1	A New Method to Rapidly and Accurately Assess the Mechanical Properties of Geologically
2	Relevant Materials
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8	Abstract
9	A new indentation-based method was developed that will impact and facilitate the
10	elastic property measurements of rocks and minerals, especially those possessing unusual
11	deformation behavior including brittle materials and those with complex architectures. The
12	novel feature employed is a metallic film that uniformly transfers the load from the indenter
13	tip to the sample. The film also absorbs the damage caused by the penetrating indenter,
14	shielding the material from highly localized deformation that can impact its response to
15	loading. Many geologically relevant materials have resisted traditional indentation testing
16	because they are either brittle in nature or possess highly anisotropic architectures, such as
17	layered or lamellar structures. In both cases, the highly localized deformation from direct
18	indentation significantly affects the indenter unloading stiffness, from which the elastic
19	properties are determined. The indirect indentation method developed here, demonstrated
20	accurate determination of the elastic properties of many common geologic materials as well
21	as materials that have resisted elastic characterization such as galena and talc.

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Introduction

25 The elastic properties of rocks and minerals have long been central to understanding and 26 predicting the mechanical behavior of the Earth from a regional to a planetary scale. Recent 27 decades have seen the development of many skillful techniques capable of measuring elastic properties, including their dependence on temperature and/or pressures relevant from the 28 29 Earth's crust to its core. These include electromagnetic radiation (EMR), acoustic emission (AE), micro-seismic (MS), and many others, see (Angel et al., 2009) for a recent review. 30 31 Given these significant advances, the accuracy of deformation models continues to depend on 32 accurate property inputs, which should be reflective of the regional rocks and minerals 33 relevant to the model. In this regard, the local environmental conditions that these materials 34 form and exist in can influence their properties as a function of composition, structure, 35 hydration, and other characteristics (Ersoy and Waller, 1995; Na et al., 2017; Raisanen, 2004; Sun et al., 2017; Tandon and Gupta, 2013). Thus, the mechanical behavior of many geologic 36 37 relevant materials can vary appreciably from region to region (Atkinson, 1976; Blackman et al., 2002; King Hubbert, 1951; Meyers and Chawla, 2009; Riecker, 1984), warranting the 38 39 need for simple, rapid and accurate tests to provide this information. Indentation has long 40 been a popular technique to carry out elastic property measurements due to the minimal 41 sample preparation and the rapid collection of numerous data points, important to robust statistical analyses (Oliver and Pharr, 1992; Oliver and Pharr, 2004). It also enables unrivaled 42 43 spatial mapping of elastic properties to ascertain variations in sample composition, microstructure, and phases (Constantinides et al., 2006; Randall et al., 2009). An additional 44 benefit is that indentation does not require specific expertise or access to special facilities and 45 can be performed at most universities and research institutions. The basic premise involves 46 pressing a sharp diamond tip of well-known geometry into the material while independently 47 recording the load and indentation depth. The resistance to penetration is represented by 48

hardness (H) while the elastic behavior (E) is related to the slope of the unloading curve, the
unloading stiffness (S), as in the following relations (Oliver and Pharr, 1992):

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$$H = \frac{P}{a} \quad \text{and} \quad S = \frac{dP}{dh} = E \frac{2}{\sqrt{\pi}} \sqrt{a} , \qquad (1)$$

where p is the applied indenter load, a is the contact area between the indenter and sample, h is the indenter displacement into the sample surface and E is the elastic modulus of the sample. By oscillating the indenter tip during penetration, both properties can be monitored continuously as a function of depth, termed continuous stiffness (Pharr et al., 2009). The typical indentation test ranges from the nanometer to micron scale and can infer local variations in elastic behavior including; compositional and structural changes, different material phases, interfaces, and many other varying characteristics. (Hintsala et al., 2018).

59 The extraction of the elastic modulus from indentation can be problematic for materials 60 that are brittle or that possess unusual deformation behavior (Chen et al., 2018; Pharr and Bolshakov, 2002), which many rocks and minerals do. For example, brittle materials that 61 62 cannot plastically strain in response to indenter penetration instead generate cracks or other 63 defects. These form during the loading cycle and dissipate energy through the creation of new 64 surface. They have a significant effect on the unloading stiffness (S) as they consume stored 65 elastic energy that would normally push back on the indenter as it is withdrawn. Thus, the 66 extracted elastic modulus is measured to be lower than it actually is. Many geologic materials 67 possess complex architectures whose deformation can alter the contact area with the indenter. 68 For example, lamellar structured materials such as kyanite can deform by large-scale 69 cleavage and sliding of layers relative to one another (Boland et al., 1977; Doukhan and Christie, 1982; Doukhan and Paquet, 1982; Lefebvre, 1982; Lefebvre and Menard, 1981; 70 71 Mikowski et al., 2007; Mikowski et al., 2008; Raleigh, 1965). When indented, the layers 72 themselves do not appreciably strain elastically or plastically. Instead, the sliding translates 73 the concentrated indenter load a distance from the indent's normal area of influence. This

74 wholescale layer sliding will then alter the contact area with the indenter tip, and therefore, 75 the elastic pushback the material would exert when the tip is withdrawn. In other directions, the applied load can cause layers to separate, essentially creating surface and disrupting the 76 77 transfer of load. In all of these cases, the extreme local deformation caused by the indenter 78 penetration results in inelastic damage/deformation that affected the unloading stiffness and 79 therefore, the extraction of the elastic response. There are many other geologic materials possessing complex architectures, silicates for example, which will encounter similar 80 81 problems. The Indirect Indentation Method (IIM) can be employed to mitigate these issues 82 (Chen et al., 2018). Here, the thin metallic film is deposited serves to absorb this inelastic damage while transferring the load to the material in a uniform manner. This enables the 83 84 unloading stiffness to reflect the materials actual elastic properties.

85 The indirect indention method generates a film/substrate composite where both materials 86 contribute to the loading and unloading response. It uses the Zhou-Prorok thin film 87 indentation model to interpret and decouple the film/substrate composite response (Zhou and 88 Prorok, 2010a; Zhou and Prorok, 2010b). This model leverages the King modified Doerner 89 and Nix empirical function (Doerner and Nix, 1986; King, 1987), which is rearranged into 90 the basic form of the inverse rule of mixtures with elastic compliance (Reuss, 1929), see 91 Equation 2. Here, E is the elastic modulus obtained from the indenter, E_f and E_s are the elastic moduli of the film and substrate respectively, v_f and v_s are the film and substrate 92 93 Poisson's ratios, t is the film thickness and h is the indent depth. The weighting factors, in parentheses, are exponential terms that incorporate the Poisson's ratio of each material and 94 account for the lateral elastic interplay between the film and substrate. A principal feature of 95 IIM is that the main constants are all elastic properties of the film and substrate, which are 96 97 usually their bulk literature values. The model has shown to be adept at modelling the 98 composite elastic response of a penetrating indenter obtained by the Oliver and Pharr method

99 (Oliver and Pharr, 1992) for numerous film/substrate composites (Chen et al., 2018; Liu et al.,

100 2011a; Liu et al., 2011b; Sullivan et al., 2015; Sullivan and Prorok, 2015; Xu et al., 2018;

101 Zhou and Prorok, 2010a; Zhou and Prorok, 2010b).

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$$\frac{1}{E} = \frac{1}{E_f} \left(1 - e^{-v_s(t/h)} \right) \cdot \left(\frac{E_f}{E_s} \right)^{0.1} + \frac{1}{E_s} \left(e^{-v_f(t/h)} \right)$$
(2)

103 Two important aspects of IMM are (1) rearranging Equation 2 to decouple the film and 104 substrate contributions and (2) taking advantage of the fact that the weighting factors in 105 Equation 2 are actually specific types of hyperbolic functions. The first is accomplished by 106 dividing both sides by the weighting factor on the film compliance $(1 - e^{-v_s(t/h)})$ as,

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$$\frac{1}{E} \left[\frac{1}{(1 - e^{-v_s(t/h)})} \right] = \frac{1}{E_f} \cdot \left(\frac{E_f}{E_s} \right)^{0.1} + \frac{1}{E_s} \left[\frac{(e^{-v_f(t/h)})}{(1 - e^{-v_s(t/h)})} \right].$$
(3)

The second involves a convenient property of hyperbolic functions in that they approach an asymptote that is easily approximated with a simple linear function. These were found to be 0.5 + h/t for the bracket on the left side and $1/2 + v_f/v_s + (h/t)/v_s$ for the bracket on the right (Batyuskov, 2001), see Equation 4. The result is a linear function with a slope of $1/(v_s E_s)$.

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$$\frac{1}{E} \frac{1}{(0.5+h/t)} = \frac{1}{E_f} \cdot \left(\frac{E_f}{E_s}\right)^{0.1} + \frac{1}{E_s} \left(\frac{1}{2} - \frac{v_f}{v_s} + \frac{h/t}{v_s}\right).$$
(4)

113 The IMM procedure simply involves multiplying the composite modulus from the 114 indenter by the film-side weighting factor to obtain the reduced modulus, left-side of Equation 3 or 4. As the indenter penetrates the film and approaches the film/substrate 115 116 interface, where h/t = 1, the reduced modulus approaches its linear asymptote, whose slope is directly related to the substrate's elastic modulus. The film elastic modulus and Poisson's 117 118 ratio are contained in the constant/intercept of the linear form in Equation 4 and do not influence the magnitude of the slope. Thus, by depositing a thin metallic film and confining 119 the penetration only to the film, IIM can directly measure the elastic properties of a material 120 121 in the absence of extreme deformation events/behavior.

122	The development of geologic-based deformation models depends on knowledge of the
123	constituent material properties for validation and prediction accurately. IIM is an ideal
124	technique for rapid determination of elastic properties for many geologic materials, which
125	can more readily be investigated as a function of composition, structure, hydration, or other
126	physical characteristic. The aim of this work is to demonstrate its ease of use and
127	applicability to standard geologic materials as well as those whose elastic properties have
128	been difficult to ascertain. Talc for example is considered one of the softest minerals as its
129	hardness defines the lowest value on Mohs' Hardness scale (Gerberich et al., 2015; Mohs,
130	1925). However, this intrinsically weak behavior has resisted efforts to measure its true
131	elastic properties, which have scarcely been reported on in the literature. Results of IIM will
132	be presented on typical materials found in geologic settings as well as reliable measurements
133	of elastic modulus challenging materials such as talc and galena.
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134 135	Experimental Methodology
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147	and determine the crystallographic orientation being tested for the single crystal samples.
148	Chromium was chosen as the metallic film to absorb the inelastic damage from the
149	penetrating indenter. It is ductile and has a Poisson's ratio of 0.21 (Samaonov, 1968). It is
150	also easily deposited via sputter deposition (Sullivan and Prorok, 2015) and can wet a wide
151	variety of materials to form a strong interface (Ohring, 2001). Films were deposited using a
152	Denton Discovery 18 sputtering system with substrate rotation to ensure a uniform coating.
153	Process parameters were set at a DC power of 200 W and an argon gas flow of 25 sccm
154	(Liang and Prorok, 2007; Wang et al., 2007; Wang and Prorok, 2008). Chromium film
155	deposition was performed on all samples simultaneously to ensure all minerals possessed
156	films of consistent thickness and morphology. Film thickness was measured on film/mineral
157	cross-sections with a JEOL 7000F scanning electron microscope (SEM). Indent images were

Matarial	Literature Values			Indirect Indentation		
Material	E (GPa) v [ref]			Method E (GPa)		
Chromium	<u> </u>	± 8	v 0.210		E (OF	a)
Kyanite (100)	227	± 30	0.210	(Mikowski et al., 2008; Whitney et al., 2007)	228.6	± 11
Feldspar Orthoclase (002)	89	± 7	0.240	(Christensen, 1996; Whitney et al., 2007)	77.0	± 2
Dolomite (polycrystalline)	53	-85	0.200	(Grady et al., 1976; Viktorov et al., 2014)	93.6	±4
Microcline(polycrystalline)	69		0.245	(Christensen, 1996; Zhou et al., 2016)	73.8	± 3
Obsidian (amorphous)	65	±2	0.185	(Bass, 1995; Husien, 2010)	66.8	±2
Galena (002)			0.270	(Gercek, 2007)	58.2	±2
Beryl (amorphous)	212		0.039	(Yeganehhaeri and Weidner, 1989; Yoon and Newnham, 1973)	214.2	± 7
Calcite (104)	69	±2	0.322	(Fiquet et al., 1994; Redfern and Angel, 1999)	66.3	±2
Quartz	107	± 3	0.079	(Bass, 1995; Gercek, 2007)	97.4	± 4
Talc			0.268	(Bailey and Holloway, 2000)	218.7	± 6

Table 1: Literature values of the elastic modulus and Poisson's ratios of the materials involved and their comparison with results from the indirect indentation method.

160 161 Mechanical Testing 162 The mechanical response of the samples was interrogated with an MTS Nanoindenter XP 163 with a Berkovich diamond tip operated under continuous stiffness mode (CSM). Indents were performed directly on the polished mineral samples and indirectly on the Cr/mineral 164 165 composites. Here, the elastic modulus was measured as a function of penetration depth. The CSM testing frequency was set at 45Hz with a harmonic displacement target of 2nm and was 166 167 conducted under a 0.05 nm/s thermal drift rate threshold. Each sample was indented in a 5 \times 168 5 array with a 100 µm spacing between indents. The elastic modulus was determined from 169 the unloading stiffness (Oliver and Pharr, 1992). The mean elastic modulus of the 25 indents 170 on each sample was reported as a function of indenter depth with error bars representing one 171 standard deviation. Micrographs of indents were acquired by the SEM.

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Data Analysis

The Indirect Indentation Method (Chen et al., 2018) was employed to determine the 174 175 elastic properties of the minerals. The first step was to multiply the mean composite elastic modulus obtained from the nanoindenter by the film-side weighting factor, as per the left-side 176 of Equation 3. Here, the mineral's literature Poisson's ratio (v_s) from Table 1 was used. In 177 fact, any value can be assumed with negligible effects as long as it is within the normal range 178 179 of 0.0 to 0.5. This results in a plot of the reduced modulus as a function of the normalized 180 displacement (h/t), shown later. The slope near the film/mineral interface was determined in the h/t range from 0.6 to 1.0 (Chen et al., 2018) and was equated to $1/(E_s v_s)$, as per the right-181 side of Equation 4. The elastic modulus of the mineral (E_s) was then calculated using the 182 Poisson's ratio (v_s) assumed when obtaining the reduced modulus. The instantaneous slope of 183 184 each reduced modulus data point was then used to calculate the indirect elastic modulus as a

185 function of h/t.

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Results and Discussion

Direct Indentation

189 The materials kyanite (100) and feldspar orthoclase were chosen to demonstrate the 190 applicability of the indirect indentation method to geologic materials. Both materials were indented to a depth of 1 µm, and the measured elastic modulus was plotted as a function of 191 192 displacement into the surface, see Figures 1 (a) and (b). Both material curves begin at values 193 higher than their literature values, denoted by dashed lines and listed in Table 1, and then 194 decrease as the indenter penetrates the materials. The high values at low displacements are a 195 result of the indenter geometry. Although the Berkovich tip has a three sided pyramid 196 geometry, the tip is actually spherical with a radius of 30 to 50 nm. Thus, the first 50 nm or 197 so of contact has more projected contact area than the pyramidal geometry, artificially 198 inflating the modulus values. Neither curve in Figure 1 reaches a point where the modulus 199 remains consistent enough to estimate a value. In fact, the feldspar modulus drops well 200 below its literature value for the majority of the penetration depth. The behavior of both 201 materials indicate that inelastic processes are likely consuming energy that would normally 202 be stored elastically and recovered during unloading.

The load-displacement curves for directly indenting both materials can help explain the varying modulus results, see Figures 2 (a) and (b). As the indenter penetrates both samples, each material resists and absorbs the applied load through elastic and inelastic deformation mechanisms that vary based on the material and its microstructure. The kyanite curve reveals three discrete events where the displacement into the surface increased rapidly, denoted by arrows. These can be explained by large-scale cleavage and sliding of its lamellar structure (Boland et al., 1977; Doukhan and Christie, 1982; Doukhan and Paquet, 1982; Lefebvre,

210 1982; Lefebvre and Menard, 1981; Raleigh, 1965). An electron micrograph of a direct indent 211 made on kvanite is shown in Figure 3(a). Here, the triangular residual indent is seen with 212 lamella sliding occurring on (100) where the face of the indenter tip contacts the material and cleavage along the (010) plane occurring where its edge makes contact, labelled as (1) and 213 214 (2) respectively. The feldspar sample did not exhibit discreet events in its load displacement 215 response, Figure 2(b). However, an electron micrograph of a direct indent, Figure 3(b), 216 reveals that the material experienced significant cracking at the edges of the indenter tip, (3), 217 that continually increased as it penetrated. The large displacement events in the kyanite and 218 the cracking in the feldspar are inelastic defects that consume energy that would normally be 219 stored elastically in their absence. Thus, their irreversible formation influences the unloading 220 stiffness, and thereby elastic modulus, through reduced elastic recovery from the sample. 221 Directly indenting these materials to determine elastic response was hindered by the presence 222 and evolution of these inelastic deformation processes.

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Indirect Indentation

225 A 940 nm thick chromium film was deposited on the samples to shield the materials from 226 the inelastic deformation processes caused by the penetrating indenter. The samples were 227 indented and imaged by the SEM, Figures 3 (c) and (d), and suggest the chromium film was 228 successful in absorbing the majority if inelastic deformation for both materials. Figures 4 (a) 229 and (b) show the elastic modulus results from the nanoindenter for the Cr/mineral 230 composites. Here the results are plotted as h/t to reflect how far the indenter has penetrated into the film, which is the base form of the hyperbolic determination analysis. As the film 231 thickness was 940 nm, this scale is comparable to the results in Figure 1, which was plotted 232 233 as h for an indent depth of 1000 nm. The results from both materials show improved progression to consistent elastic modulus values with increasing h/t over the direct 234

indentation results. The kyanite sample appears to level off after an h/t of 0.5 is reached while
the feldspar sample has not yet reached a consistent value. The chromium/Kyanite value is
very similar to its literature value of 227 GPa (Mikowski et al., 2008; Whitney et al., 2007),
denoted by the dashed line in Figure 4. However, this is only a convenient happenstance as
the chromium film possesses a very similar elastic modulus and Poisson's ratio as kyanite,
see Table 1. Thus, the two materials, are elastically similar.

241 In order to begin the hyperbolic analysis of the indirect indentation model, the reduced 242 modulus was determined for both materials. This was accomplished by multiplying the mean 243 composite elastic modulus obtained from the nanoindenter by the film-side weighting factor, 244 as per the left-side of Equation 3. A Poisson's ratio of 0.24 and 0.29 was assumed for kyanite 245 and feldspar respectively, see Table 1. Figures 5 (a) and (b) plot the reduced modulus as a 246 function of h/t for both materials. After penetrating an h/t of 0.4 into the film, both materials exhibited a strong linear behavior, denoted by the dashed lines. The slope of these lines was 247 248 determined by liner regression for all points in the h/t range of 0.6 to 1.0 as per the method development (Chen et al., 2018). Slopes of 0.016833 GPa⁻¹ and 0.044482 GPa⁻¹ were found 249 250 for the kyanite and feldspar samples respectively. Using the assumed Poisson's ratios of each 251 material, the elastic modulus of the kyanite was calculated to be 228 \pm 11 GPa and 77 \pm 2 GPa 252 for feldspar, which match rather well with the literature values in Table 1. The indirect 253 hyperbolic analysis was applied to each individual data point through the instantaneous slope. 254 This yielded a plot of the indirect measured elastic modulus of the mineral as a function of 255 penetration depth into the film (h/t), see Figures 6 (a) and (b). When both materials reach an h/t of 0.6 or higher, their measured elastic modulus reaches a consistent value numerically 256 257 similar to their literature value, the dashed lines. This method was repeated for the other geologic relevant materials listed in Table 1 with results plotted in Figure 7 (a). Here, the 258 259 reduced modulus for the remaining materials is plotted in Figure 7 (a) and their indirect

260 measured modulus in Figure 7 (b). All of the materials attained a strong linear relationship in the method's h/t range of 0.6 to 1.0, enabling their elastic modulus to be determined, see 261 262 Table 1. The indirect indentation results for all of the materials matched well with the 263 average literature values but also varied somewhat. These differences likely reflect variations 264 in compositions, microstructure and other characteristics that play a role in mechanical 265 behavior. All materials also exhibited very stable values of indirect modulus in the same h/t range. In fact, all materials, with the exception of Galina, achieved stable values around an 266 267 h/t value of 0.4, which is less than half the film thickness. Finally, the indirect indentation 268 method was adept at obtaining very stable elastic moduli for Galena and Talc. These two 269 materials have been historically difficult to measure due to their wide variability in 270 deformation based on impurity content, hydration, pressure and unusual deformation 271 (Stixrude, 2002). In fact, the indirect indentation method would be an ideal method to 272 investigate and discern any variation in mineral elastic behavior as a function of composition, 273 formation conditions, and other physical differences.

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Implications

This work has demonstrated that indirect indentation method, which employs a 276 277 metallic film to absorb damage from the penetrating indenter, was adept at extracting elastic 278 moduli from several geologically relevant rocks and minerals. Measured values of elastic 279 modulus matched rather well with the literature for all materials tested. Tested materials 280 included natural rocks and minerals that possessed unusual deformation behavior including brittle materials and materials with complex architectures and deformation behavior. In 281 282 addition to absorbing the highly localized deformation from the indenter, the metallic film was successful at containing the sample deformation to within the elastic regime, enabling it 283 284 to be directly measured with IIM. Furthermore, IIM was also successful in establishing the

285	elastic modulus of talc and galena, whose elastic behaviors have been difficult to ascertain.
286	This new method will enable geological scientists and engineers to rapidly determine the
287	elastic behavior of most rocks or minerals in a simple manner with a robust statistical
288	response. It will also facilitate investigations of their elastic properties as a function of
289	composition, structure, hydration, or other physical characteristic. This will undoubtedly
290	impact the development of geologic-based deformation models through knowledge of the
291	constituent material properties for validation and prediction accurately.
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446	Figure Captions
447	Fig. 1. Direct indentation results of Kyanite (a) and Feldspar (b) showing the elastic modulus
448	versus displacement into the surface. The dashed line represents the literature values of each
449	material given in Table 1.
450	
451	Fig. 2. Load on sample versus displacement into surface for directly indenting Kyanite (a)
452	and feldspar (b). The arrows highlight several pop-in events during penetration.
453	
454	Fig 3. Scanning electron micrographs in secondary electron mode of residual indents on the
455	kyanite, direct indent (a) and indirect indent (b), and feldspar, direct indent (c) and indirect
456	indent (d).
457	
458	Fig. 4. The indirect indentation results of Kyanite (a), left, and Feldspar (b) showing the
459	elastic modulus versus displacement into the surface. The dashed line represents the literature
460	value of each material from Table 1.
461	
462	Fig. 5. The calculated reduced modulus results of kyanite (a) and Feldspar (b). The dashed
463	line represents the linear regression of reduced modulus from 0.6 to 1.0 h/t.
464	
465	Fig. 6. The calculated indirect substrate modulus results of kyanite (a) and Feldspar (b). The
466	dashed line represents the literature value for each material given in Table 1.
467	
468	Fig. 7. The calculated reduced modulus (a) and indirect substrate modulus results (b) for the
469	other geological materials tested.



Figure 1



Figure 2



Figure 3



Figure 4



Figure 5



Figure 6



Figure 7