

High pressure strengthening in ultra-fine-grained metals

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27 **The strengthening of polycrystalline metals based on grain refinement has**
28 **previously been reported to be no longer effective below a critical grain size of**
29 **approximately 10-15 nm (Refs. 1, 2). That report imposed a limit on grain size tuning**
30 **for synthesizing stronger materials. Here, we report our study using a diamond-anvil**
31 **cell coupled with radial X-ray diffraction to track *in situ* the yield stress and**
32 **deformation texturing of pure nickel samples with various average grain sizes.**
33 **Continuous strengthening is observed from 200 nm to the minimum grain size of 3 nm.**
34 **Strengthening as a function of grain size is enhanced in the lower grain size regime**
35 **below 20 nm. We achieved an ultra-high strength of ~ 4.2 gigapascals in nickel, 10 times**
36 **larger than the values for commercial nickel material. The maximum flow stress of 10.2**
37 **gigapascals is reached in 3 nm nickel in the pressure range of this study. Plasticity**
38 **simulation and transmission electron microscopy (TEM) examination reveal that the**
39 **high strength observed in 3 nm nickel is caused by the superposition of strengthening**
40 **mechanisms: partial and full dislocation hardening plus grain boundary plasticity**
41 **suppression. These results rejuvenate the search for ultra-strong metals via materials**
42 **engineering.**

43

44 Understanding the strengthening of nanograined metals has been puzzling, as both mixed
45 results of size softening and hardening have been reported³⁻⁶. The main challenges in
46 resolving this debate are the difficulty in synthesizing high quality, ultrafine metal samples
47 for traditional tension or hardness tests and making statistically reproducible measurements.
48 Some researchers have pointed out that reported size softening may be related to materials
49 preparation⁷. Porosity, amorphous regions and impurities may be introduced during sample
50 preparation methods like inert gas condensation and electrodeposition, leading to softening in

51 micro-hardness measurements and tension tests. Another difficulty is the ambiguity in
52 identifying the dominant plastic deformation mechanisms of nanograined metals. Various
53 defects or processes at the nanoscale have been reported, including dislocations^{8,9},
54 deformation twinning^{10,11}, stacking faults (SFs)¹⁰, GB migration¹², GB sliding¹, and grain
55 rotation^{13,14}. Hence the processes that dominate plastic deformation and thus determine the
56 strength of nanograined metals are still unclear. In this study, we employ radial diamond-
57 anvil cell (rDAC) X-ray diffraction (XRD) techniques to track *in situ* the yield stress and
58 deformation texturing of nickel of various grain sizes. We find that mechanical strengthening
59 can be extended down to a grain size of 3 nm, much smaller than the previously reported
60 strongest sizes of nanograined metals. This finding pushes mechanical strengthening to the
61 lowest record grain size, demonstrating the potential for achieving ultrahigh strengths in
62 metals.

63 Radial DAC XRD experiments (Extended Data Fig. 1, see Supplementary Information)
64 were performed at beamline 12.2.2, Advanced Light Source (ALS), Lawrence Berkeley
65 National Laboratory and Shanghai Synchrotron Radiation Facility (SSRF). Eight nickel
66 samples made from particle (grain) sizes ranging from 3 to 200 nm (Extended Data Figs. 2-3)
67 were measured. The relatively narrow size distributions allow for the investigation of the size
68 dependence of the material's strength. In the sample under uniaxial compression, the stress can
69 be separated into hydrostatic and differential stress components. The differential stress between
70 the maximum and minimum compression directions can be obtained according to lattice
71 strain theory¹⁵ (see Supplementary Information). The measured XRD peak positions provide
72 information on differential strains as well as differential stresses (Fig. 1a). Plastic
73 deformation has an influence on lattice strains measured using diffraction, and so the
74 differential strain/stress measured with radial DAC XRD can capture the transition from
75 elastic to plastic deformation dominant behaviors and provide the information of yield

76 strength, strain hardening, etc (Fig. 1 and Extended Data Fig. 4). At the same pressure, the
77 differential strain of the 3 nm-sized nickel is higher than that of larger grained counterparts.
78 The larger curvatures (ellipticity of the XRD rings which translates into non-linearity of the
79 lines plotted along the azimuth angle) of diffraction lines for smaller nanocrystals indicate
80 higher elastic deformation and greater ability for the material to support differential stress in
81 the crystal plane without plastic deformation. The Rietveld refinement implemented in the
82 MAUD software¹⁶ was used to analyze the differential strain and texture of our samples at
83 each pressure. The average differential stress of nickel vs its lattice strain can thus be
84 obtained (Fig. 1b) according to Eqs. (5-9) (see Supplementary Information). To remove the
85 effect of hardening induced by hydrostatic pressure, we performed Elasto-ViscoPlastic Self-
86 Consistent (EVPSC)¹⁷ simulations (see Supplementary Information) to simulate the stress-
87 strain curves of nickel at ambient conditions (Extended Data Fig. 5). This enables the
88 comparison of our extrapolated strength results at zero pressure with those of conventional
89 tests^{2,18} (Fig. 1c). The stress-strain curves (Fig. 1b and Extended Data Fig. 5c) show that
90 instead of softening, smaller grained nickel was stronger than its coarser counterparts, in a
91 strong contrast to the results of previous studies (Fig. 1c). Stress-strain curves of finer nano
92 nickel also show a larger slope/hardening exponent (Fig. 1b), possibly due to the increased
93 plastic anisotropy in this smaller grain size (Extended Data Fig. 5). We note that a slight
94 strength drop of 40 nm nickel in EVPSC simulations and the cause remains to be further
95 investigated.

96 The development of *in-situ* deformation textures for nanograined nickel with various
97 grain sizes was captured at different strains. As shown in Fig. 2, nickel samples with larger
98 grain sizes above 20 nm show very strong deformation textures even at low strain.
99 Nanograined nickel samples sized below 20 nm exhibit very weak deformation textures,
100 indicating that traditional full dislocation activity become less active, whereas the strength

101 increases with decreasing grain size. Meanwhile, all of the nickel samples develop a
102 deformation texture, indicating that deformation mechanisms may still be based on
103 dislocation slip and twin formation since GB mediated mechanisms would maintain the initial
104 random textures.

105 Previous simulations^{1,19,20} have suggested that GB deformation plays a decisive role in the
106 deformation mechanisms of sub-10-nm-sized nanomaterials. Those studies proposed that size
107 softening would occur due to the transition from dislocation-mediated to GB-mediated
108 mechanisms. In our experiments, however, we observed no size softening but only size
109 strengthening. The uniaxial compressional stress comprises hydrostatic and differential stress
110 components. Although the shear stress arising from the differential stress could potentially
111 activate GB mechanisms, while the hydrostatic stress of the compression increases the critical
112 shear stress for GB migration and sliding, thereby suppressing those mechanisms (Eq. 15). To
113 explore the mechanisms for continuous size strengthening, we simulated the critical stress for
114 activating full and partial dislocations and for activating GB deformation (GB sliding and
115 migration) in nanograined nickel. As shown in Fig. 3a, full dislocations are activated
116 preferentially and are more dominant than partial dislocations above the critical grain size d_c^1 .
117 The dislocation-dominant deformation shifts to GB-dominant deformation for grain sizes
118 below a critical value d_c^2 . However, compression has a remarkable effect on this shift. The
119 critical stress for activating GB deformation increases with pressure, resulting in the critical
120 grain size d_c^2 being highly pressure-dependent. For example, the critical grain size for active
121 GB deformation of nickel at >1 GPa is <2 nm (Fig. 3b), suggesting that almost no GB
122 deformation is activated in our experiments since hydrostatic pressure is higher than 1 GPa,
123 i.e. the GB-deformation associated softening of fine nano grains has been greatly inhibited
124 during compression. Consequently, when GB-associated deformation (extrinsic deformation)

125 is suppressed, the strength of materials would be determined mainly by intrinsic deformation
126 properties, which are associated with lattice strain and defects in the interiors of grains.

127 It is known that the critical stress to activate dislocations increases with decreasing grain
128 size. In a simplified analytical dislocation model which considers partial dislocations emitted
129 from GBs of nano grains, the critical stress for emitting a full and partial dislocation²¹ can be
130 described as

$$131 \quad \tau_f = \frac{Gb_f}{d}, \quad (1)$$

$$132 \quad \tau_p = \frac{Gb_p}{3d} + (1-\delta)\frac{\gamma}{Gb_p}, \quad (2)$$

133 where b_f and b_p are the Burgers vectors of the full and partial dislocations, respectively; G
134 is the shear modulus; γ is the stacking fault energy; and δ is the ratio of equilibrium stacking
135 fault width to grain size. The critical stresses for nucleating both full and partial dislocations
136 increase sharply as the grain size decreases towards the lower limit (Fig. 3a). This leads to the
137 increase of yield strength at small grain size. Furthermore, partial dislocations are
138 preferentially activated and overtake full dislocations below a critical grain size.

139 We studied the deformation behavior of nanograined nickel by molecular dynamics (MD)
140 simulations²² (Fig. 3d). Two types of planar defects associated with partial dislocations, i.e.
141 nanotwins and stacking faults, as well as full dislocations are found in nanograined nickel
142 under compression. To explore the deformation mechanism, we conducted transmission
143 electron microscopy characterization on the recovered samples. As expected, high densities
144 of full dislocation are seen in the coarse-grained sample (Fig. 4d). Remarkably full
145 dislocations are prevalent at all average grain sizes including the finest at 3 nm (Figs. 4a-c),
146 albeit for the 3 nm sample dislocations were observed in grains with slightly larger sizes than
147 average. A detailed analysis of the four dislocations observed in the lower part of Fig. 4a is

148 shown in the sketch in Fig. 4b based on the Thompson tetrahedron. Each of these dislocations
149 is an extended dislocation composed of a stacking fault and two partial dislocations lying on
150 $\{111\}$ slip planes. It is interesting to note that a Lomer-Cottrell lock and a stair rod are
151 formed from the reactions of partials associated with the upper three dislocations, the latter
152 lies on a $\{100\}$ plane. These reaction products are immobile and thus provide a strong
153 strengthening effect. A rough estimate of the density of full dislocations based on the
154 dislocations in Fig. 4a suggests a density of $\sim 10^{16} \text{ m}^{-2}$ that provides a strong strengthening
155 component for the flow stress. At the finest grain sizes nanotwins form bounded by stacking
156 faults, creating important new additions to the deformed structure. These nanotwins further
157 refine the nano structure and contribute to boundary strengthening by constraining dislocation
158 motion. Steps in the twin boundaries are observed forming incoherent twin boundaries that
159 contain partial dislocations (Fig. 4). We note that the simultaneous and cooperative activation
160 of different Shockley partial dislocations on parallel and neighboring glide planes may be
161 responsible for these twins²³. Stacking faults may expand under high stress, increasing their
162 energy and making it favorable to form low energy twins²⁴. Fivefold symmetry twins are also
163 seen in both 3 and 20 nm quenched nickel samples (Fig. 4). Fivefold twins may preexist in
164 the particles or form by the successive emission of partial dislocations from incoherent twin
165 boundaries (ITBs) with high energy. The non-parallel TBs give rise to strong overlapping of
166 associated lattice strain fields, resulting in higher yield strength compared to those without
167 fivefold twinned structures²⁵. This result is consistent with our observations in the mechanical
168 measurements (Fig. 1b). In short, twinning and stacking faults observed in our TEM
169 measurements originate from the nucleation and motion of partial dislocations. This provides
170 compelling evidence that in the sub-20 nm regime of grain size, full-dislocation-mediated
171 deformation shifts to both full and partial dislocations combined with deformation twinning.

172 Our strength measurements (Fig. 1b), computational simulations (Fig. 3a and Fig. 3c) and
173 TEM observations (Fig. 4) indicate that a critical grain size (around 20 nm) exists and
174 corresponds to the shift in deformation mechanisms from full dislocation to full plus partial
175 dislocation mediated deformation. This does not generate a maximum strength at the critical
176 grain size but starts a stronger mode for strengthening. Notably, as shown in Fig. 4, the twins
177 in 20 nm or smaller nickel grains are usually only several nanometers thick, but unlike
178 growth twins, no softening is induced in pressurized nickel nanograins. Instead, size
179 strengthening of nickel is even more pronounced in the smaller size range of nanograins. As
180 shown in Fig. 3c, below 20 nm the measured yield strength of nanograined nickel largely
181 deviates from the trend predicted by the traditional Hall-Petch model. Considering that the
182 contribution of partial dislocations becomes significant in fine nanograins, we propose a
183 modified Hall-Petch relationship as follows:

$$184 \quad \sigma_y = \sigma_0 + \frac{k_0}{\sqrt{d}} + \frac{k_1}{d} \quad (3)$$

185 where σ_y and d represent the yield strength and grain size, respectively, and σ_0 , k_0 and k_1 are
186 constants. The first two terms represent the friction stress and Hall-Petch formulation
187 associated with full dislocation boundary interaction. The third term is related to the partial
188 dislocation contribution to yielding, which is inversely proportional to grain size d according
189 to Eq. 2. The fitting of our experimental data with Eq. 3 shows that this new
190 model reflects the effects of both full and partial dislocations, can describe the size
191 strengthening of metals in a wide size range. We note that this fit gives a high friction stress
192 of ~ 1.1 GPa, k_1 of $9 \text{ MPa} \cdot \mu\text{m}$ and a low k_0 of $101 \text{ MPa}/\mu\text{m}^{-1/2}$ compared to conventionally
193 deformed Ni with 20 MPa and $158 \text{ MPa}/\mu\text{m}^{-1/2}$, respectively^{26,27}. To check the generality of
194 the size strengthening for nanograined metals, we conducted similar high-pressure
195 deformation experiments on nanograined gold and palladium. A similar enhanced

196 strengthening effect at the lowest grain sizes was observed, which indicates that this full plus
197 partial dislocation-mediated strengthening is common in compressed nanograined metals.

198 This size strengthening effect may apply not only to high pressure cases but also provide
199 guidance for applications at ambient conditions. A recent study²⁸ reported that a twofold
200 increase in hardness was achieved in nanograined Ni-Mo alloys by stabilizing GB through
201 Mo segregation. With this technique yield strengths of ~1.6 and 3.8 GPa were achieved in Ni
202 and Ni-Mo alloys, respectively. In our experiments, an ultra-high strength of ~4.2 GPa is
203 achieved in pure nickel grains. This result suggests that compression is an effective method to
204 suppress GB sliding and migration for achieving ultrahigh strength. This is also supported by
205 the observation that the measured strength of coarse nickel in our compression test is higher
206 than in conventional tension tests^{2,18}. In real applications, materials could be under either
207 tension or compression. Tension tests are common in traditional mechanical characterization.
208 However, evaluation of strength by tensile loading is often technically difficult for
209 nanograined metals especially for sub-10 nm grain sizes. Compressive strength
210 measurements using radial DAC XRD enables studies of the mechanical properties of even
211 sub-10 nm-sized metals. In this synchrotron-based study, deformation behavior and yield
212 strength are obtained from the lattice changes of a large quantity of nano grains and exhibit
213 reproducible trends in strength and grain size. Additionally, extrinsic factors like impurities
214 and amorphous regions which are possibly introduced in conventional sample preparation
215 methods could significantly affect the mechanical behaviors of nanograined metals. In our
216 method, the strength is determined by the internal piezometer of crystalline lattice strain in
217 pure nickel grains, which mitigate the effects of extrinsic factors.

218 Experimental work also indicates that partial dislocation-associated mechanisms improve
219 the thermal stability of grain boundaries of nanograins²⁹. If the grain boundaries of
220 nanograined metals are sintered without grain coarsening, e.g. through severe plastic

221 deformation or explosive shock annealing³⁰, large pieces of nanograined metals with
222 ultrahigh strength can be potentially fabricated for mass applications. In summary, achieving
223 an ultrahigh strength in pure nickel through grain refinement and grain boundary plasticity
224 suppression provides a new strategy for designing ultra-strong and ultra-hard metals for
225 future applications.

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- 296

297 **FIGURE LEGENDS:**

298 **Figure 1 | Size strengthening of nanograined nickel. a,** Azimuthally ($0\sim 360^\circ$) unrolled
299 diffraction images of nickel at different pressures. The black arrows indicate the axial
300 compression direction. **b,** Differential stress vs lattice strain of nickel (see Supplementary
301 Information). Note that for some of the data points the error bars are smaller than the sizes of
302 symbols. **c,** Extrapolated yield strength of nickel at ambient conditions without GB sliding
303 (from EVPSC simulations) vs grain size. The yield strength of nanograined (nc) Cu is
304 obtained from MD simulations (Ref. 1) and experimental data of nanotwinned (nt) Cu [(Ref.
305 6)] and nanograined Ni (Ref. 2 and Ref. 18). The yield strength value of nickel in Ref. 2 is
306 taken as 1/3 of its hardness. For nt-Cu, d represents the twin thickness. Inverse Hall-Petch
307 effect has been reported for both Cu (Ref. 1 and Ref. 6) and Ni (Ref. 2). The smallest grain
308 size of nickel in the study of Ref. 2 is 12 nm.

309 **Figure 2 | Inverse Pole Figures for the texture evolution of nickel with various grain**
310 **sizes.** Note that no starting texture exists in all raw samples. t and ε represent differential
311 stress and lattice strain, respectively. Texture strength is expressed as multiples of random
312 distribution (m.r.d.), where m.r.d. = 1 denotes a random distribution and a higher m.r.d.
313 number represents a stronger texture.

314 **Figure 3 | Computational simulation results and the modified Hall-Petch relationship. a,**
315 Comparison of simulated grain size-dependent critical stresses for activating dislocations and

316 grain boundary deformation in nanograined nickel at different pressures. “⊥” represents
317 dislocation. **b**, Critical grain size d_c^2 as a function of pressure. **c**, The predicted yield strength
318 compared with the experimental data for nanograined nickel. **d**, Classic MD simulation of 3-
319 nm sized Ni compressed with 10% volume strain. Green color represents partial dislocations
320 associated with stacking faults, twins and grain boundaries. Perfect dislocations are colored in
321 blue. A small number of $1/3\langle 001 \rangle$ (Hirth), $1/6 \langle 110 \rangle$ (Stair-rod) and other types of
322 dislocations can be identified (colored in yellow, purple and red).

323 **Figure 4 | TEM examinations of 3 nm (a), 20 nm (c) and 200 nm (d) nickel samples**
324 **quenched from 40 GPa.** (b) is a sketch showing the analysis of dislocations observed in the
325 lower part of the middle grain in (a). Note the reactions of partial dislocations forming
326 Lomer-Cottrell locks and a stair rod. “SF” represents the stacking faults. Stacking faults,
327 twins, and few full dislocations can be found in 3 and 20 nm nickel samples. A high density
328 of full dislocations is observed in the 200 nm nickel grains (inset of Fig. 4d).

329

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341

342 **Author contributions** B.C. conceived the project. X.H. directed the TEM
343 examinations. J.X., H.D., H.Z. and K.L. contributed to nanocrystal synthesis. X.Z.,
344 B.C., L.M., J.Y., N.T. and M.K. contributed to high-pressure XRD experiments.
345 Z.Q.F., Y.J.W., D.A.H., T.L.H. and X.H. contributed to TEM experiments and
346 analysis. L.Z., H.S., Q.L. and Y.M. contributed to computational and molecular
347 dynamics simulations. X.Z. and L.M. contributed to EVPSC modeling. X.Z. and B.C.
348 wrote the manuscript. All authors discussed the results and commented on the
349 manuscript.

350

351 **Competing interests** The authors declare no competing interests.

352

353 **Additional information**

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356

357 **Data availability**

358 The data that support the findings of this study are available from the corresponding

359 authors upon reasonable request.

360

361

362 **Extended Data Figure Legends:**

363

364 **Extended Data Fig. 1 | The experimental setup of radial DAC XRD.**

365

366 **Extended Data Fig. 2 | Grain size distribution of nickel samples. a, b, c, d,** Grain
367 size distribution of 3 nm nickel (Image courtesy of nanoComposix), 8 nm, 12 nm
368 nickel and 20 nm nickel (Image courtesy of Nanomaterialstore); **e, f, g, h,** Grain size
369 distribution of 40, 70, 100 and 200 nm nickel. The particle sizes of the nickel samples
370 were re-checked with XRD characterization.

371

372 **Extended Data Fig. 3 | TEM and SEM characterization of raw 3 nm (a), 8 nm**
373 **(b), 12 nm (c), 20 nm (d), 40 nm (e), 70 nm (f), 100 nm (g) and 200 nm (h) nickel**
374 **samples before compression.**

375

376 **Extended Data Fig. 4 | Plot of differential stress vs hydrostatic lattice strain in**
377 **the nickel of various grain sizes.** The circles, squares and triangles represent (220),
378 (200) and (111) lattice planes, respectively. Strong strength anisotropy is exhibited for
379 different lattice planes, especially in smaller grain size. The lattice strain is calculated
380 from the change in the unit cell parameter at a given applied stress and the ambient
381 pressure unit cell parameter. The error bar of differential stress is calculated based on

382 the error of Q_{hkl} and Eqs. (6-9). Note that for some of the data points the error bars
383 are smaller than the sizes of symbols.

384 **Extended Data Fig. 5 | EVPSC modeling results of nickel.** a, Comparison between
385 simulated $Q(hkl)$ curves vs pressure and measured $Q(hkl)$ values obtained from
386 experiments; b, simulated texture of nickel at the highest strain (pressure); c,
387 Simulated differential stress of nickel vs plastic strain during zero pressure
388 compression; d, Extrapolated yield strength of nickel at ambient conditions without
389 GB sliding. The size strengthening trend is consistent with that shown in Figs. 1b,
390 although the strength of 40 nm nickel obtained with EVPSC is slightly lower.

391

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