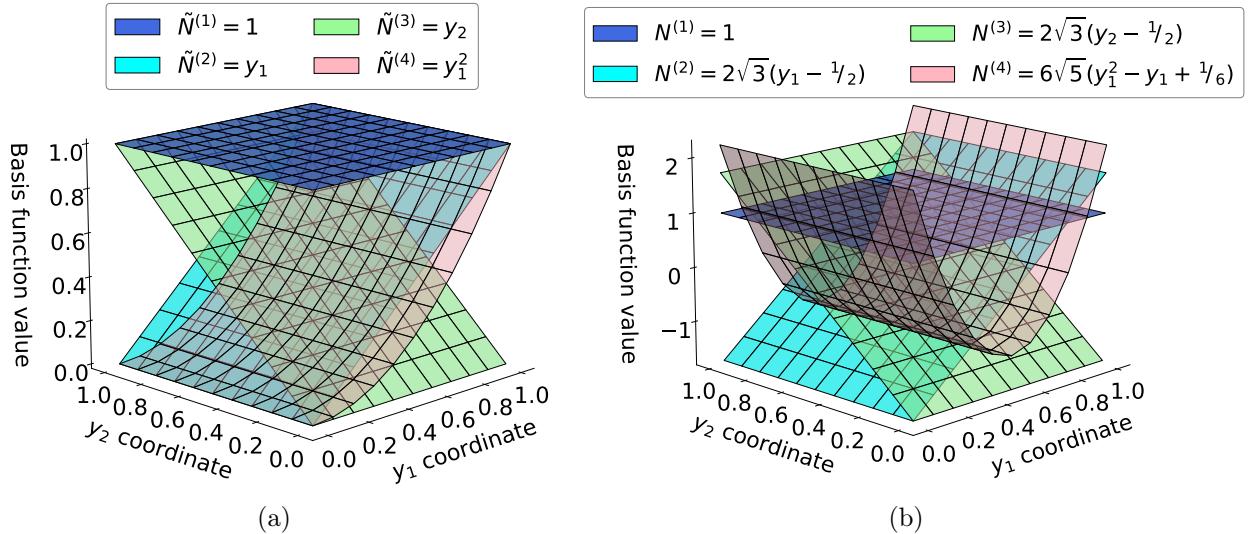


Figure 1: (a) Initial (non-orthonormal) basis functions over a square domain $[0, 1]^2$ in 2D and (b) modified basis functions after orthonormalization.

157 the unit square domain $[0, 1]^2$ in Figure 1 both before and after orthonormalization, to demonstrate
 158 the transformation.

159 2.2 Reduced Constitutive Equations

160 In this section, the constitutive relations are projected onto the reduced basis introduced earlier
 161 to obtain a finite-dimensional representation of the microscale response. The resulting reduced
 162 constitutive equations introduce the localization and interaction tensors that encode the mechanical
 163 interactions within and between parts, and these tensors form the central building blocks of the
 164 ROM used in the subsequent development. Combining the prescribed discretization in Eq. 4 with
 165 Eqs. 1, 2, and 3 yields the following expression for the stress

$$\sigma_{ij}(\mathbf{x}, \mathbf{y}, t) = L_{ijkl}(\mathbf{y}) \left[\bar{\varepsilon}_{kl}(\mathbf{x}, t) + H_{(k,l)mn}(\mathbf{y}) \bar{\varepsilon}_{mn}(\mathbf{x}, t) \right. \\ \left. + \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{p=1}^{N_m} \left(h_{(k,l)mn}^{(\alpha,p)}(\mathbf{y}) - N^{(\alpha,p)}(\mathbf{y}) I_{klmn} \right) \mu_{mn}^{(\alpha,p)}(\mathbf{x}, t) \right] \quad (11)$$

166 where $\mathbf{h}^{(\alpha,p)}(\mathbf{y}) = \int_{\Theta} \mathbf{h}(\mathbf{y}, \hat{\mathbf{y}}) N^{(\alpha,p)}(\hat{\mathbf{y}}) d\hat{\mathbf{y}}$ is the integrated phase influence function. Substituting
 167 discretizations in Eq. 5 into Eq. 11, premultiplying with $N^{(\beta,q)}$, and integrating over $\Theta^{(\beta)}$ we get

$$M_{klkj}^{(\beta)} \sigma_{ij}^{(\beta,q)} = A_{klmn}^{(\beta,q)} \bar{\varepsilon}_{mn} + \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{p=1}^{N_{\text{m}}} P_{klmn}^{(\beta\alpha,qp)} \mu_{mn}^{(\alpha,p)} - \mu_{kl}^{(\beta,q)} \quad (12)$$

¹⁶⁸ where

$$A_{klmn}^{(\beta,q)} = \int_{\Theta^{(\beta)}} N^{(\beta,q)}(\mathbf{y}) [I_{klmn} + H_{(k,l)mn}(\mathbf{y})] d\mathbf{y} \quad (13)$$

$$P_{klmn}^{(\beta\alpha,qp)} = \int_{\Theta^{(\beta)}} N^{(\beta,q)}(\mathbf{y}) h_{(k,l)mn}^{(\alpha,p)}(\mathbf{y}) d\mathbf{y} \quad (14)$$

¹⁶⁹ in which $\mathbf{M}^{(\beta)} = \mathbf{L}^{(\beta)}^{-1}$, $\mathbf{L}^{(\beta)}$ is the part-averaged stiffness tensor, $\mathbf{A}^{(\beta,q)}$ is the localization tensor,
¹⁷⁰ and $\mathbf{P}^{(\beta\alpha,qp)}$ the interaction tensor representing interactions between mode q in part β and mode p
¹⁷¹ in part α .

¹⁷² 2.3 Reduced Evolution Equations

¹⁷³ Equation 12 establishes a linear mapping between the stress and inelastic strain coefficients, both of
¹⁷⁴ which are unknown. In order to close the system, the constitutive laws that govern the viscoelasto-
¹⁷⁵ plastic response of the crystals within the microstructure are invoked. Various forms of evolution
¹⁷⁶ equations have been previously proposed to describe the nonlinear behavior of polycrystalline
¹⁷⁷ materials (e.g., [48, 49, 50]). In this study, we adopt a dislocation-glide based phenomenological
¹⁷⁸ crystal plasticity model. The flow rule [51, 28] at a material point is given by

$$\dot{\mu}_{ij} = \sum_{s=1}^{N_{\text{ss}}} \dot{\gamma}_0 \left[\frac{|\tau^s|}{g^s} \right]^{1/n} \text{sign}(\tau^s) Z_{ij}^s \quad (15)$$

¹⁷⁹ where \mathbf{Z}^s is the Schmid tensor associated with a slip system s , $\dot{\gamma}_0$ is the reference self-shearing rate,
¹⁸⁰ n is the rate sensitivity parameter, g^s is the slip system strength, and $\tau^s = \boldsymbol{\sigma} : \mathbf{Z}^s$ is the resolved
¹⁸¹ shear stress over the s^{th} slip system, and N_{ss} is the number of slip systems in the lattice. The
¹⁸² hardening rule [52, 53] is given by

$$\dot{g}^s = h_0 \left[\frac{g_{\text{sa}} - g^s}{g_{\text{sa}} - g_0} \right] \sum_{r=1}^{N_{\text{ss}}} |\dot{\gamma}_0| \left[\frac{|\tau^r|}{g^r} \right]^{1/n} \text{sign}(\tau^r) \quad (16)$$

¹⁸³ where h_0 is reference self-hardening, g_0 is the initial strength of a slip system, and g_{sa} is saturation
¹⁸⁴ strength.

185 When the basis functions of the reduced order model are piecewise uniform (e.g., in the classical
 186 EHM approach), the flow and hardening rules can be directly expressed in terms of stress and
 187 inelastic strain coefficients, as well as similarly defined hardening variable coefficients [28]. Hence,
 188 the flow and hardening evolution rules for the reduced order coefficients are of the same form as
 189 the point-wise evolution equations defined in Eqs. 15 and 16. However, when basis functions are
 190 nonuniform, the constitutive laws cannot be satisfied exactly at every point within a grain, while also
 191 considering the reduced order approximations for the stress and inelastic strain fields (i.e., Eqs. 5
 192 and 4). This is because the nonlinearity in the constitutive laws result in a spatial distribution of
 193 the fields within the part that is inconsistent with the polynomial basis. The approach in this paper
 194 is to construct a reduced-flow rule where Eq. 15 is satisfied in a weak sense. Consider the following
 195 weak form of the flow rule

$$\int_{\Theta^{(\beta)}} N^{(\beta,p)}(\mathbf{y}) \left(\dot{\mu}_{ij}(\mathbf{y}) - \sum_{s=1}^{N_{ss}} \dot{\gamma}_0 \left[\frac{|\tau^s(\mathbf{y})|}{g^s(\mathbf{y})} \right]^{1/n} \text{sign}(\tau^s(\mathbf{y})) Z_{ij}^s \right) d\mathbf{y} = 0. \quad (17)$$

196 Substituting the reduced order discretizations of the stress and inelastic strain fields result in the
 197 following expression

$$\dot{\mu}_{ij}^{(\beta,p)} = \sum_s \dot{\gamma}^{(\beta,p),s} Z_{ij}^{(\beta),s} \quad (18)$$

198 where

$$\dot{\gamma}^{(\beta,p),s} = \dot{\gamma}_0 \int_{\Theta^{(\beta)}} N^{(\beta,p)}(\mathbf{y}) \left[\frac{\left| \sum_{q=1}^{N_m} N^{(\beta,q)}(\mathbf{y}) \tau^{(\beta,q),s} \right|}{g^s(\mathbf{y})} \right]^{1/n} \text{sign} \left(\sum_{q=1}^{N_m} N^{(\beta,q)}(\mathbf{y}) \tau^{(\beta,q),s} \right) d\mathbf{y} \quad (19)$$

199 and $\dot{\gamma}^{(\beta,p),s}$ is the reduced plastic slip rate for grain β , mode p and slip system s , and $\tau^{(\beta,p),s} =$
 200 $\boldsymbol{\sigma}^{(\beta,p)} : \mathbf{Z}^{(\beta),s}$ is the resolved shear stress coefficient corresponding to mode p . The right-hand side of
 201 Eq. 19 could be numerically integrated for a given input of stress coefficients, $\boldsymbol{\sigma}^{(\beta,p)}$, and hardening
 202 coefficients, $g^{(\beta,p),s}$. Similar procedure is applied to construct a reduced hardening rule using Eq. 16.

203 Orthonormalizing the basis functions in advance eliminates cross-mode coupling terms and
 204 significantly simplifies the inversion required on the left-hand sides of Eqs. 12 and 18. Without
 205 orthonormalization, the reduced evolution equations retain all cross terms, leading to coupled systems
 206 of the form

$$\sum_{q=1}^{N_m} C_{ijkl}^{(\beta,pq)} \dot{\mu}_{kl}^{(\beta,q)} = \sum_{s=1}^{N_{ss}} \dot{\gamma}^{(\beta,p),s} Z_{ij}^{(\beta),s} \quad (20)$$

207 where

$$C_{ijmn}^{(\beta,pq)} = \int_{\Theta^{(\beta)}} N^{(\beta,p)}(\mathbf{y}) I_{ijmn} N^{(\beta,q)}(\mathbf{y}) d\mathbf{y} \quad (21)$$

208 denotes the inner product between modes p and q . In the absence of orthonormality, $\mathbf{C}^{(\beta,pq)}$ is
209 generally dense, and each mode is coupled to all others, increasing both algebraic complexity and
210 computational cost.

211 2.4 Surrogate integration

212 Accurate integration of Eq. 18 has a substantive effect on the overall accuracy of the reduced
213 model predictions as demonstrated in Section 3. However, direct numerical integration of this term
214 accurately over a complex three-dimensional microstructure is computationally expensive. This
215 difficulty is particularly pronounced when the exponent n is small, as the integrand becomes highly
216 nonlinear and requires a dense set of quadrature points for accurate evaluation. As discussed in
217 the literature review, several algorithms have been proposed to reduce the number of quadrature
218 points within each grain. A key limitation of most existing approaches is the inherent requirement
219 that quadrature points lie strictly within the integration domain. This constraint is difficult to
220 enforce for arbitrary three-dimensional geometries. We propose a new procedure that converts the
221 integration problem into an interpolation problem, thereby relaxing the geometric constraint and
222 enabling efficient evaluation over complex grain shapes. Consider a normalized resolved shear stress,
223 $\tau_{\text{norm}}^{(\beta,p),s}$, that is given by

$$\tau_{\text{norm}}^{(\beta,p),s} = \frac{\tau^{(\beta,p),s}}{\tau_{\text{max}}^{(\beta,s)}} \in [-1, 1] \quad (22)$$

224 where $\tau_{\text{max}}^{(\beta,s)} = \tau^{(\beta,p^*),s}$ and $p^* = \text{argmax}_p(|\tau^{(\beta,p),s}|)$. Without loss of generality, we assume hardening
225 has only the average mode for simplicity. The integral for computing the reduced plastic slip rates
226 (Eq. 19) is expressed as follows

$$\dot{\gamma}^{(\beta,p),s} = \dot{\gamma}_0 \left[\frac{|\tau_{\text{max}}^{(\beta,s)}|}{g^{(\beta,s)}} \right]^{1/n} \text{sign}(\tau_{\text{max}}^{(\beta,s)}) I^{(\beta,p)}(\tau_{\text{norm}}^{(\beta,s)}) \quad (23)$$

227 where

$$I^{(\beta,p)}(\tau_{\text{norm}}^{(\beta),s}) = \int_{\Theta^{(\beta)}} N^{(\beta,p)}(\mathbf{y}) \left[\left| \sum_{q=1} N^{(\beta,q)}(\mathbf{y}) \tau_{\text{norm}}^{(\beta,q),s} \right| \right]^{1/n} \text{sign} \left(\sum_{q=1} N^{(\beta,q)}(\mathbf{y}) \tau_{\text{norm}}^{(\beta,q),s} \right) d\mathbf{y} \quad (24)$$

228 and $\tau_{\text{norm}}^{(\beta),s}$ indicates normalized resolved shear stresses over the modes combined into an array
229 form. For given coefficients $\tau_{\text{norm}}^{(\beta),s}$, the integral $I^{(\beta,p)}(\tau_{\text{norm}}^{(\beta),s})$ can be computed using, for example,
230 composite integration rule over a background grid. This allows us to use interpolation methods
231 over the $[-1, 1]^{N_m}$ space without dealing with the spatial constraints over subdomains within the
232 microstructure. Depending on the number of modes N_m , this space could be classified as hyper-
233 dimensional. Various methods can be used to interpolate functions in these spaces including sparse
234 grids [54] or high-dimensional model representation (HDMR) methods [55]. In the present work, we
235 employ neural-network-based surrogates due to their flexibility in approximating nonlinear mappings
236 as detailed in Section 3.5.

237 2.5 Influence function problems

238 Before proceeding to the complete algorithm, the method of computing influence functions, \mathbf{H} and
239 $\mathbf{h}^{(\alpha,p)}$, appearing in Eqs. 13 and 14 must be specified. Substituting the stress expression from Eq. 11
240 into the microscale equilibrium condition $\nabla \cdot \boldsymbol{\sigma} = 0$ over the microstructural volume yields

$$\left\{ L_{ijkl}(\mathbf{y}) [I_{klmn} + H_{(k,l)mn}(\mathbf{y})] \bar{\varepsilon}_{mn} + \right. \\ \left. + \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{q=1}^{N_m} L_{ijkl}(\mathbf{y}) [-N^{(\alpha,q)}(\mathbf{y}) I_{klmn} + h_{(k,l)mn}^{(\alpha,q)}(\mathbf{y})] \mu_{mn}^{(\alpha,q)} \right\}_{,j} = 0. \quad (25)$$

241 Considering the microscale equilibrium (Eq. 25) defined in the absence of any inelastic strain leads
242 to following influence function problems (IFPs)

$$[L_{ijkl}(\mathbf{y}) [I_{klmn} + H_{(k,l)mn}(\mathbf{y})]]_{,j} = 0 \quad (26)$$

243 which are identical to those encountered in the classical linear elastic homogenization theory. The
244 phase IFPs can be formulated by considering the case where only the inelastic strain coefficient
245 corresponding to mode p in part α is nonzero, yielding

$$[L_{ijkl}(\mathbf{y}) [-N^{(\alpha,p)}(\mathbf{y}) I_{klmn} + h_{(k,l)mn}^{(\alpha,p)}(\mathbf{y})]]_{,j} = 0. \quad (27)$$

246 Periodic boundary conditions are applied on the edges and faces of the microstructural volume, while
 247 homogeneous Dirichlet boundary conditions are imposed at the vertices for both Eqs. 26 and 27. It
 248 is noteworthy that the phase IFPs are different from the classical EHM due to nonuniformity of
 249 the basis functions. Although the IFPs remain linear elastic boundary value problems, the number
 250 of required solves increases to $N_{\text{ph}} \times N_{\text{m}}$, compared to only N_{ph} in the original ROM formulation.
 251 Previous studies have employed various numerical techniques to solve these IFPs, including the finite
 252 element method [28, 56, 57, 58], the generalized finite element method [59], and the reduced spectral
 253 method [60].

254 To illustrate the physical meaning of the higher order basis functions and their effect on the
 255 influence functions, deformation of a representative grain α is shown in Figure 2 computed from
 256 the phase influence function problem given in Eq. 27. The Figures 2(b)-(e) show the influence
 257 functions $h_{i11}^{(\alpha,1)}$, $h_{i11}^{(\alpha,2)}$, $h_{i11}^{(\alpha,3)}$, and $h_{i11}^{(\alpha,4)}$, respectively. The first influence function corresponds to
 258 the uniform applied strain mode, which manifests as a uniform expansion (tension) of all finite
 259 elements within the grain domain along direction 1. Figure 2(c) shows the effect of the higher-order
 260 mode $N^{(\alpha,2)}$, characterized by a transition from compression to tension along direction 1. Similarly,
 261 Figures 2(d) and (e) show the actions of modes $N^{(\alpha,3)}$ and $N^{(\alpha,4)}$, which correspond to transitions
 262 from compression to tension along directions 2 and 3, respectively. These higher-order modes enable
 263 the ROM to capture grain-scale strain gradients and nonuniform deformation patterns that cannot
 264 be represented by the uniform mode alone.

265 2.6 Algorithm

266 The computational procedure consists of two stages: an offline precomputation stage and an online
 267 stage in which the reduced-order system is evolved. The offline stage of the model consists of solving
 268 the linear elastic problems shown in Eqs. 26 and 27 using the finite element method. Once the
 269 influence functions are obtained, the interaction tensors, $\mathbf{P}^{(\beta\alpha,pq)}$, and the localization tensors, $\mathbf{A}^{(\beta,p)}$,
 270 are precomputed by evaluating Eqs. 13 and 14 using numerical integration.

271 The online stage involves evolving the microstructural state using the reduced-order system
 272 summarized in Box 1. The online stage of the ROM takes macroscale strain increment, $\Delta\bar{\boldsymbol{\varepsilon}}$, together
 273 with the state variables from the previous step, and computes the stress coefficients, $\boldsymbol{\sigma}^{(\beta,p)}$, and
 274 hardening coefficients, $g^{(\beta,p),s}$. The system is solved using a staggered scheme in which the stresses
 275 are obtained via a Newton–Raphson iteration and the hardening variables are updated explicitly,
 276 with the two updates iterated until convergence is reached. Newton–Raphson convergence was
 277 enforced when $\|\boldsymbol{\phi}^{(\beta,p)}\|_\infty < 10^{-10}$ where $\boldsymbol{\phi}^{(\beta,p)}$ is the residual for grain β and mode s , unless
 278 otherwise stated. State-variable convergence was enforced when $\|_{l+1}^{k+1} \boldsymbol{\sigma}^{(\beta,p)} - {}_{l+1}^k \boldsymbol{\sigma}^{(\beta,p)}\|_{L_2} < 10^{-5}$

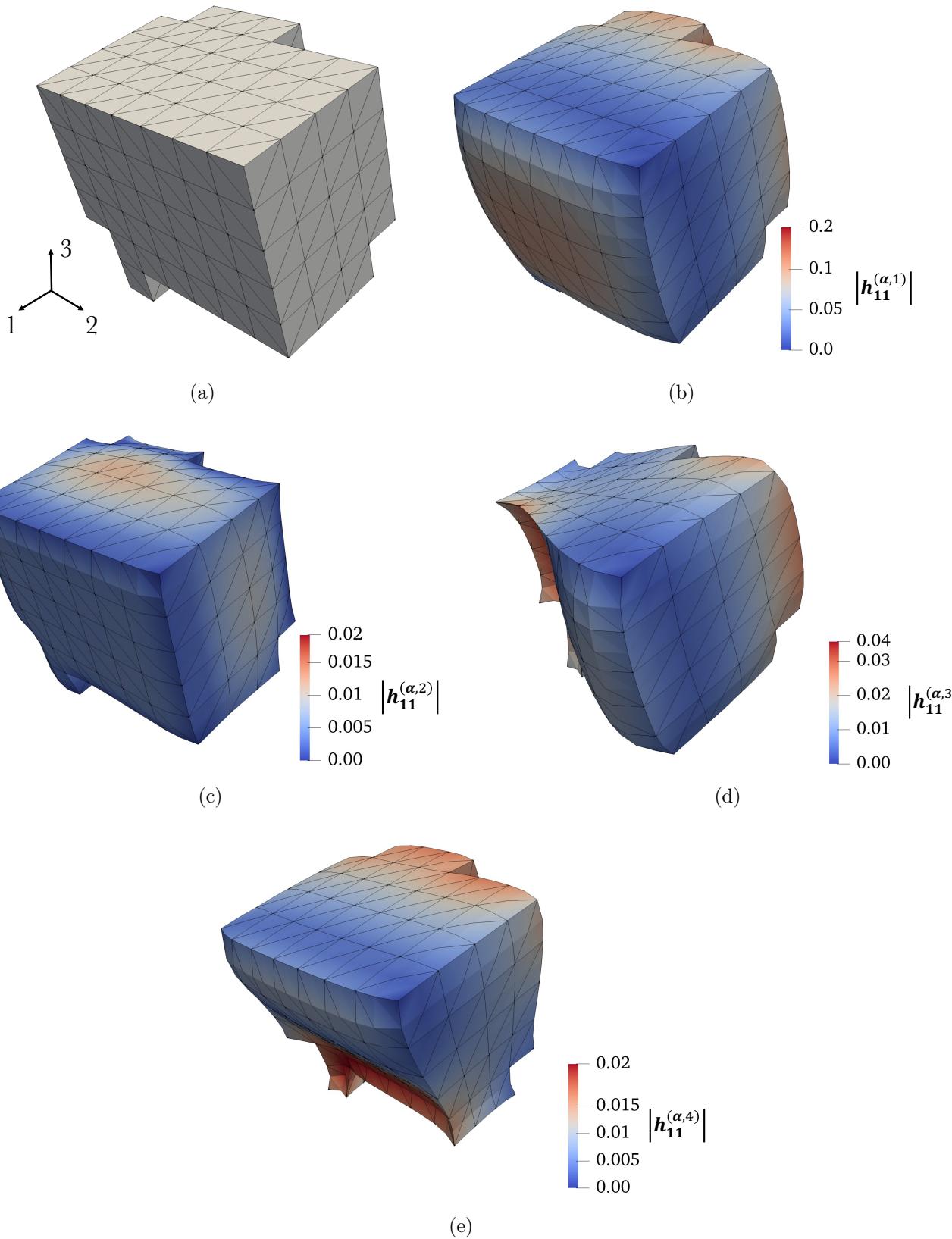


Figure 2: Magnitude of deformation of (a) a single grain within a 10-grain SVE under the application of (b) average mode, $N^{(\alpha,1)}(\mathbf{y})$, (c) first mode, $N^{(\alpha,2)}(\mathbf{y})$, (d) second mode, $N^{(\alpha,3)}(\mathbf{y})$, and (e) third mode, $N^{(\alpha,4)}(\mathbf{y})$. The colorbars indicate the deformation magnitude.

Reduced order system of equations:

$$M_{kl}^{(\beta)} \sigma_{ij}^{(\beta,p)} = A_{klmn}^{(\beta,p)} \bar{\varepsilon}_{mn} + \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{q=1}^{N_{\text{m}}} P_{klmn}^{(\beta\alpha,pq)} \mu_{mn}^{(\alpha,q)} - \mu_{kl}^{(\beta,p)}$$

Flow rule: $\dot{\mu}_{ij}^{(\beta,p)} = \sum_{s=1}^{N_{\text{ss}}} \dot{\gamma}^{(\beta,p),s} Z_{ij}^{(\beta),s}$

Slip rate: $\dot{\gamma}^{(\beta,p),s} = \dot{\gamma}_0 \int_{\Theta^{(\beta)}} N^{(\beta,p)}(\mathbf{y}) \left[\frac{|\tau^{(\beta),s}(\mathbf{y})|}{g^{(\beta),s}} \right]^{1/n} \text{sign}(\tau^{(\beta),s}(\mathbf{y})) d\mathbf{y}$

Hardening rule: $\dot{g}^{(\beta),s} = h_0 \left[\frac{g_{\text{sa}} - g^{(\beta),s}}{g_{\text{sa}} - g_0} \right] \sum_{r=1}^{N_{\text{ss}}} |\dot{\gamma}^{(\beta,1),r}|$

Schmid's law: $\tau^{(\beta),s}(\mathbf{y}) = \sum_{q=1}^{N_{\text{m}}} N^{(\beta,q)}(\mathbf{y}) \sigma_{kl}^{(\beta,q)} Z_{kl}^{(\beta),s}$

Box I : Microscale problem for higher order EHM

Given: Macroscopic strain increment $\Delta \bar{\varepsilon}$, the state variables ${}_l \boldsymbol{\sigma}^{(\beta,p)}, {}_l g^{(\beta,p),s}$ at increment l .

Find: Macroscopic stress, ${}_{l+1} \bar{\boldsymbol{\sigma}}$, and macroscopic tangent moduli, $\frac{\partial_{l+1} \bar{\boldsymbol{\sigma}}}{\partial_{l+1} \bar{\varepsilon}}$ at increment $l+1$.

1. Initialize $k \leftarrow 0$, ${}_{l+1}^k \boldsymbol{\sigma}^{(\beta,p)} \leftarrow {}_l \boldsymbol{\sigma}^{(\beta,p)}$, and ${}_{l+1}^k g^{(\beta,p),s} \leftarrow {}_l g^{(\beta,p),s}$.

2. Solve for ${}_{l+1}^{k+1} \boldsymbol{\sigma}^{(\beta,p)}$ using Eqs. 28 and 18 together with their derivatives in Eqs. 29 and 30 by Newton-Raphson iterations.

3. Update ${}_{l+1}^{k+1} g^{(\beta,p),s}$ by explicitly integrating the hardening rule (Eq. 16).

4. Check for convergence of ${}_{l+1}^{k+1} \boldsymbol{\sigma}^{(\beta,p)}$ and ${}_{l+1}^{k+1} g^{(\beta,p),s}$.

If not converged, set $k \leftarrow k + 1$ and return to Step 2.

5. Compute the macroscopic tangent moduli, $\frac{\partial_{l+1} \bar{\boldsymbol{\sigma}}}{\partial_{l+1} \bar{\varepsilon}}$, using Eq. 33.

6. Compute the macroscopic stress by averaging ${}_{l+1} \bar{\boldsymbol{\sigma}} = \sum_{\beta} c^{(\beta)} {}_{l+1} \boldsymbol{\sigma}^{(\beta,1)}$.

Box II : Algorithm for stress update

279 and $\|{}_{l+1}^{k+1}g^{(\beta,p),s} - {}_{l+1}^kg^{(\beta,p),s}\|_{L_2} < 10^{-5}$, unless otherwise stated. The Newton–Raphson procedure
280 requires evaluating the residual and Jacobian associated with the reduced microscale evolution
281 equations. The residual follows from applying a backward-Euler time discretization to the time
282 derivatives in Eqs. 12 and 18. For grain β and mode p , the residual is given by

$$\phi_{ij}^{(\beta,p)} = M_{ijkl}^{(\beta)} \dot{\sigma}_{kl}^{(\beta,p)} - A_{ijkl}^{(\beta,p)} \dot{\bar{\varepsilon}}_{kl} - \sum_{\alpha=1}^{N_{\text{ph}}} \sum_{q=1}^{N_m} P_{ijkl}^{(\beta\alpha,pq)} \dot{\mu}_{kl}^{(\alpha,q)} + \dot{\mu}_{ij}^{(\beta,p)} \quad (28)$$

283 where all quantities are evaluated at the next increment, $l + 1$. The Jacobian with respect to the
284 reduced stresses is derived as

$$\frac{\partial \phi_{ij}^{(\beta,p)}}{\partial \sigma_{mn}^{(\eta,t)}} = \frac{1}{\Delta t} \delta^{(\beta\eta)} \delta^{(pt)} M_{ijmn}^{(\beta)} - \sum_{q=1}^{N_m} P_{ijkl}^{(\beta\eta,pq)} \frac{\partial \mu_{kl}^{(\eta,q)}}{\partial \sigma_{mn}^{(\eta,t)}} + \delta^{(\beta\eta)} \frac{\partial \dot{\mu}_{ij}^{(\eta,p)}}{\partial \sigma_{mn}^{(\eta,t)}} \quad (29)$$

285 where $\delta^{(\beta\eta)} = 1$ if $\beta = \eta$ and zero otherwise. The derivative $\frac{\partial \dot{\mu}_{ij}^{(\eta,p)}}{\partial \sigma_{mn}^{(\eta,t)}}$ is obtained from

$$\frac{\partial \dot{\mu}_{ij}^{(\eta,p)}}{\partial \sigma_{mn}^{(\eta,t)}} = \sum_s \frac{\partial \dot{\gamma}^{(\eta,p),s}}{\partial \sigma_{mn}^{(\eta,t)}} Z_{ij}^{(\eta),s} \quad (30)$$

286 where the slip-rate derivative is

$$\frac{\partial \dot{\gamma}^{(\eta,p),s}}{\partial \sigma_{mn}^{(\eta,t)}} = \frac{\dot{\gamma}_0}{n} \left[\frac{1}{g^{(\eta),s}} \right]^{1/n} \int_{\Theta^{(\eta)}} N^{(\eta,p)}(\mathbf{y}) N^{(\eta,t)}(\mathbf{y}) \left[\sum_{q=1}^{N_m} N^{(\eta,q)} \tau^{(\eta,q),s} \right]^{1/n-1} d\mathbf{y} Z_{mn}^{(\eta),s}. \quad (31)$$

287 The integral on the right hand side is evaluated on the background finite element mesh when the
288 full model (non-surrogate) is used. Alternatively, when using the surrogate representation of the
289 integral, the slip-rate derivative becomes

$$\frac{\partial \dot{\gamma}^{(\eta,p),s}}{\partial \sigma_{mn}^{(\eta,t)}} = \dot{\gamma}_0 \left[\frac{1}{g^{(\eta),s}} \right]^{1/n} |\tau_{\max}^{(\eta),s}|^{(1/n-1)} \times \left[\frac{1}{n} I^{(\eta,p)}(\tau_{\text{norm}}^{(\eta),s}) \delta^{(t)} + \frac{\partial I^{(\eta,p)}(\tau_{\text{norm}}^{(\eta),s})}{\partial \tau_{\text{norm}}^{(\eta,t),s}} - \sum_{q=1}^{N_m} \frac{\partial I^{(\eta,p)}(\tau_{\text{norm}}^{(\eta),s})}{\partial \tau_{\text{norm}}^{(\eta,q),s}} \tau_{\text{norm}}^{(\eta,q),s} \delta^{(t)} \right] Z_{mn}^{(\eta),s} \quad (32)$$

290 where $\delta^{(t)} = 1$ if $t = t^*$ (i.e., if mode t corresponds to the largest absolute resolved shear stress
291 coefficient) and $\delta^{(t)} = 0$ otherwise. The derivative $\partial I^{(\beta,p)}(\tau_{\text{norm}}^{(\beta),s}) / \partial \tau_{\text{norm}}^{(\beta,q),s}$ can be derived analytically
292 or computed using numerical differentiation methods. For completeness, the macroscale Jacobian

293 can be obtained by solving the following system of equations

$$\left[\frac{1}{\Delta t} \delta^{(\beta\eta)} \delta^{(pq)} M_{ijrs}^{(\beta)} - \sum_{t=1}^{N_m} P_{ijmn}^{(\beta\eta,pt)} \frac{\partial \dot{\mu}_{mn}^{(\eta,t)}}{\partial \sigma_{rs}^{(\eta,q)}} + \delta^{(\beta\eta)} \frac{\partial \dot{\mu}_{ij}^{(\eta,p)}}{\partial \sigma_{rs}^{(\eta,q)}} \right] \frac{\partial \sigma_{rs}^{(\eta,q)}}{\partial \bar{\varepsilon}_{kl}} = \frac{1}{\Delta t} A_{ijkl}^{(\beta,p)}. \quad (33)$$

294 Once the the system is solved for $\partial\sigma^{(\beta,p)}/\partial\bar{\varepsilon}$, the macroscale tangent modulus can be assembled
295 as $\frac{\partial\bar{\sigma}}{\partial\bar{\varepsilon}} = \sum_{\beta=1}^{N_{\text{ph}}} c^{(\beta)} \frac{\partial\sigma^{(\beta,1)}}{\partial\bar{\varepsilon}}$ and the updated macroscopic stress is obtained by volume-averaging
296 the updated grain-averaged stress coefficients across all grains. The computational algorithm is
297 summarized in Box 2, where $c^{(\beta)}$ denotes volume fraction of grain β . The algorithm was implemented
298 in Abaqus, and surrogate computations were executed using CalculiX [61], which provided a
299 convenient environment for the required library interfaces.

300 The total number of stress degrees of freedom in the Step 2 is equal to $N_m \times N_{\text{ph}} \times N_{\text{Voigt}}$, which
301 makes the online stage computationally more expensive than the classical EHM. In the standard
302 EHM formulation, this number reduces to $N_{\text{ph}} \times N_{\text{Voigt}}$ by setting $N_m = 1$. In practice, we observed
303 that the repeated integration of Eq. 19 during each iteration dominates the total computational cost.
304 This is primarily due to the requirement for a refined integration mesh to accurately resolve the high
305 nonlinearity introduced by the large exponent $1/n$ typically used in crystal plasticity flow rules.

306 The implementation described above establishes the complete computational framework for
307 the proposed reduced-order model. To assess its accuracy and efficiency, a series of numerical
308 experiments were conducted on representative polycrystalline aggregates subjected to various loading
309 conditions. These simulations aim to evaluate the model's ability to reproduce microscale fields,
310 capture intergranular heterogeneity, and predict the macroscopic response in comparison with
311 full-field crystal plasticity finite element simulations.

312 3 Numerical Experiments

313 The capabilities of the higher order EHM (HEHM) model are assessed by comparing it to the original
314 EHM model and crystal plasticity finite element (CPFE) simulations. The microstructures used in
315 the numerical analyses were generated using the Neper [62] software. Although Neper generates
316 microstructures with a voxel discretization, each voxel was subsequently and consistently subdivided
317 into exactly six tetrahedral elements as described in Ref. [58]. The crystal orientations were randomly
318 sampled from a uniform distribution and rescaled to the Bunge-Euler angle ranges $[0, 360^\circ] \times [0,$
319 $180^\circ] \times [0, 360^\circ]$. Property contrast between the phases arises solely from differences in crystal
320 orientations within the polycrystal and the size of the microstructure is set to $10\mu\text{m} \times 10\mu\text{m} \times 10\mu\text{m}$.
321 The grains were modeled as aluminum, with the elastic and viscoplastic properties summarized in

Table 1: Elastic and viscoplastic properties of Aluminum.

C_{11}	C_{12}	C_{44}	g_0	g_{sa}	h_0	n	$\dot{\gamma}_0$
108.2 GPa	61.3 GPa	28.5 GPa	3.7 MPa	30.8 MPa	20.4 MPa	0.05	1 s ⁻¹

322 Table 1. For cubic elasticity, the single-crystal constants C_{11} , C_{12} and C_{44} are reported in Voigt (or
 323 Kelvin) notation and are used to construct the fourth-order stiffness tensor, consistent with standard
 324 crystal plasticity conventions (see Ref. [63] for example). Aluminum has a face-centered cubic (FCC)
 325 structure with twelve slip systems.

326 For the reduced order model simulations, a single reduced integration linear hexahedral finite
 327 element was employed to represent the macroscale domain. The macroscopic domain was subjected
 328 to strain-controlled loading with boundary conditions described in the following subsections. At
 329 the microscale, periodic boundary conditions were applied on the faces and edges of the polycrystal
 330 following the approach described in Ref. [58]. Displacements at the corners of the volume were fixed
 331 to eliminate rigid-body motion. For the HEHM simulations, the reduced order basis for inelastic
 332 strain and stress fields was constructed from the linear polynomial basis ($N_m = 4$) shown in Eq. 7.
 333 For simplicity, piecewise-uniform basis functions were used for the slip system strength, $g^{(\beta),s}$ (see
 334 Eq. 16).

335 The reference CPFE simulations were performed directly on the microstructures using the
 336 commercial finite element analysis software, Abaqus [63]. Periodic boundary conditions were
 337 considered along the domain boundaries, and a macroscopic strain history was applied as loading
 338 using procedures detailed in Ref. [64]. Imposition of the periodic boundary conditions brings the
 339 conditions of the CPFE model closer to those considered in the computational homogenization
 340 method, alleviating differences induced by boundary effects. Domain discretization in the CPFE
 341 simulations was performed using hybrid tetrahedral elements (C3D4H) to mitigate volumetric locking
 342 effects, while retaining computational efficiency compared to quadratic tetrahedral elements (C3D10
 343 or C3D10HS) [65].

344 3.1 Discretization effects

345 The influence of microscale discretization on the performance of the EHM, HEHM, and CPFE
 346 models was examined for a 10-grain polycrystal. Three (coarse, medium and fine) microscale meshes
 347 were considered, containing 6,000, 48,000, and 384,000 tetrahedral elements as shown in Fig. 3. For
 348 the EHM, the meshes are used only to solve the IFPs. Since EHM employs piecewise-uniform basis
 349 functions, numerical integration is not needed to evaluate the constitutive response as discussed
 350 in Section 2.3. In the HEHM models, the meshes along with first-order (C3D4) and quadratic

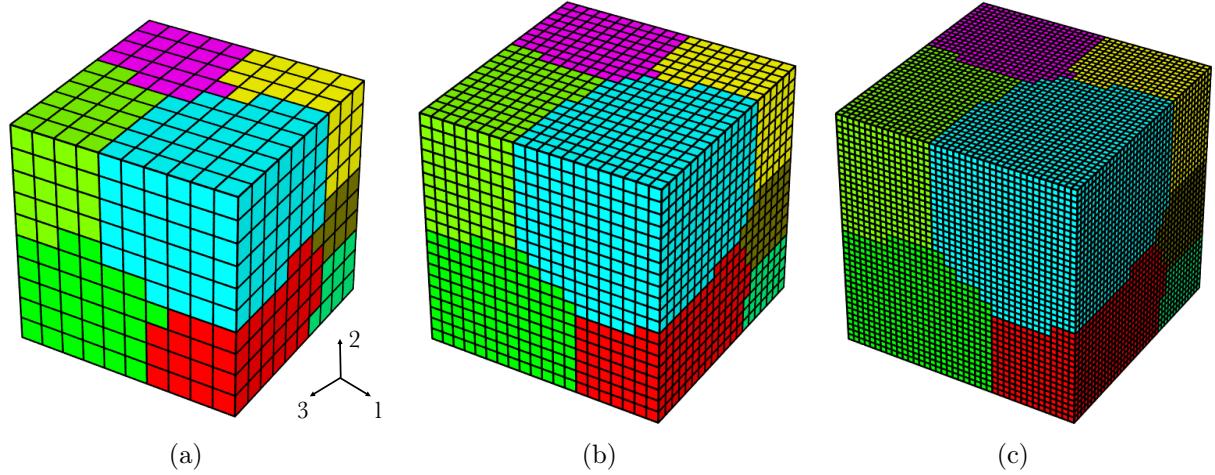


Figure 3: Generated sample 10-grain microstructure with (a) 1,000, (b) 8,000, and (c) 64,000 voxels.

Table 2: Comparison of EHM, HEHM, and CPFE models in terms of stress at 5% strain, computational time, and speedup.

Method	Element type	# of elements	Stress @ 5% (MPa)	Error (%)	Time (s)	Speedup
EHM	–	6,000	13.1	21.2	18	207.1
EHM	–	384,000	13.1	20.9	16	237.6
HEHM	C3D4	6,000	12.7	17.7	51	73.1
HEHM	C3D4	48,000	12.1	11.7	121	30.8
HEHM	C3D4	384,000	11.7	8.1	667	5.6
HEHM	C3D10	6,000	11.5	6.4	45	82.8
CPFE	C3D4H	6,000	11.0	2.0	206	18.1
CPFE	C3D4H	48,000	10.8	–	233	–

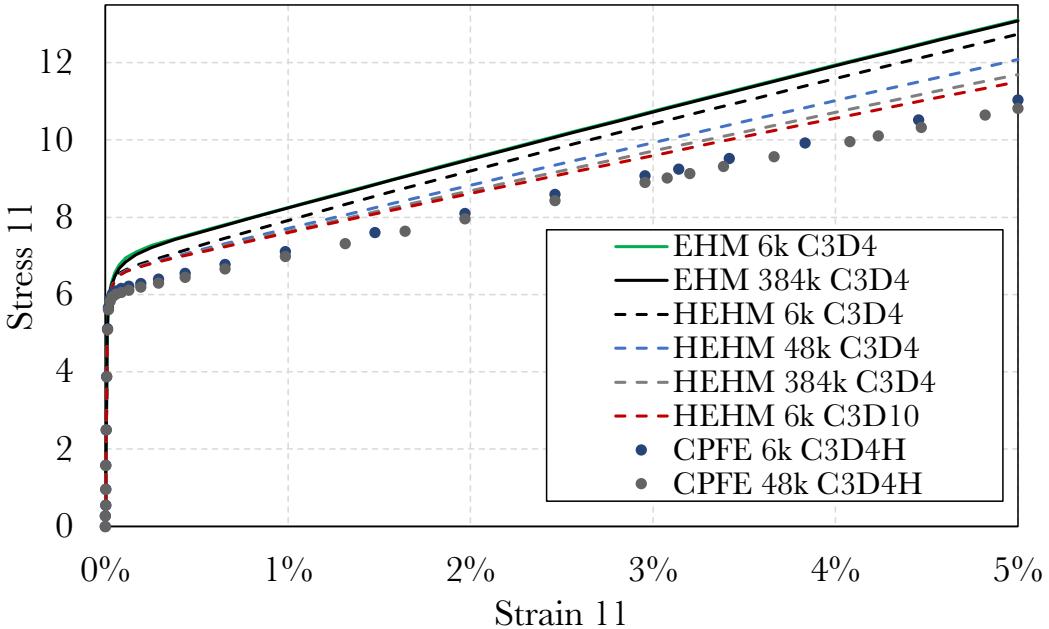


Figure 4: Discretization effects on the performance of EHM, HEHM and CPFE models.

(C3D10) finite elements were used to solve the IFPs, and for numerical integrations. The HEHM simulations employ direct numerical integration of the constitutive model rather than the surrogate based approach. Figure 4 summarizes the overall stress-strain responses of the microstructure when subjected to volume-preserving tensile loading. The response predicted by the EHM is insensitive to mesh refinement as the influence functions are computed with sufficient accuracy using the coarse mesh. In contrast, the HEHM predictions (dashed lines) progressively converge toward the CPFE solutions as the integration grid is refined and higher-order elements (e.g., C3D10) are employed. Meanwhile, the CPFE results obtained using the 6k and 48k meshes (gray and blue markers) exhibit strong agreement, confirming mesh convergence of the reference model.

A quantitative comparison of peak stress error and computational speedup is provided in Table 2. The reported speedup values are computed relative to the CPFE 48k simulation, which was performed in parallel using 16 cores, whereas the rest of the simulations were executed using a single core. The reference CPFE simulation was executed in parallel due to its high computational cost and because direct numerical simulations are typically parallelized, whereas the ROM-based simulations were run serially since the reduced system is small and computationally efficient. The speedup values reported herein are computed by normalizing the ROM wall-clock times to a 16-core equivalent assuming ideal linear scaling, and they should therefore be interpreted as implementation-dependent estimates that may be slightly reduced in practice if parallel efficiency is not perfectly linear. The consistent and monotonic improvement of the HEHM simulations using the C3D4 mesh points to the

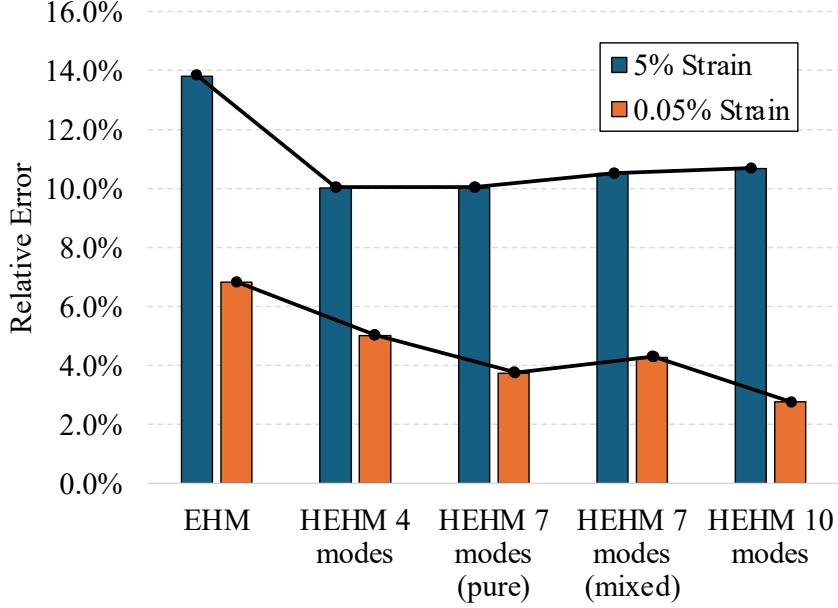


Figure 5: Relative error in the stress (σ_{11}) at onset of plasticity and end of simulation for various number of modes used in the ROM.

importance of the integration accuracy on the overall accuracy of the ROM predictions. However, this comes with a substantial increase in the computational cost when direct numerical integration is employed. Among the tested configurations, the HEHM model with the 6k C3D10 mesh (red dashed line) achieves the most favorable balance between accuracy and computational cost. These results clearly demonstrate that HEHM can systematically reduce the stiffness over-prediction of the classical EHM while maintaining high efficiency. Based on this assessment, the quadratic-element HEHM configuration with approximately 6k elements, corresponding to roughly 24k numerical integration points, is adopted for the subsequent numerical studies.

To examine the effect of increasing the number of modes on the ROM performance, we performed a brief sensitivity study in which the number of modes used in the reduced basis was varied while keeping all other settings fixed. To isolate the effect of basis enrichment on the stress response, the study was conducted without hardening so that additional modal enrichment of hardening-related internal variables is avoided. Figure 5 reports the relative error in σ_{11} at the onset of plasticity ($\varepsilon=0.05\%$) and at the end of loading ($\varepsilon=5\%$) for the classical EHM and several HEHM configurations with different mode counts. “HEHM 4 modes” employs a 3D linear polynomial basis (constant plus x , y , and z), while “HEHM 10 modes” employs a full 3D quadratic polynomial basis (constant, linear terms, and all quadratic terms). The intermediate cases use seven modes constructed from selected quadratic terms: “HEHM 7 modes (pure)” includes the pure quadratic components x^2 , y^2 ,

388 and z^2 , whereas “HEHM 7 modes (mixed)” includes the mixed quadratic components xy , yz , and
389 zx . Overall, HEHM reduces the stress error compared to EHM at both strain levels, particularly
390 near the onset of plasticity. At the same time, the error does not decrease monotonically with mode
391 count at 5% strain, indicating that the effect of adding higher-order modes can be more intricate
392 than a strictly monotonic improvement across all outputs, and motivating the use of a moderate
393 mode count as a practical choice to balance between accuracy and efficiency.

394 3.2 Performance study over statistical volume elements (SVEs)

395 The mechanical response of polycrystalline microstructures varies significantly depending on the
396 grain size distribution, texture, among other statistical morphology parameters. To capture these
397 effects on model performance, we have generated 81 ten-grain statistical volume elements (SVEs)
398 and collectively analyzed the response of approximately 810 grains using EHM, HEHM and CPFE.
399 The microstructures were generated using the grain growth option provided in Neper which results
400 in varying grain shapes and sizes within the SVEs. Grain sizes, defined as equivalent diameter [62],
401 were sampled from a lognormal distribution with mean and standard deviation of 1 μm and 0.35
402 μm , respectively. Grain sphericity [62] was sampled from a lognormal distribution with mean and
403 standard deviation of 0.145 and 0.03, respectively. Representative SVEs are shown in Figure 6(a–c).

404 Each SVE was subjected to a strain history corresponding to 5% total strain under volume-
405 preserving uniaxial tension, applied at the rate of 0.05/s. Volume preservation was enforced by
406 prescribing the lateral strain components to satisfy $\varepsilon_{22} = \varepsilon_{33} = -\varepsilon_{11}/2$, thereby maintaining zero
407 macroscopic volumetric strain throughout the loading process. The stress–strain responses ($\bar{\sigma}_{11}$ vs.
408 $\bar{\varepsilon}_{11}$) are plotted in Figure 7. In Figure 7(a), solid lines correspond to the mean response the SVE
409 ensemble predicted by the EHM, HEHM and CPFE simulations, while the shaded regions indicate
410 2σ confidence intervals, highlighting the uncertainty in the individual SVE within the ensemble. In
411 addition, the dashed and dotted curves explicitly show the corresponding $\mu \pm 2\sigma$ bounds to improve
412 readability when the intervals overlap. The variation from the mean prior to the elastic limit is
413 small, whereas there is a substantial variation after the onset of plastic deformations. The large
414 variation in the elasto-plastic behavior is largely due to the relatively small size of the individual
415 SVEs and relatively high variability in grain morphologies. At 5% strain, the relative errors in
416 the mean stresses computed with EHM and HEHM (compared to CPFE) are 11.81% and 5.39%,
417 respectively. The nearly two-fold reduction in error underscores the improvement achieved by the
418 HEHM. As seen in Figure 7(b), the HEHM model improves predictions starting from the onset of
419 plasticity and throughout the loading history.

420 Grain-averaged microscale von-Mises stresses were computed for all grains in all SVEs and are

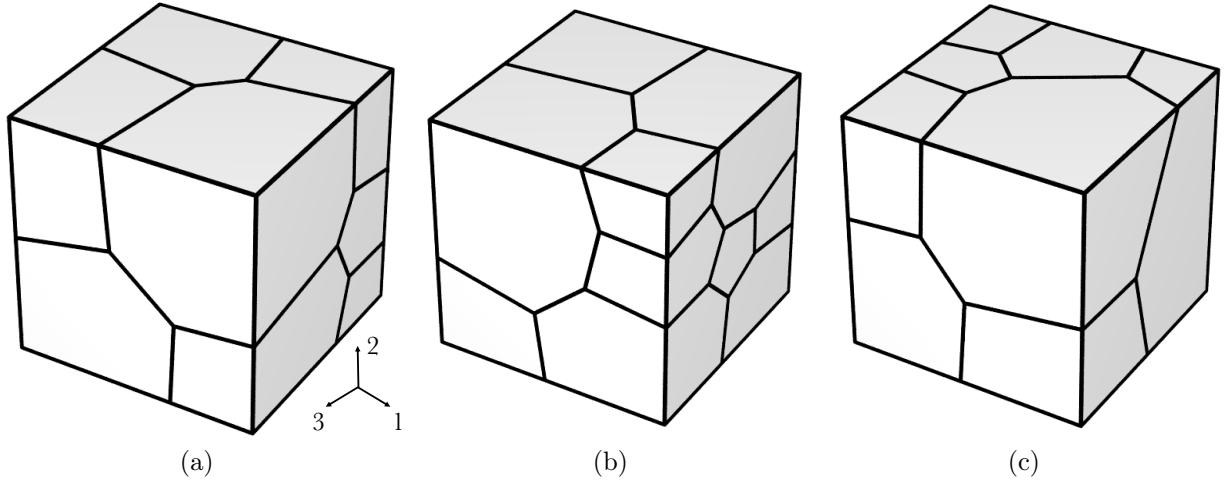


Figure 6: Generated sample 10-grain SVEs geometries.

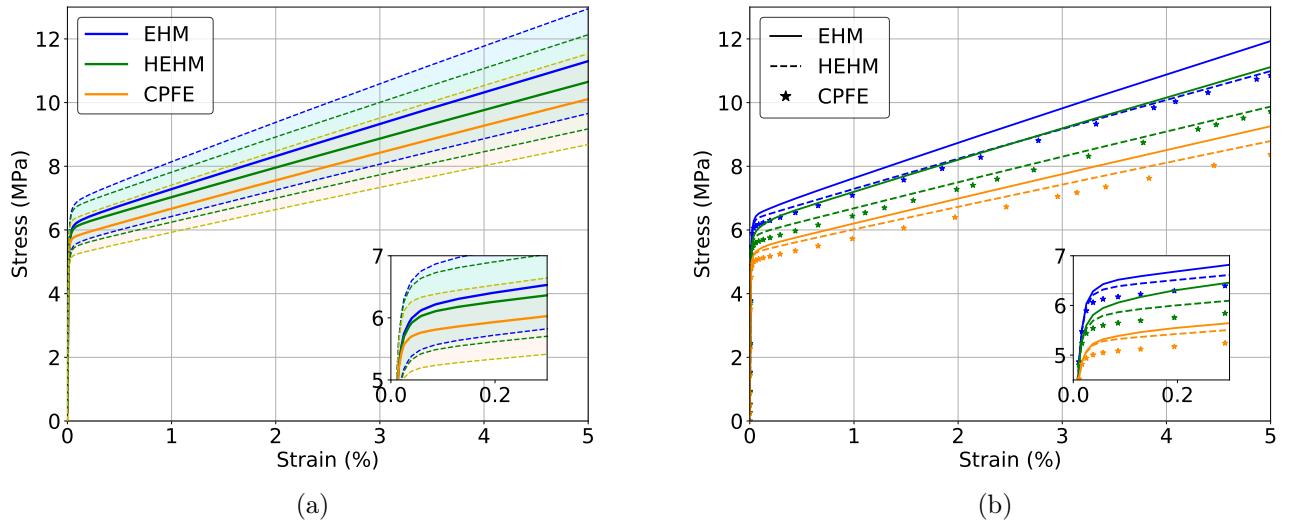


Figure 7: (a) Means and 2σ confidence intervals for the stress-strain responses of the SVE ensemble, and (b) stress-strain responses of three distinct SVEs from the ensemble. In (b), colors indicate results from the same SVE within the ensemble.

Table 3: Morphological and statistical parameters used to generate SVEs.

Morphology	Grain Size (μm)		Grain Sphericity		Aspect Ratio
	Mean	Standard deviation	Mean	Standard deviation	
Equiaxed	1	0.05	0.145	0.03	(1,1,1)
Elongated	1	0.05	0.145	0.03	(2,1,1)
Low Sphericity	1	0.35	0.3	0.03	(1,1,1)

421 plotted as a histogram in Figure 8(a). Stress distribution for the EHM model has two peaks at about
 422 16 MPa and 24 MPa. By contrast, stress distributions from HEHM model resembles a unimodal,
 423 near-normal distribution similar to the CPFE results. Moreover, the HEHM distribution shows a
 424 reduced frequency at the higher stress range compared to the EHM model. Normal distributions were
 425 subsequently fitted to the datasets, as shown in Figure 8(b), yielding mean von Mises stresses of 19.7
 426 MPa, 18.6 MPa, and 17.4 MPa for the EHM, HEHM, and CPFE models, respectively. The reduction
 427 in the mean stress quantitatively confirms the enhanced predictive capability of the HEHM. Finally,
 428 Figure 8(c) plots the relative error between HEHM and CPFE grain-averaged von Mises stresses as a
 429 function of normalized grain size. Although grain size is not the sole parameter governing the error,
 430 a clear trend of decreasing relative error with increasing normalized grain size can be observed.

431 3.3 Influence of grain morphology

432 We further examined the influence of grain morphology by generating ensembles of five 30-grain
 433 SVEs. Three cases were considered: (1) equiaxed grains, (2) elongated grains, and (3) low-sphericity
 434 grains. The parameters for grain size and grain sphericity (sampled from lognormal distributions) as
 435 well as grain aspect ratio used in the three cases are shown in Table 3. The aspect ratio parameter,
 436 describing the relative grain dimensions along the 1, 2, and 3 directions, was employed to generate
 437 elongated grain morphologies. Figure 9 shows sample morphologies of the SVE ensembles for the
 438 three cases considered in this study. In case (1), the SVEs primarily consist of equiaxed grains
 439 (Figure 9(a)), whereas in case (2), the grain are equiaxed in 2-3 plane, but are elongated along the
 440 1-direction (Figure 9(b)). The grains in case (3) demonstrate lower sphericity (Figure 9(c)). The
 441 histogram of grain shapes in Figure 9(d) shows that SVEs with equiaxed and elongated morphologies
 442 have much narrower size distributions compared to those produced using the grain growth model
 443 used to generate the 10-grain SVEs. The 10-grain SVEs and those with lower sphericity exhibit
 444 considerably broader size distributions.

445 The mean stress-strain behavior as well as the variability observed under volume-preserving
 446 tension loading for the three cases are reported in Figure 10. Comparing the CPFE simulations of
 447 the ensembles for the three cases, the mean stress-strain behavior is not significantly affected by the

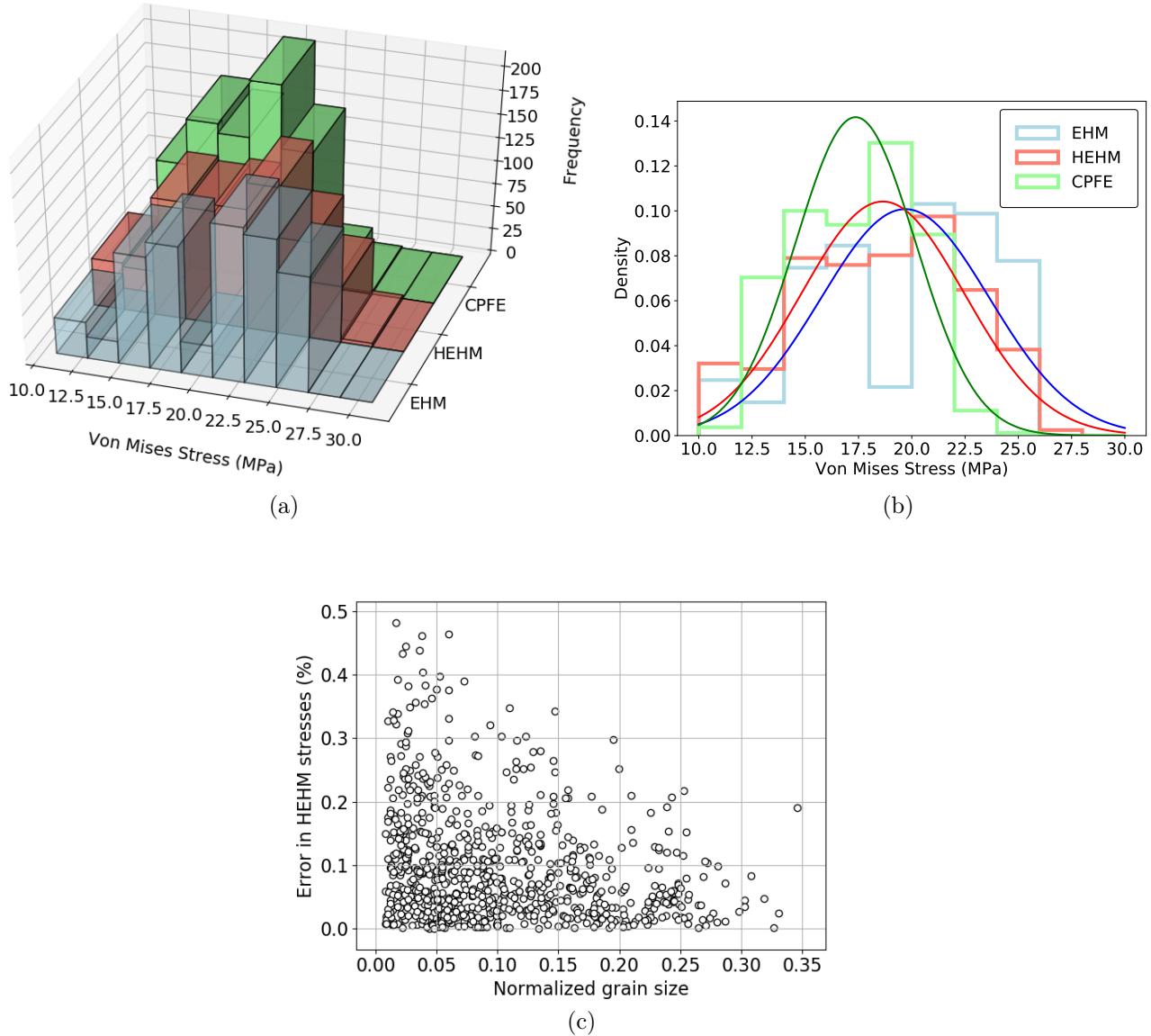


Figure 8: (a) Histograms of microscale grain-averaged von Mises stresses computed from EHM, HEHM and CPFE models. (b) Normal distributions fitted to the corresponding histograms of grain-averaged von Mises stresses predicted by EHM, HEHM, and CPFE. (c) Relative error between HEHM and CPFE grain-averaged von Mises stresses against normalized grain size.

448 microstructure morphology. In contrast, the variability in case (3) is noticeably higher compared
449 to the equiaxed and elongated microstructures. This is expected due to the higher variability of
450 grain shape and size in the low sphericity microstructures. The microstructural morphologies do
451 have a significant affect on the performance of the ROMs. The relative errors in the mean stress at
452 5% strain are 13.68%, 12.39%, and 13.56% for EHM, and 11.85%, 9.97%, and 8.94% for HEHM,
453 for equiaxed, elongated, and lower sphericity SVE ensembles, respectively. The relative error of
454 the classical EHM model does not change as a function of morphology, but there is an observable
455 improvement in the performance of HEHM for case of (3), compared to cases of (1) and (2).

456 The microscale stress distributions are shown in Figure 11 for a 10-grain polycrystal and in
457 Figure 12 for a 30-grain equiaxed polycrystal. In the 10-grain case, the HEHM solution exhibits
458 larger stress gradients compared to EHM, while for the 30-grain equiaxed polycrystal, the gradients
459 in the HEHM fields are less pronounced. Smaller gradients correspond to lower higher order terms in
460 the field expansions, which may explain the reduced improvement provided by HEHM for equiaxed
461 microstructures.

462 This observation aligns with intuition from Eshelby's inclusion problem: for nearly spherical
463 inclusions (a subset of ellipsoidal morphologies), the internal fields tend to be more uniform, enabling
464 the original EHM to provide relatively accurate approximations. Overall, the results indicate that
465 grain morphology plays a critical role in the relative performance of HEHM compared to EHM and
466 CPFE. Thus, HEHM may be most beneficial for microstructures with highly irregular morphologies.

467 3.4 Influence of complex loading conditions

468 The performance of the HEHM model was further evaluated under several additional loading
469 conditions to assess its generality and robustness. Figure 13a presents the stress-strain response of
470 a 10-grain polycrystal subjected to fully reversed cyclic loading in 1 direction with a stress ratio of
471 $R = -1$. The loading was prescribed as a strain history under a volume-preserving constraint to
472 minimize pressure effects, which would otherwise lead to unrealistically large stresses. The relative
473 errors in peak stress are 18.3% and 4.3% for EHM and HEHM, respectively. The HEHM accurately
474 reproduces the cyclic behavior, exhibiting significantly smaller deviations from the CPFE results
475 compared to the classical EHM.

476 To examine the rate sensitivity, simulations were conducted at strain rates of 5 s^{-1} , $5 \times 10^{-2} \text{ s}^{-1}$,
477 and $5 \times 10^{-4} \text{ s}^{-1}$, as shown in Figure 13b. Similar to previous sections, volume-preserving tensile
478 loading was considered. The relative errors in peak stress are in the range of $\sim 16\%$ for EHM
479 and $\sim 6\%$ for HEHM. The HEHM consistently delivers improved predictions across all strain rates,
480 demonstrating its robustness with respect to loading rate variations.

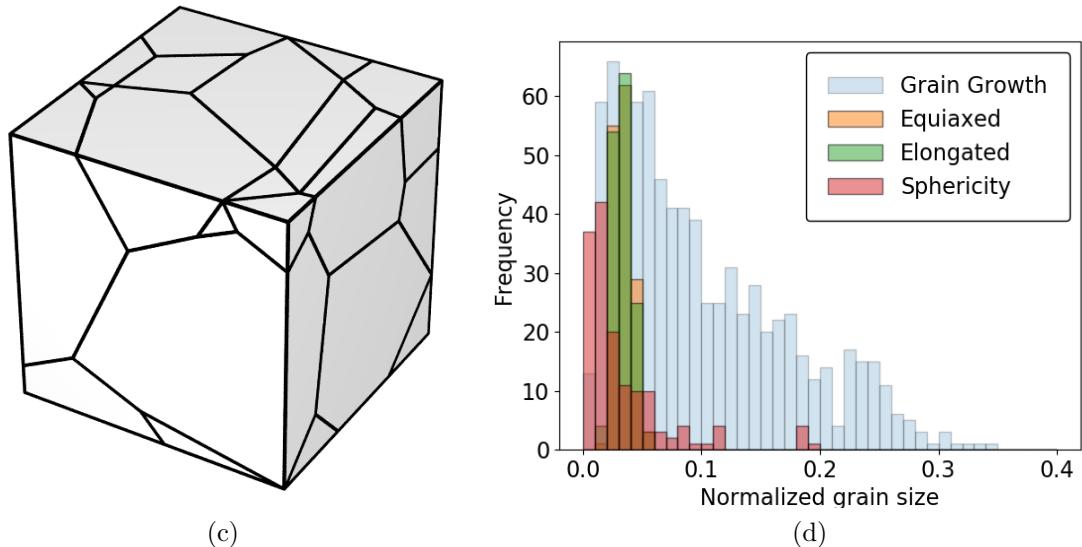
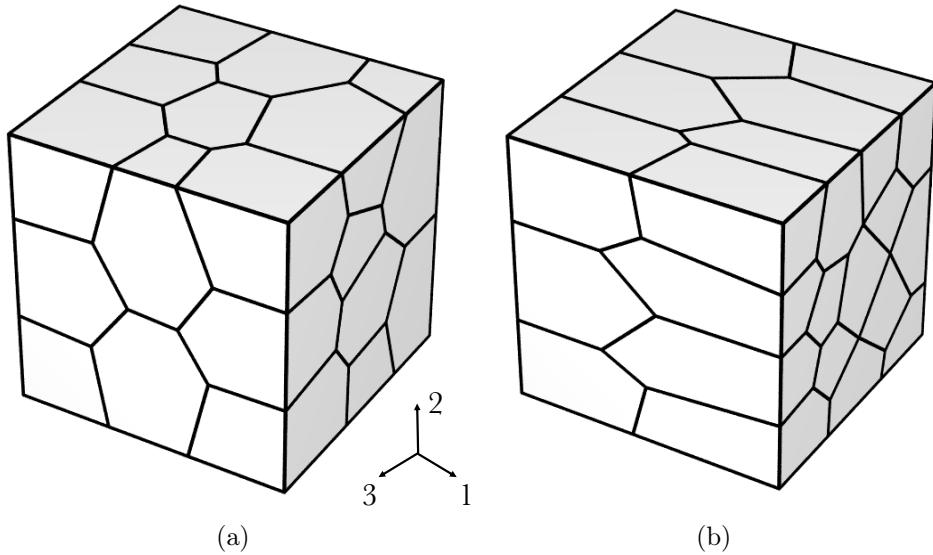
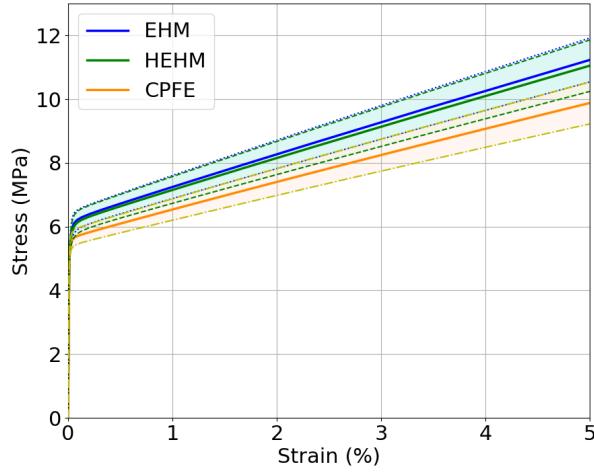
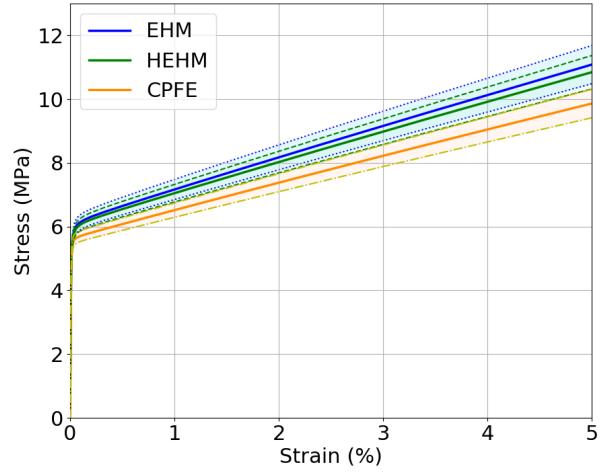


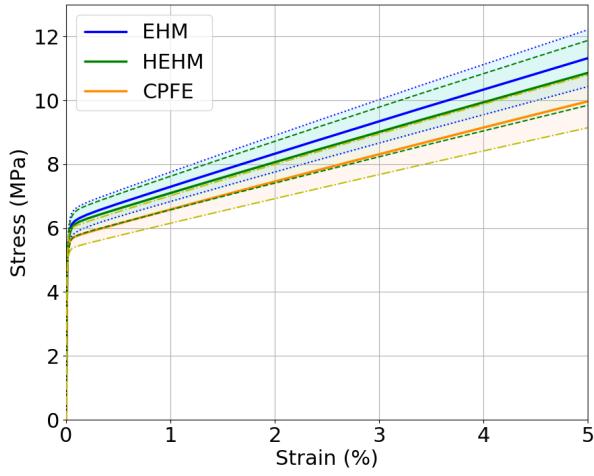
Figure 9: Sample 30-grain polycrystal with (a) equiaxed, (b) elongated and (c) low sphericity grain morphology. (d) Histogram of grain sizes for grain-growth (10-grain SVEs), equiaxed, elongated, and lower sphericity morphologies.



(a)



(b)



(c)

Figure 10: Mean and variance of stress-strain responses of 30 grain polycrystal SVEs under volume-preserving tension with (a) equiaxed, (b) elongated and (c) lower sphericity morphologies.

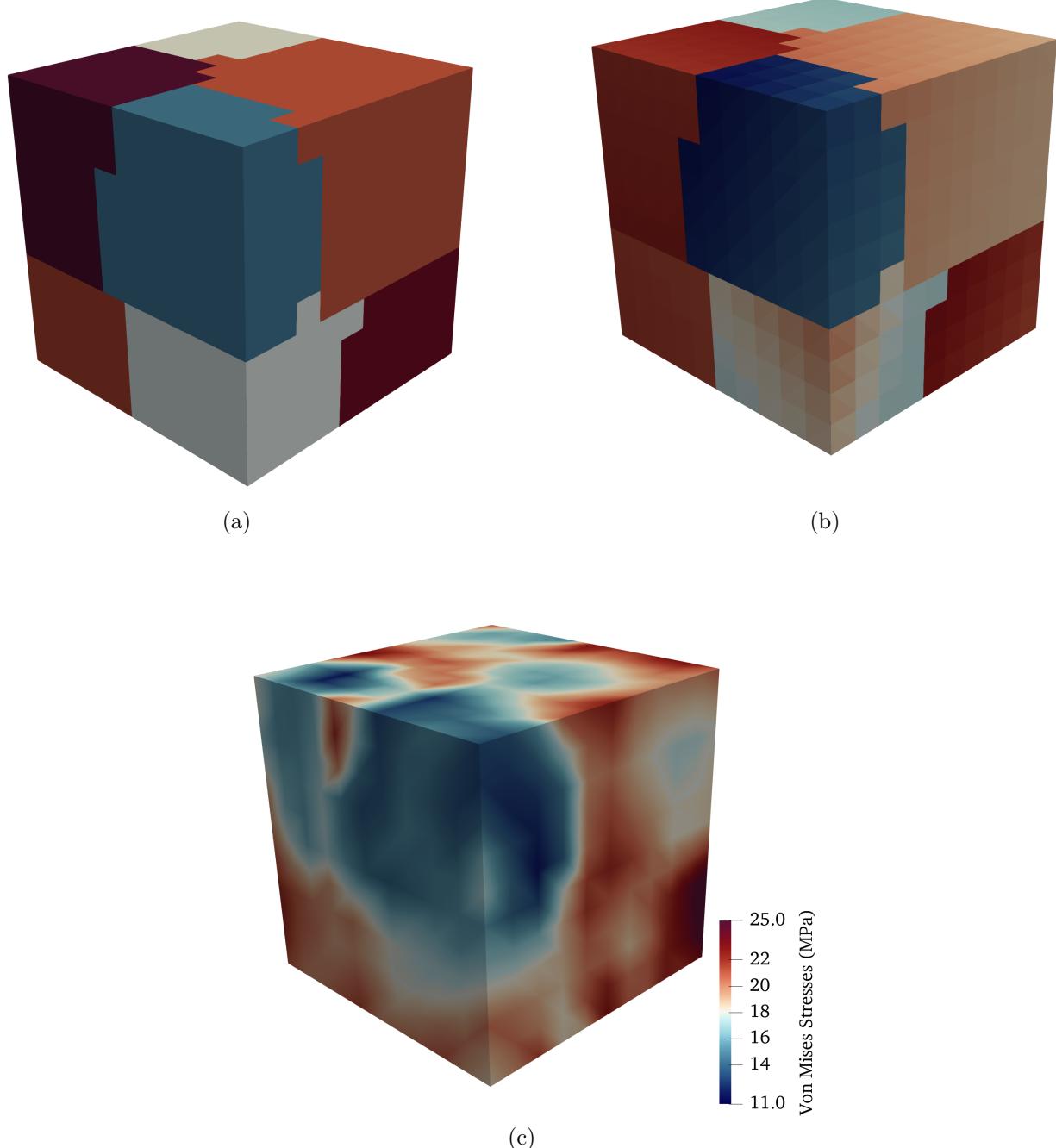


Figure 11: Microscale von Mises distribution computed from (a) EHM (b) HEHM (c) CPFE simulations plotted over the 10-grain polycrystal.

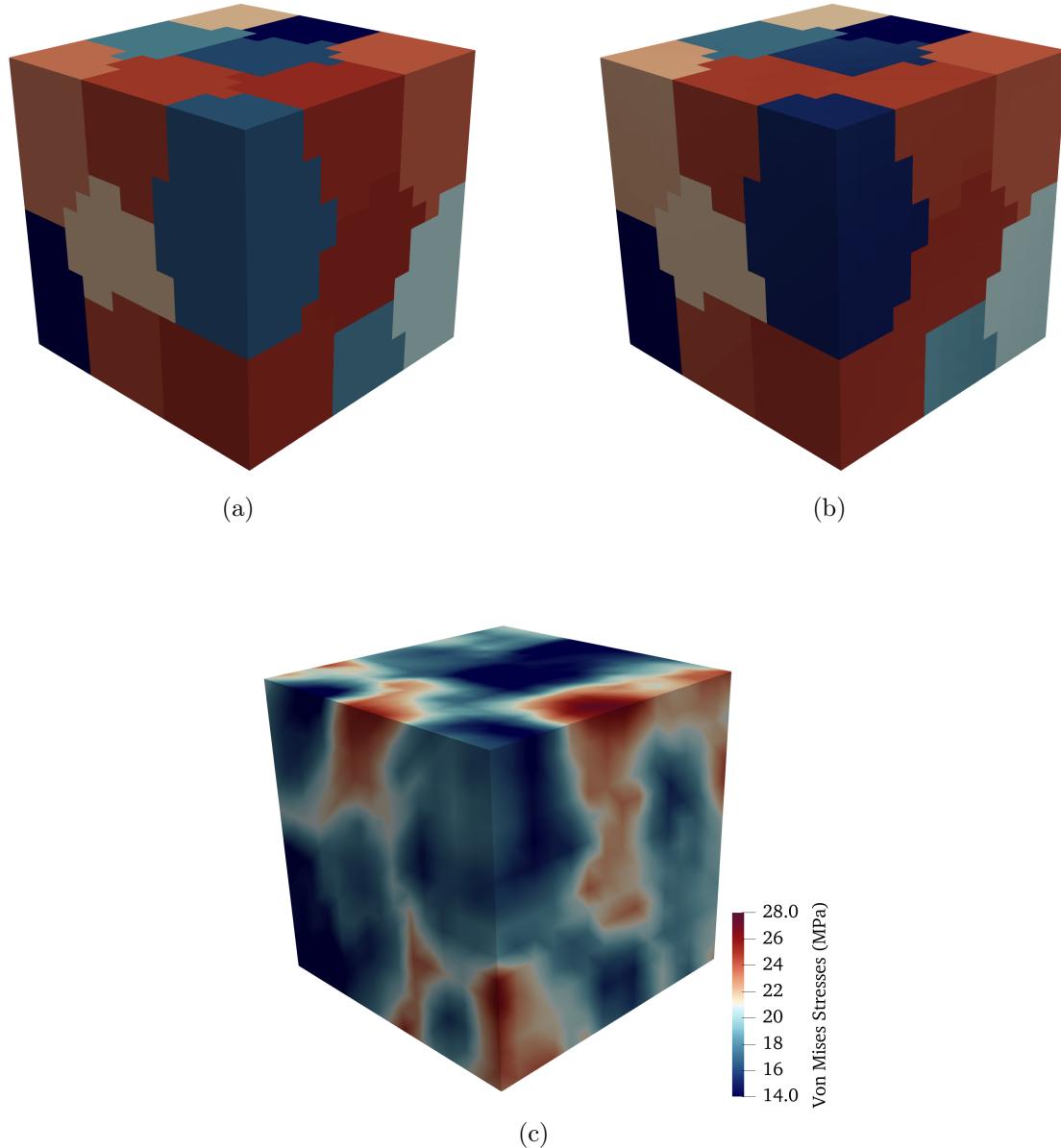


Figure 12: Microscale von Mises distribution computed from (a) EHM (b) HEHM (c) CPFE simulations plotted over 30-grain equiaxed polycrystal.

Table 4: Strain history applied in the numerical experiment.

Step	$\bar{\varepsilon}_{11}$	$\bar{\varepsilon}_{22}$	$\bar{\varepsilon}_{33}$	$\bar{\varepsilon}_{12}$	$\bar{\varepsilon}_{13}$	$\bar{\varepsilon}_{23}$
1	0.025	0.025	-0.05	0	0	0
2	0.025	0.025	-0.05	0	0	0
3	0.025	0.025	-0.05	0	0	0.05

481 The model's capability under simple shear was also assessed, with the corresponding results
 482 displayed in Figure 13c. The improvement achieved by HEHM is comparable to the previous test
 483 cases, with errors in peak shear stress of 8.6% and 2.2% for EHM and HEHM, respectively.

484 Finally, a complex, multiaxial strain history (summarized in Table 4), consisting of biaxial,
 485 volume-preserving tension followed by relaxation and subsequent unidirectional shear, was applied
 486 in both ROM and CPFE simulations. The resulting von Mises stress-strain responses are shown
 487 in Figure 13d. The HEHM demonstrates notably higher accuracy under shear and significant
 488 improvement throughout the full strain history, with errors in peak shear stress of 13.5% and 7.3%
 489 for EHM and HEHM, respectively.

490 Overall, these results confirm that the proposed HEHM framework maintains high accuracy
 491 across a broad range of loading paths and strain rates, highlighting its potential as a reliable and
 492 general reduced-order model for nonlinear polycrystal plasticity simulations.

493 3.5 Surrogate model experiments

494 This section evaluates the efficiency gains achieved by replacing the direct numerical integration
 495 of the constitutive model with a surrogate approximation, while ensuring that accuracy remains
 496 comparable to the fully integrated solution.

497 3.5.1 Architecture selection

498 To construct the surrogate function $I^{(\beta,p)}(\tau_{\text{norm}}^{(\beta)})$ introduced earlier, several neural network archi-
 499 tectures were tested, as summarized in Table 5. Three representative cases were considered. The
 500 first architecture consisted of a three-layer fully connected network with eight neurons per layer and
 501 ReLU activation function. The second architecture used the same layout but replaced ReLU with
 502 the ELU activation function, which offers improved smoothness and continuity. The third case was
 503 a single-layer perceptron with forty neurons and an activation function defined as

$$f(x) = |x|^{1/n} \text{ sign}(x) \quad (34)$$

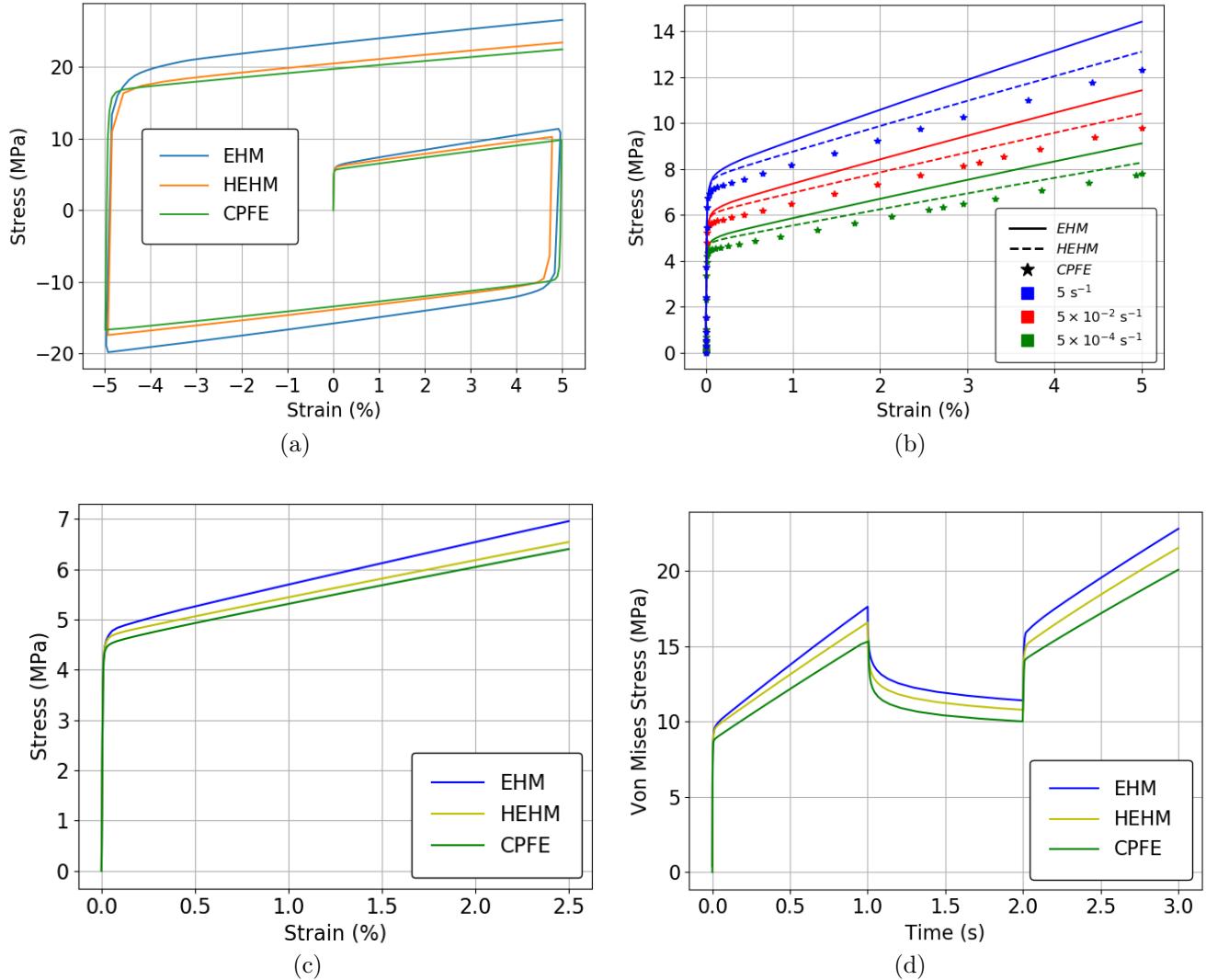


Figure 13: Stress-strain response of a 10-grain polycrystal under (a) cyclical loading, (b) varying strain rates, (c) unidirectional shear, and (d) varying strain history.

Table 5: Loss as a function of the architecture for a single grain.

Case	Activation	Layers	Neurons	RMSE
1	ReLU	3	8	1.52×10^{-2}
2	ELU	3	8	3.23×10^{-4}
3	Flow Rule	1	40	3.41×10^{-5}

504 chosen to mimic the nonlinearity present in the flow rule itself. The biases were set to zero to
 505 make sure that integral evaluates to zero at vanishing inputs (i.e., zero slip rate at zero resolved
 506 shear stresses). All architectures were designed to contain approximately two hundred trainable
 507 parameters so that comparisons would primarily reflect differences in the activation functions rather
 508 than differences in model capacity.

509 Training data was generated by sampling the normalized resolved shear stresses, $\tau_{\text{norm}}^{(\beta,p),s}$, for one
 510 representative grain and every mode of the reduced basis. Since after normalization, one of the
 511 normalized resolved shear stresses is equal to unity, for every mode p , we fix the mode p at unity
 512 and uniformly sample the other modes in the space $[-1, 1]^{N_{\text{modes}}-1}$ with 21 points. The networks
 513 were trained by initializing with the Nelder-Mead algorithm and refining using BFGS algorithm
 514 from the SciPy package [66]. The exact form of the loss function is given by

$$\mathcal{L}^{(\beta,p)} = \frac{\|I^{(\beta,p),i} - \bar{I}^{(\beta,p),i}\|}{\bar{I}^{(\beta,p),\text{max}}} \quad (35)$$

515 where $I^{(\beta,p),i}$ is the integral value for input data point i , the $\bar{I}^{(\beta,p),\text{max}}$ is a normalization parameter
 516 indicating maximum value of the observed integral. Overline indicates true value of the integral
 517 computed from the underlying finite element mesh. Training was performed using a plastic rate
 518 sensitivity corresponding to a flow-rule exponent of approximately nine.

519 The root-mean-square errors (RMSE) between the surrogate predictions and the exact integrals
 520 are reported in Table 5. The ReLU-based model exhibits the largest error, likely because the integrand
 521 is highly nonlinear and contains sharp transitions that ReLU cannot approximate smoothly. The
 522 ELU architecture provides a substantial improvement, indicating that increased smoothness in
 523 the activation function is beneficial. The best performance is obtained with the flow-rule-inspired
 524 activation, which reduces the RMSE by roughly an order of magnitude relative to the ELU network.
 525 These results demonstrate that incorporating physics-based nonlinearities directly into the activation
 526 function yields a significantly more accurate surrogate approximation for the reduced integral. The
 527 flow-rule inspired activation function is used for the rest of numerical examples below.

Table 6: RMSE between surrogate and reference integral outputs for a single grain as a function of the exponent.

Exponent	RMSE
5	6.18×10^{-6}
9	3.41×10^{-5}
20	1.97×10^{-3}

528 3.5.2 Effect of the rate parameter

529 Building on the architectural comparisons presented in the previous subsection, we next examine how
 530 the intrinsic nonlinearity of the flow rule influences surrogate accuracy. The nonlinearity is governed
 531 by the exponent in the viscoplastic flow rule, and this parameter directly controls the sharpness of
 532 the integrand that the surrogate must approximate. To assess this effect, three surrogate models
 533 were independently trained using exponents of 5, 9, and 20.

534 Using the same sampling procedure described in Section 3.5.1, the surrogate-based integral
 535 was then evaluated for every mode of a single grain and compared with the corresponding value
 536 obtained from direct numerical integration over the background mesh. The resulting RMSE values,
 537 summarized in Table 6, reveal a clear trend: lower exponents produce excellent agreement with
 538 the reference integrals, while higher exponents introduce significantly sharper nonlinearities that
 539 degrade surrogate accuracy. These results highlight the importance of considering the exponent
 540 when developing surrogate models for viscoplastic integration, as it fundamentally influences the
 541 complexity of the approximation task.

542 3.5.3 Effect of the grain morphology

543 The surrogate models trained for a single grain were then used as initial guess and subsequently fine
 544 tuned for all grains in a single 10-grain polycrystal. Using the same sampling procedure described in
 545 Section 3.5.1, the surrogate-based integral was evaluated for every mode of every grain and compared
 546 against the corresponding exact integral computed using the background mesh. A flow-rule exponent
 547 of nine was used for this study.

548 The resulting comparison is shown in Figure 14a. Over the full domain of the outputs ($[-1, 1]$),
 549 surrogate errors are visually negligible. A closer examination near the origin ($[-1 \times 10^{-4}, 1 \times 10^{-4}]$)
 550 reveals small but discernible discrepancies, consistent with the increased sensitivity of the integrand
 551 in this region. The computed RMSE of 3.386×10^{-5} aligns with the error scale visible in the inset
 552 plot. We further plot comparison between reference and surrogate integral output in Figure 14b. The

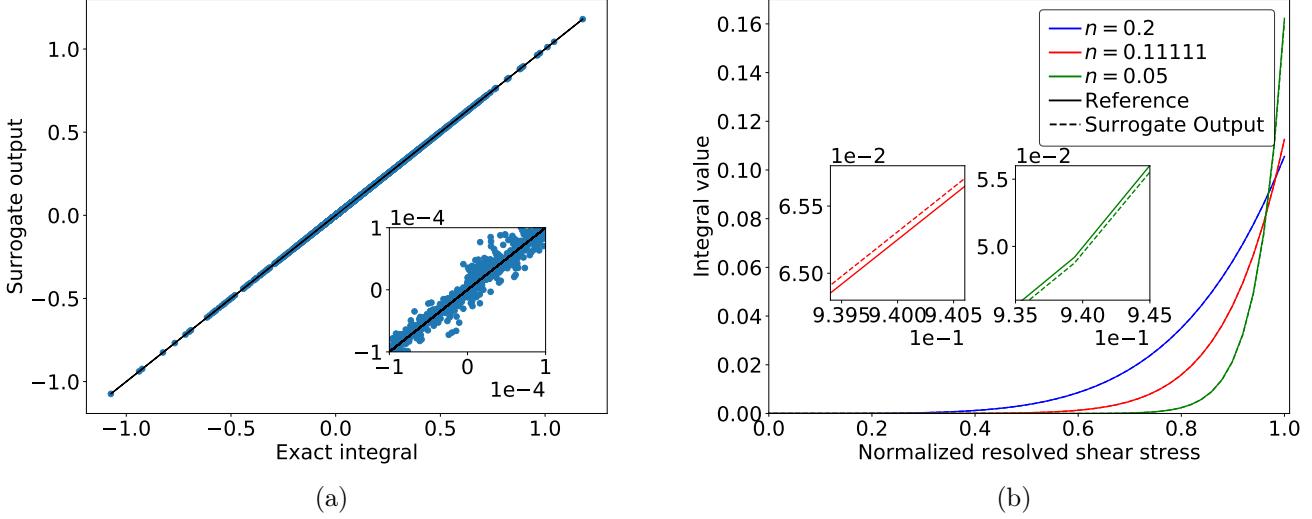


Figure 14: (a) Truth plot for all grains and modes with inset showing deviations in the proximity of zero and (b) comparison of the reference and surrogate integral values as a function of the normalized resolved shear stress for different exponents.

integral $I^{(\alpha,1)}$ for a representative grain α was evaluated over the full range of $\tau^{(\alpha,1)} \in [-1, 1]$ while remaining components $\tau^{(\alpha,2)}, \tau^{(\alpha,3)}$ and $\tau^{(\alpha,4)}$ were fixed at 0.2. Results are shown for exponents of 5, 9, and 20. For the exponent of 5, the surrogate output is nearly indistinguishable from the reference across the entire domain. For exponents of 9 and 20, small deviations become visible upon magnification, with the exponent of 20 requiring less zoom to reveal the discrepancies. It is also noteworthy that the surrogate predictions remain smooth, reflecting the smoothness of the activation functions used in the neural network architecture.

Overall, these results show that the surrogate accurately captures the dominant nonlinear structure of the integrand. Moreover, the surrogate performs consistently across all grains, indicating that the model generalizes effectively across the variations in grain morphology present within the polycrystal.

3.5.4 Accuracy and efficiency study

HEHM combined with surrogate integration model was evaluated for both accuracy and computational efficiency by subjecting a 10-grain polycrystal in tension in 1, 2, and 3 as well as loading it in shear in 12, 23, and 31 directions.

Figure 15 presents the macroscopic stress-strain responses obtained from the HEHM with surrogate-based integration and compares them with the responses from the HEHM using full finite

570 element integration. For the HEHM simulations with surrogate-based integration, the Newton–
571 Raphson residual tolerance was relaxed to 10^{-2} and the state-variable convergence tolerance was
572 relaxed to 10^{-3} to improve robustness. All simulations and surrogate training were performed
573 using a plastic rate sensitivity of $n = 1/9$ (corresponding to an exponent of approximately nine).
574 Across most loading cases, the surrogate-based HEHM reproduces the fully integrated HEHM
575 response with high fidelity. Only small deviations are observed for case of shear loading in the
576 31 direction. The offline cost of the HEHM with surrogate approach is comprised of integral
577 data generation and surrogate training. The integral data generation cost is negligible relative
578 to the influence-function solves that dominate the ROM offline stage. In the current prototype,
579 surrogate training is dominated by implementation overhead because the code is serial and not
580 performance-optimized, and it is therefore expected to decrease in an optimized implementation.
581 The associated computational times are reported in Table 7. The reference simulation reported in
582 Table 7 corresponds to the CPFE 6k setup used in Table 2 with the same element type and number
583 of elements. The Table 7 reference timing was obtained using 4 cores, a rate-sensitivity exponent
584 of 9 (instead of 20), and was run on an Intel(R) Core i7-4578U CPU @ 3.00GHz rather than an
585 Intel Xeon Gold compute node. Relative to the reference CPFE simulation, the HEHM with full
586 integration provides roughly a $7\times$ speedup, the surrogate-enhanced HEHM achieves approximately
587 a $70\times$ speedup, and the classical EHM attains nearly a $300\times$ speedup. These results demonstrate
588 that the surrogate integration reduces the computational cost of the HEHM by about an order of
589 magnitude while preserving its accuracy across a broad range of loading conditions. This subsection
590 does not re-quantify HEHM accuracy versus CPFE because that comparison is already established
591 in the preceding three subsections, and instead it focuses on whether the surrogate preserves HEHM
592 accuracy while improving computational efficiency.

593 It is important to emphasize that the intent of this work is not to advocate for a specific
594 neural-network architecture, but rather to demonstrate a general methodology for constructing
595 surrogate integrators for ROMs with nonuniform basis functions. The architectures examined here
596 serve only as representative examples for evaluating the approach. As shown in Tables 5 and 6,
597 surrogate accuracy inevitably degrades as the flow-rule exponent increases, reflecting the sharper
598 nonlinearities the network must approximate. Consequently, alternative architectures, including
599 deeper networks, different activation functions, or other physics informed formulations, may be more
600 suitable depending on the material system and modeling requirements. The proposed framework is
601 therefore flexible, and the surrogate model may be tailored to specific application without loss of
602 generality.

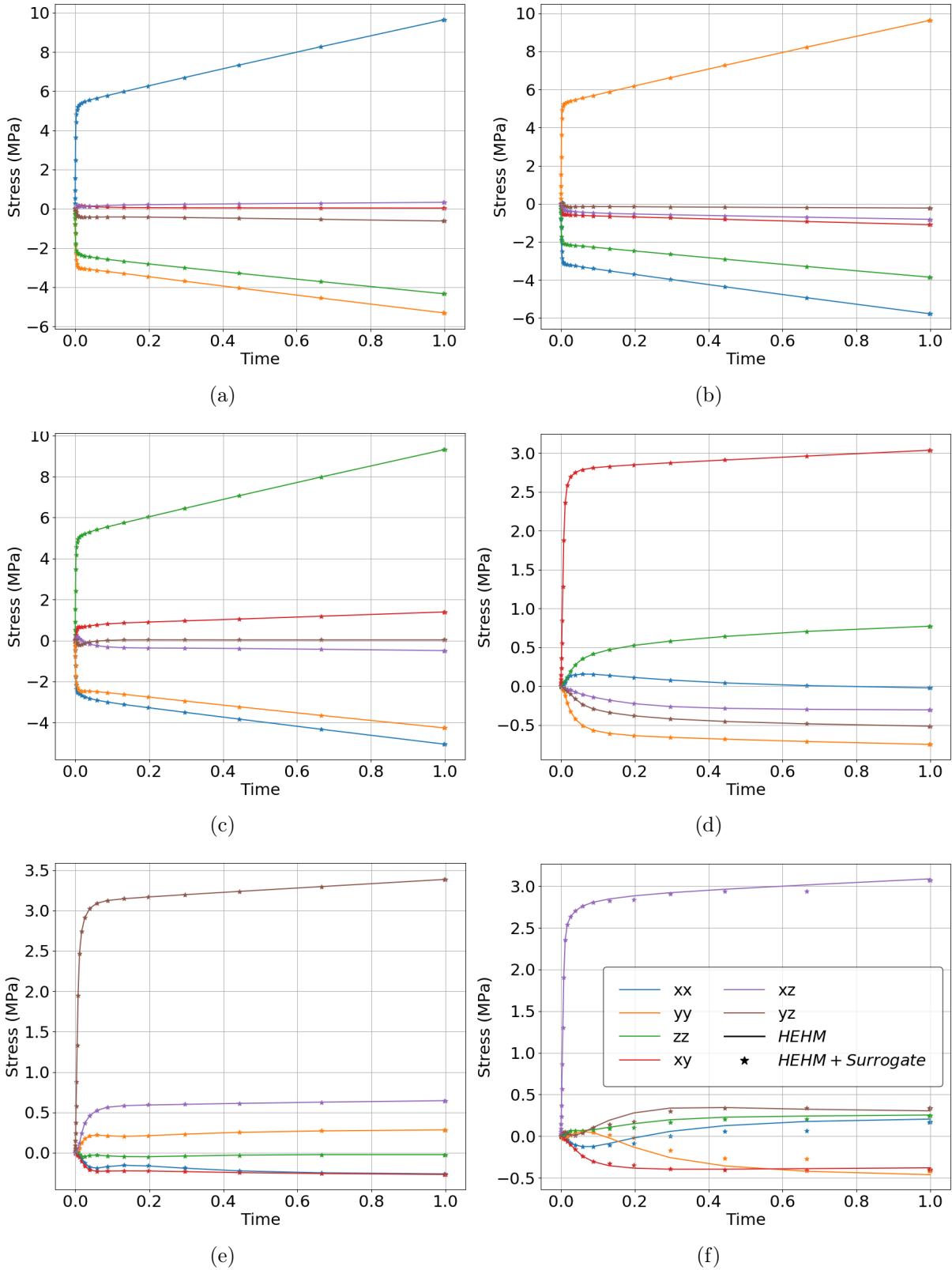


Figure 15: Stress-strain response of 10 grain polycrystal under volume-preserving tension in (a) 1 (b) 2 (c) 3 directions and shear in (d) 12 (e) 23 (f) 31 directions.

Table 7: Comparison of computational time and speedup for different methods, computed for the full 5% strain loading under direction 1.

Method	Time (s)	Speedup	Cores
CPFE	82.89	–	4
HEHM	50.18	6.6	1
HEHM Surrogate	4.78	69.4	1
EHM	0.98	338.0	1

603 4 Conclusion

604 This manuscript demonstrated the capabilities of the EHM framework when higher-order basis
 605 functions are employed in the model order reduction. The general objective of incorporating the
 606 specific type of higher order functions is to achieve consistent and non-trivial (across microstructures
 607 and loading conditions) improvement of model accuracy, while retaining the primary function of the
 608 ROM, i.e., reduced computational cost. We also presented a surrogate model for the integrals arising
 609 from the weak enforcement of the constitutive equations. By introducing normalized coefficients,
 610 this surrogate transforms the integration problem into an interpolation problem, achieving an order
 611 of magnitude reduction in computational cost without any reduction in integration accuracy.

612 The performance of the model is demonstrated on low-phase contrast polycrystalline microstruc-
 613 tures, accounting for stochastic variations in grain morphology and crystal orientations. The
 614 higher-order model consistently exhibits softer mechanical behavior compared to the original EHM,
 615 reducing the discrepancy with the reference CPFE simulations. However, the level of improvement
 616 depends on grain size and morphology. More specifically, and rather intuitively, the level of im-
 617 provement is high when the response fields are better approximated with the basis functions being
 618 included in the ROM. While more complex basis functions, e.g., those generated by preliminary
 619 nonlinear CPFE (training) simulations as typically used in NTFA models could yield better accuracy
 620 when loading is similar to the training simulations, the proposed approach guarantees that the
 621 prediction accuracy is no less than EHM regardless of loading, but could be improved substantially
 622 from this baseline. While the presented results capture stochastic variations in grain morphology
 623 and crystal orientations, the scope of this study is limited to low-phase-contrast polycrystalline
 624 materials, and extension to higher phase-contrast systems remains a subject of future work.

625 The key advantage of the HEHM model lies in the enhanced reduced basis without requiring
 626 nonlinear simulations during the offline stage, keeping offline costs relatively low. In the online
 627 stage, most of the computational cost arises from integrating the constitutive law over a large set
 628 of quadrature points. This cost is substantially mitigated by the surrogate model; however, the

629 surrogate can degrade Newton–Raphson convergence for high plastic rate sensitivities.

630 CRediT authorship contribution statement

631 Aslan Nasirov: Conceptualization, Methodology, Software, Formal analysis, Investigation, Data
632 curation, Visualization, Writing – original draft, Writing – review & editing. Caglar Oskay: Con-
633 ceptualization, Supervision, Methodology, Formal analysis, Writing – review & editing, Project
634 administration, Funding acquisition.

635 Data availability

636 Data supporting the findings of this study are available from the corresponding author upon
637 reasonable request.

638 Declaration of competing interest

639 The authors declare that they have no known competing financial interests or personal relationships
640 that could have appeared to influence the work reported in this manuscript.

641 Acknowledgments

642 The authors gratefully acknowledge the financial support from the National Aeronautics and Space
643 Administration (NASA) Space Technology Early State Innovation (ESI) Grant (No.:80NSSC20K0294).
644 The authors thank the Vanderbilt University Advanced Computing Center for Research and Education
645 (ACCRE) for computational resources.

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