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1 **Influence of crystallographic orientation on the recrystallization** 2 **of pure tantalum through microstructure-based estimation of the** 3 **stored energy**

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11 **Abstract**

12 Plastic deformation and static recrystallization of pure tantalum are studied using Electron
13 BackScatter Diffraction (EBSD) technique. Recrystallization kinetics are discussed in light of
14 stored energy estimation from EBSD data acquired on deformed microstructures.
15 Characterization of deformed state reveals the influence of crystallographic orientation on the
16 plastic deformation. Dislocation substructures are formed in the γ -fiber grains and almost no
17 substructures are observed in the θ -fiber grains. Subsequent recrystallization directly inherits
18 this orientation dependence of deformed state. Nucleation is promoted in the γ -fiber grains
19 because of substructure development whereas nucleation is more sluggish to occur in the θ -
20 fiber grains. Thus, a microstructure composed mostly of γ -fiber grains recrystallizes faster
21 than a microstructure with a less strong texture, despite a strain nearly three times lower. At
22 the polycrystalline scale (step size of 1.20 μm in the present case), recrystallization kinetics
23 are better described with stored energy estimated through substructures than through
24 dislocation density. At the substructure scale (step size of 90 nm), Geometrically Necessary
25 Dislocation (GND) density seems to be correctly estimated; still recrystallization kinetics
26 cannot be accounted for by this density because it does not account for the substructure
27 formation.

28 **Keywords**

29 Tantalum; Dislocation substructures; Stored energy; Crystallographic orientation;
30 Recrystallization; EBSD

31 **1. Introduction**

32 Tantalum is a body centered cubic (bcc) metal with a high melting temperature ($T_m = 2996^\circ\text{C}$)
33 used for several industrial applications such as chemical processing, military or electronic
34 applications [1]. It is a very ductile metal at room temperature, which enables the cold
35 forming of parts with intricate shapes. Dislocations created during cold deformation are the
36 stored energy that constitutes the driving force for thermally activated recovery and
37 recrystallization during subsequent annealing.

38 The crystallographic orientation affects significantly the plastic deformation of grains and the
39 development of dislocation substructures as observed on face centered cubic (fcc) [2] and bcc
40 [3,4] metallic alloys. This influence leads to an orientation dependence of the stored energy.
41 For instance, it was often observed on rolled bcc metals that the stored energy was higher in
42 the grains with the direction $\langle 111 \rangle$ parallel to the normal direction of the sheet than in the
43 other grains [3,5]. Thus, this orientation dependence has direct consequences on subsequent
44 recrystallization. Indeed, as observed on tantalum, nucleation is favored in grains forming
45 substructures and growth occurs faster in grains with high stored energy as observed on
46 tantalum [6,7] and on molybdenum [8] for instance.

47 The stored energy can be estimated with several methods at different scales of
48 characterization such as calorimetry [9], X-ray diffraction [10], Transmission Electron
49 Microscopy (TEM) [11] and Scanning Electron Microscopy (SEM) with Electron BackScatter
50 Diffraction (EBSD) [12,13]. For the latter method with EBSD, intragranular disorientation is
51 used to assess the stored energy mainly through two approaches. In the first approach, it is
52 assumed that most of dislocations form subboundaries. Hence, the stored energy is the sum of
53 the energies of all the subboundaries estimated depending on their disorientation with the
54 Read-Shockley model [14]. A detailed description can be found in [15]. In the second
55 approach, the stored energy is estimated through the dislocation density estimated from EBSD
56 data [11,16]. These two approaches are detailed in section 6.

57 Bulk and local stored energies, estimated by calorimetry and microstructural measurements
58 respectively, were compared in several studies performed on aluminum [17], copper [18],
59 nickel [19] and interstitial free steel [20]. Similar qualitative trends were generally observed

60 but quantitatively, the bulk stored energy was always higher than the local stored energy. This
61 underestimation with the microscopic approaches, performed with TEM or EBSD, is probably
62 because some of the dislocations (Statistically Stored Dislocations, SSDs) are not assessed
63 with microscopy. Moreover, when the measurements are done from EBSD data, the angular
64 resolution of the technique and the use of angular thresholds for the determination of
65 subboundaries are another cause for this underestimation.

66 The aim of the present investigation is to analyze the recrystallization behavior of pure
67 tantalum through the estimation of the stored energy. Compressed and rolled samples with
68 different initial texture were annealed in order to study the influence of crystallographic
69 orientation on recrystallization. Recrystallized microstructures were characterized using the
70 EBSD technique through the recrystallized fraction, size and orientation of recrystallized
71 grains. The differences of recrystallization behavior between the compression case and the
72 rolling case are discussed. Estimations of the stored energy through dislocation densities and
73 substructure measurements are compared in light of a better description of the deformed state.

74

75 **2. Characterization conditions**

76 A Zeiss Supra40 Field Emission Gun Scanning Electron Microscope (FEG-SEM) operated at
77 20 kV was used in order to acquire EBSD orientation maps. This microscope is equipped with
78 a Bruker Quantax system that contains a FlashHR EBSD detector and is controlled by the
79 Esprit 2.1 EBSD software. The sample preparation procedure is detailed in [3]. Two scales of
80 characterization were used in this study. For characterization at the polycrystalline scale, the
81 acquisitions were carried out with a compromise between the spatial resolution and the
82 statistical representativeness of the observed area with a step size of 1.20 μm over a grid of
83 1.20 mm \times 0.90 mm. For characterization at the substructure scale, a step size of 90 nm was
84 chosen and EBSD maps were carried out far from grain boundaries. EBSD data post-
85 treatments were done using the MTEX toolbox available on Matlab[®] [21].

86

87 **3. Material and experimental conditions**

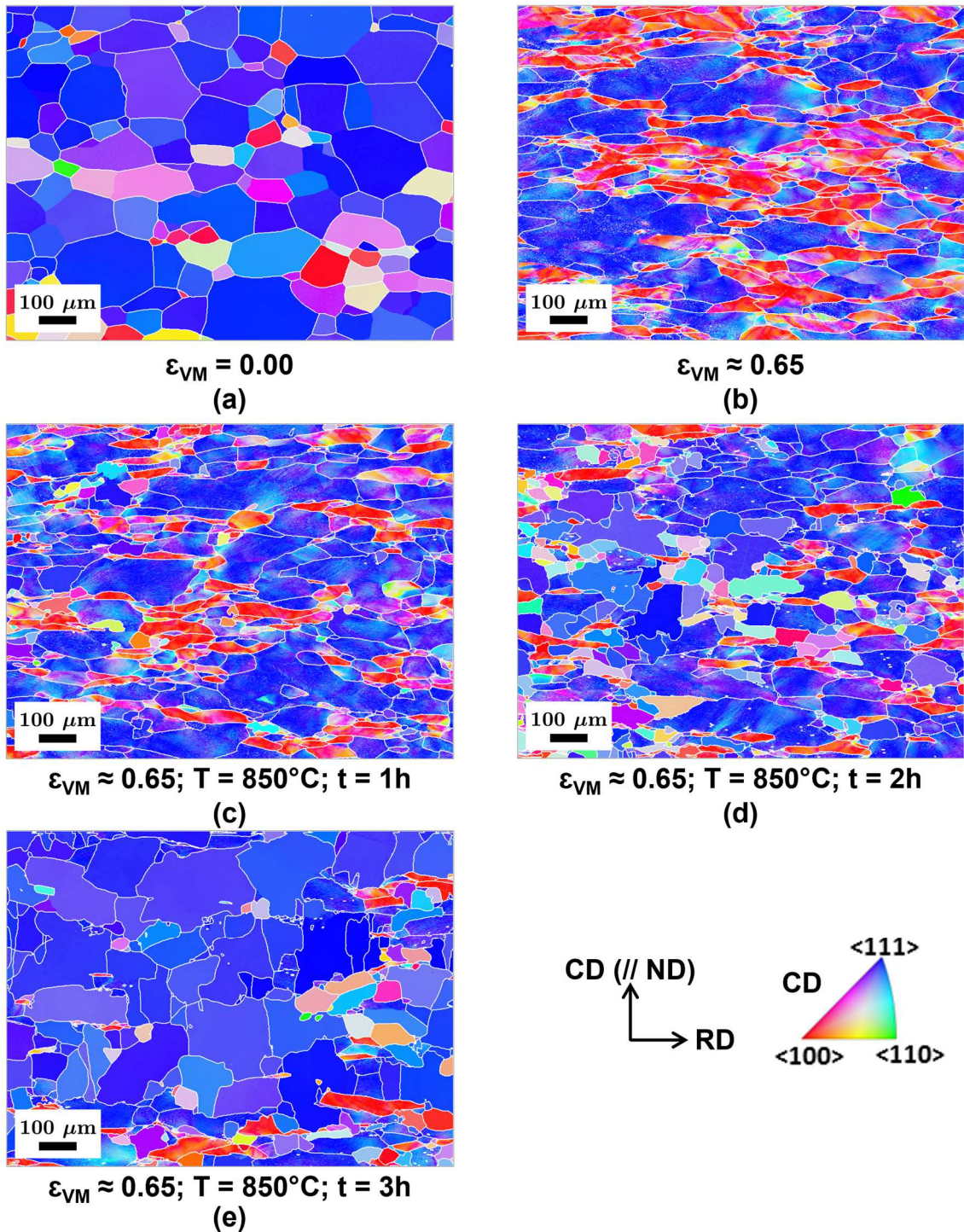
88 Pure tantalum (> 99.99% wt.) was received as a 12 mm thick sheet formed by cold rolling and
89 then annealed in order to have a fully recrystallized microstructure. Samples were taken from

90 the mid-thickness and quarter-thickness (3 mm from the center). The corresponding EBSD
91 maps of the initial state, presented in Fig.1a and 2a, show fully recrystallized microstructures.
92 The main difference between them is the crystallographic orientation of grains. In order to
93 analyze this difference, grains were sort into three classes depending on their mean
94 orientations: grains of the θ -fiber for which the direction $\langle 100 \rangle$ is parallel to the normal
95 direction of the sheet (ND), grains of the γ -fiber for which the direction $\langle 111 \rangle$ is parallel to
96 ND and grains of the class “Other” are the ones that do not belong to either of the two
97 previous fibers. For further details concerning the θ and γ -fibers texture components the
98 reader is invited to see Fig.2c in [3], where those texture components are explicitly presented
99 in the Orientation Distribution Function (ODF) with their location in terms of Euler angles.
100 The above mentioned classification was carried out with a tolerance of 15° . A disorientation
101 angle threshold of 10° was used for the determination of grain boundaries. The γ -fiber is very
102 predominant ($\approx 80\%$) at the center of the sheet (Fig.1a). In contrast, orientations are more
103 homogeneously distributed in the quarter layer (Fig.2a) with mostly “other” orientations
104 ($\approx 57\%$) and lower θ -fiber ($\approx 33\%$) and γ -fiber ($\approx 10\%$) content.

105 Compression tests were carried out at room temperature on samples taken from the entire
106 thickness of the sheet (initial state presented in Fig.1a) for a von Mises equivalent strain of
107 $\varepsilon_{VM} \approx 0.65$. Details on the deformation conditions can be found in [3]. The Compression
108 Direction CD was chosen parallel to ND. The corresponding microstructure is presented in
109 Fig.1b. Cold rolling was also used for plastic deformation on samples taken from one half of
110 the sheet (initial state presented in Fig.2a) for a total reduction of 76% and a corresponding
111 equivalent strain of $\varepsilon_{VM} \approx 1.67$. Microstructure was observed in the central region of the
112 samples, where it can be considered that plane strain is taking place and that the effect of
113 shear near surface region is negligible. Details on the deformation conditions can be found in
114 [3]. The Normal Direction ND of the rolling is parallel to the one of the initial sheet. The
115 corresponding microstructure is presented in Fig.2b.

116 The influence of the deformation mode is out of the scope of this work. All the observations
117 are discussed regarding the difference in texture between the two initial states and not
118 regarding the difference in the deformation mode. The two cases are nevertheless
119 distinguished by “Compression” and “Rolling” in order to facilitate the presentation of the
120 results.

121 The deformed samples were annealed at high vacuum (pressure around 10^{-2} Pa) at 850°C with
 122 a heating rate of around $20^{\circ}\text{C}/\text{min}$ for three different holding times: 1h, 2h and 3h. Air cooling
 123 was applied at the end of the treatment.



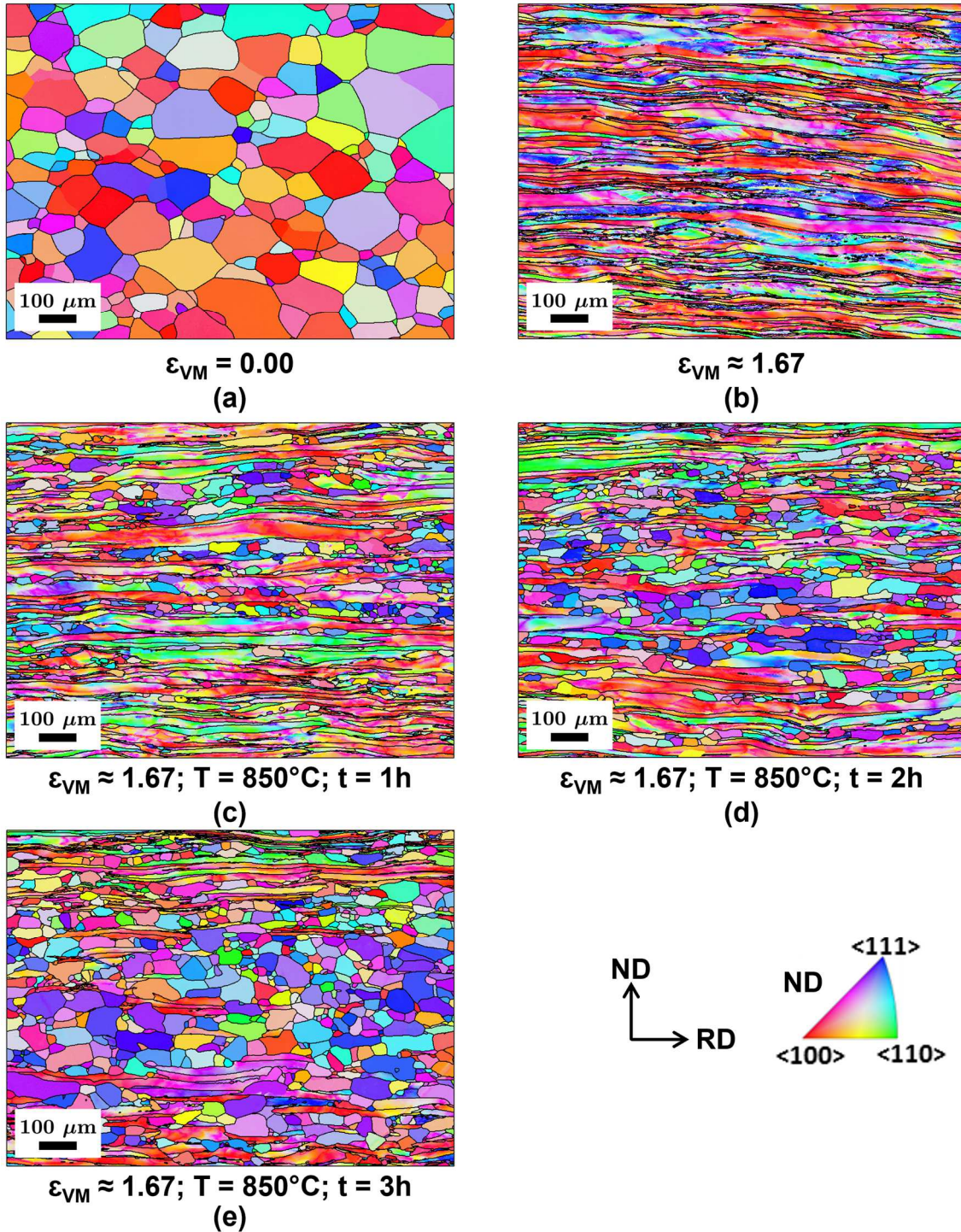
124

125 **Fig.1** EBSD orientation maps of (a) the center of the as-received sheet, (b) the compressed
 126 sample for $\epsilon_{VM} \approx 0.65$ and the annealed samples at 850°C for (c) 1h, (d) 2h and (e) 3h.

127 (Normal Direction ND projected onto the standard triangle; RD stands for Radial Direction).

128 Grain boundaries are plotted in white lines. Fig.1a and 1b from [3].

129



130

131 **Fig.2** EBSD orientation maps of (a) the quarter layer of the as-received sheet, (b) the rolled

132 sample for $\epsilon_{VM} \approx 1.67$ and the annealed samples at 850°C for (c) 1h, (d) 2h and (e) 3h. (ND

133 projected onto the standard triangle; RD stands for Rolling Direction). Grain boundaries are
134 plotted in black lines. Fig.2a and 2b from [3].

135

136 **4. Deformed microstructures**

137 A detailed analysis of the microstructural evolutions during plastic deformation is presented
138 in a previous study [3]. Only the results necessary for the recrystallization analysis are
139 reported here. For additional discussion on deformation (and recrystallization) bcc texture, the
140 reader can refer to [22,23].

141 Dislocation density can be estimated from EBSD data through disorientations [12,13].
142 However, it is admitted that this estimation is scale dependent. Thus, the dislocation densities
143 estimated from EBSD data are defined as ρ_{EBSD} in order to avoid employing a physically
144 based definition (generally Geometrically Necessary Dislocations, GNDs term is used) for a
145 parameter which depends on the scale of observation [3,7].

146 In order to estimate ρ_{EBSD} , the formalism proposed by Pantleon [24] and its implementation
147 with the MTEX toolbox [21] realized by Seret et al. [25] was used.

148 Average value of ρ_{EBSD} ($\overline{\rho_{EBSD}}$) obtained for the two studied strains are presented in Table 1.
149 The dislocation content is higher for the rolling case, which is in agreement with a higher
150 strain. Besides, the influence of the crystallographic orientation on the deformation can be
151 investigated by calculating $\overline{\rho_{EBSD}}$ for each class of orientations. This calculation was
152 performed for the rolling case only, as the texture of the compression case is mostly
153 composed of γ -fiber grains. Results, presented in Table 1, show that $\overline{\rho_{EBSD}}$ is lower for the θ -
154 fiber grains compared with the γ -fiber grains. $\overline{\rho_{EBSD}}$ of “other” grains lies between the ones of
155 the two other classes of grains. This trend has been confirmed for different strains [3] and is in
156 accordance with previous studies on cold rolled pure tantalum [9,26].

157 Deformed microstructures presented in Fig.1b and 2b were characterized at a lower scale with
158 EBSD maps with a step size of 90 nm in order to quantify the development of dislocation
159 substructures. For that purpose, EBSD maps were acquired in several grains for each strain
160 studied and each class of orientations (only the γ -fiber grains were considered for the
161 compression case). The reader is invited to report to the previous study [3] for detailed
162 statistics on the number of grains in which EBSD maps were acquired and the corresponding
163 total examined area. In this work, all the segments between neighboring pixels with a
164 disorientation angle between 1.5° and 10° were regarded as subboundaries and quantified

165 through two parameters [3,7]. The first one, $\overline{\theta_{sub}}$, is the mean disorientation angle of
 166 subboundaries. The second one, $\overline{\rho_{sub}^l}$, is the total subboundary length divided by the total
 167 examined area.

168 The two parameters were calculated for each case and results are presented in Table 1.
 169 Dislocation substructures are more developed in the γ -fiber grains than in the two other
 170 classes of grains for the rolling case. The number of subboundaries in the γ -fiber grains is the
 171 same for the rolling case and the compression case indicating a faster development with strain
 172 for the compression case. This difference is due to the difference in texture between the two
 173 initial states [3], the initial microstructure for compression being composed of around 80% of
 174 γ -fiber grains and presenting a more homogeneous development of subboundaries in the
 175 microstructure. Moreover, the comparison between the θ -fiber grains and the “other” grains
 176 highlights that the characterization of deformed state is not straightforward. Indeed, even
 177 though the dislocation density at the polycrystalline scale in the “other” grains is higher than
 178 in the θ -fiber grains, the substructure development is rather equivalent between the two cases.
 179 This observation questions the correct method to estimate the stored energy and will be
 180 further discussed in section 6.

181

182 **Table 1** Quantitative characterization of deformed samples at the polycrystalline scale
 183 ($\overline{\rho_{EBSD}}$) and at the substructure scale ($\overline{\theta_{sub}}$, $\overline{\rho_{sub}^l}$). Data from [3].

Deformation condition	Class of orientations	$\overline{\rho_{EBSD}}$ (m ⁻²)	$\overline{\theta_{sub}}$ (°)	$\overline{\rho_{sub}^l}$ (μm ⁻¹)
Compression $\varepsilon_{VM} \approx 0.65$	All gathered	1.1×10 ¹⁵	/	/
	γ -fiber	1.0×10 ¹⁵	2.8	1.7
Rolling $\varepsilon_{VM} \approx 1.67$	All gathered	1.8×10 ¹⁵	/	/
	θ -fiber	1.4×10 ¹⁵	2.7	0.23
	γ -fiber	2.3×10 ¹⁵	3.6	1.7
	“Other” class	2.0×10 ¹⁵	2.8	0.23

184

185 **5. Recrystallized microstructures**

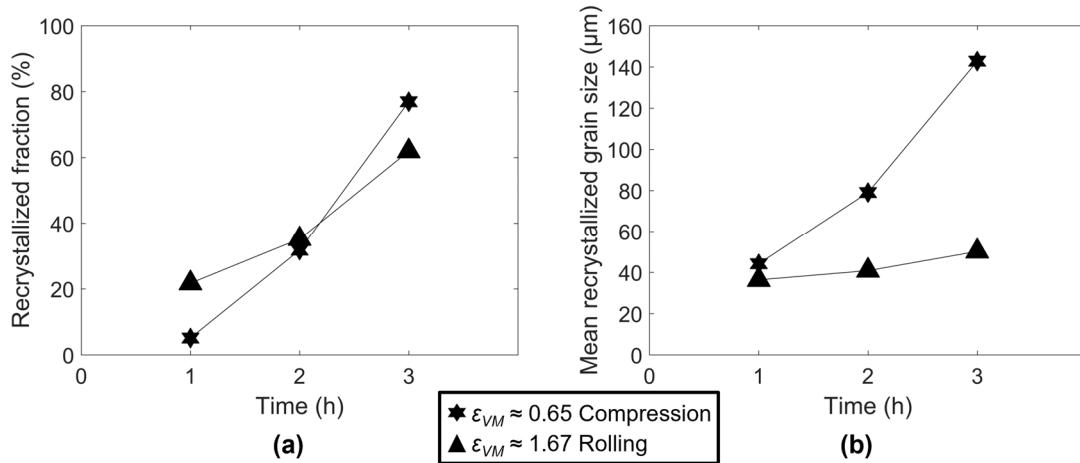
186 **5.1. Microstructural evolutions with annealing time**

187 EBSD maps of samples after annealing at 850°C for 1h, 2h, and 3h are presented in Fig.1c, 1d
188 and 1e for the compression case and in Fig.2c, 2d and 2e for the rolling case respectively. For
189 each case, the recrystallized fraction was quantified through the Grain Average Misorientation
190 (GAM) and the Grain Orientation Spread (GOS). For that purpose, the distributions of these
191 two parameters were used to estimate a threshold ($0.6^\circ \pm 0.2^\circ$ for GAM and $0.8^\circ \pm 0.2^\circ$ for
192 GOS) for separating the recrystallized grains with low values and the non-recrystallized
193 grains with high values. Once the recrystallized grains were determined, their size was
194 calculated. To do so, grains smaller than five pixels or on the edges of EBSD maps were
195 excluded from the analysis. Then, the size (considered as the equivalent diameter) of each
196 grain was calculated. The mean grain size was determined as the surface weighted average of
197 grain sizes.

198 The evolution of the recrystallized fraction and of the mean grain size with annealing time are
199 presented in Fig.3a and 3b for the two studied cases. As expected, the recrystallized fraction
200 increases with annealing time for both cases. However, it can be observed that the compressed
201 sample recrystallized after 2h as much as the rolled sample despite a strain nearly three times
202 lower and a lower dislocation density at the polycrystalline scale (Table 1). This demonstrates
203 that the macroscopic strain and $\overline{\rho_{EBSD}}$ are not relevant to correctly predict recrystallization.
204 This observation will be further discussed in section 6.

205 The higher recrystallized grain size in the compression case compared to in the rolling case
206 can be explained by a higher number of recrystallized grains in the latter case. Indeed, the
207 increase in the total grain boundary length due to the higher plastic deformation (Fig.2b)
208 implies an increase in the number of potential nucleation sites. In addition, it can be noticed
209 that the increase of recrystallized grain size with time is faster in the compression case than in
210 the rolling case. The fast increase of recrystallized fraction and the slow increase of
211 recrystallized grain size for the rolling case is an indicator of a continuous nucleation process
212 all along the annealing and a dominance of nucleation on growth. At the opposite, nucleation
213 seems to occur mainly at the early stages of annealing for the compression case. In addition to
214 the highest number of grain boundaries in the rolling case previously mentioned, this
215 nucleation process is directly inherited from the deformed microstructures. As previously
216 demonstrated [3], dislocation substructures develop in a homogeneous way when the number
217 of γ -fiber grains is dominant. An indication for this was a fast increase of the number of

218 subboundaries through $\overline{\rho_{sub}^l}$ since the early stages of deformation and then a saturation for
 219 $\varepsilon_{VM} > 0.65$. For higher strains, only the disorientation of the subboundaries increased but not
 220 their quantity. For the rolling case, where the texture of the initial microstructure is less
 221 pronounced, the number of dislocation subboundaries increased continuously up to $\varepsilon_{VM} \approx 1.67$
 222 without any saturation. Hence for the compression case, where the γ -fiber grains are
 223 dominant, the nucleation occurs almost simultaneously in all the microstructure because of
 224 this homogeneous distribution, which is not the case for the rolling case.

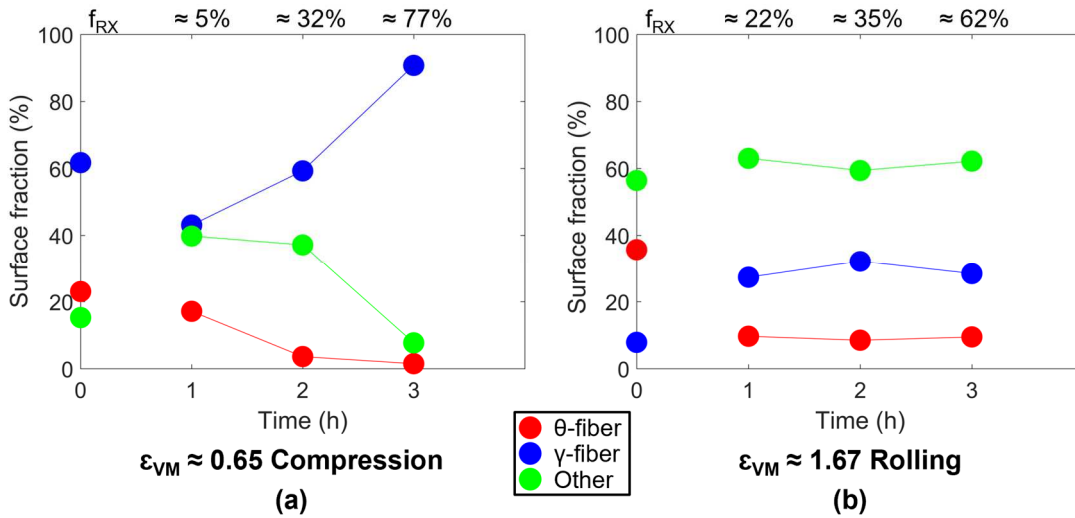


225
 226 **Fig.3** Evolution of (a) the recrystallized fraction and (b) the mean recrystallized grain size
 227 with annealing time for the two studied strains.

228 5.2. Influence of crystallographic orientation on recrystallization

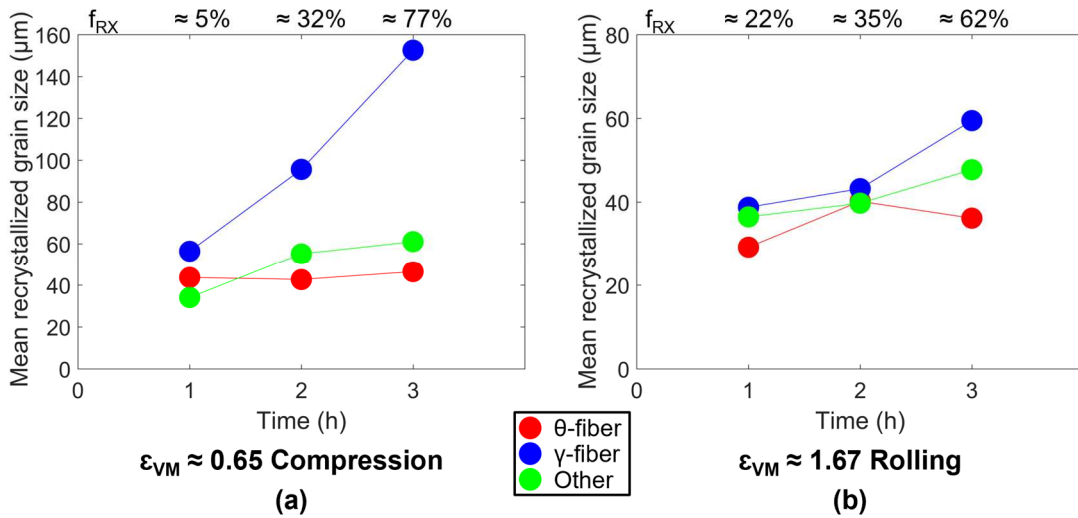
229 The evolution of the surface fraction of recrystallized grains for each class of orientations
 230 with annealing time are presented in Fig.4a and 4b for the compression case and the rolling
 231 case respectively. For both cases, most of the recrystallized grains belong to the γ -fiber or to
 232 the “other” class. This composition of the texture is necessarily related to the differences
 233 inherited from the deformed state [7]. Nucleation is enhanced in the γ -fiber deformed grains
 234 due to a more advanced substructure development in comparison with the other grains for a
 235 given strain. Conversely, nucleation is more sluggish in the θ -fiber deformed grains and these
 236 grains are more susceptible to being consumed by growth of surrounding recrystallized grains
 237 than by nucleation of θ -fiber recrystallized grains. In addition, the faster evolution of γ -fiber
 238 recrystallized grain fraction for the compression case demonstrates a faster growth for this
 239 class of grains. The higher fraction of γ -fiber grains at the deformed state in the compression
 240 case than in the rolling case explains the higher fraction of γ -fiber recrystallized grains in the

241 former case. An additional important conclusion is that this high fraction of γ -fiber
 242 recrystallized grains is an indicator that the crystallographic orientation of recrystallized
 243 grains is inherited from the deformed state.



244
 245 **Fig.4** Evolution of the surface fraction of recrystallized grains for each class of orientations
 246 with annealing time for (a) the compression case and (b) the rolling case. Surface fractions at
 247 the deformed state indicated at time 0h. The recrystallized fractions f_{RX} for all the cases are on
 248 the top of the figures.

249 The evolution of the size of the recrystallized grains for each class of orientations with
 250 annealing time are presented in Fig.5a and 5b for the compression case and the rolling case
 251 respectively. It can be noted that the crystallographic orientation of deformed grains has also
 252 an influence on the size of recrystallized grains. Indeed, the size of γ -fiber recrystallized
 253 grains is higher than the one of the other grains. This size advantage can be explained by a
 254 shorter incubation time for nucleation, resulting from the more completed development of
 255 substructures in the γ -fiber deformed grains than in the others [7].



256

257 **Fig.5** Evolution of the mean recrystallized grain size for each class of orientations with
 258 annealing time for (a) the compression case and (b) the rolling case.

259 6. Estimation of the stored energy

260 Methods presentation

261 Results presented in section 5 highlight that the compressed sample recrystallized faster than
 262 the rolled sample despite a strain three times lower. This difference can presumably be
 263 explained by the more developed substructures in the compression case (composed mostly of
 264 γ-fiber grains), which enhances nucleation and thus recrystallization. Stored energy is one of
 265 the parameters to consider in order to better quantify these differences. In the present work,
 266 two methods were employed in order to estimate the stored energy from EBSD data: one
 267 based on dislocation density and one based on dislocation substructures. A reminder of these
 268 two methods is given in the following.

269 In the first method, based on the dislocation density, the total stored energy is considered to
 270 be the sum of the energy of each dislocation taken individually. A value of stored energy can
 271 then be estimated from a dislocation density [11]:

$$272 \quad E \approx C\rho Gb^2 \quad (1)$$

273 where E is the total stored energy (J/m^3), $C = 0,5$ is a constant ($\approx 0,5 - 1$ [16]), ρ is the
 274 dislocation density (m^{-2}), G is the shear modulus ($69 \times 10^9 \text{ N/m}^2$ for tantalum) and b is the
 275 norm of the Burgers vector ($2.86 \times 10^{-10} \text{ m}$ for tantalum).

276 The major drawback of this method is that the interactions between dislocations are only
 277 considered in an approximate way [16]. Indeed, the elastic strain fields around the
 278 dislocations interact and compensate each other. These interactions, which are the highest
 279 when dislocations form subboundaries, result in a lower dislocation energy [11]. Furthermore,
 280 the disorientations detected by EBSD are those caused by dislocations which have a
 281 cumulative effect (i.e. GNDs or a part of them depending on the step size) and not by
 282 dislocations with a cumulative effect leading to very low disorientations. Thus, the basic
 283 assumption of equation (1) lies in opposition to the nature of the dislocations detected by
 284 EBSD.

285 In the second method, based on the energy of subboundaries, all the dislocations are grouped
 286 into subboundaries and thus the total stored energy is considered to be the sum of the energy
 287 of each subboundary. It can be estimated as:

$$288 \quad E \approx E_{subboundaries} \approx \gamma_{sub} S_{sub} \quad (2)$$

289 where γ_{sub} is the energy of subboundaries (J/m²) and S_{sub} is the total surface of subboundary
 290 per unit volume (m²/m³). The energy of subboundaries can be estimated by the Read-
 291 Shockley model [14]:

$$292 \quad \gamma_{sub} = \gamma_{GB} \frac{\theta_{sub}}{\theta_{GB}} \left(1 - \ln \frac{\theta_{sub}}{\theta_{GB}}\right) \quad (3)$$

293 where γ_{GB} is the energy of grain boundaries (≈ 1.2 J/m² for tantalum [27]), θ_{sub} is the
 294 disorientation angle of subboundaries and θ_{GB} is the angular limit value of disorientation to
 295 define a grain boundary (10° in the present case).

296 The stored energy is calculated for each segment corresponding to a subboundary. Thus, the
 297 total stored energy is the sum of the contribution of each segment of all the subboundaries:

$$298 \quad E = \sum_i^N E_i = \sum_i^N \gamma_{sub}(\theta_i) S_{sub_i} \quad (4)$$

299 where N is the total number of segments, $\gamma_{sub}(\theta_i)$ is the energy of each segment and S_{sub_i} is
 300 the surface per unit volume of each segment. As the EBSD maps were acquired on square
 301 grids, S_{sub_i} can be written as:

$$302 \quad S_{sub_i} = \frac{4}{\pi} \cdot \frac{\pi}{4} \cdot \frac{\Delta}{S} = \frac{\Delta}{S} \quad (5)$$

303 where Δ is the step size (m), S is the total examined area with EBSD (m^2), $\pi/4$ is a corrective
 304 factor used to consider the overestimation caused by the discrete grid [28] and $4/\pi$ is a
 305 corrective stereological factor to transform the 2D estimation (length per unit area) into a 3D
 306 estimation (surface per unit volume) assuming that the substructures pattern is repeated
 307 underneath the surface [29].

308 Thus, the equation (4) finally becomes:

$$309 \quad E = \frac{\Delta}{S} \sum_i^N \gamma_{sub}(\theta_i) \quad (6)$$

310 The major drawback of this method is that only the dislocations forming subboundaries are
 311 considered. However, since the dislocations with small cumulative effect are not detected by
 312 EBSD, it can be reasonably assumed that this method is more suitable for the estimation of
 313 the stored energy from EBSD data. This method has nevertheless some limits of application
 314 for the case of low strains or the case of grains forming very few substructures.

315 Results and discussion

316 The two proposed methods were applied on the data estimated from EBSD maps acquired at
 317 the polycrystalline scale (step size of $1.20 \mu m$) and at the substructure scale (step size of
 318 90 nm). The estimated stored energies obtained with the two methods at the polycrystalline
 319 scale and at the substructure scale are presented in Table 2.

320 **Table 2** Recrystallized fractions and values of stored energy estimated on the deformed state
 321 at the polycrystalline scale and at the substructure scale with the two methods.

Deformation condition	Annealing time at 850°C (h)	Recrystallized fraction (%)	Stored energy estimated on the deformed state (MJ/m^3)			
			Method based on dislocation density		Method based on dislocation substructures	
			Polycrystalline scale	Substructure scale	Polycrystalline scale	Substructure scale
Compression $\varepsilon_{VM} \approx 0.65$	1	5	3.0	8.1	0.64	0.79
	2	32				
	3	77				

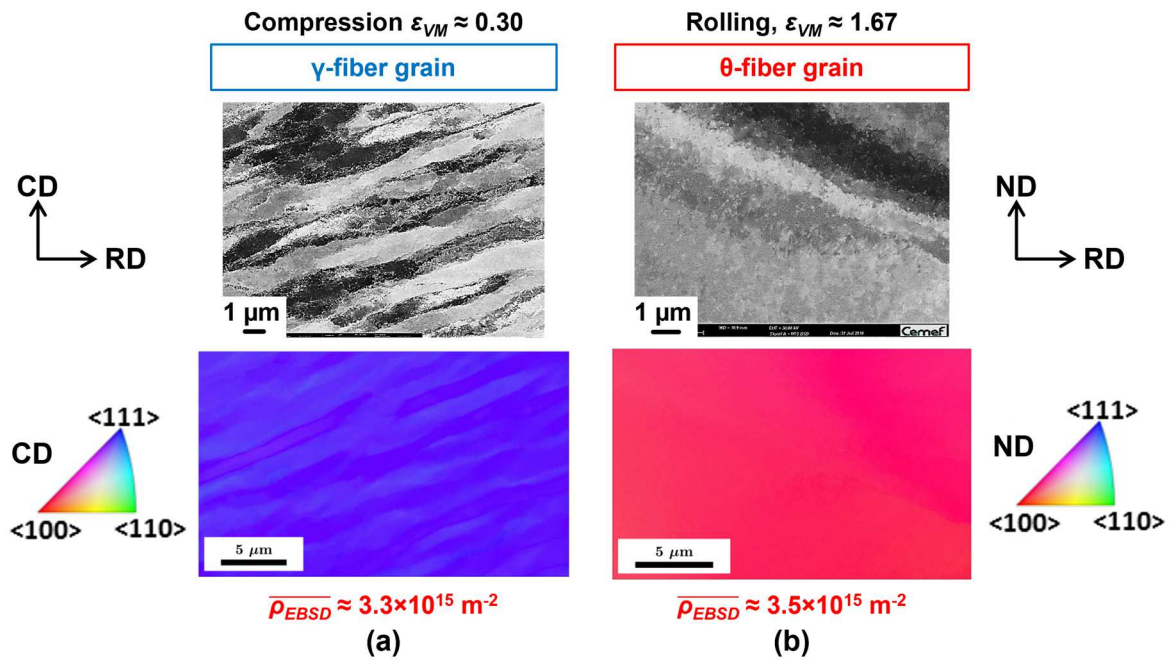
Rolling $\varepsilon_{VM} \approx 1.67$	1	22	5.0	4.9	0.51	0.26
	2	35				
	3	62				

322

323 There is a significant difference between the stored energies estimated with the two methods.
324 Several reasons could explain this discrepancy. Since the interactions between the energy
325 field of the dislocations are roughly considered with the method based on equation (1), the
326 stored energy is overestimated. On the other hand, the contribution of the measurement noise
327 of EBSD data would increase the estimated dislocation density [25] and this distinguishes the
328 two methods since only disorientation angles higher than 1.5° are considered in the second
329 method.

330 Unlike the second method, the first method seems to give contradictory results depending on
331 the observation scale: it increases with strain at the polycrystalline scale and decreases at the
332 substructure scale. As discussed in recent studies [30,31], the choice of the step size has a
333 significant influence on the estimated dislocation density. Only a part of the GNDs is detected
334 when the step size is not chosen at the substructure scale. This indicates that only an arbitrary
335 part of GNDs is estimated with EBSD data at the polycrystalline scale, unlike the estimation
336 using EBSD data at the substructure scale (which is the main reason for which the dislocation
337 density was termed $\overline{\rho}_{EBSD}$ and was not associated to GNDs). Hence, the estimated stored
338 energy with the first method (equation (1)) cannot predict the recrystallization kinetics.

339 Even when GNDs are correctly estimated, i.e. at the substructure scale, GND density does not
340 seem to be the appropriate parameter to predict recrystallization. In Fig.6, two micrographs
341 with their associated EBSD maps at the substructure scale are presented. $\overline{\rho}_{EBSD}$ was estimated
342 for the two cases and this value is supposed to be very close to the GND density at this scale.
343 $\overline{\rho}_{EBSD}$ obtained for the γ -fiber grain ($3.3 \times 10^{15} \text{ m}^{-2}$ as illustrated in Fig.6a) is lower than the
344 one obtained for the θ -fiber grain ($3.5 \times 10^{15} \text{ m}^{-2}$ as illustrated in Fig.6b). However, it would be
345 expected that the γ -fiber grain would recrystallize faster because of the well-defined
346 subboundaries unlike the θ -fiber grain. It could also be observed that the macroscopic plastic
347 strain cannot be representative of the recrystallized fraction.



348

349 **Fig.6** Micrographs obtained with the Electron Channeling Contrast Imaging (ECCI) technique
 350 and associated EBSD orientation maps acquired in the interior of (a) a γ -fiber grain in the
 351 microstructure of a compressed sample ($\epsilon_{VM} \approx 0.30$) and (b) a θ -fiber grain in the
 352 microstructure of a rolled sample ($\epsilon_{VM} \approx 1.67$) (CD and ND projected onto the standard
 353 triangle respectively).

354

355 For the case of the annealing for 3h, a correlation between the stored energy estimated with
 356 subboundaries and the recrystallized fraction is observed (higher stored energy leads to higher
 357 recrystallized fraction in Table 2). However, this correlation is not observed for the annealing
 358 for 1h and 2h. The main reason behind this observation is that, for the rolling case, and
 359 because of the high reduction, the number of grain boundaries ($0.17 \mu\text{m}/\mu\text{m}^2$) is more than
 360 two times higher than for the compression case ($0.07 \mu\text{m}/\mu\text{m}^2$). Unless grain boundaries are
 361 considered in the estimation of the stored energy, this parameter cannot be representative of
 362 the recrystallization kinetics since grain boundaries are the main nucleation sites.

363 One of the main conclusions is that a combination of the two methods at the substructure
 364 scale would be necessary in order to consider the two natures of dislocation distributions
 365 within the different grains: the method based on dislocation density for grains which do not
 366 develop substructures (θ -fiber grains in the present case) and the method based on
 367 substructures for grains which develop substructures (γ -fiber grains in the present case). In

368 addition, the number of grain boundaries would be considered because they are potential
369 nucleation sites.

370

371 **7. Conclusion**

372 In this study, two different initial states of pure tantalum were compressed and rolled at room
373 temperature. These two deformed samples were then annealed in order to investigate the
374 influence of the deformed state on recrystallization. Recrystallization kinetics were then
375 analyzed through the estimation of the stored energy at different scales. The main conclusions
376 that can be drawn are:

- 377 • The plastic deformation of a grain considerably depends on its crystallographic
378 orientation. In particular, the development of dislocation substructures is the highest in
379 the γ -fiber grains and almost no substructure development is observed in θ -fiber
380 grains.
- 381 • The orientation dependence of the deformed state inevitably impacts recrystallization:
382 nucleation is enhanced in the γ -fiber grains due to the dislocation substructures
383 whereas nucleation is slower in the θ -fiber grains due to the near absence of
384 substructures.
- 385 • Microstructure composed mostly of γ -fiber grains, recrystallized faster than the one
386 with a less pronounced texture, despite a strain nearly three times lower.
- 387 • For the estimation of the stored energy from EBSD data acquired at the polycrystalline
388 scale (step size of 1.20 μm in the present case), the method based on substructures
389 makes it possible to better account for the recrystallization kinetics than the method
390 based on dislocation density.
- 391 • When the substructure scale is considered, it seems that the GND density may be
392 estimated correctly. However, even at this scale, this density cannot account for the
393 recrystallization kinetics since it does not account for the dislocation substructure
394 formation. In additions, the grain boundary amount should be considered for
395 recrystallization kinetics predictions.

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400 **Conflict of interest**

401 The authors declare that they have no conflicts of interest.

402 **Data availability**

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

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