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# **Orientation and deformation conditions dependence of**

# 2 dislocation substructures in cold deformed pure tantalum

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## 11 Abstract

12 The evolution of dislocation arrangement during deformation can lead to the development of 13 dislocation substructures which have direct consequences on the subsequent microstructural evolutions. Dislocation densities and substructures of various deformed microstructures of 14 15 pure tantalum are analyzed in order to study the influence of deformation conditions. Electron BackScatter Diffraction (EBSD) and Electron Channeling Contrast Imaging (ECCI) are used 16 in order to characterize the development of dislocation substructures. Investigation at grain 17 scale shows the orientation dependence of the deformed state with the highest dislocation 18 content for y-fiber grains. This fiber appears to be quite stable in compression but less in 19 20 rolling. Investigation at dislocation substructure scale highlights the influence of orientation on dislocation substructure forming. Developed substructures are present in the interior of y-21 fiber grains. The evolution of the disorientation and size of substructures with strain depends 22 greatly on the initial fraction of y-fiber in the microstructure. Models describing these 23 evolutions are proposed for y-fiber grains. On the basis of the present analysis it is 24 25 concluded that dislocation density parameter does not allow transcribing the differences of 26 substructural development.

27

## 28 Keywords

29 Tantalum; Cold deformation; Dislocation; Substructure; Crystallographic orientation; EBSD

## 31 **1. Introduction**

During cold deformation of a metallic alloy, a small amount of work (≈ 1%) is stored in the material and is correlated to generated dislocations [1]. This stored energy is the driving force for several thermally activated physical mechanisms during subsequent annealing such as recovery and recrystallization. These mechanisms determine the mechanical properties of the final part [2,3] therefore it is crucial to analyze and quantify the stored energy distribution in order to model recrystallization.

Tantalum is a bcc high density (16654 kg.m<sup>-3</sup>) refractory metal ( $T_m = 2996^{\circ}C$ ) [4]. Thanks to its high ductility at room temperature, it can be employed to cold form parts with complex geometries with minimum damage risks. Pure tantalum and tantalum alloys have been used in many fields such as medical field, electronics or chemical industries for instance [5,6].

42 For body centered cubic (bcc) materials, three slip systems can be activated: {110} <111>, {112} <111> and {123} <111>, all three having the same slip direction giving dislocations the 43 possibility to move from one slip plane to another [7]. The activation of those slip systems 44 depends on deformation temperature, strain rate, chemical composition and crystal 45 46 orientation [1,7]. For Ta, it was generally observed that even though slip activity is mainly on 47 {110} planes, it is also present on plane with maximal resolved shear stress [8]. Moreover, 48 stacking faults have been rarely observed experimentally for bcc materials and the 49 computation of energy with voluntarily created stacking faults has confirmed that stable faults are unlikely to exist. Therefore, the stacking fault energies are often estimated only 50 theoretically with some assumptions [9,10]. The ease of cross slip suggests a very similar 51 dislocation behavior to high stacking faults face centered cubic (fcc) materials [7] such as 52 53 aluminum. With cross slip ability, dislocations tend to form well-organized substructures during plastic deformation. 54

Due to the micrometer range of substructures, Transmission Electron Microscopy (TEM) is 55 mostly used to characterize microstructures. Size and shape of substructures were mainly 56 studied in deformed fcc metals such as AI [11-14], Ni [15,16], Cu [14,17] or austenitic 304L 57 58 stainless steel [15]. Results have shown the decrease of substructure size with increasing strain. The work of Gil Sevillano et al. [18] revealed that a wide range of materials displayed 59 a similar behavior including bcc materials and experiments on cold worked Nb [19] and iron 60 [20] have confirmed this observation. The evolution of the substructure disorientation with 61 deformation has also been investigated but to a lesser extent. Some studies on this topic 62 have been carried out on bcc materials such as iron [18,20] but most of the investigations 63 have been realized once again on fcc materials in particular on AI [11-14,21,22]. It has been 64

found that generally the substructure disorientation increased with strain. An attempt to 65 determine a universal behavior of dislocation substructures has been done. For that purpose, 66 substructures boundaries, also named subboundaries, were classified in two different types 67 68 [23]: Incidental Dislocation Boundaries (IDBs) and Geometrically Necessary Boundaries 69 (GNBs). Pantleon and Hansen [24] demonstrated that the disorientation distribution of dislocation boundaries can be described with a Rayleigh function of IDBs and GNBs. 70 71 Pantleon [25] demonstrated that the saturation of boundaries disorientations frequently 72 observed is an artefact due to both the threshold disorientation angle used to differentiate 73 dislocations boundaries from grain boundaries and the superposition of IDBs and GNBs.

Electron Back Scatter Diffraction (EBSD) technique has emerged in the last decades and 74 75 became a powerful tool to characterize microstructures. Although the limiting factor of EBSD 76 concerning its angular resolution ( $\approx 0.5^{\circ}$ ), this technique provides data of much better 77 statistical relevance than TEM data thanks to bigger analyzed surfaces. Therefore, a 78 quantitative characterization of dislocation substructures on larger scales is achievable. Similarly to TEM studies, pure AI and AI alloys deformed microstructures have been 79 intensively characterized with EBSD technique [26-29]. The observed evolutions of 80 substructure size and disorientation were consistent with TEM observations. Less 81 investigations on bcc metals such as pure Nb [30] or pure Ta [31,32] have been generally 82 carried out but have also reported similar results. 83

The influence of crystallographic orientation on grain deformation has been also a topic 84 extensively under investigation. In order to have a better understanding of the 85 recrystallization texture, Dillamore et al. [33] observed with TEM technique that substructure 86 size and disorientation were orientation dependent for cold rolled iron. Substructure size 87 decreased and disorientation increased as the rolling plane of the grains rotated from {001} 88 to {110} around the rolling direction <110>. Similar orientation dependence for the stored 89 energy has been found on rolled steel using a X-ray line broadening method [34] and more 90 91 recently on cold worked high purity iron using a high resolution X-ray method [35]. Orientation dependence of substructure development has been also observed for fcc metals 92 such as for rolled pure AI [36] characterized with TEM technique where the substructures 93 properties evolved differently depending on the considered rolling texture component. 94 Complementary information on the deformation substructures have been found with EBSD 95 investigations for instance on Al alloy [28] where it has been shown that the crystallographic 96 97 orientation influenced mainly the substructure disorientation but not much their size. For the specific case of pure Ta, this influence has been also studied and the work of Sandim et al. 98 99 [37] on cold rolled coarse-grained high-purity Ta has clearly illustrated it with two grains with 100 different substructure development: one grain subdivided into regions with a large range of

disorientations whereas the other one deformed in a more stable way with low misoriented subboundaries. Moreover, EBSD investigations on cold rolled pure Ta [38–40] have shown that more generally grains with the direction <111> parallel to the normal direction of the sheet contained more substructures and had a higher stored energy, quantified with the quality of EBSD patterns, than grains with the direction <100> parallel to the normal direction.

Although these previous studies have indicated that individual grains behaved quite 107 differently during the deformation because of crystallographic orientation, existing literature 108 109 has not reported quantitative characterization of the evolution of the spatial distribution of substructures with strain for pure Ta. Indeed, not only the disorientation of substructures is of 110 111 interest but also the spatial organization of the substructures has to be studied because it 112 can impact the subsequent annealing mechanisms. For instance, Yu et al. [41] have found 113 that the triple junction formed by the substructures in cold rolled AI may act on recovery and 114 on recrystallization. The triple junction motion during recovery allowed a structural coarsening and the formed equiaxed structures might represent possible nuclei for 115 recrystallization. 116

In the current investigation, the evolution of dislocation substructures during room 117 118 temperature plastic deformation is investigated in pure Ta. Samples were deformed by 119 uniaxial compression and rolling. An investigation of the orientation dependence of 120 dislocation content and dislocation substructure development is performed. Two scales of observation with the EBSD technique are used in order to characterize the deformed 121 microstructures. Firstly, at grain scale to examine the evolution of the texture and of the 122 dislocation density with increasing strain. Secondly, at dislocation substructure scale to 123 observe and quantify with a lower resolution the spatial distribution and development of 124 substructures. Correlations between macroscopic and microscopic observations are then 125 discussed. Parameters to quantify substructure development are defined and models for its 126 evolutions with strain are proposed. 127

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#### 129 **2. Material preparation and SEM characterization**

For microstructural analysis, surfaces were prepared by mechanical polishing up to 4000 grit SiC paper. Several papers were used for each step to ensure the removal of the hardened layer of the previous step and not simply erase the previous scratches. A chemicalmechanical polishing was then performed with a colloidal silica suspension with an average

particle diameter of 20 nm. The samples were finally etched with a solution of 25% HF and 75% HNO<sub>3</sub> for several seconds.

EBSD scans were performed on a Carl Zeiss Supra40 Field Emission Gun Scanning 136 Electron Microscope (FEG-SEM) operated under 20 kV with a Bruker Quantax system 137 comprising a FlashHR EBSD detector and the Esprit 2.1 EBSD software package. EBSD 138 maps were acquired at the samples mid-thickness. For intergranular observations, an 139 acquisition step size of 1.20 µm was used over a rectangular area of 1.20 mm × 0.90 mm. 140 This measurement step size was chosen to achieve a compromise between the 141 measurement area and the spatial resolution in order to have statistically relevant data. For 142 intragranular observations, EBSD maps with an acquisition step size of 90 nm were 143 144 performed in the interior of the grains. This measurement step size allows the distinction of close dislocation subboundaries even in the most deformed cases. For EBSD data 145 146 treatments, MTEX toolbox was used [42]. Electron Contrast Channeling Imaging (ECCI) 147 micrographs under 30 kV with a backscatter electron detector were also performed at this scale for a direct observation of dislocation substructures. 148

149

#### 150 **3. Initial state**

The as-received material is a sheet of 12 mm thickness of pure tantalum (> 99.99% wt) that 151 was subject to cold rolling then to a recrystallization heat treatment. The initial fully 152 recrystallized microstructure exhibits heterogeneities between the center and the guarter 153 layer (3 mm from the center) of the sheet as illustrated in Fig. 1. In order to study texture 154 evolutions, grains were classified into the following three groups based on their average 155 orientations: the  $\theta$ -fiber grains with <100> parallel to the normal direction of the sheet (ND)<sup>1</sup>, 156 the y-fiber grains with <111> parallel to ND and the "other" grains which refers to any grain 157 not belonging to the two previous fibers. A 15° tolerance was used to perform this 158 classification. 159

160 The  $\gamma$ -fiber is very intense at the center of the sheet (approximately 81% in grain surface 161 fraction in Fig. 1a and see also the high intensity in {111} pole figure of Fig. 1c). For the 162 microstructure in the quarter layer, the distribution of orientations is more homogeneous with 163 a weaker  $\gamma$ -fiber and a stronger  $\theta$ -fiber as illustrated in Fig. 1b and 1d. This variation of

<sup>&</sup>lt;sup>1</sup> The initial sheet was received in the form of a disc and the direction of the last rolling pass is unknown. The samples being taken from different locations on the sheet, the Radial Direction RD and the Transverse Direction TD are only indicative. On the other hand, ND stands for the real macroscopic normal direction of the initial sheet and is common to all the samples. Therefore, it is the reference direction used for all this study.

orientation can be attributed to the last stage of cold rolling before the recrystallization treatment in the sheet forming process. Indeed, as observed both on bcc and fcc metals [43,44], the effect of friction between the rolls and the sheet during cold rolling can induce shear components near the sheet surface and then leads to through-thickness texture heterogeneities.

The two observed microstructures show also a difference of grain size with larger grains in the center than in the quarter layer, i.e. 156 µm and 108 µm for the average equivalent diameter weighted by surface respectively (grains on the edges of EBSD maps were not included in the calculation of grain sizes). Grains with an area smaller than 5 pixels were excluded from analysis and the threshold disorientation angle of 10° was considered to define grain boundaries.



175

Fig. 1. Electron Back Scatter Diffraction (EBSD) orientation maps of the as-received material for (a) the center of the sheet (samples used for compression) and (b) the quarter layer at 3 mm from the center (samples used for rolling) (Normal Direction ND projected onto the standard triangle; RD: Radial Direction). Grain boundaries are plotted in white and black lines for the center and the quarter layer of the sheet respectively (10° disorientation angle threshold). (c) and (d) corresponding pole figures for the two locations respectively (TD: Transverse Direction).

In order to have a macrotexture information of the initial state, an X-ray diffraction instrument (Panalytical<sup>®</sup> X'Pert<sup>3</sup>) with Cu K $\alpha$  radiation (45 kV/30 mA) was used at the center and at the

quarter layer of the sheet in the RD-TD (transverse direction) plane. Pole figures of {110}, 185 {200}, {211} and {222} were measured with a tilt angle from 0° to 69° with a step size of 3°. 186 The orientation distribution functions (ODFs) were calculated from the above four poles 187 188 figures using the MTEX toolbox [42] taking into account the noise effect and the ghost problem. As bcc materials often exhibit fiber textures after cold rolling or recrystallization, it is 189 usual to represent the ODFs in the Euler space, in particular in the section  $\varphi_2 = 45^\circ$  where  $\theta$ -190 fiber and y-fiber can be found as illustrated in Fig. 2c [1]. The macrotexture acquired at the 191 192 center and at the quarter layer of the initial sheet are shown in Fig. 2a and 2b respectively. 193 Results confirm the difference of texture between these two locations previously observed 194 with the EBSD technique in Fig. 1c and 1d. {111} <110> orientations of y-fiber appear to be 195 very predominant at the center whereas  $\{001\} < 100$  and  $\{001\} < 110$  orientations of  $\theta$ -fiber prevail at the quarter layer but in a lesser extent with more uniformly distributed orientations. 196 Moreover, the macrotexture obtained by XRD technique can be compared quantitatively to 197 198 the microtexture obtained by EBSD technique as shown in Fig. 2d. For the guarter layer the two techniques display similar results concerning the fraction of each class of orientations. 199 For the center more differences can be seen, in particular for the  $\gamma$ -fiber with a weaker 200 fraction with the XRD technique (≈ 18% less). This difference can result from the statistical 201 202 relevance depending on the used technique or from spatial heterogeneities of texture in the initial sheet. As shown in Appendix A with EBSD maps ten times larger than the ones of 203 Fig. 1, the dominance of the y-fiber can vary by more than 10% depending on the position at 204 205 the center of the sheet. This variation can explain the difference observed between XRD and EBSD results. Therefore, as these two techniques give close trends concerning the texture, 206 207 only the EBSD technique is used in the following.



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Fig. 2. ODF sections ( $\varphi_2 = 45^\circ$ ) for (a) center and (b) quarter layers of the initial sheet; (c) location of fibers and main texture components found in the section  $\varphi_2 = 45^\circ$  of the Euler space; (d) comparison of fraction of each class of orientations between EBSD (grain surface fraction) and XRD techniques for center and quarter layers.

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#### 214 **4. Deformed microstructure**

#### **4.1. Deformation conditions**

Cold rolling and uniaxial compression tests were performed in order to study deformed 216 microstructures. For both deformation modes, parallelepipeds were taken from the initial 217 sheet at different locations as illustrated in Fig. 3a. For compression tests, samples were 218 219 machined in the total thickness of the parallelepipeds. Therefore, the initial state of the compressed samples at the center is the one presented in Fig. 1a. The compression 220 221 direction CD is parallel to the normal direction ND of the initial sheet. In order to obtain a strain gradient in one sample, two double-cone geometries, presented in Fig. 3b, were 222 223 chosen. The von Mises equivalent plastic strains ( $\varepsilon_{VM}$ ) of the deformed samples were 224 determined using finite elements simulation with Forge® software as illustrated in Fig. 3c. The 225 constitutive laws used were taken from the work of Kerisit [45]. For the friction between the 226 tools and the sample, a Tresca law was used with a friction coefficient of 0.4, determined by 227 minimizing the difference of geometrical bulge between experimental and simulated compression on cylinder. The two geometries used for this study lead to a  $\varepsilon_{VM}$  that ranges from 0.05 to 0.65 and from 0.15 to 1.09 respectively. The geometry 1 enables the observation in detail of low strain case and higher strains can be reached with the geometry 2.

232 For cold rolling, parallelepipeds were taken from the initial sheet and cut into two identical halves (Fig. 3a). The obtained halves of around 5.9 mm thickness were used as samples for 233 rolling. Therefore, the initial state of the rolled samples at the center is the one presented in 234 Fig. 1b. The normal and the rolling directions of the rolling are parallel to the normal direction 235 ND and to the radial direction RD of the initial sheet respectively. With a 54 mm diameter 236 rolling mills and a rotation speed of 4 m/min five samples were cold rolled in several passes 237 238 (0.05 mm per pass) with lubricated rolls. Five different total thickness reductions of 38%, 239 45%, 58%, 68%, and 76% were obtained, resulting in five von Mises equivalent plastic 240 strains ( $\varepsilon_{VM}$ ) respectively of 0.56, 0.70, 1.00, 1.33, 1.67 [46]. The ratio of the contact length 241 between the rolls and the sheet, *l<sub>c</sub>*, to the sheet thickness, *d*, was kept between 1 and 5 to ensure homogeneous deformation [44,47]. Moreover, a systematic rotation of the sample of 242 180° along the transverse direction was performed between the rolling passes. 243



Fig. 3. (a) Sketch representing where the samples for compression and rolling are taken from the as-received sheet; (b) double-cone sample geometries; (c)  $\varepsilon_{VM}$  in the CD-RD plane after compression (CD: Compression Direction and RD: Radial Direction). Note that CD is the ND of the initial sheet. Black rectangles show examined regions with SEM.

Deformed microstructures were characterized in terms of texture evolution and dislocation substructure development in the following sections. Observations are discussed in light of the difference of texture between the initial states of compressed and rolled samples and not in light of the difference of deformation mode. The influence of deformation mode is beyond the scope of this paper.

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## **4.2. Texture evolution**

EBSD maps of samples deformed by compression, with geometry 1 and 2 (Fig. 3b), and by rolling are presented in Appendices B, C and D respectively. The respective evolutions of  $\theta$ fiber,  $\gamma$ -fiber and "other" orientations with strain are detailed quantitatively for the compressed and for the rolled samples in Fig. 4a and 4b respectively.

For both geometries of compression samples, the  $\gamma$ -fiber remains stable and very intense 260 with strain. For geometry 1 samples, the surface fraction of y-fiber grains is around 90% for 261 all studied strains with a maximum of 96% for the highest strain. For geometry 2 samples, 262 the surface fraction of  $\gamma$ -fiber grains is around 65% and of  $\theta$ -fiber grains around 20% for all 263 264 strains. In both cases, plastic deformation does not seem to modify the crystallographic texture. The difference between the two cases is attributed to the initial state where the 265 dominant y-fiber is present between 70% and 80% depending on the location of EBSD maps 266 267 as illustrated in section 3 and Appendix A. The observations made in Fig. 4a and the stability 268 of the  $\gamma$ -fiber during uniaxial compression are consistent with the formation of fiber textures 269 regularly found for bcc materials [48,49].

270 In the case of rolled samples, more variations of texture were observed. In the initial state the y-fiber and the  $\theta$ -fiber represent around 10% and 30% respectively as shown in Fig. 4b. For 271  $\varepsilon_{VM} \approx 0.56$ , the y-fiber is more intense and this can be surely related to the compression 272 273 components at the center of the sheet. Above this strain, the intensity of y-fiber continuously decreases with strain to the benefit of the two other classes of orientations, in particular the 274 275 "Other" one which reaches more than 50% of the total surface. This decrease was also 276 reported on previous experiment on pure Ta [50] and can be attributed to the same effect of 277 friction between the rolls and the sheet already observed on starting material. Indeed, the 278 superposition of added shear components to already present compression components might lead to a more randomized texture [43,44]. For small reductions, this effect is restricted 279 to a layer near the surface and with increasing reduction it impacts deeper layers. For 280 example, for  $\varepsilon_{VM} \approx 1.33$  and 1.67 the thickness of the samples is 1.9 mm and 1.4 mm 281 respectively. Considering the width of EBSD maps (0.9 mm), a larger part of the 282

characterized surface contains zones impacted by the friction which tends to decrease the intensity of  $\gamma$ -fiber and randomizes the texture. Furthermore, it can be noted that the  $\alpha$ -fiber, another fiber generally composing the texture of cold rolled bcc materials [1,50], remains quite stable during rolling in the present case with a surface fraction of  $\alpha$ -fiber grains between 32% and 46%.



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Fig. 4. Evolution of  $\theta$ -fiber,  $\gamma$ -fiber and "other" orientations with strain for (a) compressed samples and (b) rolled samples.

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## **4.3.** Deformation induced grain subdivision

## 4.3.1. Intergranular analysis

294 Ashby's classification distinguishes Statistically Stored Dislocations (SSDs) from Geometrically Necessary Dislocations (GNDs) [51]. These two types have a distinct nature. 295 SSDs are created under homogeneous plastic deformation and do not imply orientation 296 297 gradient whereas GNDs are created for the accommodation of heterogeneous plastic deformation and imply significant orientation gradient. As SSDs are redundant whereas 298 299 GNDs are not, the acquisition step size and the technique resolution for the orientation measurement affects the distinction between them. Indeed, depending on the step size, 300 301 dislocation may be considered redundant or not. Hence, the use of a physically based 302 classification (SSDs and GNDs) to define quantities that are mainly distinguished by scale effects and step size choice may be misleading. Therefore, dislocation densities estimated 303 304 from EBSD data are defined in the present paper as  $\rho_{EBSD}$ . In this paper, the method proposed by Pantleon [52] and implemented by Seret et al. [53] was used. This method is 305 306 based on the continuum theory of dislocations with the determination of the Nye's tensor [54]. In order to avoid any misinterpretation that can be linked to the hypothesis of the used 307

method to estimate  $\rho_{EBSD}$ , the disorientation angle per segment  $\theta_s$  was used as a second parameter to quantify intragranular disorientations induced by dislocation content [55]. This parameter is the disorientation angle of each pair of adjacent pixels horizontally and vertically on the overall EBSD map and the average value is then calculated.

Using the EBSD maps presented in Appendices B, C and D,  $\rho_{EBSD}$  and  $\theta_s$  were calculated. For the compressed samples, the evolutions of  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  with strain are presented in Fig. 5a. In the starting material,  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  were determined as  $9.7 \times 10^{13} \, \text{m}^{-2}$  and  $0.4^{\circ}$ respectively. As the material was deformed, the dislocation content quickly increases and then seems to be saturating for further deformation with a plateau reaching  $1.3 \times 10^{15} \, \text{m}^{-2}$  and  $2.9^{\circ}$  for  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  respectively. Besides, the trend appears to be qualitatively similar for both parameters.



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Fig. 5. Evolution of  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  with strain for (a) compressed samples and (b) rolled samples.

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For the rolled samples, the evolutions of  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  with strain are presented in Fig. 5b. 323 Similarly to the compression case these values increase with deformation as expected, but 324 325 no apparent saturation is observed for this case. It is worth noticing that the increase in the case of rolling (Fig. 5b) is slower than in the case of compression (Fig. 5a). This difference is 326 probably induced by the differences in the crystallographic orientations. Indeed, for the case 327 328 of compression, the material at the initial state has between 70% and 80% of  $\gamma$ -fiber grains. 329 On the contrary, for the case of rolling the material at the initial state has around 10% and 330 30% of  $\gamma$ -fiber and  $\theta$ -fiber grains respectively. Therefore, the evolutions of  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  with strain depend on the crystallographic orientation. To examine this influence, all the pixels of 331 grains belonging to each class of orientations are gathered and then  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  are 332 calculated for each class independently. As  $\overline{\rho_{EBSD}}$  and  $\overline{\theta_s}$  gave similar results for the 333 compression and the rolling cases, the study of the orientation effect is depicted only with 334  $\overline{\rho_{EBSD}}$  in the following. The evolutions of  $\overline{\rho_{EBSD}}$  with strain for  $\theta$ -fiber,  $\gamma$ -fiber and "other"-335

oriented grains are shown in Fig. 6a and the distributions of  $\rho_{EBSD}$  for each class of 336 orientations are presented in Fig. 6b and 6c for  $\epsilon_{VM} \approx 0.56$  and 1.67 respectively. The 337 evolution of the dislocation content differs between each class of orientations.  $\overline{\rho_{EBSD}}$  is higher 338 for the y-fiber grains than for the  $\theta$ -fiber grains of approximately 60% and the increase seems 339 also faster for the y-fiber grains. Moreover, the distributions appear also to be wider for the y-340 fiber grains with a shift to the right with increasing strain, illustrating a distinct intragranular 341 behavior between these two fibers. These results are consistent with the numerous 342 343 investigations on the influence of crystallographic orientation on deformation performed on bcc materials such as Fe [33,35], steel [34,56] or Ta [37-39,57] for instance. 344



345

Fig. 6. (a) Evolution of  $\overline{\rho_{EBSD}}$  with strain for each class of orientations; distribution of  $\rho_{EBSD}$  for each class of orientations for  $\varepsilon_{VM} \approx$  (b) 0.56 and (c) 1.67.

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As it can be observed in Fig. 5a and Fig. 5b, the evolutions of  $\overline{\rho_{EBSD}}$  are different between the compression case and the rolling case. However, when only the  $\gamma$ -fiber grains are considered, the difference between these two evolutions is lower at the studied scale as presented in Fig. 7. Despite this observation at the macroscopic scale, the behavior of the  $\gamma$ fiber grains at the dislocation substructure scale is very different between these two cases as illustrated later in the following section.



355

Fig. 7. Evolution of  $\overline{\rho_{EBSD}}$  with strain for compressed samples (the two geometries are taken together) and rolled samples for the  $\gamma$ -fiber grains.

358

The Taylor factor describes the slip systems activity during plastic deformation and is related 359 to the amount of work required to deform grains for a given strain. As it is quite difficult to 360 determine which specific slip system is activated for each grain, the typical slip systems for 361 bcc materials [1] are employed for the calculation of the Taylor factor ({110} <111>, 362 363 {112} <111>, {123} <111>) and it is assumed that the critical resolved shear stress is the 364 same for all slip systems. The calculation is performed with the MTEX toolbox [42]. The 365 Taylor factor for the  $\gamma$ -fiber, the  $\theta$ -fiber and "other"-oriented grains are 3.5, 2.4 and 3 366 respectively. Those values are in agreement with the previous disparities of  $\overline{\rho_{EBSD}}$  between the three sets of grains (Fig. 6a) highlighting the difference of behavior during plastic 367 deformation. However, when each grain is considered separately no direct correlation 368 between the Taylor factor and  $\overline{\rho_{EBSD}}$  was observed for none of the deformed states as 369 370 reported for  $\varepsilon_{VM} \approx 1.00$  in Fig. 8. Weak and partial correlations between the Taylor factor and the dislocation content have previously been reported [58-60]. On the basis of those 371 observations, the Taylor factor can explain global trends between each class of orientations 372 373 but is not relevant to predict the intragranular deformation of grains. Indeed, the local 374 boundary conditions on each grain are different from the macroscopic ones because of the 375 different neighboring grains' behavior.



Fig. 8.  $\overline{\rho_{EBSD}}$  per grain vs Taylor factor plot for rolled sample for  $\varepsilon_{VM} \approx 1.00$ .

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## **4.3.2. Dislocation substructures analysis**

The deformed microstructures were observed at a lower scale to analyze the dislocation substructures. A first direct qualitative observation was realized with the ECCI technique with a specific investigation on the  $\theta$ -fiber and the  $\gamma$ -fiber grains. ECCI micrographs performed in the interior of the grains in compressed and rolled microstructures are shown in Fig. 9 and 10 respectively.



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Fig. 9. ECCI micrographs on (a) & (b) γ-fiber grains and (c) & (d) θ-fiber grains for  $\epsilon_{VM} \approx 0.30$ 

and 1.05 respectively for compressed samples (the compression direction is vertical).



ε<sub>VM</sub> ≈ 1.67 (≈ 76% reduction)

 $\epsilon_{\rm VM} \approx 0.56$  ( $\approx 38\%$  reduction) (a)

(C)



ε<sub>∨M</sub> ≈ 1.67 (≈ 76% reduction) (d)

388

1 µm

Fig. 10. ECCI micrographs on (a) & (b) y-fiber grains and (c) & (d) 0-fiber grains for 389  $\varepsilon_{VM} \approx 0.56$  and 1.67 respectively for rolled samples (the rolling normal direction is vertical). 390

For the two cases, there is a distinct substructure development between the two fibers. 391 For the y-fiber grains (Fig. 9a and b and Fig. 10a and b) dislocation substructures are well 392 defined even for the smallest deformation  $\varepsilon_{VM} \approx 0.30$ . For small strains (Fig. 9a and 10a) 393 evidence of dislocations entanglement can be observed in the subboundaries and there are 394 some traces of dislocations inside subgrains. For high strains (Fig. 9b and 10b) thinner 395 396 subboundaries are better defined and less traces of dislocations inside subgrains are 397 observed. In addition, the subgrain size is observed to decrease with increasing strain which is in coherence with previous results as reported in section 1. For the rolled samples 398 (Fig. 10a and b) the subboundaries look also gradually more aligned parallel to the rolling 399 400 direction with increasing strain which is consistent with previous investigations on AI and Ni [22,28,36]. 401

For the  $\theta$ -fiber grains (Fig. 9c and d and Fig. 10c and d) no dislocation substructures can be 402 observed even for the highest strain  $\varepsilon_{VM} \approx 1.67$  with just few developed subboundaries. This 403 404 observation is in agreement with the orientation dependence of intragranular heterogeneities 405 noticed previously at larger scale (section 4.3.1). It can be concluded that even if  $\overline{\rho_{EBSD}}$  of θ-406 fiber grains increases with strain (Fig. 6a), this increase does not involve sharper 407 substructure development. Therefore, the evolution of the dislocation content and their 408 spatial distribution within substructures are different between the θ-fiber and the γ-fiber 409 grains.

EBSD maps with an acquisition step size of 90 nm were performed in the interior of the 410 grains to investigate quantitatively the dislocation substructures. Acquisitions were done the 411 most possible at the center of grains to have results more representative to the 412 crystallographic orientation and less affected by the proximity to grain boundaries. In order to 413 414 have statistical relevance, EBSD maps were acquired on several grains for each strain level 415 and for each class of orientations. Only the  $\gamma$ -fiber grains were investigated for the compression case because of the very high intensity of this fiber. The number of examined 416 417 grains and the total surface observed with EBSD for each case are summarized in Table 1. 418 The segments with a disorientation angle between 1.5° and 10° are considered to be induced by dislocation subboundaries and so are denoted as  $\theta_{sub}$ . In order to describe the 419 substructure development, two parameters were employed: the average disorientation angle 420 of subboundaries  $\overline{\theta_{sub}}$  (°) and the average linear density of subboundaries  $\overline{\rho_{sub}^l}$  (µm<sup>-1</sup>). The 421 latter is calculated with the division of the sum of subboundary length by the total observed 422 surface. 423

Table 1: Number of examined grains and total surface observed with EBSD for the observation at dislocation substructure scale.

| Deformation<br>mode | Strain level<br>(ε <sub>νм</sub> ) | Class of<br>orientations | Number of<br>examined<br>grains | Total surface<br>observed with<br>EBSD (µm <sup>2</sup> ) | Average<br>estimated<br>orientation<br>gradient<br>(°/µm) |
|---------------------|------------------------------------|--------------------------|---------------------------------|---|---|
| Compression         | 0.30                               | γ-fiber                  | 6                               | 21891   | 0.07  |
|                     | 0.65                               | γ-fiber                  | 6                               | 17602   | 0.12  |
|                     | 1.05                               | γ-fiber                  | 8                               | 24177   | 0.17  |
| Rolling             | 0.56                               | θ-fiber                  | 2                               | 2990  | 0.23  |
|                     | 1.00                               | θ-fiber                  | 2                               | 2256  | 0.28  |
|                     | 1.33                               | θ-fiber                  | 4                               | 6957  | 0.45  |
|                     | 1.67                               | θ-fiber                  | 4                               | 2080  | 0.91  |
|                     | 0.56                               | γ-fiber                  | 5                               | 15037   | 0.22  |
|                     | 1.00                               | γ-fiber                  | 6                               | 9278  | 0.23  |
|                     | 1.33                               | γ-fiber                  | 6                               | 12305   | 0.32  |
|                     | 1.67                               | γ-fiber                  | 7                               | 3631  | 0.93  |
|                     | 0.56                               | "Other" class            | 5                               | 10104   | 0.27  |
|                     | 1.00                               | "Other" class            | 4                               | 4454  | 0.39  |
|                     | 1.33                               | "Other" class            | 4                               | 5265  | 0.52  |
|                     | 1.67                               | "Other" class            | 5                               | 3091  | 0.73  |

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Fig. 11. Evolution of (a)  $\overline{\theta_{sub}}$  and (b)  $\overline{\rho_{sub}^{l}}$  with strain for each class of orientations. Represented standard deviations are weighted by the observed surface of each EBSD map. The dashed and full lines are least squares fits with linear and power laws of Eq. (1), (2) and (3) for  $\overline{\theta_{sub}}$  and Eq. (4) and (5) for  $\overline{\rho_{sub}^{l}}$ .

The evolution of  $\overline{\theta_{sub}}$  with strain for each class of orientations is illustrated in Fig. 11a. The 432 orientation dependence of dislocation substructure development observed previously with 433 ECCI technique is encountered again. Indeed, the subboundaries are more misoriented with 434 increasing strain and the disorientation is always higher in the y-fiber grains than in the 435 grains of the two other classes. No saturation of the subboundaries' disorientation is 436 observed in the present conditions. Deformation induced subboundaries can be classified 437 438 into Incidental Dislocation Boundaries (IDBs) and Geometrically Necessary Boundaries (GNBs) [23]. For both of these boundaries, the disorientation angle increases with strain but 439 in a distinct way. Pantleon proposed semi-empirical laws to describe the evolution of the 440 disorientation angle for the two types of boundaries [61,62]. He applied these two laws on 441 442 data obtained on cold rolled pure AI or AI alloy [12,63]. However, these laws might not be suitable to bcc materials because the fit with the present experimental data does not show 443 satisfactory results. As a lower disorientation threshold is considered in the present case, the 444 majority of IDBs are ignored. Consequently, the characterized subboundaries are probably 445 446 GNBs. In the present case, least squares fits with a linear and a power law give suitable results: 447

- 448  $\theta$ -fiber grains:  $\overline{\theta_{sub}}$  (°) = 0.89  $\varepsilon_{VM}$  + 1.09 or  $\overline{\theta_{sub}}$  (°) = 2.02  $\varepsilon_{VM}^{0.45}$  (1)
- 449  $\gamma$ -fiber grains:  $\overline{\theta_{sub}}$  (°) = 0.86  $\varepsilon_{VM}$  + 2.12 or  $\overline{\theta_{sub}}$  (°) = 3.04  $\varepsilon_{VM}^{0.25}$  (2)

450 - "Other"-oriented gra

ains: 
$$\theta_{sub}$$
 (°) = 0.30  $\varepsilon_{VM}$  + 2.23 or  $\theta_{sub}$  (°) = 2.56  $\varepsilon_{VM}^{0.11}$  (3)

The differences between these equations show clearly that there is no universal law to describe the evolution of the subboundaries disorientation for whatever crystallographic orientation. The power law coefficient is close to 0.5 for the  $\theta$ -fiber grains (Eq. (1)) which corresponds to the law proposed by Pantleon [61,62] for IDBs. This result allows to speculate that dislocation subboundaries close to IDBs can appear in the  $\theta$ -fiber grains, as already supposed in previous work [38]. Experimental results for higher strains are necessary in order to decide which type of law fits better: a linear or a power law.

On the other hand, more substructures are developed in the y-fiber grains as shown in 458 Fig. 11b. The quantity of subboundaries remains very low even for high strains for the grains 459 of the two other classes of orientations. Focusing on the  $\gamma$ -fiber grains,  $\overline{\rho_{sub}^l}$  shows distinct 460 evolution between the compression case and the rolling case. For rolled samples,  $\rho_{sub}^{l}$ 461 increases continuously with strain. For compressed samples, more subboundaries are 462 developed in the  $\gamma$ -fiber grains and  $\overline{\rho_{sub}^l}$  appears to quickly saturate around 2  $\mu$ m<sup>-1</sup> for 463  $\varepsilon_{VM} \approx 0.65$ . Higher strains obtained by compression would confirm this saturation. The 464 465 present results for the compressed y-fiber grains are consistent with those previously reported for cold rolled pure nickel [64]. The evolutions of the grain size for both cases are similar. This observation indicates that the different evolution of  $\overline{\rho_{sub}^{l}}$  in the  $\gamma$ -fiber grains for compression and rolling is not because of subboundaries transforming into boundaries with disorientation angles higher than the upper threshold of 10°.

Besides, the development of dislocation substructures seems more homogeneous during the 470 compression deformation than during the rolling deformation since the distribution of  $\rho_{sub}^{l}$ 471 values spreads on larger range for the latter. Those two observations are probably related to 472 473 the strong y-fiber texture observed in the samples used for compression (Fig. 4a). Indeed, the y-fiber grains represent between 70% and 80% of the initial state for the compressed 474 samples and no more than 10% of the one for the rolled samples. Therefore, because of the 475 crystal plasticity and the interactions between the different types of grains, the compressed 476 samples present more homogeneous dislocation subboundaries with less spread as 477 observed in Fig. 11b. This homogeneity is the probable reason behind the fast increase and 478 the saturation of  $\overline{\rho_{sub}^l}$  for the case of compressed samples. In the case of rolled samples, 479 dislocations subboundaries continue to form even at high strains because of the 480 heterogeneity of the subboundaries. Hutchinson reported on cold rolled steel [56] a similar 481 impact of the neighboring environment on the grain deformation. The case of a "hard" grain 482 with a high Taylor factor adjacent to a "soft" grain with a low Taylor factor was investigated. 483 The hard grain, which has a higher flow stress, tends to resist deformation whereas the soft 484 grain has to bend around this grain. This leads also to a weakening of the texture as the 485 486 orientation of the soft grain will be spread. This case can be transposed to the present rolling 487 case: y-fiber grains are quite often surrounded by softer  $\theta$ -fiber and "other"-oriented grains which will deform more easily as can be seen with EBSD maps of Appendix D. 488

As for  $\overline{\theta_{sub}}$  previously, the evolution of  $\overline{\rho_{sub}^{l}}$  with strain can be modelled. Considering the low values for  $\theta$ -fiber and "other" grains, the modelling was only done for  $\gamma$ -fiber grains. Moreover, as the evolutions are different between compression and rolling cases, distinct laws were determined for each case. Least squares fits with a linear and a power law give suitable results:

494 - Compressed γ-fiber grains: 
$$\overline{\rho_{sub}^l}$$
 (μm<sup>-1</sup>) = 2,23 ε<sub>VM</sub> – 0,19 or  $\overline{\rho_{sub}^l}$  (μm<sup>-1</sup>) = 2,00 ε<sub>VM</sub><sup>1,01</sup> (4)

495 - Rolled 
$$\gamma$$
-fiber grains:  $\overline{\rho_{sub}^l} (\mu m^{-1}) = 0.70 \varepsilon_{VM} + 0.38 \text{ or } \overline{\rho_{sub}^l} (\mu m^{-1}) = 1.10 \varepsilon_{VM}^{0.66}$  (5)

Values of  $\overline{\rho_{sub}^{l}}$  can be related to the substructure sizes with stereographic considerations and with the hypothesis that the substructures are spheres, have all the same size and are uniformly distributed along the surface [65,66]. Thus, the average sizes can be determined with the following equation:

500 
$$\overline{d_{sub}} = \frac{2}{3} \pi \frac{1}{\overline{\rho_{sub}^l}}$$
(6)

where  $\overline{d_{sub}}$  is the average substructure equivalent diameter (µm) and  $\overline{\rho_{sub}^l}$  is the average linear density of subboundaries (µm<sup>-1</sup>).

This calculation was performed only for  $\gamma$ -fiber grains because values of  $\overline{\rho_{sub}^{l}}$  were very low (the hypothesis of uniform distribution is not valid) for the other grains and led to non-physical substructure sizes of several tens of  $\mu$ m. For the same reason, the first strain for the compression case ( $\varepsilon_{VM} \approx 0.30$ ) was not considered so only the rolling case was modelled. Least squares fits of experimental points with a linear and a power law give correct results:

508

- Rolled  $\gamma$ -fiber grains:  $\overline{d_{sub}} (\mu m) = -1.06 \varepsilon_{VM} + 3.10$  or  $\overline{d_{sub}} (\mu m) = 1.90 \varepsilon_{VM}^{-0.51}$  (7)

509

510

#### 4.3.3. Long-range orientation gradients analysis

Although no subboundaries (abrupt disorientations) are clearly formed in the  $\theta$ -fiber grains in 511 the ECCI micrographs (Fig. 9c and d and Fig. 10c and d), orientation contrasts are observed 512 in these grains with progressive transitions from white to black regions and might imply the 513 presence of long-range orientation gradients. The softer  $\theta$ -fiber grains are prone to be 514 515 subject to internal bending due to the neighboring grains with different deformation behaviors inducing long-range orientation gradients. As observed on cold rolled pure tantalum [67], the 516  $\theta$ -fiber grains can even split due to the interaction with neighboring y-fiber grains. In contrast, 517 518 in the y-fiber grains, the disorientations across subboundaries tend to alternate with no significant long-range orientation gradient as observed on cold rolled pure aluminum [36]. 519

For the analysis of orientation gradients, EBSD maps of Table 1 were used. Disorientation 520 profiles passing through the center of the map at every 3° were plotted for each EBSD map 521 (i.e. 60 profiles per map). The evolution of the disorientation along each profile was least 522 squares fitted with a linear law and the slope was considered as the orientation gradient. 523 Since there is no guarantee that one of the profiles is in the same direction as the highest 524 orientation gradient, the maximal value was considered as the closest one to the real 525 526 orientation gradient (this value underestimates the real orientation gradient). For each case 527 of Table 1, the average value (weighted by the surface of EBSD map) of the estimated 528 orientation gradient is calculated (see the right column of Table 1).

For each class of orientations, the average orientation gradient increases with strain as expected. Long-range orientation gradients tend to develop continuously with strain in  $\theta$ -fiber grains whereas in  $\gamma$ -fiber grains gradients become more significant for high strain ( $\epsilon_{VM} \approx 1.67$ ), which might reveal a beginning of grain fragmentation. Therefore, although orientation gradients are more apparent in  $\theta$ -fiber grains with the ECCI micrographs (Fig. 9c and d and Fig. 10c and d), they are not higher than the ones in  $\gamma$ -fiber grains. Moreover, orientation gradients in  $\gamma$ -fiber grains appear to be higher for the rolling case than for the compression case. This difference is most probably due to the more varied neighborhood of  $\gamma$ -fiber grains in rolled samples.

538

## 539 **5. Conclusion**

In this study, a quantitative analysis of cold deformed pure tantalum microstructure is presented. Two deformation modes, compression and rolling, each applied on a different initial state were employed to access the influence of crystallographic orientation. The orientation dependence of deformation was emphasized with two different scales of observation with SEM. The following conclusions can be drawn from the present analysis:

- During compression, the γ-fiber seems to be stable. For the case of rolling, the friction
   causing shear components leads to a decrease in the γ-fiber fraction.
- At grain scale, intragranular heterogeneities were evaluated with the dislocation 548 density  $\rho_{EBSD}$ .  $\gamma$ -fiber grains have always higher values than  $\theta$ -fiber and "other"-549 oriented grains. At this scale, there is no significant difference in  $\rho_{EBSD}$  values 550 between compressed and rolled  $\gamma$ -fiber grains.
- At dislocation substructure scale, this orientation dependence was also pointed out
   with developed substructures in the interior of γ-fiber grains and almost no
   substructures in the θ-fiber grains. Quantitative characterization of substructure
   development was performed and models describing the evolution of the average
   disorientation and size of substructures were proposed for the γ-fiber grains. At this
   scale, the difference of substructure development between compressed and rolled γ fiber grains is significant.
- When the γ-fiber is weakly present (no more than 30% for the rolling case), the substructure development is quite heterogeneous and the substructure disorientation and size increase continuously with increasing strain. However, when the γ-fiber is dominant (more than 65% for the compression case), a very fast saturation of subboundaries density was observed. In such conditions, subboundaries are formed for small strains and only their disorientation increases for further strains.
- Intragranular orientation gradients were analyzed. For the rolling case, long-range orientation gradients tend to develop continuously with strain in  $\theta$ -fiber grains whereas in  $\gamma$ -fiber grains gradients become substantial for high strain ( $\epsilon_{VM} \approx 1.67$ ).

567 For both cases the orientation gradients were very close. Orientation gradients in  $\gamma$ -568 fiber grains are higher in rolled samples than in compressed samples as the 569 neighborhood of  $\gamma$ -fiber grains is more varied for the former case.

570 One of the main conclusions of the present work is that describing the deformed 571 microstructure through dislocation density is not enough. Therefore, in order to study and 572 model thermally activated physical mechanisms driven by stored energy induced by 573 dislocations, like recovery and recrystallization, it is necessary to quantify dislocation 574 substructures.

575

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582

#### 583 Data availability

584 The raw/processed data required to reproduce these findings cannot be shared at this time 585 as the data also forms part of an ongoing study.

586

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## 769 Appendices

## 770 Appendix A: Variations of texture at the center of the initial sheet

The different distributions of  $\gamma$ -fiber between EBSD and XRD techniques (Fig. 2d) and also between the two geometries of compression samples (Fig. 4) might stem from spatial heterogeneities. In order to verify this possibility, the microstructure at the center of the initial sheet was characterized in the plane radial direction RD/transverse direction TD as illustrated in Fig. A.1. Three EBSD maps ten times larger than the ones used in this study (Fig. 1a for example) were performed at three different random locations with an acquisition step size of 3.45 µm over a rectangular area of 3.80 mm × 2.85 mm.



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Fig. A.1. EBSD orientation maps acquired at the center of the initial sheet (ND projected onto
the standard triangle). Grain boundaries are plotted in white lines (10° disorientation angle
threshold). Schematic blue rectangle on the right side of the schema and white rectangles on
EBSD map #1 represent the EBSD map size used in this study as the one of Fig. 1a.

The respective surface fraction of  $\theta$ -fiber grains,  $\gamma$ -fiber grains and "other" grains for each EBSD map are detailed quantitatively in Fig. A.2. Results confirm the preponderance of the  $\gamma$ -fiber at the center of the initial sheet with higher statistical relevance but show also that its fraction varies between 70% and 80% depending on the location of EBSD map. White rectangles on the EBSD map #1 (denoted as maps #1a and #1b) represent the size of EBSD maps performed for intergranular analysis in the present study. It appears clearly that the  $\gamma$ fiber can be much less dominant with this size of observation as presented in Fig. A.2. Indeed, the intensity of  $\gamma$ -fiber is around 70% in the left EBSD map #1a whereas it is around 50% in the right EBSD map #1b. These non-negligible variations of texture can explain the differences observed between the two geometries of compression samples as the samples were taken from distant regions in the initial sheet.





Fig. A.2. Evolution of  $\theta$ -fiber,  $\gamma$ -fiber and "other" orientations for each EBSD map of Fig. A.1.

- 796 Appendix B: EBSD orientation maps acquired on the geometry 1
- 797 double-cone compression sample



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Fig. B.1. EBSD orientation maps of samples deformed by compression with geometry 1 at equivalent plastic strains of (a) 0.08, (b) 0.17, (c) 0.30, (d) 0.52 and (e) 0.65 respectively (CD projected onto the standard triangle). Grain boundaries are plotted in white lines (10° disorientation angle threshold).

- Appendix C: EBSD orientation maps acquired on the geometry 2
- 805 double-cone compression sample



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Fig. C.1. EBSD orientation maps of samples deformed by compression with geometry 2 at equivalent plastic strains of (a) 0.45, (b) 0.65, (c) 0.83, (d) 1.05 respectively (CD projected onto the standard triangle). Grain boundaries are plotted in white lines (10° disorientation angle threshold).

812 Appendix D: EBSD orientation maps acquired on rolled samples



Fig. D.1. EBSD orientation maps of samples deformed by rolling at equivalent plastic strains of (a) 0.56, (b) 0.70, (c) 1.00, (d) 1.33 and (e) 1.67 respectively (ND projected onto the standard triangle). Grain boundaries are plotted in black lines (10° disorientation angle threshold).