Porosity evolution in proton irradiated microfine-grained POCO graphite

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Abstract

This work investigated the porosity evolution of POCO ZXF-5Q graphite that has been

- 10 irradiated by 340 kW, 120 GeV protons inside NT02 target system in Fermilab's NuMI beamline. This POCO graphite has undergone direct bulk dimensional swelling at low dose irradiation and its local microstructural change is still not well-understood during this process. In this work, the (sub-) micrometre scale porosity from six locations across proton beam fluence and temperature gradients have been studied using focused ion beam-scanning
- 15 electron microscopy (FIB-SEM) tomography. A deep learning-based tomographic image segmentation technique has been established and implemented for porosity segmentation and quantification. It has been found that there is a decrease in the total volumetric percentage of the porosity at proton beam centre $(\sim 8 - 8.4 \text{ vol.} \%)$, by comparing to un-irradiated POCO $(\sim 1.6 \text{ vol.} \%)$ 12 - 13 vol.%) and to beam 2σ and 5σ radii (~ 12 vol.%). This decrease in porosity volume
- 20 percentage was found to be caused by the reduction in pores with volumes > 0.1 $μm³$ induced by material bulk dimensional swelling at proton beam centre area. The porosity reduction in relation to dimensional change and irradiation creep was discussed and further investigations through well-controlled irradiation experiment are still needed.
- 25 **Key words:** proton irradiation, POCO graphite, deep learning image segmentation, FIB-SEM tomography, porosity.

1. Introduction

30 Fine-grained graphite is used as a particle production target material at major particle accelerator facilities around the world. High-energy high-intensity proton beams are directed

onto graphite target material to produce secondary particles which further decay into muons or neutrinos for high-energy physics experiments¹⁴. And this is exemplified by the future Deep Underground Neutrino Experiment (DUNE), an international particle physics 35 experiment led by the U.S. Fermi National Accelerator Laboratory (Fermilab). The neutrinos for this experiment will be produced by the Fermilab Long Baseline Neutrino Facility (LBNF), a multi-megawatt (MW) accelerator target facility. In searching for suitable candidate target graphite materials, several irradiation experiments and studies have been conducted. Past experience in using target POCO ZXF-5Q graphite for the MINOS/MINER*v*A experiments at 40 Fermilab has shown a decline of neutrino yield during the target's lifetime and eventual target failure was observed by crack formation along the target fins. It is therefore of great

- importance to understand irradiation behaviour and microstructural changes of fine-grained graphite under pulsed and high-energy (120 GeV) high-intensity proton irradiation, to help optimise the selection and design of future target systems for next generation MW-class
- 45 proton accelerators. Further to these, POCO ZXF-5Q graphite is also considered to be a surface sealing material for nuclear graphite component in molten salt reactors (MSR) owing to its superior resistance to molten salt infiltration and gas permeation benefiting from its much finer porosity^{5,6}while allowing for the transport and removal of $^{135}Xe^{6-9}$.
- Nuclear graphite inevitably possesses a variety of microstructural phases spanning across 50 several length-scales due to its raw material and manufacturing process used, with porosity being one of the predominant type of defects distributed through the entire material volume¹⁰⁻ ¹⁴. The origin and morphological characteristics of different types of pores in nuclear graphite have attracted great research interest due to their important role in affecting crystal/bulk dimensional changes as well as physical and thermo-mechanical property changes with 55 irradiation and temperature^{15-19,20-24}. The most well-known nuclear graphite dimensional change behaviour is an initial bulk volumetric shrinkage followed by swelling back to its original bulk volume, the so-termed 'turn-around' behaviour. The initial shrinkage was attributed to the closure of pre-existing porosity in the form of microcracks (Mrozowski type cracks) upon irradiation and thermal straining¹³ . The mechanical properties of nuclear 60 graphite, such as elastic modulus and strength also change with irradiation showing an initial increase due to both dislocation pinning by interstitials^{25,26} and crystal densification process^{20,27}.
	- The 'turn-around' point is usually at \sim 18 dpa for near-isotropic Gilsocarbon graphite at

430 °C²⁸ . It is generally believed that the bulk volumetric swelling starts when nano-scale accommodating cracks are filled; the newly created microstructural defects will coalesce and

65 grow to a critical size eventually leading to the structural disintegration of graphite at high doses.

There is also evidence from the modelling results by Hall *et al. ²⁹* demonstrating that c-axis expansion could be accommodated by closure of large lenticular cracks (at hundred micrometre scale) within in Gilsocarbon graphite filler particles, contributing to the bulk 70 dimensional change and affecting the 'turn-around' behaviour of nuclear graphite (and hence, termed 'accommodation porosity'). Faster 'turn-around' at higher irradiation temperature was attributed to more accommodation porosity being taken up by thermal expansion in their work. Haag³⁰ showed micrographs depicting Gilsocarbon graphite bulk volume and filler particle shrinkage with most of the filler macro-porosity being closed at bulk dimensional 75 shrinkage stage. However, microfine-grained POCO graphite, along with other grades of medium-/ fine-grained graphites, exhibited direct bulk dimensional swelling at doses even lower than 1 dpa across a range of temperatures³¹⁻³⁶. There is not yet a satisfactory mechanism established for explaining this initial swelling. It is also not clear if the mechanism that is responsible for the bulk dimensional swelling beyond 'turn-around' at high doses is also 80 contributing to POCO graphite initial bulk dimensional swelling at low dose. This will be further discussed in the Discussion section.

Nuclear graphite can also be subjected to thermal and radiolytic oxidation-induced structural and property changes within CO2-cooled, graphite moderated thermal fission reactors^{23,28,37,38}. Whilst thermal oxidation is negligible in Magnox and UK advanced gas-cooled reactors 85 (AGRs), radiolytic oxidation considerably modifies open pores in nuclear graphite. It is generally accepted that open pores serve as favourable reaction sites for radiolytic oxidising species to react with carbon atoms causing loss of graphite weight and decrease in density, with smaller pore being more susceptible to such process³⁹. Graphite density, modulus and strength would be further degraded with more pores enlarged and generated. Although 90 radiolytic oxidation is not of an issue in high temperature gas-cooled reactors (HTGRs), very high temperature reactors (VHTRs) and MSR due to the different coolant media, which are inert helium and molten salt⁹, chronic thermal oxidation could still happen in HTGRs and VHTRs under high temperatures (>600°C), as a result of potential introduction of oxidising impurities carried by helium circulation during normal operation, and significant oxidation

- 95 due to air/water ingress under accident conditions^{9,40,41}. For neutrino-production targets at Fermilab's NT02 target system, oxidation is currently not of primary concern because of the inert He environment inside the target system and relatively low service temperature currently at ~370 °C (peak temperature). But the possibility of oxidising agent such as air and other impurities being introduced into the target system is not excluded in case of accident
- 100 such as casing and cooling pipe breaks. This would pose a serious graphite oxidisation issue under such circumstances via in-pore diffusion controlled manner, especially when operating at elevated temperatures (> 670 °C) in Fermilab's NOvA experiment, future LBNF-DUNE experiment, and 737 °C in the T2K experiment⁴². Considering POCO ZXF-5Q graphite contains predominantly (sub-) micrometre sized (< 1μm) porosity of which 70-95 % are open
- 105 pores^{12,43,44}, it is therefore necessary to characterise its porosity evolution with service for oxidation considerations.

This work investigates the porous microstructure across fluence and temperature gradients in a piece of ex-service POCO ZXF-5Q graphite material extracted from the NT02 target system in Fermilab's NuMI beamline (hence termed NT02 POCO). (Sub-) micrometre scale 110 3D porosity structures from three locations with different irradiation damage levels are

- studied by FIB-SEM tomography. The datasets are post-processed and corrected in Avizo software. Porosities are segmented by deep learning methodology in ORS Dragonfly software⁴⁵ to demonstrate the feasibility and the first implementation of such technique in irradiated POCO graphite structural characterisation in open literature. Thorough porosity
- 115 analysis has been carried out to closely examine the evolution of the pore structures with proton irradiation.

2. Materials and Methods

120 **2.1 Materials**

The material studied in this work is a proton irradiated microfine-grained POCO ZXF-5Q graphite, manufactured by Entegris - POCO Materials (former POCO Graphite Inc), USA. It has a reported average grain size of 1 μm and ~20% nominal total porosity. Its basic physical

and mechanical properties have been reported elsewhere 44,46 . The NT02 target system design

125 at Fermilab's NuMI beamline and irradiation condition has also been well-documented in these references^{31,47}.

POCO ZXF-5Q graphite is remarkably different from conventional nuclear grades of graphite such as PGA and Gilsocarbon and other fine-grained graphite such as IG-110 and Mersen 2020 in terms of porosity. From the work by Arregui-Mena *et al*. *¹²* and Jiang *et al*. *⁴⁴*, it has been found

- 130 that: 1) POCO ZXF-5Q graphite consists of mainly irregularly shaped globular pores with strong interconnectivity, closely resembling gas run pores that could be found in conventional nuclear graphite. 2) The size of porosity in POCO ZXF-5Q graphite is in general smaller than most of the fine-grained graphite grades examined, such as IG-110, NBG-25 and ETU-10 evidenced by mercury porosimetry, and SGL R7650 and IG-430 by 3D image-based analysis.
- 135 3) POCO ZXF-5Q graphite porosity is uniformly distributed across its bulk volume with a relatively large porosity volumetric percentage (> 20 vol.%).

Additionally, POCO ZXF-5Q graphite is considered as a binderless graphite material⁴⁸. Although the exact manufacturing route and raw materials used as filler and binder material for production are not disclosed by its manufacturer, it has been confirmed by Pitner that a

- 140 similar grade, POCO AXF, does not seem to have continuous binder phase with no clear fillerbinder boundaries can be seen³⁶. Another POCO grade AXM-5Q1 is also claimed not to have any binder materials⁴⁸. Further, Campbell mentioned that POCO ZXF-5Q graphite is produced in a way similar to sintering for producing ceramics that fine-grained filler powders are directly isostatically compressed together to form green article without using any binder
- 145 material⁴⁹. It has been recently confirmed that no binder materials and filler-binder interface can be seen in POCO ZXF-5Q by μXCT and FIB-SEM tomography by Jiang *et al 44* . These findings indicate that POCO ZXF-5Q graphite comprises only filler grains and porosity and the origin of the micrometre scale porosity in POCO ZXF-5Q graphite is different to those gaspercolation pores in other nuclear graphite grades resulted from release of volatiles from
- 150 binder material during baking stage.

2.2 Focused ion beam-scanning electron microscopy (FIB-SEM) tomography

155 To examine POCO graphite's local porosity at sub-micrometre scale, after high-energy proton irradiation, FIB-SEM tomography using a FEI Helios NanoLab 600i dualbeam workstation at Materials Research Facility (MRF) of UK Atomic Energy Authority (UKAEA) has been conducted on the fractured surface of the NT02 POCO fin at proton beam centre (origin), 2σ and 5σ distance from beam centre, Fig 1. The specimen has been oriented in such a way that 160 its fractured surface is facing upwards so that the stitched SEM image in Fig 1b is a top-down view, and proton beam is travelling into/out of paper's direction with its centre being marked by red dot. Two FIB-SEM tomographies have been performed at each of these locations to give

higher statistical confidence.

- 165 *Fig 1. Schematic showing POCO ZXF-5Q graphite specimen extracted from the NuMI beamline of Fermilab. (a) The NT0-2 target system employed at NuMI beamline consists an array of 47 segmented fins of POCO ZXF-5Q graphite with their top and bottom surfaces being braze-attached to stainless-steel cooling pipe containing circulating water for heat removal. False colours are for eye guidance only. (b) Stitched SEM micrograph showing the extracted piece of specimen located close to proton beam centre, which is called second half beam side (SHBS)* 170 *in (a). This specimen has been re-oriented to expose its internal fractured surface for examination and therefore, proton beam travelling direction in (b) is perpendicular to paper. Beam 1σ radius = 1.1 mm. FIB-SEM tomographies have been conducted at 3 locations on the fractured surface: beam centre, beam 2σ radius and beam*
	- *5σ radius. Linescan01 and Linescan02 directions shown here are two perpendicular directions along sample fractured surface for reference.*

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All FIB-SEM tomographies followed the same procedure: 1) A protective Pt layer is deposited onto the surface of region of interest (ROI) chosen; 2) trenches are milled by Ga⁺ beam at 30 kV and 47 nA in front of and at both sides of the ROI; 3) Ga⁺ beam at 30 kV 9.3 nA was used for cleaning cross section and the whole milling process for all sites. SEM at 10 kV and 0.34

- 180 nA was used for all imaging. Automated electron beam shift in Y direction (milling progressing direction) has been enabled in three of the tomographies to correct for shearing artefact and keeping tracking focus. Automated milling and imaging were performed by using the FEI software Auto Slice and View G3. Post-mortem instrument artefact correction and tomography image processing followed the procedures described in these references⁵⁰⁻⁵³.
- 185 Specifically, Avizo Standard 9.7.0 (ThermoFisher Scientific, USA) was used for foreshortening correction, image alignment by least-squares algorithm, denoising and curtaining artefact removal by non-local means filter and eventually shading correction. Tomography datasets without electron beam Y shift correction have been further corrected for shearing artefact in Avizo. Relevant information including tomography settings, dataset voxel size, correction and 190 reconstruction steps are summarised in Table 1.

Corrected FIB-SEM tomography datasets were then taken to deep-learning segmentation by using ORS Dragonfly software (Object Research Systems, Canada) to separate porosity from solid phases. Application of the same commercial deep learning environment to the segmentation of SiC-SiC matrix composite X-ray tomography data has been documented⁵⁴. To

- 195 initially train the deep learning models, about 10 tomography slices were manually segmented for each of these datasets separating porosity from solid phase. Dragonfly's builtin models including Sensor 3D⁵⁵, 2D U-Net model⁵⁶, 3D U-Net model⁵⁶ and FC-DenseNet56⁵⁷ were selected for initial training and comparing performances with identical training parameters setup. All of these models scored over 0.96 after this first round of training with
- 200 2D U-Net model surpassed the others in all 6 datasets. Their performance at this stage was further judged by closer visual inspection of prediction segmentations made. This has led to the final decision that the convolutional 2D U-Net model with depth level 4 and initial filter count 64 (2D U-Net dl-4 ifc-64 model) is kept, with the remaining models subsequently abandoned. This kept 2D U-Net_dl-4_ifc-64 model was then used for predicting more slices 205 that were later back-fed into the model for further training session. Eventually the 2D U-Net dl-4 ifc-64 model scored over ~0.997 after been trained with a total number of 20-25 slices

(~4-5% of each dataset) depending on the specific dataset. A flow chart is drawn to schematically show this process in Fig 2. Key deep learning model training parameters are summarised in Table 2.

210 *Table 1. FIB-SEM tomography setup and dataset post-processing parameters.*

Fig 2. Workflow of FIB-SEM tomography dataset processing and deep-learning based segmentation procedure. Raw tomographic dataset obtained from experiment is first processed and corrected to obtained corrected dataset.

This is also well-documented in these references44,50-52 215 *. Corrected dataset is then directly taken to initiate predictive model training starting with manual segmentation for training set (frames) preparation. Several built-in convolutional neural network models are preliminarily trained for comparison purposes and evaluated by both human visual inspection of predictions and scores achieved. The model with best predictions and highest score is further trained with more segmented sets (frames) and this process can iterate for a few times until it gives* 220 *reasonably good predictions. Model training details can be found in Method section and key parameters listed in Table 2. The whole dataset is then segmented by this trained predictive model and hence a segmented dataset is obtained. Necessary visual inspection and fine tuning of this segmented result is carried out before eventually being analysed and 3D reconstructed. FIB-SEM tomography datasets are processed by using Avizo Standard*

9.7.0 and deep learning segmentation performed in ORS Dragonfly.

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	2D U-Net	3D U-Net	Sensor _{3D}	2D FC- DenseNet56
Model details	Depth-level 4, initial filter count 64,	Depth-level 4, initial filter count 64, Number of input slices: 3	Number of input slices: 3	NA
Algorithm	Adadelta	Adadelta	Adadelta	Adadelta
Patch size	256	256	256	256
Stride ratio	0.2	0.2	0.2	0.2
Epochs number	100	100	100	100
Data augmentation	10	10	10	10
Loss function	ORSDiceLoss			
Frames trained in first round	10	10	10	10
Total frames trained	$~20-25$	NA	NA	NA
Workstation hardware	GPU: NVIDIA Quadro P5000; CPU: Intel(R) Xeon(R) Gold 6130 @ 2.10GHz with 64 processors; 384GB installed RAM; 30TB SSD storage.			
Total training hours	$~6 - 8$ hours	NA	NA	NA

230 *Table 2. Summary of key setup and parameters used for deep learning model training and segmentation.*

3. Results

3.1 Scanning electron microscopy images

235 Example secondary electron SEM images of NT02 POCO graphite freshly fractured surface is given in Fig 3 (a-b). Fractured surface is uneven and shows finely grained surface texture with porosity also being exposed to viewing. The magnified SEM view in Fig 3 (b) shows the randomly but uniformly distributed porosity in NT02 POCO graphite with some example pores labelled by yellow arrows. Also shown in Fig 3 (c-e) are the example SEM cross-sectional 240 views of milled NT02 POCO graphite.

porosity. Shearing correction is not applied in these images. (a) SEM view of fractured surface of NT02 POCO taken at ~ beam 2σ radius location showing finely grained texture with porosity can hardly be resolved at this 245 *magnification and, (b) is the magnified view of the central region marked by the yellow box in (a). NT02 POCO has uniformly distributed and interconnected porosity across the entire region, as some example pores marked by yellow arrows in (b). (c-e) Raw FIB-SEM tomography images showing example cross-sectional views of milled volume at beam centre (c), 2σ (d) and 5σ (e) locations prior to data processing and artefact correction. The yellow dashed boxes indicate approximately the cropped, corrected and reconstructed 3D volumes as in Fig 5.*

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These six images remark the porosity examined at three locations across proton beam profile with two sites for each location. It is clear that NT02 POCO graphite's micrometre scale pores are still uniformly distributed in these volumes and are consistent with previous findings in

un-irradiated POCO ZXF-5Q graphite that there is predominantly fine porosity in this 255 graphite grade with uniform spatial distribution⁴⁴. Since the scale bars in these six images are 5 μm it is evident that NT02 POCO graphite has a considerable amount of fine porosities less than 1-2 μm in 2D dimensions. Segmented porosity per image slice (2D areal porosity) is plotted against slice number and this is shown in Fig 4. It can be seen that there is an overall lowered 2D porosity in the two datasets at beam centre of about 8%, compared to those from 260 beam 2σ and 5σ locations of about 12 %. To explicitly investigate whether and how exactly

these micrometre scale porosities have been modified by energetic proton irradiation, detailed analysis of these porosity structures was carried out by using ORS Dragonfly⁴⁵ deep learningbased segmentation, and subsequently 3D reconstruction and statistics performed in the same software, see Methods section. Results are given in Fig 5.

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Figure 4. Porosity distribution across each image slice in FIB-SEM tomography datasets from (a) beam centre, (b) beam 2σ and, (c) beam 5σ radius locations. There is an overall lowered 2D porosity in the two datasets at beam centre compared to those from beam 2σ and 5σ locations.

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3.2 Visualisation and 3D analysis of porosity

3D reconstructed porosity structure of the six FIB-SEM tomography datasets conducted on proton irradiated NT02 POCO are shown in Fig 5 with two datasets from each location, i.e., (a i-ii) at beam centre, (b i-ii) at beam 2σ radius and (c i-ii) at beam 5σ radius distance away 275 from beam centre. Different colours are for labelling each individual pore and therefore, it can be seen there are a number of extremely large pores in all of these 6 volumes which are marked by a single colour. It is also clear that there is a large number of pores with relatively small sizes and distributed evenly across the volumes examined. These morphological features and

spatial distribution of NT02 POCO graphite are similar to the previous findings from un-280 irradiated POCO graphite which illustrates the high confidence in the current results.

The total volumetric percentage of porosity are determined. It is 8.02 vol.% and 8.40 vol.% at proton beam centre; 12.15 vol.% and 11.18 vol.% at beam 2σ radius; and 10.17 vol.% and 11.88 vol.% at beam 5 σ radius, Fig 5. Porosity percentage is subject to \pm 1 vol.% error maximum. Porosity percentage at beam centre appears to be the lowest. Further detailed analysis will be 285 conducted. The last two images in Fig 5 (d i-ii) show the previous FIB-SEM data from unirradiated pristine POCO graphite but segmented and analysed using the ORS Dragonfly software by following the same procedure as described in Methods section to be consistent.

It can be seen that the equivalent diameter distribution is consistent with the previous data analysed by Avizo Standard software and the total porosity difference is only 1.5%, 290 comparable to the reported porosity error⁴⁴. Segmented image stacks are demonstrated by one supplementary animation video provided.

This decrease in the total porosity volumetric percentage from about 12 vol.% at 2σ and onwards down to about 8 vol.% at beam centre could be seen in Fig 5 (a-c). This decline can be further compared to the total porosity percentage from pristine POCO of 11.7 vol.% computed from ORS Dragonfly within a reconstructed volume of 4637 $μm³$ as in Fig 5 (d), or

compared to the previously reported 13.18 vol.% within a volume of 2962 μ m³ from the same dataset by Avizo Standard⁴⁴. Since an average error of 1% in the porosity analysed in Avizo has been reported, the good consistency among either tomography data sets from NT02 POCO 2σ and 5σ radii, or between pristine POCO analysed by the two different software, 300 implies that pristine POCO graphite sub-micrometre scale porosity should be around 12 vol.% and uniformly distributed through space. This decrease in porosity volumetric percentage at proton beam centre is discussed in more detail in Discussion section.

Further statistics of the pores are shown in Fig 6 based on the tomography data at beam 2σ radius as an example. Segmented 3D image stack of pores, Fig 6 (a), were classified by a 305 variety of quantities such as volumes, surface areas and mean Feret diameters and so on by ORS Dragonfly's connected component analysis module with 3D visualisations made by its measurement inspector module. Examples shown in Fig 6 (c-f) are illustrating the spatial distribution of porosity categorised by their 3D volumes, i.e. $\leq 1 \mu m^3$, $1 - 2 \mu m^3$, $2 - 5 \mu m^3$ and greater than 5 μm³ and coloured accordingly. It is apparent that very fine pores with volumes

 310 less than 1 μm³ are uniformly dispersed within the entire space but only accounting for 7.5 vol.% of the porosity volume. It is believed that pores having volumes less than 5 μ m³, as in Fig 6 (c-e), are essentially isolated closed pores without strong connectivity. However, pores having volumes greater than $5 \mu m^3$ are occupying 70.0 vol.% of porosity volume and they are formed by interconnected open pores, as in Fig 6 (f). Fig 6 (b) shows the histogram of 315 calculated equivalent diameters within this rectangular volume. The vast majority of pores have diameters less than 1 μ m (56.2 % + 15.8 %= 72%) as in the insert pie chart. Only less than 7% of the pores have equivalent diameters larger than 2 μm. These findings agree with the

- 320 *Fig 5. 3D reconstruction of NT02 POCO graphite porosity structure revealed by FIB-SEM tomography across proton beam irradiation profile. (a i-ii) Porosity at proton beam centre showing volumetric percentage of 8.02 and 8.40 vol.%. (b i-ii) At 2σ beam radius with 12.15 and 11.18 vol.% porosity and, (c i-ii) At 5σ beam radius with 10.17 and 11.88 vol.% porosity. A number of large pores are formed by interconnected small pores. (d i-ii) Reconstructed porosity 3D structure from pristine POCO ZXF-5Q graphite without irradiation showing a*
- *volumetric percentage of 11.7 vol.%, consistent with the numbers from (b-c) and previous work⁴⁴* 325 *. Reconstructed physical volume is 17.5 13.4 19.8 = 4637 μm³ . The majority of pores has equivalent diameter of less than 1 μm in un-irradiated POCO graphite and other details have been published somewhere else⁴⁴ . Different colours are used for labelling each individual pore. The physical sizes of these reconstructed cuboid volumes are listed in the Table 1. All segmentation was done by deep-learning technique as described in the Methods section with 3D*
- 330 *reconstruction and analysis also done in ORS Dragonfly software.*

Fig 6. An example showing porosity analysis of one of the FIB-SEM tomography data taken at beam 2σ distance towards beam centre. (a) Total porosity is 11.18 vol.% within this volume and this is taken to further detailed analysis including classifying pore sizes into several ranges and labelling and computing the volumetric 335 *percentage. (b) Computed pore volumes are converted into equivalent diameters by taking their analogues as sphere and therefore, histogram of these diameters can be plotted. It is evident that 72 % (56.2 %+15.8 %) of the*

pores in this space has equivalent diameters less than 1 μm. However, only 0.1% of the pores have equivalent diameter greater than 5 μm that are formed by interconnection. (c-f) Pores having volume of less than 1 μm³ are uniformly distributed, accounting for 7.5 % of the pore space. The vast majority of porosity space (70.0 vol.%) is **340** *occupied by pores having volumes greater than 5 μm³ as in (f).*

3.3 Porosity statistics

Detailed statistics of NT02 POCO porosity are given in Fig 7. Porosity volume is classified into five groups, with the smallest range being less than $0.1 \mu m^3$ and the largest being greater than

- $5 \mu m^3$, as shown in Fig 7 (a-b). Data from all six tomography datasets are plotted for side-byside comparison, including two datasets from each of the three milling locations. In Fig 7 (a), approximately 55 - 70% of the pores have a volume less than $0.1 \mu m^3$, 15 - 25% of the pores have a volume between 0.1 - $1\ \rm \mu m^3$, whereas only about 4.2 - 5.3% of the porosity is larger than 5 μm³ in all six tomography datasets. The volumetric percentage values of this porosity in the 350 rectangular volume reconstructed are plotted in Fig 7 (b) and categorized by their sizes. It is evident that although the number of pores with sizes smaller than $0.1 \mu m^3$ accounts for about
- 55 70% of the population, they only occupy about 0.5 vol.% of the porosity space. It is those pores larger than 5 μm³ , formed by interconnected small pores, that fill over 60 - 85 vol.% of pore volumes, but only account for about 5% of the population.
- 355 The main message here is twofold: 1) Pores in NT02 POCO graphite are dominated by largely interconnected ones but there are very few of them, meaning a few large pores constitute the majority of the overall porosity. The vast majority of porosity population (85%) consists of isolated closed pores with sizes smaller than $1 \mu m^3$ but this fraction of pores only occupies about 10 vol.% of the pore volume. 2) These findings agree well with the distribution 360 statistics previously found in the FIB-SEM tomography of un-irradiated pristine POCO ZXF-5Q graphite. Since pores smaller than $0.1 \mu m^3$ contribute insignificantly (0.5 vol.%) towards total measured porosity. Pores that are larger than $0.1 \mu m³$ have been summed up to give total pore volume and plotted in Fig. 7 c. The decrease in total pore volume is apparent for the two datasets at beam centre area in Fig. 7 c. Converting all 3D pore volumes into equivalent 365 diameters gives the plot in Fig 7 (d). It shows that pores having diameter less than 0.5 μ m accounts for $50 - 70$ % of porosity population which is consistent with Fig 7 (a). Only less than 0.5 % of the pores having equivalent diameter greater than $5 \mu m$.

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larger than 0.1 μm³ 380 *. A reduction of total pore volume at proton beam centre is clear. (d) Columns of fractional equivalent diameter with diameter less than 0.5 μm being coloured in blue and it is about 55 – 70 % of the porosity in all six datasets.*

structure, relatively consistent across these tomographies. (c) Total pore volume by summing up all the pores

3.4 Impact of sampled volume on porosity

The decrease in total pore volume percentage at beam centre is further explicitly examined by 385 plotting pore population against reconstruction volume as in Fig $\frac{8}{a}$, to verify whether the difference is caused by different physical volumes reconstructed. The key points that can be inferred from Fig 8 (a) include the following:

(1) Although reconstructed physical volumes of six tomography datasets are different, the number of pores is proportional to the volume sizes, i.e., larger reconstructed volume revealed 390 more pores, and this is seen by comparing the first three datasets to the last three in Fig 8 (a).

(2) By comparing the two datasets at beam 2σ in Fig 8 (a) and Fig 5 (b), it is evident that the change in physical volumes reconstructed does not affect the total porosity volumetric percentage since their porosity difference is only \sim 1% as in Fig 5 (b).

(3) By comparing beam centre datasets and 2σ 01 in Fig 8 (a), their pore numbers are similar

395 but the porosity volumetric percentages differ by \sim 4 vol.%, which is 12.15 vo.% at 2 σ 01 as opposed to 8.0 vol.% and 8.40 vol.% at beam centre.

These indicate that the size of sampling volume did not affect total porosity volumetric percentage, and the change of total porosity is not a biased result from either reconstructed physical volume or segmentation techniques used (informed by Fig 5 (d) and ref⁴⁴).

- 400 The volumetric fraction of all pores larger than $0.1 \mu m^3$ in relation to the total volume reconstructed is plotted in Fig 8 (b), categorised by their sizes. It is clear that there is a noticeable size decrease in the pores with volumes $> 0.1 \mu m^3$ in the two datasets from beam centre, i.e., ~ 8 vol.% as compared to over 10 vol.% from the others from beam 2σ and onwards. The most noticeable change is in the size range of 0.1 – 5 μ m³. Aspect ratio for porosity having
- 405 volume greater than > 0.1 μ m³ is plotted in Fig 8 (c). Aspect ratio is computed by ORS Dragonfly using the ratio between the minimum and maximum rigid body inertia eigenvalues. An aspect ratio of 1, 0.5 and 0 represents a perfect 3D cube/sphere, 2D square/circle and a 1D rod-like object with 1 voxel wide, respectively. It can be seen from Fig 8 (c) that aspect ratios are independent of locations with no definitive trend of change. This implies that porosity 410 volumes at beam centre are uniformly reduced in all directions with no geometric preference.

- 415 *Fig 8. (a) Number of pores plotted against physical volumes reconstructed for side-by-side comparison in these FIB sites, verifying that reduced porosity volumetric percentage at beam centre is not due to sampling volume difference, as can be seen by comparing 2σ 01 and 2σ 02 and the number from Fig 5b. (b) A reduced volumetric percentage of pores having sizes > 0.1 μm³ have been identified and it is the drop of these relatively large pores in the two FIB sites at beam centre that caused total percentage drop as in Fig 5. (c) Measured porosity aspect ratios.*
- 420 *Aspect ratio of 1, 0.5 and 0 represents a perfect sphere, circle and 1D rod, respectively, see main text for descriptions.*

4. Discussion

This work concerns the porosity change of POCO ZXF-5Q graphite that has undergone high-425 energy proton beam irradiation. The difference between pulsed proton beamline environment and graphite-moderated thermal fission reactors shall be firstly briefly described in terms of the following three aspects to better appreciate the problem:

(1) Effect of flux. The typical flux in a thermal or mixed spectrum fission reactor is about $10⁻⁷$ $dpa/s⁵⁸$, and it is about 10⁻⁶ dpa/s for fast fission reactor and fusion reactor^{58,59}. Whereas the 430 instantaneous flux in high energy proton beam could reach $5-6 \times 10^{-3}$ dpa/s⁵⁸. Extensive research has been conducted to examine the impact of flux on dimensional and material

- properties in graphite^{60,61}. Material test reactors (MTRs) with higher fluxes have been used to accelerate data acquisition compared to power-producing reactors⁶²⁻⁶⁴. Initially, it was hypothesised that varying fluxes, despite identical fluence and neutron energy spectra, lead 435 to distinct property changes due to effectively different net damage rate that is also a function
- of irradiation temperature and time inside reactor environment. In this context, the concept of equivalent temperature⁶⁵ was proposed to account for such net damage rate effect in graphite, supported by experimental data at 350 °C and below by Eason *et al⁶⁶*, with little or no clear evidence to support its use in the temperature range of 350–650 $\mathrm{^{\circ}C}$ ⁶⁶. Considering the peak 440 irradiation temperature in NT02 POCO is below or very near to the temperature boundary quoted by Eason *et al⁶⁶*. and the measured results will be primarily compared with graphite materials irradiated under different fluxes, the effect of flux is likely to play a role in the observed dimensional and porosity change, and to be specifically studied via controlled irradiation experiment.
- 445 (2) Pulsed and continuous irradiation. To the best of the authors' knowledge, to date, there have been no openly published studies on the disparities in irradiation effects between pulsed and continuous proton irradiation in nuclear graphite. However, modelling work on metals indicated that the impact of proton irradiation, for instance, at a specific dose or dpa level, might be influenced by whether protons were delivered in a cyclic pulsed or continuous 450 manner at a pulsing frequency of 1 Hz^{67} . Simulation of 800 MeV pulsed proton irradiation from Kmetyk *et al*. ⁶⁸ suggested that pulsing the irradiation would only affect metal material swelling indirectly and new effects would only be produced if the pulse times were greater
- induced thermal pulses. Exact differences between pulsed and continuous proton irradiation 455 on graphite structural change will need to be studied through well-controlled experiment in future.

than or comparable to vacancy and interstitial reaction times, partially due to radiation

(3) Irradiation damage caused by protons and neutrons. A significant amount of property and structural change data of nuclear graphite, as well as the understanding of these changes, originated from historic graphite-moderated thermal fission reactors data⁶⁹⁻⁷² and MTR 460 irradiation experiments^{62,63,73}. Although current understanding of the similarities and differences in structural and property changes in nuclear graphite under proton and neutron irradiation is not yet fully established, there do exist sparse published work on proton irradiation behaviour of nuclear graphite to emulate that from neutron⁷⁴⁻⁷⁷. Hove⁷⁸ showed that there is very little difference from graphite property changes induced by neutron and 465 proton irradiation (8.8 MeV) but that set of experiments were conducted at much lower temperature (103-523 K) as well as proton energy than NuMI experiment reported in this work. Was *et al.⁷⁹⁻⁸¹,* although mainly focused on metal materials, suggested that it is appropriate to emulate neutron irradiation effects by protons since the observed microstructural and property changes were in good agreement with reactor irradiation. Attempts to directly study 470 high energy proton beam irradiation (160 MeV) on fine-grained graphite have been made by Simos *et al*. in searching for suitable candidate target graphite materials for proton beamline^{2,31,32,82}. Proton irradiation induced bulk and crystal dimensional change and property changes including Young's modulus, tensile strength, coefficient of thermal expansion (CTE) in these fine-grained target graphites were compared with the data from historic grades 475 irradiated by neutrons, suggesting good agreement in their work $31,82$.

Given the limited availability of experimental data, understanding of the structural and property changes induced by proton irradiation in nuclear graphite, especially POCO graphite at relatively low doses and relevant beamline irradiation temperatures, is constrained. Recourse has to be made to the property changes observed in other grades of 480 graphite with most of which were irradiated by neutrons, as discussed in the following paragraphs.

Porosity change with irradiation and temperature is an important part of graphite structural evolution. It is generally accepted that Mrozowski type microcracks can be directly modified by irradiation and it predominantly determines nuclear graphite crystal and bulk dimensional 485 change with the latter shows the classical 'shrink then swell' behaviour. At the early low dose stage of irradiation before 'turn-around', closure of Mrozowski cracks is mainly caused by graphite crystallographic c-axis expansion due to interstitial clusters and subsequent new basal planes created 83 , thermal expansion 20 , and deformation and buckling of basal planes $^{84-87}$. Together with a-axis contraction caused by coalescence of vacancies within basal planes⁸³, 490 effect of Poisson's ratio⁸⁸ and concomitant effect from basal plane buckle and ruck and tuck 85 , a net bulk volumetric shrinkage is usually seen at this stage. Crystal dimensional change in both highly annealed pyrolytic graphite (HAPG)⁸⁸ and PGA graphite⁸⁹ showed continuous growing and shrinkage in c-axis and a-axis respectively, with a much faster dimensional change rate observed at irradiation temperatures lower than 250 °C. Rapid expansion in the 495 c-axis could have rapidly consumed the available Mrozowski cracks leading to earlier 'turnaround' in NT02 POCO graphite at low irradiation temperatures. Heggie *et al. ⁸⁵* proposed that another dominant mechanism responsible for graphite crystal c-axis expansion below irradiation temperature of 250 °C, apart from Frenkel pairs and new basal plane formation by interstitial clusters, is permanent basal plane nano-buckling, and it is ruck and tuck when 500 above 250 °C. However, as also mentioned in the recent work by Jiang *et al.*⁹⁰, due to the local temperature gradient caused by proton energy deposition and cooling channels and thermal cycles caused by the pulsed beams, it has not been possible to trace the exact local distribution and history of irradiation temperature in the POCO graphite target fin studied in this work. Hence, it still remains unclear whether the observed crystal dimensional change at proton 505 beam centre area is faster than at the edges. Whether NT02 POCO graphite crystal dimensional change at proton beam centre area is accompanied by the mechanisms proposed

by Heggie *et al.*85 requires further investigation. Future high-resolution TEM analysis needs to be carried out to specifically investigate crystal deformation and c-axis expansion mechanisms in NT02 target POCO graphite.

- 510 Closure of Mrozowski cracks has been found in HOPG and/or nuclear graphite in such experiment from the work by Wen *et al.*²² (dose/fluence not reported), Karthik *et al.*⁹¹, Shen *et al*. *⁹²* and Johns *et al*. *93* . In the recent work by Karthik *et al*. on neutron irradiated IG-110 and NBG-18 graphite⁹⁴, there was no significant change in Mrozowski cracks that has been found in both filler particle and binder matrix at initial low dose stage of ≤ 2 dpa at ~ 450 and ~ 670 °C.
- 515 Only when irradiated to ~ 6.7 dpa could closure of Mrozowski cracks in a length scale of hundreds of nanometres be clearly seen. For NT02 POCO graphite, although no lenticular thermal shrinkage crack at micrometre scale such as calcination cracks have been found, there do exist Mrozowski type cracks at nanometre scale^{46,95}. Post irradiation examination (PIE) of POCO fins extracted from the same MINOS/MINERvA irradiation experiment using ex-situ
- 520 TEM analysis suggested no quantifiable modification of Mrozowski cracks under NuMI beamline irradiation condition⁹⁵. But it was also argued by these authors that this could be the fact that only small volumes were examined and local variation could not be ruled out⁹⁵.

Hall *et al.²⁹* and Haag *et al.³⁰* demonstrated large lenticular cracks (at hundred micrometre scale) played a role in accommodating expansion of c-axis which subsequently affected the bulk 525 dimensional change and 'turn-around' behaviour in Gilsocarbon graphite, and hence these large cracks were termed as 'accommodation porosity'. It is then necessary to investigate whether the micrometre scale porosity in POCO graphite has been modified by proton irradiation which is the key incentive of present work. The most direct evidence from this

work is the apparent decrease in these micrometre scale porosity (pores with sizes $> 0.1 \mu m^3$)

- 530 volume at beam centre area as shown in Fig 5 and 8, suggesting that not only can nano-size Mrozowski type lenticular cracks accommodate c-axis expansion, but also this type of large micrometre size porosity can accommodate local volume expansion. In this case of POCO ZXF-5Q graphite where filler particles are milled to microfine-grained sizes, no large lenticular cracks of the same type studied by Hall *et al*. ²⁹ and Haag *et al*. ³⁰ were observed (see
- 535 Materials section). The globular and interconnected pores distributed within and in between filler grains will instead serve as accommodating porosity in addition to nano-scale Mrozowski cracks. However, other mechanisms that could have potentially contributed

towards the observed dimensional change such as irradiation creep and gas production damage cannot be ruled out at this stage.

- 540 Usually, nuclear graphite volume shrinkage rate will decrease when it is irradiated to higher doses where bulk volume reaches a minimal. This is then followed by volumetric swelling as a result of the formation of new defects and pores. One recent experimental work by Contescu *et al*. ⁹⁶ on a superfine-grained G347A graphite neutron irradiated to cover the full dimensional change process showed drastic increase in sub-micrometre scale porosity with volumes < 0.1 545 um³ at very high doses after 'turn-around', accompanied by the multiplication and growth of mesopores (tens of nanometres). The 'turn-around' point for G347A graphite at 300 $^{\circ}$ C⁶³ is ~ 18 dpa. This value is ~ 18 dpa for the medium-grained near-isotropic Gilsocarbon graphite at 430 °C²⁸, and it is ~ 18 dpa, ~15 dpa and ~12 dpa for fine-grained IG-110 at 300 °C⁹⁷, 600 °C⁹⁸ and 750° C⁹⁹ respectively. The higher the irradiation temperature, the more rapid dimensional 550 change and earlier the 'turn-around' point^{24,28}. Considering that a peak irradiation temperature of ~350-370 °C was estimated at the proton beam centre on NT02 POCO with a reported displacement damage of \sim 1 dpa³¹, it is highly unlikely that material at the beam centre had passed its 'turn-around' point. However, instead of bulk shrinkage, it exhibited bulk dimensional swelling of $\sim 3.8 - 4.3 \%$ ^{31,95} at such low dose. In fact, direct bulk dimensional 555 swelling at low doses has not only been reported in NT02 POCO graphite but also in other
- various grades of medium-/fine-grained graphite irradiated at different temperatures including ETP-10, IG-110U, NBG-10, Gilsocarbon graphite and some historic POCO grades³³⁻ 36,83, which has been postulated to be caused by irradiation-induced residual stress relaxation at low doses34,100. But it was argued by Marsden *et al*. that there is currently no evidence for 560 this hypothesis^{28,101}. Further to these, the POCO ZXF-5Q graphite has been graphitised at 2500 °C, lower than the 'standard' \sim 2800 °C for conventional nuclear graphite grades. Although it has been shown that reducing graphitisation temperature would increase dimensional change rate²⁴, there is no direct evidence showing lower graphitisation temperature would reverse the dimensional change from shrinkage to swelling at low dose

565 stage.

The flux, fluence and temperature distributions in graphite target fin led to different rates of dimensional change within the target fin component. These stresses would in turn alter the dimensional changes through the mechanism of irradiation creep. The ratio between the bulk dimensional swelling at target fin beam centre and target fin edge has been reported to be

- 570 about 1 to 2, meaning a gradient of stress was generated⁹⁵. Modelling of proton irradiation induced swelling in NT02 POCO fins by Bidhar *et al*. ⁴⁷ suggested a compressive stress of 150 MPa at beam centre due to constraint from surrounding materials, which is an upper bound due to the lack of such POCO graphite creep strain data. As such, the reduction in porosity volume could have been affected by irradiation creep process. Practically, creep strain is
- 575 regarded as the difference between dimensional changes under loaded and unloaded conditions. Upon irradiation, if the unloaded graphite expands (as observed in the current POCO graphite), applying a compressive load diminishes the expansion, while a tensile load amplifies it. The only publicly available dimensional change data of POCO graphite at a lowest irradiation temperature of ~ 400°C are those from POCO AXF-8Q1 and AXZ-5Q1 from
- 580 Pitner³⁶, AXF-Q1 from Kelly³⁵ and AXF-5Q to a very low dose $(0.08\%$ dimensional change at 1×10²⁰ n/cm²) at 380 - 450°C from Platonov *et al¹⁰².*, all showing negligible dimensional changes when neutron irradiated to a few dpa without irradiation creep. This means that it is not clear how much irradiation creep has contributed towards the observed bulk dimensional swelling of ~ 4.3 % of NT02 POCO fin at proton beam centre area. Campbell *et al. 46,103* studied proton
- 585 irradiation creep mechanisms in POCO graphite in which the lowest temperature achieved was 700 °C. The highest creep strain at this temperature was about 0.5% under 20 MPa tensile stress, creep rate of 8.24×10^{-3} %/hr and a dose rate of 5.52×10^{-7} dpa/s to a final dose of ~0.11 dpa after 55 hours of irradiation. They found that high temperature creep mechanism in POCO graphite comply with stress-induced preferential absorption (SIPA) of defects at 590 dislocations, suggesting vacancy lines and loops disassociate into dislocations, challenging the traditional theory of interstitial loop formation and growth. This may provide insights for the creep and dimensional change behaviour in target graphites in future LBNF-DUNE and T2K experiment as the irradiation temperature will be pushed beyond 700 $^{\circ}C^{42,58}$.

With respect to the effect of irradiation creep on micrometre scale porosity change, there are 595 very limited data in literature correlating irradiation creep to micrometre scale porosity in nuclear graphite. Snead *et al*. reported a gradual decrease in the average size of nanoscale porosity (2 - 50 nm) with increasing irradiation dose in IG-110 graphite when it is compressively stressed. Nitrogen adsorption revealed that total pore volume decreased and then increased with the minimal porosity volume occurring at 3.36 dpa at ~ 400 °C. However,

- 600 they argued that porosity evolution at this length scale contributed insignificantly to the overall dimensional change of IG-110 graphite¹⁰⁴ . Oku *et al*. reported partial disappearance of pores having diameter less than 10 μm, by using mercury porosimetry, of a medium-grained near-isotropic SM1-24 graphite that has undergone irradiation creep test under tensile stress up to \sim 1.1 dpa at \sim 900 °C, with the total porosity decreased by 4.6 %. But it was argued that
- 605 the contribution of porosity closure towards irradiation creep strain is uncertain¹⁰⁵. Therefore, the exact correlation between irradiation creep and (sub-) micrometre scale porosity under applied stresses is yet to be established as they appear to vary with the type of graphite and temperature. This is an area requires a significant amount of future work on graphites that have experienced well-controlled irradiation creep experiment such as UK's ACCENT
- 610 programme and Germany's ATR-2 graphite irradiation creep test at DISCREET facility¹⁰⁶⁻¹⁰⁹. As operational temperatures become higher, thermal stress gradients become more pronounced, and beamline irradiation experiments become more prolonged, irradiation creep is also likely to become more profound in future leading to the desired understating of irradiation induced structural changes in fine-grained graphite.
- 615 Lastly, another complication in the damage of NT02 target graphite is the production of helium/hydrogen gas via interaction with high-energy proton beam, potentially causing additional microstructural change and property degradation. There are published research reporting graphite structural changes caused by gaseous products but mostly from pyrolytic graphite. Twinned surface with blisters containing helium (He) and deuterium (D) gas that 620 can grow laterally by cleaving into graphite layers was reported by Bacon *et al.*¹¹⁰. Chernikov *et al. ¹¹¹* implanted pyrolytic graphite with 4He⁺ of 40 keV and 3.5 MeV at temperatures of 300 K and 770 K, showing irradiation induced swelling, creation of pressurised helium bubbles and the exfoliation of the layers. Surface erosion was observed in high density pyrolytic graphite implanted by 100 keV 4He⁺ (accompanied with cone structure containing helium gas) 625 and 200 keV H₂⁺ (accompanied with circular blisters) by Sone *et al*¹¹². Lenticular opening, twin networks and spherical bubbles were reported from HOPG implanted by He⁺ and D⁺ at various temperatures by Niwase *et al. 113* . Kelly *et al. ¹¹⁴* reported 10B-doped HOPG at 650°C led to increased dimensional change and layer delamination partly due to helium transmuted from 10B that are trapped in cavities, but the effect from He and 10B could not be separated due 630 to radiation damage clustering by ^{10}B . Helium production rate in Fermilab's MINOS

experiment has been estimated to be ~2200 appm and this number is estimated to be ~ 5500 appm and ~ 3600 peak appm in NOvA experiments running at 700 kW and 1 MW (AIP) beam power¹¹⁵ . There seems to be a gap in literature in terms of nuclear graphite porosity evolution with gas production in both nuclear fission and accelerator target systems. It then remains 635 unclear if POCO graphite's sub-micrometre scale porosity has been modified by He/H² gas production in NT02 target environment and further work is greatly desired.

5. Conclusions

Porosity characterisation of an ex-service POCO ZXF-5Q graphite material experienced high-640 energy high-intensity proton irradiation in the NT02 target system in Fermilab's NuMI beamline has been conducted. Sub-micrometre scale porosity has been imaged by six high resolution FIB-SEM tomography across proton beam fluence and temperature gradients in the fin. 3D FIB-SEM tomographic datasets are segmented by state-of-the-art deep learning-based segmentation techniques enabling subsequent 3D reconstruction and detailed statistics 645 analysis. It has been found that there is a volume decrease in relatively large pores (volumetric reduction of pores having volumes > 0.1 μm³) at proton beam centre location, corresponding to a reported irradiation dose and temperature of a few dpa and ~350 - 370 °C maximum in open literature.

Although the reduction of micrometre porosity volume at proton beam centre area of NT02 650 POCO graphite has been attributed to bulk dimensional swelling and a considerable amount of in-depth discussions have been presented, separating individual contributing factors, such as irradiation flux, temperature gradient and thermal cycles, irradiation creep, thermomechanical stresses and gas production damage, from observed dimensional and porosity change has not been possible. There is a huge knowledge gap between nuclear reactor 655 graphite and pulsed proton accelerator graphite target material due to their different service conditions. Future work on characterising POCO graphite particularly on those experienced well-controlled irradiation experiment is greatly desired to help discern the effect from various factors towards the observed irradiation induced structural and property changes in target graphite materials.

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675 **Credit of Authorship**

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