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Ion Implantation-Induced Plastic Phenomena in Metallic Alloys

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4 **ABSTRACT**
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Ion implantation is widely used for doping semiconductors or electroceramic materials and probing material behaviors in extreme radiation environments. But implanted ions can induce compressive stresses into the host material, which can induce plasticity and mesoscopic deformation. However, these phenomena have almost exclusively been observed in brittle ionic and/or covalently bonded materials. Here, we present transmission electron microscopy observations of unusual implantation-induced plasticity in two metallic alloys. First, Fe^{2+} ions induce dislocation plasticity below the implanted layer in a model Fe-P alloy. Next, He^+ ions form pressurized cavities which activate the fcc-to-hcp strain-induced martensitic transformation in Alloy 625. In both cases, the plasticity can be explained by a combination of implanted ions being incorporated into the lattice and the creation of irradiation defects. These findings have significant implications for mechanical testing of ion implanted layers, while also opening pathways for using ion implantation to tune stress distributions in metallic alloys.

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4 **1. INTRODUCTION**
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Ion implantation is a widely used technique for doping semiconducting materials for enhanced electrical conductivity as microelectromechanical systems (MEMS) or microoptoelectromechanical systems (MOEMS) devices [1–3], doping electroceramic materials for improved performance in ion batteries [4–7], probing material performance in long-term space travel [8–11], and emulating the effects of neutron irradiation in nuclear fission and fusion reactor fuels and structural materials [12,13]. But ion implantation is well known to introduce compressive stresses into the host materials through two major mechanisms: (1) accommodation of implanted ions into the host lattice [14], and (2) creation of irradiation damage if the incident ion energies are sufficiently high – i.e., a supersaturation of vacancies and interstitials, and their coalescence into extended defects such as dislocation loops and cavities [15–18]. In the former mechanism, lattice expansion occurs as implanted ions become incorporated into the lattice; this lattice expansion is sensitive to crystallographic orientation [19–21] but is typically constrained by the unirradiated substrate, resulting in a biaxial compressive stress [17]. Similarly, in the latter mechanism, compressive stresses are generated by volumetric expansion associated with extended irradiation defects.

The majority of studies on ion implantation-induced stresses and their implications, have been performed on ionically and/or covalently bonded materials, including Si and silicates [16], sapphire [22], Al₂O₃ [17,18], and Synroc B, a ceramic composite intended for radioactive waste immobilization [23], or in glassy materials [24,25]. In these materials that classically exhibit brittle mechanical behaviors, the compressive stresses generated by ion implantation can lead to plastic deformation [26,27] and may result in changes to hardness, flexural strength, fracture toughness, and wear resistance [18]. These induced stresses are sensitive to the implantation

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4 temperature and ion specie [17,18], and generally increase with irradiation dose until a steady-
5 state stress level is reached. The implantation-induced residual compressive stress exhibits a
6 Gaussian depth profile, in which the position of the maximum stress and the area of the
7 distribution are also dependent on the ion energy and specie [14].
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10 In these relatively brittle materials, ion implantation-induced stresses in thin films and
11 nanostructured materials often manifest mesoscopically as bending deflection [16,28]. For
12 example, Arora, et al. [29] shows that 30 keV Ga^+ ion implantation on 190 nm thick amorphous
13 Si_3N_4 cantilevers causes significant stress gradients that fold the cantilever at the irradiated
14 region. Chalifoux, et al. [30] use ion implantation to intentionally introduce stresses that
15 counteract intrinsic stresses retained during the deposition of reflective Cr coatings on Si wafers
16 that result in intrinsic deflections ranging 400-1600 nm. They show that 2 MeV Si^{2+} ions are
17 capable of returning the coated wafers to negligible deflections ≤ 60 nm. A similar study from
18 Bifano, et al. [31] also demonstrates that Ar ion machining-induced compressive stresses can be
19 used to counteract pre-existing curvature in pure Si wafers.
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22 Two other factors that influence stress distributions are sputtering and order-disorder
23 transformations. Particularly in semiconductors and ceramics, stresses generated during ion
24 implantation can at least partially be attributed to irradiation-induced crystalline-to-amorphous
25 [16,22,31,32] or amorphous-to-crystalline transformations [28,33]. During these transformations,
26 the differences in interatomic spacing and atomic volume between the crystalline and amorphous
27 phases inherently gives rise to internal stresses and causes bending [28,32]. Sputtering, which
28 refers to the erosion of surface atoms from the target material due to the incident ion beam, can
29 also affect the resultant stress distribution in the target [29,31]. While implantation-induced
30 stresses are generally compressive, sputtering introduces tensile stresses that can be sufficiently
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4 large as to alter the direction of the mesoscopic bending deflection in the amorphous Si₃N₄ thin
5 film cantilevers [29].
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8 In metallic materials having high plasticity and/or low yield strength, only limited studies
9 have reported ion implantation- or irradiation-induced stresses. The majority of these reports
10 have observed “long-range effects,” a phenomenon in which defect structures form in an ion
11 irradiated and implanted material at depths more than an order of magnitude greater than the
12 projected ion range [34–37]. Long-range effects are often associated with changes to physical
13 and mechanical properties of the material, such as increasing hardness and wear resistance and
14 are thought to be caused by static and dynamic stresses as well as acoustic and elastic waves
15 [34]. Sharkeev and coworkers [34] have summarized reports in the literature of long-range
16 effects and have classified these effects into two categories: (1) formation of dislocation loops,
17 pores, or point defects at unexpectedly deep distances below the ion implantation profile, and (2)
18 formation of dislocation structures below the ion implantation profile. The mechanisms
19 responsible for these classes of long-range effects are not well understood and have not been
20 systematically researched. But in a follow-on study, Sharkeev proposes that the dislocation
21 structures form when ion implantation induces stresses exceeding the yield strength of the
22 material, causing dislocation emission from the implantation zone at sufficiently high velocities
23 such that inertia carries them deeper into the unirradiated substrate [35]. The extent of long-range
24 effects depend on the magnitude and sign (compressive or tensile) of residual stress in the target
25 material [35].
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28 Even fewer reports have observed short-range (i.e., within or adjacent to the implantation
29 region) stress effects due to ion implantation or irradiation in metallic materials. But these few
30 studies highlight the importance of pores or cavities in stress generation. One study from Misra,
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et al. [38] uses 33-330 keV C, Xe, or Ar ion implantation of Cr films having varied residual stresses ranging from tensile to compressive. Films with large tensile residual stresses develop implantation-induced columnar porosity, and the internal stresses reach a tensile maximum before reverting to a compressive stress and tending toward a steady-state. Meanwhile the films with compressive residual stress develop a dense, non-porous implantation microstructure and tend toward a steady-state compressive stress. These behaviors can be explained by the decreasing interatomic distances with increasing irradiation dose [39], potentially due to defect clustering [40]. In another study, Dahmen, et al. [41] intentionally induce sputtering of (100)-oriented Cu crystals using 800-2200 V noble gas ions (Ar, Ne, and He), and measure compressive stresses on the order of 2-15 N/m. They find that the magnitude of stress and the time to stress saturation are dependent on the ion energy and specie and are governed by a competition between sputtering-induced material removal and the outward pressure of the implanted gas ions and the extended gas bubbles they form.

While the literature has shown that ion implantation and gas bubbles play a role in generating stresses, there remains a lack of unifying theory or understanding of stress effects from ion implantation/irradiation in crystalline metallic alloys. The existence of short-range effects of ion implantation/irradiation in metals is itself not a widely acknowledged phenomenon. In the present study, two case studies are considered which provide evidence of short-range stress effects in metallic alloys. In the first case, self-ion irradiation forms an irradiation damage and implantation layer, and subsequently generates dislocation plasticity in the unirradiated substrate. In the second case, noble gas ion implantation is conducted to introduce cavity defects in the implantation zone, which induce localized plasticity. Potential mechanisms of these plastic behaviors are discussed. These findings shed light on a possible phenomenon that may have

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4 significant consequences for future studies that aim to use ion implantation and irradiation to
5 evaluate microstructure evolution and mechanical property changes in metallic alloys. This work
6 also creates opportunities to use ion irradiation to tune properties of metallic alloys in the same
7 manner as can be done in ceramic materials.
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16 2. METHODS 17

18 2.1 Materials & Irradiations 19

20 This work focused on two alloys, a supersaturated Fe-2.55P (in wt%) binary model alloy
21 and the commercial Ni-based Alloy 625, with compositions provided in [Table 1](#). The binary
22 alloy was fabricated as a button using vacuum arc melting at Ames Laboratory, as described
23 more comprehensively in [42]. The Alloy 625 was forged in an ingot form and furnished by the
24 Electric Power Research Institute (EPRI). It was hot-rolled and solution annealed, followed by a
25 two-step heat treatment that was not intended to induce γ' or γ'' precipitation; comprehensive
26 processing details can be found in [43]. It is also worth noting that this identical forging of Alloy
27 625 was included in an extensive neutron irradiation campaign [44–46] and its grain-level stress
28 distributions were shown to be homogeneous through synchrotron X-ray high energy diffraction
29 microscopy (HEDM) with *in situ* straining [47]. Both alloys were cut into matchstick specimens
30 using electrical discharge machining (EDM); matchstick dimensions were 1.5 x 1.5 x 20 mm for
31 the Fe-P alloy, and 2 x 4 x 20 mm for Alloy 625. The matchstick surface was ground using SiC
32 paper, working up through 1600 grit, then sequentially polished in a diamond slurry of 6, 3, and
33 1 μm particle sizes. The specimens were then vibratory polished in 0.5 μm silica slurry for 4
34 hours. Finally, specimens were electropolished using a Buehler ElectroMet 4 operating at 25 V
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4 for 15 sec with a Pt mesh cathode in a 10% perchloric acid and 90% methanol solution held at -
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6 40°C.
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9 The Fe-P specimen was irradiated with 4.4 MeV Fe^{2+} ions at a temperature of $370 \pm 5^\circ\text{C}$.
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11 The Stopping Range of Ions in Matter (SRIM) 2013 software [48] was run in Quick Kinchin-
12 Pease mode [49] to calculate the damage and ion implantation profiles, **Figure 1(a)**. The total
13 ion fluence was 1.66×10^{16} ions/cm², which corresponds to a total damage dose of 8.5 dpa at a
14 depth range of 400-600 nm, for a dose rate of 7.6×10^{-4} dpa/sec. The Alloy 625 specimen was
15 irradiated with He ions at $500 \pm 5^\circ\text{C}$. To achieve an approximately uniform He implantation
16 layer, multiple He energies were used, ranging 200-800 keV. Individual damage profiles for each
17 ion energy were calculated with SRIM using the Quick Kinchin-Pease mode, and were then
18 aggregated into a cumulative implantation profile, **Figure 1(b)**. The relatively uniform He
19 implanted region extended over 500-1500 nm and had a nominal cumulative implantation
20 fluence of 6.5×10^{15} ions/cm². All irradiations were conducted at the Michigan Ion Beam
21 Laboratory using the Wolverine 3 MV tandem particle accelerator (Fe and He >400 keV) and
22 Blue 400 kV ion implanter (He <400 keV).
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43 2.2 Characterization

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45 For Fe-P, grain orientations on the irradiated surface were mapped using scanning
46 electron microscopy (SEM) with electron backscatter diffraction (EBSD), and neighboring grain
47 pairs oriented near (001) and (011) were identified. A TEM lamella was extracted from across
48 the identified grain boundary using the FIB lift-out technique. The resultant lamella was a
49 (001)/(011) bicrystal and contained a cross-section of the irradiation damage and ion
50 implantation profiles. The TEM lamella was welded to a Cu half-grid, then thinned to electron
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transparency of ~80 nm, following procedures as described in [42]. For the irradiated Alloy 625 specimen, a cross-sectional TEM lamella was extracted from a random grain, then prepared following similar procedures as for the Fe-P lamellae. The Fe-P work was conducted in an FEI (now Thermo Fisher Scientific) Quanta 3D FEG dual-beam SEM/focused ion beam (FIB) at the Microscopy and Characterization Suite (MaCS) at the Center for Advanced Energy Studies (CAES), and the Alloy 625 work was conducted on a Thermo Fisher Scientific Helios G4 UX dual-beam SEM/FIB at Purdue University.

TEM characterization of the Fe-P specimen was carried out by tilting each grain to the nearest zone axes, which were [111] and [113] for the (011) and (001) grains, respectively. Selected area electron diffraction (SAED) patterns were collected from both the ion implanted region and the unirradiated substrate to measure the effect of irradiation on the lattice parameter. The microstructures of the irradiated region and unirradiated substrate were imaged using bright field scanning TEM (BF-STEM). All TEM/STEM characterization of the Fe-P lamellae was conducted in the FEI Tecnai TF30-FEG STwin TEM in the MaCS Laboratory at CAES. For the Alloy 625, helium implantation-induced cavities are imaged using the Fresnel through-focus technique. A combination of electron diffraction pattern analysis, high-resolution TEM (HR-TEM), and high-resolution scanning TEM (HR-STEM) were used to confirm phases present and the atomic stacking sequences. At high-resolution, Fast Fourier Transformations (FFT) were used as a surrogate for diffraction patterns to examine nanoscale areas for evidence of secondary phase formation [50]. Energy dispersive X-Ray spectroscopy (EDS) was conducted using a SuperX EDS detector to evaluate chemical homogeneity. All TEM/STEM characterization of Alloy 625 was conducted using a Thermo Scientific Themis Z at Purdue University. In addition, four-dimensional scanning transmission electron microscopy (4D-STEM) strain mapping was

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4 conducted on the He implanted Alloy 625 specimen using the double-aberration-corrected
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6 TEAM 1 microscope at the National Center for Electron Microscopy (NCEM) at Lawrence
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8 Berkeley National Laboratory. The instrument was operated at 300 keV with 0.9 mrad
9 convergence semi angle, 2 Å step size, and 630 mm camera length. Diffraction data was
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11 collected using a Gatan K3-IS electron counting detector located behind a Gatan Continuum
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13 imaging filter. All diffraction data was collected with an energy slit around the zero-loss peak to
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15 suppress diffuse background from plasmon and other inelastic losses. A 20 µm bullseye probe-
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17 forming aperture was used for high-precision identification of peak positions [51], and
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19 py4DSTEM software was used for data analysis [52].
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3. RESULTS

31 The Fe-P bicrystalline lamella has a ~1.3 µm damage and implantation layer below the
32 surface, **Figure 2(a)**. The irradiation damage layer is distinguished by a high density of darkly-
33 contrasting defects in BF-STEM imaging, while the ion implantation region is a dark-contrasting
34 band located ~0.9-1.3 µm below the surface that correlates favorably with the predicted SRIM
35 damage and implantation profiles. The irradiated region of the (011) grain has a higher defect
36 density than the (001) grain, **Figure 2(b-c)**, although this manuscript does not focus on
37 quantifying irradiation defects; complete characterization of the irradiation defects is provided in
38 ref. [42]. Below the irradiated and implanted layer is a layer of linear dislocation-type defects in
39 the unirradiated substrate of both the (001) and (011) grains, which may be either dislocation
40 lines or Frank loops. Note the material is defect-free under similar imaging conditions before
41 irradiation, **Figure 2(d)**. The induced substrate dislocation-type features appear longer and are
42 present a higher linear density in the (011) grain than in the (001) grain. In addition, the
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dislocation-type plasticity in the (011) substrate extends deeper than in the (001) grain. In the (011) grain, the dislocation density over a depth range $\sim 1.3\text{-}1.8 \mu\text{m}$ is $20.8 \mu\text{m}^{-2}$, then decreases to $5.9 \mu\text{m}^{-2}$ over a depth range $\sim 1.8\text{-}3.7 \mu\text{m}$. By contrast, in the (001) grain, the dislocation density over a depth range $\sim 1.3\text{-}1.6 \mu\text{m}$ is only $8.5 \mu\text{m}^{-2}$; the grain is dislocation-free below $\sim 1.6 \mu\text{m}$. Lattice parameters, determined by measuring *d*-spacing from SAED patterns inset in **Figure 2(b-c)**, in the ion implanted region of the (001) and (011) grains are 0.303 nm and 0.304 nm, respectively. Meanwhile, the unirradiated lattice parameter is 0.291 nm [42] as measured in the same Fe-P material and reported in a previous study.

In the He ion implanted Alloy 625, BF-STEM imaging down the [101] zone axis reveals a band of implantation-induced defects at a depth ranging 0.5-1.5 μm , **Figure 3**. The inset diffraction pattern in **Figure 3(a)** indicates the possible presence of hcp martensite in the implantation region, while **Figure 3(b)** points out the He bubbles both existing freely in the microstructure and decorating the martensite features. The average He bubble radius is $3.48 \pm 0.06 \text{ nm}$ and their number density within the implanted region is $3.48 \pm 1.63 \times 10^{21} \text{ m}^{-3}$. A combination of HR-TEM and diffraction of the martensite-like features in **Figure 4** confirms these overlapping bundles of stacking faults on successive $\langle 111 \rangle$ planes form a secondary hcp ε -martensite phase. Diffraction shows two clear lattices, one belonging to the parent γ -fcc phase, and the other belonging to the secondary ε -hcp phase, following the distorted Shoji-Nishiyama orientation relationship (OR) previously reported for deformation-induced martensite in Alloy 625 as [53]:

$$(111)_{\gamma} \text{ // } (011\bar{2})_{\varepsilon}, [110]_{\gamma} \text{ // } [\bar{2}3\bar{2}4]_{\varepsilon}$$

These multilayered banded deformation structures likely include a combination of faulted ε -martensite, deformation twinning, and parent γ -fcc; high levels of strain amongst these features

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4 can explain the distorted OR. Streaks in the diffraction pattern along the {111} direction are
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6 indicative of planar features such as bundles of stacking faults (i.e., ε -martensite) [54].
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9 Since strain-induced martensitic transformations are not conventionally believed possible
10 in high-stacking fault energy (SFE) alloys such as Alloy 625, one can consider the possibility
11 that these features are simply faulted loops. While faulted loops can provide similar diffraction
12 pattern streaks as shown in **Figure 4(a)** inset [55], loops are only a single atomic plane as
13 compared to the multiple atomic-layer features herein. Additionally, close examination of the
14 atomic structure at the features of interest, **Figure 4(b-c)**, reveals a stacking fault on the atomic
15 planes, which is characteristic of an ε -martensite feature, whereas dislocation loops are coherent
16 with the surrounding atoms. Additionally, in **Figure 5**, EDS mapping indicates there is no
17 chemical segregation to the hcp martensites or the He bubbles which preferentially decorate
18 them, confirming that these features are diffusionless or strain-induced. Moreover, these EDS
19 results also rule out the possibility that these features are not likely irradiation-induced, as they
20 are free of radiation-induced segregation.
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23 Additionally, 4D-STEM strain mapping confirms the mechanical nature of these features. A high
24 angle annular dark field (HAADF) image of two intersecting planar martensite features, indicated with a
25 dashed line, with He bubbles arrowed, is shown in **Figure 6(a)**. The resultant maps of principal strains
26 (ε_{xx} , ε_{yy}), **Figure 6(b)**, reveal that atomic planes are in compression (blue) around the planar martensite
27 feature and the bubbles, while the regions further away from these features are in tension (red); there is
28 little shear (ε_{xy}) strain from these features. Note that strains are not absolute strains, but are relative
29 strains within the entire field of view of a single map. Additionally, grain rotation (Θ) occurs between the
30 two intersecting planar martensites, toward the left of the image. While a faulted loop would likely create
31 similar compressive strains in the surrounding atomic planes, the grain rotation cannot be caused by
32 faulted loops, but must be caused by a mechanical shearing effect from the intersection of the mechanical
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4 martensites. Moreover, **Figure 6(c)** shows the [110] zone axis diffraction pattern of the red boxed region
5 from **Figure 6(a)**, revealing streaks along the {111} direction. In FCC materials, planar defects such as
6 stacking faults or twins generate streaks along this exact direction on this exact zone axis [56].
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9 Finally, recent work from Clement, et al. [53] has revealed the existence of fcc-hcp
10 transformations in Alloy 625 due to dislocation pinning at oversized solute atoms that hinder
11 stress relaxation through conventional dislocation plasticity. Clement's work theorized that high
12 strain or high strain rates are necessary for inducing martensitic transformations, though the
13 present observations suggest these transformations may be even easier to initiate. Note that
14 sputtering is not expected to play a significant role in the present results, since sputtering is
15 highly sensitive to crystallographic orientation and the sputtering yield is expected to be low, ~1
16 nm for the ion energies herein [57].
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35 4. DISCUSSION

36 4.1 Irradiation/Implantation Strain in Fe-P and Other Competing Explanations

37 Studies have established that the buildup of implanted ions and point defects results in an
38 increase in the lattice parameter of the target material [19,58–60]. But the presence of
39 dislocations in the unirradiated substrate – which are not present before irradiation – implies that
40 this lattice expansion is associated with sufficient residual stress that plastic strain may be
41 induced. Based on the ion fluence (1.66×10^{16} ions/cm²) in the current study, a total of $2.49 \times$
42 10^{15} Fe²⁺ ions become implanted in a volume of 1.95×10^{16} nm³ (i.e., a 1.5 mm x 10 mm
43 irradiation area x 1.3 μm implantation depth). If this volume is allowed to expand and this
44 expansion is confined to the thickness dimension (i.e., implantation direction), the resultant
45 lattice parameter expansion would be 0.018 nm, or ~6%. However, the actual measured lattice
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expansion is ~ 0.012 - 0.013 nm, representing $\sim 4\%$ expansion (Section 3). This difference in lattice expansion could be explained by relaxation of some stresses on the free surface. Irradiation-induced stress relaxation at free surfaces has been shown to occur in metallic alloys through modification of the dislocation structure [61,62] and through viscous flow, a creep-like mechanism [63].

Carrying the implanted ion calculation further, the calculated volume expansion would generate a strain on the substrate of 7.88×10^{-7} (note an equivalent strain is assumed to be lost to the free surface). This strain is comparable to the compressive strains calculated for other ion implantations in microelectronic materials, when scaling for the total ion fluence [29,31,41,64]. But assuming an elastic modulus for bcc Fe of 213 GPa, the resultant stress on the substrate would be only 0.17 MPa, which is well below the yield stress. However, if the volume expansion also considers irradiation-induced self-interstitials (calculated by SRIM), the strain on the substrate would increase to 4.00×10^{-3} which corresponds to a stress of 851 MPa. This value is likely an overestimate, since SRIM simulations tend to overestimate the amount of implanted ions that get incorporated into the target lattice [65]. Thus, the actual stress applied to the substrate is likely close to the 631 MPa compressive residual stress measured in a stainless steel plate irradiated to similar conditions as the current study (3 MeV Fe^{2+} ions to a fluence of 3×10^{16} ions/cm², measured using depth-sensing nanoindentation by Wang, et al. [66]). Obviously, these simple calculations in the present study ignore factors such as point defect recombination and the formation of extended defects. Nevertheless, these simple stress calculations concur with conclusions from Misra, et al. [38], suggesting that ion implantation alone is likely insufficient to induce plasticity in the substrate, but that the combination of implantation and the production of irradiation-induced defects may generate stresses sufficient to induce substrate plasticity.

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4 In the (011) grain, the longer dislocations, higher linear density, and persistence of
5 dislocations deeper into the substrate imply a higher strain in that grain than in the (001) grain.
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7 This is likely because the (011) plane serves as the primary slip plane in bcc Fe, so critical
8 resolved shear stress (CRSS) may be higher on the active slip system(s) in the (011) oriented
9 grain. However, determination of dislocation type, habit plane, and CRSS across the two grains
10 is beyond the scope of this study. In addition, the higher atomic planar density in the (011) grain,
11 17.17 nm⁻², compared to that of the (001) grain, 12.14 nm⁻², could also lead to greater production
12 of irradiation-induced self-interstitial atoms in the (011) grain. That is, the higher atomic planar
13 density will increase the probability of ion-atom collisions, thus generating more displacements
14 and creating more self-interstitial atoms in the (011) grain; this is corroborated by the higher
15 defect density in the irradiated region of the (011) grain than in the (001) grain. This larger
16 population of defects can generate greater residual stress in the substrate. The crystallographic
17 orientation dependence of the accumulation, morphology, and penetration depth of irradiation-
18 induced defects has been attributed differences in atomic planar density in an fcc Ni-based alloy
19 [67] and in pure W [68].

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31 The existence of a dislocation microstructure below – but associated with – the irradiated
32 layer in the Fe-P alloy is similar to the concept of the long-range effects of ion implantation
33 studied by Sharkeev and coworkers [34,37]. However, true long-range effects are generally
34 observed ~10s of μm below the implantation zone (which can be as shallow as a few ~10s of
35 nm) [37], whereas the dislocations in the present study are confined to <2 μm below the
36 implantation zone. It is worth noting that these depths of long-range effects are not directly
37 correlated to the irradiating ion energy. In addition, ion implantation long-range effect
38 dislocations in ductile bcc metals such as Mo and α -Fe tend to be kinked, cross-slipped, and
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4 form subgrain-like structures [34,35]. By contrast, the dislocations in the Fe-P alloy are linear,
5 with few kinks and limited cross-slip. Subgrain structuring becomes even more characteristic of
6 ion implantation long-range effects in harder materials such as TiN ceramic, in which grain
7 boundaries act as stress concentrators that can emit dislocations to relax stresses [36]. An
8 oscillatory stress field is generated along the interface between the implantation zone and the
9 substrate; dislocation emission and subgrain formation compete to relax these stresses, causing
10 dislocations to penetrate into the substrate if the initial grain size is sufficiently refined [36].
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12 Lacking evidence of subgrain structuring, let alone dislocation kinking or cross-slip, long-range
13 effects are not likely responsible for the Fe-P substrate plasticity observed in the present study.
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16 A competing theory from Lu, et al. [69] suggests that defects can be found beyond the
17 projected ion implantation range due to defect migration during prolonged irradiation. In their
18 study of single crystal Ni, Ni-50Co, and Ni-50Fe irradiated with 3 MeV Au ions to a fluence of 2
19 $\times 10^{13}$ ions/cm², corresponding to a peak dose of 0.12 dpa, they observe dislocation loops and
20 stacking fault tetrahedra (SFT) in the unirradiated, unimplanted substrate. These extended
21 defects are thought to form in the substrate due to point defect and defect cluster migration
22 during irradiation, given the relatively low migration barriers of 0.3-0.4 eV for vacancy clusters
23 and 0.8 eV for vacancy clusters having an SFT-like structure [69]. However, this explanation
24 does not reconcile the sub-implantation microstructure in Fe-P, which is comprised exclusively
25 of dislocations and is absent of irradiation-like extended defects such as loops or SFTs.
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4.2 Role of Irradiation/Implantation Cavities in Strain-Induced Transformations

54 Building upon the observation in Fe-P that the combination of implantation and the
55 production of irradiation-induced defects may generate stresses exceeding plastic yield, we
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consider the role of extended defects – specifically, cavities – in initiating strain-induced phase transformations. Cavities can include vacuum-filled voids as well as gas-pressurized bubbles, which can be difficult to distinguish, especially when they are too small to resolve crystallographic faceting by TEM [70–73]. Often, both irradiation-induced vacancies and gas ions coalesce to form partially pressurized bubbles [74], which create compressive stresses on the surrounding material and can lead to mechanical degradation [75,76]. These stresses can be estimated by considering the associated volumetric swelling [77] using the following form assuming a narrow cavity size and density distribution:

$$\varepsilon = \frac{4}{3}\pi\bar{R}^3\rho_v \quad (1)$$

where \bar{R} is the average cavity radius and ρ_v is their number density. For the He implanted microstructure characterized herein, the calculated swelling is 0.062%. This can be related to the hydrostatic stress induced in the system using the following form [78]:

$$\sigma = \frac{E}{1-2\nu}\varepsilon \quad (2)$$

Where E is the elastic modulus (207.5 GPa) and ν is the Poisson's ratio (0.278).

For a gas-filled bubble to maintain equilibrium, i.e., outward-acting gas pressure in equilibrium with the inward-acting surface energy, the change in free energy of the solid takes the following form [74]:

$$dG = Vdp + \gamma dA \quad (3)$$

$$Vdp = d(pV) - pdV \quad (4)$$

Assuming an ideal gas, pV is constant and $V=4/3\pi R^3$, resulting in the form:

$$\frac{dG}{dr} = -4\pi R^2(p - \frac{2\gamma}{R}) \quad (5)$$

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4 Where γ is the surface energy (2.34 J/m² for Ni [79]). With $dG/dr = 0$ to maintain equilibrium,
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6 the pressure of the gas-filled bubble in the presence of stress is:
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$$p = \frac{2\gamma}{R} - \sigma \quad (6)$$

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12 From Equations 1-6 the pressure of a gas-filled bubble in this study is calculated to be 1344
13 MPa. Alternatively, if the cavity is not subject to mechanical equilibrium, its pressure can be
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15 calculated from the ideal gas law assuming:
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$$p = \frac{3nkT}{4\pi\bar{R}^3} \quad (7)$$

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22 Where n is the number of gas atoms per cavity, k is the Boltzmann constant, and T is the
23 temperature. Given the known irradiation fluence and average bubble radius, the pressure is
24 calculated to be 1129 MPa.
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27 Both of these calculated stresses exceed the nominal yield stress of this same material
28 reported in [78], although the incorporation of irradiation-induced vacancies in the cavities
29 would reduce these calculated stresses. Nonetheless, it is possible that an accumulation of He-
30 pressurized cavities may create sufficient internal strain and accompanying stress to initiate
31 martensitic transformations. Even without internal gas pressure, Mao, et al. [72,80–82] have
32 shown that the energy of the internal surface created by the formation of cavities, can contribute
33 toward offsetting or reducing the critical stress required to initiate martensitic transformations in
34 304L austenitic stainless steel at room temperature ($M_{d30} \sim 20-40^\circ\text{C}$, i.e., temperature at which 50
35 vol% of α' -martensite forms at 30% strain [83]). Molecular dynamics simulations have also
36 confirmed the role of non-pressurized voids in fcc alloys in concentrating stress and enabling
37 martensitic transformations in a concentrated Fe-50%Ni alloy at 300K [84]. Here, then, the
38 combination of cavity surface energies and internal gas pressure, may act synergistically to
39 activate martensitic transformations. That being said, it may also be plausible that early cavity-
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4 induced martensitic transformations subsequently act as preferential nucleation sites for
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6 additional cavities.
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9 The residual stress associated with a He-implanted surface has been quantified by
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11 Hosemann, et al. [85] for the case of He blistering. But whereas the He blister has only a ~few
12 nm of metallic material between the blister and the free surface, the He implanted region in the
13 present study is located ~500 nm from the free surface. Previous studies with self-ion implanted
14 tungsten show that ion implantation-induced strain is limited to the implantation region [86]. It is
15 therefore postulated that the unimplanted region at depths 0-500 nm serves as a quasi-immovable
16 boundary that may limit swelling and maximize pressure within the implanted region. Hence, we
17 treat the cavities as fully constrained and spherical, as opposed to He blisters which grow in
18 essentially one direction by virtue of proximity to a free surface.
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21 It is also worth contrasting that stress introduced by He implantation is relieved within
22 the implanted layer, whereas stress introduced by Fe implantation is relieved in the substrate
23 below the implanted layer. This difference may partially be due to the gas pressure of He
24 cavities, which exert stress somewhat consistently throughout the implanted layer where these
25 cavities are present, owing to the variable He ion energies used. On the other hand, in the Fe
26 irradiated material, we previously state that plasticity is likely caused by irradiation-induced
27 point defects as well as implanted Fe ions. The peak concentrations of these defects and Fe
28 interstitials fall within the depth range ~1000-1500 nm due to the monoenergetic nature of the
29 ions. But since the material at depths <1000 nm is irradiation hardened and more resistant to
30 dislocation plasticity, stress may be more easily relieved by inducing plasticity in the softer
31 substrate.
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4 **4.3 Implications of the Present Findings**
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4.3 Implications of the Present Findings

While the role of ion implantation and irradiation on generating stress in metallic alloys is not surprising, there has previously been little microstructural evidence of such significant short-range irradiation- or implantation-induced plasticity. The present results add further complexity to the already challenging problem of studying the microstructural evolution and mechanical behavior of ion irradiated near-surface layers. In particular, the mechanical behavior of ion irradiated layers has been probed by numerous micro-scale methods, such as nanoindentation [87–96], micro-compression pillars [97,98], and micro-tensile bars [99,100], often through SEM *in situ* [101–104] and TEM *in situ* [105–113] configurations. These micro-/nano-scale loading configurations pose challenges of localizing plastic zones and limiting our ability to extract meaningful quantitative mechanical properties, in part due to strength and stiffness differences between the irradiated layer and the unirradiated substrate, i.e., the “soft substrate” effect [95,105,114–117]. The present findings imply that implantation/irradiation-induced strain hardening in both the irradiated layer and the substrate must be considered when interpreting small-scale mechanical testing data and selecting material properties for finite element analysis models used to aid in data analysis. In addition, TEM microstructure characterization *post mortem* to deformation of ion irradiated materials must be interpreted carefully to appropriately decouple the effects of deformation from irradiation.

5. CONCLUSIONS

The development of stress associated with ion implantation and irradiation has been studied in two metallic alloys: a model Fe-2.55P (in wt%) alloy irradiated with 4.4 MeV Fe²⁺ ions at 370°C, and a commercial Ni-based Alloy 625 implanted with He⁺ ions of multiple

energies. Cross-sectional TEM characterization of both specimens reveals unusual ion implantation- and/or irradiation-induced plastic strain effects. In the Fe-P, dislocation plasticity occurs in the unirradiated substrate, immediately below the ion implantation zone. The extent of this plasticity is greater in an (011) oriented grain than in a (001) oriented grain, due to the critical resolved shear stress together with the effects of atomic planar density on the development of irradiation defects. In the Alloy 625, the fcc-to-hcp strain-induced martensitic transformation is associated with cavities from ion implantation. In both alloys studied, ion implantation and the irradiation-induced defects (point defects and extended defects), act synergistically to introduce sufficient stress in the material so as to cause plastic deformation. The location of the plastic deformation (whether in the irradiated layer or in the substrate) is dependent on the nature of the defects responsible for stress buildup. These findings have significant implications on the evaluation of mechanical properties of ion implanted or ion irradiated materials, but also present the possibility of using ion irradiation or implantation to tune nanoscale mechanical responses of metallic alloys.

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24 DATA AVAILABILITY

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26 Data will be made available upon request.
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31 DECLARATION OF COMPETING INTERESTS

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33 On behalf of all authors, the corresponding authors states that there is no conflict of interest.
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38 CRediT AUTHORSHIP CONTRIBUTION STATEMENT

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40 **Jim Ciston:** Investigation, Writing- review & editing. **Caleb D. Clement:** Conceptualization,
41
42 Funding Acquisition, Investigation, Formal Analysis, Writing- original draft, Writing- review &
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44 editing. **Colin Ophus:** Investigation, Writing- review & editing. **Yongwen Sun:** Formal
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46 Analysis, Writing- review & editing. **Patrick Warren:** Conceptualization, Investigation, Data
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48 Curation, Formal Analysis, Writing- original draft. **Janelle P. Wharry:** Conceptualization,
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50 Funding Acquisition, Writing- original draft, Writing- review & editing. **Yang Yang:** Formal
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52 Analysis, Writing- review & editing.
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TABLES & FIGURES

Table 1: Chemical compositions (wt%) of alloys investigated.

| Alloy | Ni | Cr | Mo | Fe | Nb | Ti | Al | Si | Mn | P | S | C |
|-------------|------|------|------|------|------|------|------|------|------|-------|-------|------|
| Fe-P | — | — | — | Bal. | — | — | — | — | — | 2.55 | — | — |
| 625 | Bal. | 23.7 | 7.58 | 3.52 | 3.57 | 0.31 | 0.31 | 0.20 | 0.42 | 0.006 | 0.004 | 0.01 |

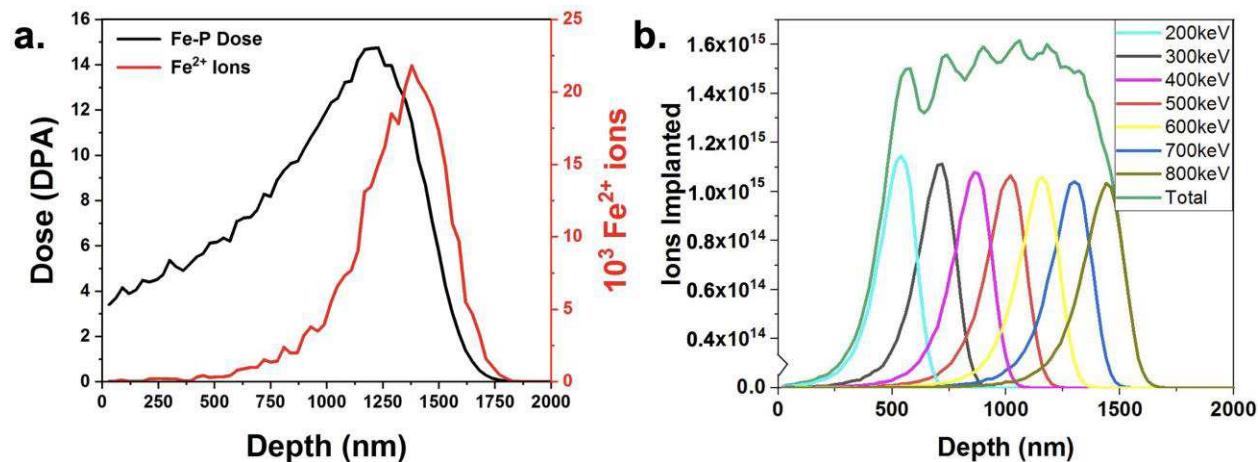


Figure 1: (a) SRIM damage and implantation profiles for 4.4 MeV Fe ions incident on Fe-P alloy; and (b) aggregated SRIM damage profiles and cumulative He implantation for variable-energy He ion irradiation of Alloy 625.

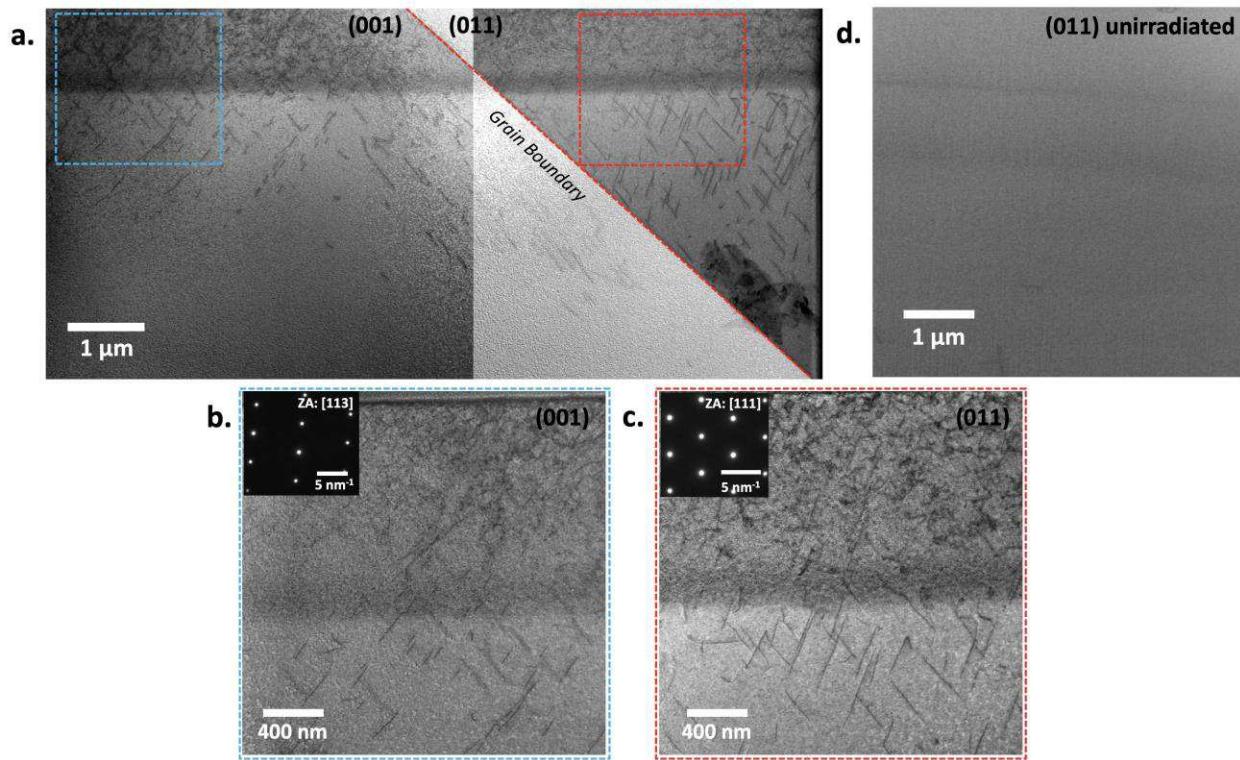


Figure 2: (a) Stitched composite micrograph of (001)/(011) bicrystalline Fe-P lamella grain (left) and (011) grain (right) with grain boundary indicated in red; higher magnification images of (b) (001) irradiated region with unirradiated substrate and (c) (011) irradiated region with unirradiated substrate, showing substrate dislocations; (d) (011) unirradiated Fe-P microstructure is free of dislocations.

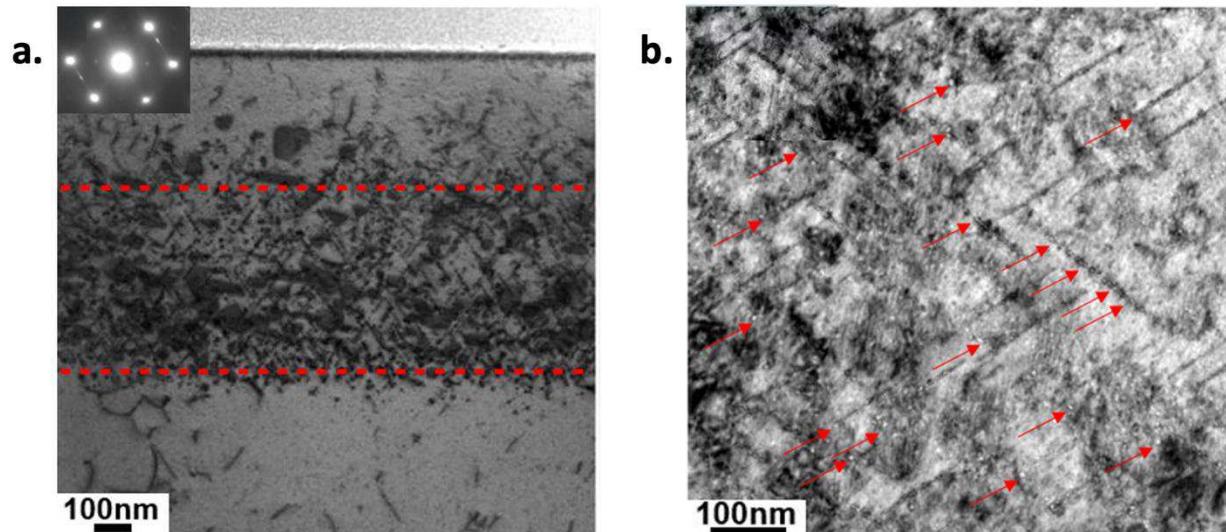


Figure 3: (a) Representative micrograph of He implanted Alloy 625 with dashed lines detailing the 500-1500 nm implantation region, and (b) BFTEM underfocused micrograph with arrows indicating He bubbles in the microstructure.

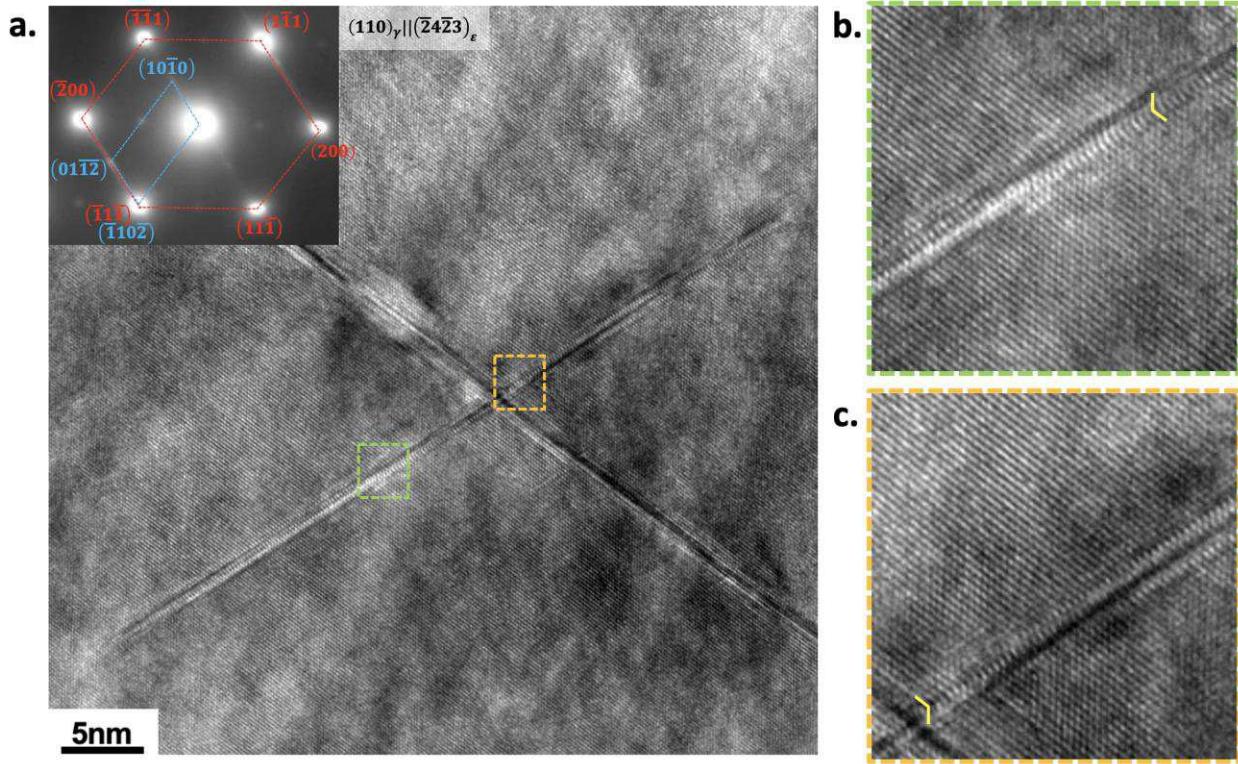


Figure 4: (a) HRTEM micrograph of bubble-decorated intersecting hcp martensites in He implanted Alloy 625 taken along [110] zone axis, with diffraction pattern inset showing indexing describing the distorted fcc-hcp Shoji-Nishiyama orientation relationship; boxed regions are correspondingly shown at higher resolution in (b) and (c) to reveal the stacking fault (marked with yellow arrow) of atoms characteristic of martensite structure.

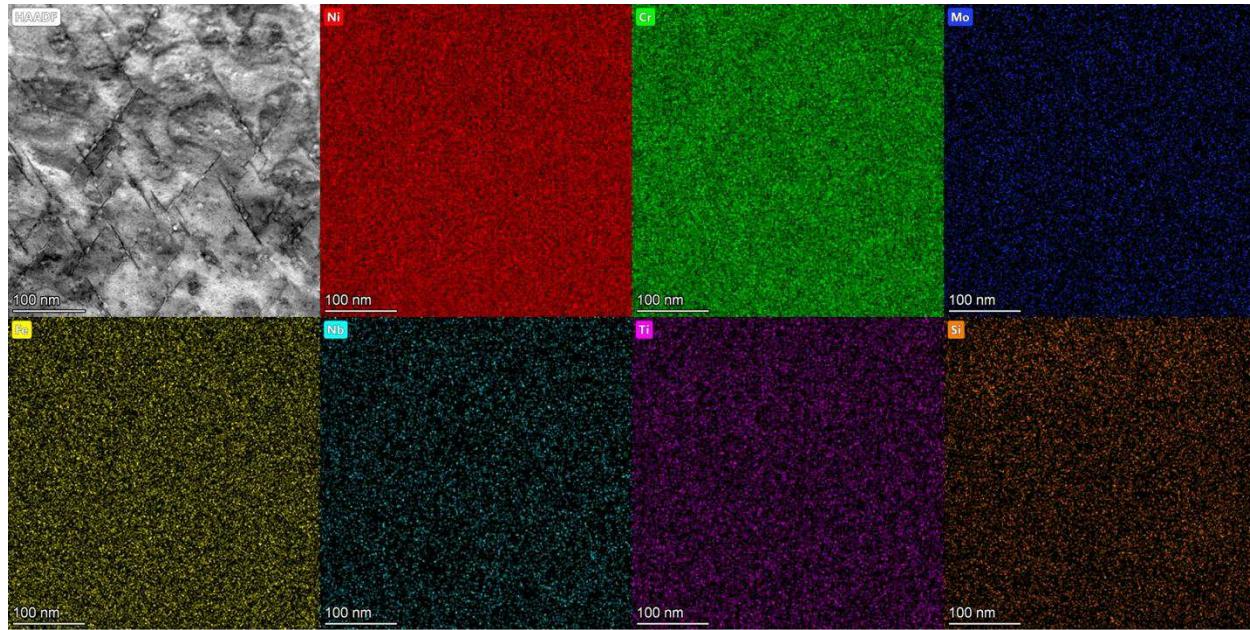


Figure 5: TEM EDS mapping of relevant chemical species showing no chemical segregation to the martensites or bubbles.

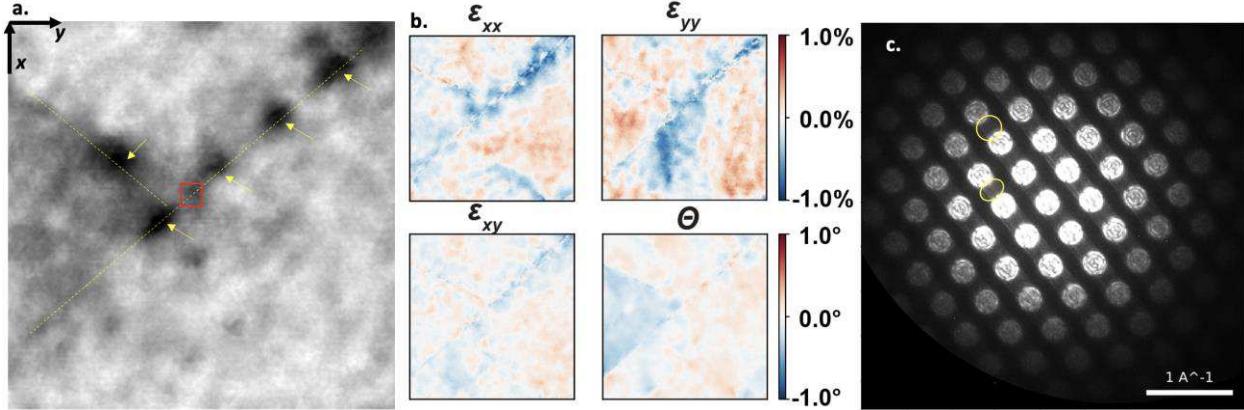


Figure 6. 4D-STEM strain mapping of He implanted Alloy 625; (a) HAADF image with He bubbles arrowed and two intersecting planar martensite features marked by dashed lines; (b) corresponding strain maps showing principal x and y strains (ε_{xx} , ε_{yy}), shear (ε_{xy}) strain, and grain rotation (Θ), with blue indicating compression of atomic planes or counter-clockwise rotation and red indicating tension of atomic planes and clockwise rotation in the strain maps; (c) diffraction pattern of red boxed area marked in (a) with streaks along $\{111\}$ direction on $[110]$ zone, several circled for ease of identification.

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