

# Microstructure and Tribological Response of Selective Laser Melted AISI 316L Stainless Steel: The Role of Severe Surface Deformation

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## Abstract -

This study investigates the effect of surface mechanical attrition treatment (SMAT) (a severe surface-deformation process) on microstructure and tribological behaviour of AISI 316L steel samples manufactured using the selective laser melting (SLM) technique. The specimens are built in different directions (0°, 45°, and 90°). The microstructure of annealed SLM samples shows the non-uniform distribution and random orientation of grains. It contains high angle grain boundaries and a high density of dislocations. The average grain size is about 63, 51, and 41 μm for 0°, 45°, and 90° build direction, respectively. SMAT is beneficial for SLM steel to reduce surface roughness (by ~87%) and eliminate internal porosity. The deformed layer of SLM steel shows a highly dense network of slip bands,

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3 distortion of grains, and hardness gradient (up to the depth of about 600  $\mu\text{m}$ ). Increase in surface  
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5 hardness due to SMAT is maximum ( $\sim 54\%$ ) for the sample having  $90^\circ$  build direction. Typical  
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7 observation of deformation-induced martensite is absent for the SMAT processed SLM steel. Under  
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9 the higher load (especially, 20 N), the tribological response of sample manufactured in  $90^\circ$  direction is  
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11 superior amongst the non-treated samples. Severe surface deformation enhances the wear resistance  
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13 and reduces the COF of SLM steel.  
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19 Keywords: SMAT; SLM; Wear; AISI 316L; Surface Nanostructuring  
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## 24 1. Introduction

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26 Stainless steels are known for their superior mechanical characteristics. Amongst all grades of  
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28 stainless steels, AISI 316L steel has an outstanding combination of corrosion resistance and mechanical  
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30 properties. Such combination leads to its utilization in numerous aircraft components, medical  
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32 implants, and petrochemical industries [1-3]. An advanced manufacturing technique called ‘selective  
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34 laser melting (SLM)’ is becoming popular in various industrial platforms for designing and fabrication  
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36 of machine components. A high degree of freedom in geometry, minimal wastage of material, superior  
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38 mechanical strength, and faster manufacturing (as compared to the conventional route) are some of its  
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40 plausible trademarks [4,5]. SLM is a powder-based additive manufacturing process. In this process,  
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42 components are fabricated by driving the high power laser to cause a fusion of metal powder in a layer-  
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44 by-layer architecture using CAD platform [6]. In the SLM process, product quality strongly depends  
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46 on process parameters such as laser power, a layer thickness of powder bed, scanning speed, build  
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48 direction, etc. [7,8]. High cooling rate ( $\sim 10^5\text{-}10^7 \text{ K}\cdot\text{s}^{-1}$ ) in SLM technique induces a non-uniform  
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50 microstructure (unlike the conventional casting and hot-/cold- rolled material) [9,10]. SLM 316L steel  
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52 possesses grains with cellular dendrite and columnar structures, and grain size is in the range of 10–  
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54 100  $\mu\text{m}$  [11,12]. The hardness of SLM 316L stainless steel is typically higher than conventionally  
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3 manufactured 316L stainless steel [13]. Higher hardness of the steel is attributed to its fine grains and  
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5 higher dislocation density [12].  
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8 High hardness of SLM 316L steel trigger about 28% lower wear rate as compared to the cast  
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10 steel [14]. Many former studies on SLM technique explain the role of process parameters on internal  
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12 defects and surface roughness of the 3D printed materials [15,16]. However, porosity and high surface  
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14 roughness are still challenging to make this technique more powerful and economical. These  
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16 drawbacks can adversely affect the wear resistance because they increase the probability of crack  
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18 formation/propagation, resulting in material loss during dry sliding operation [11,17]. Various  
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20 techniques are attempted to overcome these challenges. Laser surface re-melting can eliminate the  
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22 porosity and minimize the surface roughness (for example, reduction in  $R_a$  from 12  $\mu\text{m}$  to 1.5  $\mu\text{m}$ ) of  
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24 the SLM steel, which in turn improves the fatigue resistance [18-20]. However, multiple laser scanning  
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26 increases production cost and time significantly. Heat treatment can also decrease the internal porosity  
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28 of the material to some extent; however, it significantly compromises the hardness of SLM steel [11].  
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30 Optimization of laser parameters, laser polishing, and electrochemical polishing are some of the  
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32 approaches used to improve the surface finish of the SLM materials, where the most attainable surface  
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34 roughness was 0.8  $\mu\text{m}$  [7,8,19,21,22]. The ultrasonic nanocrystalline surface modification (UNSM)  
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36 can eliminate the voids/porosity in the surface of the SLM 316L stainless steel [23]. Therefore, severe  
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38 plastic deformation (SPD) is a promising route to eliminate internal defects, and hence, improve the  
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40 mechanical properties of the SLM steel.  
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48 Surface mechanical attrition treatment (SMAT) is one of the SPD processes used for surface  
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50 modification of conventionally manufactured metals/alloys. It was introduced by K. Lu and J. Lu in  
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52 1999 [24]. SMAT process involves strong impacts of balls (typically, 1-6 mm diameter), moving in  
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54 random directions, on the surface specimen, which introduce a significantly high strain-rate (of the  
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56 order of  $10^3$ – $10^5$   $\text{s}^{-1}$ ) on the surface [25]. In case of conventionally manufactured steels, SMAT forms  
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58 a gradient microstructure up to the depth of 200-300  $\mu\text{m}$  (depending on the operating parameters such  
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3 as the number of balls, treatment time, ball speed, and ball diameter) [24,26]. Grain refinement, the  
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5 formation of high dislocation density, phase transformations, and generation of shear-bands occur in  
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7 the severely deformed layer of steels, depending on the stacking fault energy (SFE) of material [26-  
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9 29]. SMAT is a capable process to enhance various properties of metallic materials such as hardness,  
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11 strength, corrosion resistance, and wear resistance [25,26,28].  
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14 The current study aims to investigate the effect of build direction during SLM process and  
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16 severe surface deformation on the microstructure, porosity, hardness, and tribological response of AISI  
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18 316L stainless steel. The microstructure of heat-treated/annealed and severely surface deformed SLM  
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20 steel is investigated using an optical microscope, scanning electron microscope (SEM), electron  
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22 backscatter diffraction (EBSD), and nanoindentation methods. Ball-on-disc type dry reciprocating  
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24 wear test is conducted to study the tribological behaviour of the steel.  
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## 30 31 **2. Materials and methods**

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33 A cylindrical disc of 5 mm thickness and 50 mm diameter was additively manufactured (by  
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35 Incredible Additive Manufacturing Pvt. Ltd., Pune) using Renishaw AM 400 Laser Melting machine.  
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37 Table 1 shows the chemical composition of AISI 316L stainless steel powder used to make the samples.  
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39 Size of the powder particles was in the range of 15–45  $\mu\text{m}$ . The laser scanning was carried out in argon  
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41 atmosphere using 200 W laser power, 50  $\mu\text{m}$  thick powder bed (layer), 110  $\mu\text{m}$  hatch distance, 70-120  
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43  $\mu\text{m}$  point distance, 80-120  $\mu\text{s}$  exposure time, and 70  $\mu\text{m}$  diameter of laser focus/spot. Figure 1 shows  
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45 the three scanning strategies concerning the sample build direction ( $0^\circ$ ,  $45^\circ$ , and  $90^\circ$ ) that were adopted  
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47 in this study. Samples were soaked in a muffle furnace for 30 min at about  $1050^\circ\text{C}$ , and subsequently,  
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49 they were quenched in water.  
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53 For severe surface deformation, in-house developed SMAT setup was used. SMAT was carried  
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55 out for 10 min using 5 mm diameter balls of high carbon steel (hardness  $\approx$  65 HRC). Velocity of ball  
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57 in SMAT cabin was measured using a high-speed camera. The measured velocity of the ball was about  
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3 10 ( $\pm 1.2$ ) m/s. Table 2 shows the designations of the samples used in the study. The surface roughness  
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5 of samples was measured using a two-dimensional (2D) surface profilometer. The samples were  
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7 cleaned using ethanol after severe surface deformation. Surface and cross-section of the samples were  
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9 polished up to 5000 grade SiC emery paper, followed by fine (up to 0.25  $\mu\text{m}$ ) diamond paste for  
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11 metallographic study.  
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15 Metallographically prepared samples (with and without etching) were investigated using an  
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17 optical microscope (OM) and scanning electron microscopy (SEM). For the porosity measurement, the  
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19 optical images were analysed by ImageJ software (using contrast difference method). The samples  
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21 were etched (using a solution containing 5 ml  $\text{HNO}_3$  and 15 ml  $\text{HCl}$ ) for microstructural study using  
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23 OM and SEM. Furthermore, electron backscatter diffraction (EBSD) was used to obtain the  
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25 microstructural details like distribution of grain size, grain boundary misorientation, and  
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27 geometrically necessary dislocation (GND) of annealed and severely deformed samples. For EBSD  
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29 experiments, all the samples were electro-polished and EBSD maps were obtained using 20 kV  
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31 accelerating voltage with 100 nm step-size.  
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36 X-ray diffraction (XRD) was carried out on the surface of heat-treated (annealed) and severely  
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38 deformed samples.  $\text{Cu-K}\alpha$  radiation ( $\lambda = 1.5406 \text{ \AA}$ ) and  $2\theta$  angle in the range of  $20\text{--}90^\circ$  were used to  
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40 record XRD patterns.  
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43 The nanoindentation (Hysitron TI premier Nano-Indenter) using Berkovich tip (tip radius = 60  
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45 to 100 nm) was performed on the polished (surface roughness,  $R_a \cong 200 \text{ nm}$ ) cross-section of severely  
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47 deformed samples to measure the hardness. The indent was taken at the normal load of 8000  $\mu\text{N}$  with  
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49 5 s dwell time.  
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52 The ball-on-disc type dry reciprocating wear test was performed on non-treated and surface-  
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54 treated samples at room temperature. In the wear test, sample (disc) reciprocate against alumina ball  
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56 (10 mm diameter,  $\sim 1700 \text{ HV}$  hardness, and average surface roughness ( $R_a$ ) of  $0.0148 \pm 0.001 \mu\text{m}$ ).  
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58 Typically, wear behaviour of materials depends on the surface roughness [30], and therefore, to  
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eliminate the surface roughness factor in the tribological study of samples built in different directions, NS1, NS2, and NS3 samples were polished ( $R_a \cong 0.02 \mu\text{m}$ ). The reciprocating wear test was performed using 3 Hz frequency and 4 mm sliding distance ( $l$ ) for 7200 s under 5, 10, and 20 N load, and wear-rate was calculated using Eq. (1):

$$W_r = \frac{\Delta A * l}{P} \quad (1)$$

where  $W_r$  is the wear-rate ( $\text{mm}^3/\text{N}$ ),  $P$  is the applied load (N), and  $\Delta A$  is the cross-sectional area of the wear track, which was measured at four different locations using 2D surface profilometer (Taylor and Hobson; Software: TalyProfile Gold V7.4). The coefficient of friction (COF) versus time was recorded during each wear test. The worn surface of the samples was studied using SEM.

### 3. Results and Discussion

#### 3.1 Microstructural response of SLM 316L Stainless Steel: the Role of Build Direction

The effect of build direction on the microstructure of SLM 316L stainless steel was investigated using EBSD (Fig. 2). Figure 2(a), (d), and (g) shows IPF (inverse pole figure) maps of NS1, NS2, and NS3 samples, respectively. IPF maps show the random orientations of grains throughout the samples built in different directions. There is no indication of a specific texture for the samples, and nature of the texture is not identical for different build directions (Fig. 2(j)-(l)). The distribution of grain size is non-uniform for all samples, and it ranges from 10 to 100  $\mu\text{m}$ . The average grain-size, based on high angle grain boundaries (HAGBs), is about 63, 51, and 41  $\mu\text{m}$  for NS1, NS2, and NS3 samples, respectively. Due to the rapid cooling of the samples in the SLM technique, the grains are generally elongated in the laser scanning direction (SD) [31]. Figure 2(b), (e), and (h) shows the grain boundary maps of NS1, NS2, and NS3 samples, respectively. These maps are mainly dominated by HAGBs (misorientation  $> 15^\circ$ ). However, some regions have low angle grain boundaries (LAGBs) with  $2^\circ$ – $15^\circ$  misorientation. The low-angle boundaries indicate the presence of strain gradient and dislocations

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3 in the samples [32], which are probably generated due to the rapid cooling of molten material in the  
4 SLM process. During layer-by-layer deposition in the SLM technique, shrinkage associated with the  
5 solidification of the molten pool can be constrained by the previously solidified substrate, leading to  
6 the accumulation of strain in the sample. Geometrically necessary dislocation (GND) maps reveal the  
7 domination of strain gradient along the grain boundaries, and it is somewhat more pronounced in the  
8 regions with LAGBs. NS1 sample shows more clusters of areas having lower GND as compared to  
9 NS2 and NS3 samples. In other words, NS2 and NS3 samples have more regions with higher strain.  
10 These observations suggest that the accumulation/distribution of strain in SLM AISI 316L steel is  
11 dependent on the build direction of the samples. The average density of such geometrically necessary  
12 dislocations in all samples is about  $5.5 \times 10^{13} \text{ m}^{-2}$ , which is significantly higher than a typical annealed  
13 wrought 316L stainless steel ( $\sim 10^9 - 10^{10} \text{ m}^{-2}$ ) [33,34]. Usually, such difference in the dislocation  
14 density influences the mechanical properties of the materials such as yield strength [35-38] and  
15 hardness [11,34,39,40].  
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### 3.2 Response of SLM 316L Stainless Steel to Severe Surface Deformation

#### 3.2.1 Effect on Macro-defects

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40 Surface mechanical attrition treatment (SMAT) process (using 5 mm diameter hardened steel  
41 balls moving with the velocity of  $\sim 10 \text{ m/s}$ ) was used for severe surface deformation of SLM 316L steel  
42 samples. Presence of macro-defects is one of the most common problems that occur in the production  
43 of almost all metallic materials by SLM technique [11,41,42], and such problems significantly affect  
44 their mechanical properties [11,43]. Figure 3 shows the optical micrographs (without etching) of the  
45 cross-section of S1, S2, and S3 samples. The cross-section of these samples contains (i) the deformed  
46 layer near-surface and (ii) non-treated core. Core of these samples (a portion of which is indicated by  
47 dashed-rectangles in Fig. 3(a)-(c)) shows the presence of defects like lack of fusion with non-melted  
48 powder particles (locations-1 in Fig. 3(a)-(c) and Fig. 3(d)), incomplete melting-induced porosity  
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3 (locations-2 in Fig. 3(a)-(c) and Fig. 3(e)), cracks (locations-3 in Fig. 3(b)-(c) and Fig. 3(f)), and  
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5 entrapped-gas porosity (Fig. 3(g)). Area fraction of such defects in the micrographs varies with the  
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7 build directions, and it is about 4.23, 0.96, and 2.3% for NS1, NS2, and NS3 samples, respectively.  
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9 Convincing disappearance of these defects is observed in the severely deformed layer of the samples.  
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11 In short, Fig. 3 suggests that the printing of sample in a 45° build direction being beneficial in inducing  
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13 lower porosity in the SLM material, and the severe surface deformation can eliminate almost all  
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15 porosity in the treated layer.  
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### 21 **3.2.2 Microstructural Response**

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24 Figure 4 shows the microstructure of the cross-section of non-treated and severely surface  
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26 deformed SLM 316L steel sample manufactured in 90° direction (here, NS3/S3 sample is taken as an  
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28 example to show the effect of severe deformation because other samples show the similar response).  
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30 As the sample is heat-treated after additive manufacturing (Section 2), the melting pool boundaries and  
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32 sub-structure boundaries are disappeared [11,38]. As mentioned above, the microstructure shows the  
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34 presence of coarse and fine grains, and the grain size is ranged from about 10 to 100  $\mu\text{m}$  (average grain  
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36 size: 41  $\mu\text{m}$  for NS3). The coarse and elongated grains (in the direction of scanning) are shown at  
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38 location-A, and very fine grains are shown at location-B (Fig. 4(a)). Figure 4(b)–(d) shows the  
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40 micrographs of the cross-section of the severely deformed sample. A very high density of closely  
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42 spaced parallel lines (which can be called as slip bands or slip lines or deformation bands) is visible in  
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44 the grains of deformed layer [44,45]. The density of slip bands decreases with increase in depth from  
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46 deformed surface (up to a distance of about 600  $\mu\text{m}$  for S3 sample). A magnified micrograph (Fig.  
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48 4(d)) shows intense intersections of many slips lines, which are caused due to the severe plastic  
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50 deformation and low stacking fault energy (SFE) of the austenitic stainless steel [26,28]. Such response  
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52 of the steel can cause nanocrystallization of the surface [45].  
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3 Figure 5 shows the EBSD results of the S3 sample. Image quality (IQ) map (Fig. 5(a))  
4 constructed from EBSD data reveals useful information of the microstructure, where the change in  
5 colour contrast is due to the strain gradient (lattice distortion), defects, and other microstructural  
6 features. The grain boundaries and a dense network of slip bands are visible in the IQ map of the  
7 deformed layer. Figure 5(b) shows the inverse pole figure (IPF) map of the cross-section of the S3  
8 sample. A marginal difference is observed in the average grain size (determined using an entire area of  
9 IPF map) of NS3 and S3 samples (Fig. 6(a) and (b)), where it is decreased from 40.93  $\mu\text{m}$  to 38.72  $\mu\text{m}$   
10 due to the severe surface deformation. The associated pole figures indicate a random orientation of  
11 grains before and after the surface treatment (Fig. 6(c) and (d)). However, the nature of texture is not  
12 identical for the non-treated and treated samples, which indicates the possibility of a change in the  
13 orientation of grains due to the severe surface deformation. In the IPF map, diffused colour contrast  
14 within the grains suggests the presence of considerable strain and sub-division of grains by dislocations  
15 and slip bands [27,45,46].

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33 Typically, a large deformation of conventionally manufactured austenitic stainless causes the  
34 formation of deformation-induced martensite ( $\alpha'$ -bcc) phase [28,29,47]. However, in the current work  
35 on severely deformed SLM 316L stainless steel samples, the phase map shows a negligible quantity of  
36  $\alpha'$  and almost 99% austenite ( $\gamma$ -fcc) phase (Fig. 5(c)). The XRD results discussed in the subsequent  
37 section also reveal a similar observation. Moreover, other literature indicates such analogous behaviour  
38 in case of SLM 316L stainless steel [48,49]. Hong et al. showed that, at 10% strain, the martensitic  
39 transformation in SLM 316L stainless steel do not occur at 300 K temperature; however, a considerable  
40 quantity of martensite (about 31%) forms at 80 K temperature [50]. The pre-existence of strain gradient  
41 and inhomogeneity in the microstructure of SLM 316L make possible to resist the nucleation of  $\alpha'$   
42 during surface-deformation at room temperature.

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Figure 5(d) shows the Kernel Average Misorientation (KAM) map, which is generally used to  
represent the average misorientation between a given point and its nearest neighbours that belong to

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3 the same grain. KAM is associated with a misorientation less than  $5^\circ$ . Therefore, the KAM is useful to  
4 assess the local plastic strain in the sample. High KAM values are observed throughout the sample,  
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6 indicating the presence of very high plastic strain in the severely deformed layer of the sample. Such  
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8 plastic strain generates a high density of slip bands (Figs. 4 and 5 (a)) and dislocations (Fig. 5(e)).  
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10 Figure 5(e) shows GND distribution in the surface-treated sample. SMAT process produces a large  
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12 plastic strain in the material, and plastic strain is directly proportional to an average GND density [34,  
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14 35]. The average GND of NS3 sample is about  $5.5 \times 10^{13} \text{ m}^{-2}$  (Section 3.1), and that of S3 sample is  
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16 about  $1.2 \times 10^{14} \text{ m}^{-2}$  (i.e., GND of SMAT processed sample is about 2.2 times the GND of the annealed  
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18 sample).  
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### 26 3.2.3 Surface Roughness and XRD

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28 Control on surface roughness is one of the major challenges in SLM materials. A rough surface  
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30 is not suitable for many engineering applications because it can reduce a dimensional accuracy,  
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32 generate stress concentration, accelerate crack initiation and propagation, increase corrosion rate,  
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34 increase friction, and decrease wear resistance [11,17]. Figure 7(a) shows the 2D surface profiles of  
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36 as-built, polished, and severely deformed sample surface. The SLM fabricated materials show very  
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38 high surface roughness due to the non-melted powder and entrapment of gas on the surface [42]. The  
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40  $R_a$  value of as-built SLM 316L stainless steel is about  $6.084 \pm 0.003 \text{ }\mu\text{m}$ , which is much larger than the  
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42 polished surface ( $R_a = 0.020 \pm 0.001 \text{ }\mu\text{m}$ ). In the SMAT process, a continuous bombardment of steel  
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44 balls (with high velocity) decreases the  $R_a$  value by  $\sim 87\%$  (i.e.,  $R_a = 0.819 \pm 0.002 \text{ }\mu\text{m}$ , which is  
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46 considerably lower than the  $R_a$  value of the as-built surface). Figure 7(b) compares the optical  
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48 micrographs of the cross-section of NS3 (as-built) and S3 (surface-deformed) samples, and they  
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50 endorse the smoothing of the surface due to the sever surface deformation of SLM sample.  
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56 Figure 7(c) shows the XRD patterns of NS1, NS2, and NS3 samples, and all peaks present in  
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58 the XRD patterns confirm the presence of only the austenitic phase ( $\gamma\text{-Fe}$ ) in the samples. A  
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3 considerable broadening of these peaks indicates the presence of high strain in the samples (see also  
4 Section 3.1). Figure 7(d) compares the XRD patterns of the annealed sample and severely surface  
5 deformed sample. In contrast to the typical observation associated with the severely deformed  
6 austenitic stainless steel [26,28], the current results reveal the absence of austenite to martensite  
7 transformation during deformation of SLM steel (XRD pattern of S3 sample does not show any peak  
8 corresponding to  $\alpha'$ -bcc phase). In the higher index planes of austenite (i.e.,  $\gamma(200)$  and  $\gamma(220)$ ),  
9 considerable peak-broadening is observed in case of the severely deformed sample. The broadening in  
10 peaks indicates the grain refinement, misorientation, and presence of dislocations in the material  
11 [48,51,52].  
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#### 26 **3.2.4 Effect on Hardness: The Role of Build Direction and SMAT**

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28 The load-displacement curves obtained using nanoindentation at various depths from the  
29 treated-surface of S1, S2, and S3 samples are shown in Fig. 8(a)-(c). These curves follow the parabolic  
30 shape during loading (maximum load: 8000  $\mu\text{N}$ ). After 5 s dwell time, unloading curve shows a slight  
31 reduction in indentation depth, which occurs due to elastic recovery of the material. The maximum  
32 displacement ( $h_{\text{max}}$ ) and final displacement ( $h_f$ ) increase with an increase in the distance (depth) from  
33 the treated surface. Figure 8(d) shows the variation in hardness (obtained according to Oliver–Pharr  
34 analysis [53]) in the severely deformed layer of S1, S2, and S3 samples. Hardness-depth profile of S2  
35 is above S1, and that of S3 is above S1 and S2. Improvement in the hardness of near-surface region  
36 (concerning hardness corresponding to the constant depth of 600  $\mu\text{m}$ , which is much away from the  
37 surface and it is almost in the non-treated core: see Fig. 4) is about 32, 34, and 54% for the S1, S2, and  
38 S3 samples, respectively (Table 3). These observations indicate that the response of the sample to  
39 severe surface deformation depends on its build direction. Such behaviour is possible due to the  
40 variation in grain size, strain distribution, and nature of texture of the samples built in different  
41 directions (section 3.1).  
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Typically, the hardness of annealed austenitic stainless steel is about 3 GPa [54]. However, somewhat higher hardness of non-treated samples (Table 3) is attributed to the presence of higher dislocation density ( $5.5 \times 10^{13} \text{ m}^{-2}$ ; see section 3.1). The dislocation density increases by about 2.2 times due to the severe surface deformation (section 3.2.2). Such a high density of dislocations constrains their motion, resulting in the considerable rise in the hardness of the steel [10, 11, 12, 43]. Overall, the increment in the hardness of the SMATed samples is basically due to the grain refinement, residual stress, and strain hardening (caused by the high dislocation density and formation of a dense network of slip bands) (Figs. 4-6) [26,28,54-56]. The reduced severity of surface deformation causes a gradual drop in hardness from surface to core.

### 3.3 Tribological Behaviour of SLM 316L Steel: The Role of Building Direction and SMAT

A dry reciprocating wear experiments were performed on the polished SLM samples ( $R_a \cong 0.02 \mu\text{m}$ ; see Table 3 and Fig. 7(a)). Generally, the wear rate is highly dependent on porosity, grain orientation, surface condition, and hardness of the material [11,17,26,57,58]. The variation in wear rate with normal load is shown in Fig. 9(a) for NS1, NS2, and NS3 samples. The increase in the normal load causes an increase in wear rate which is associated to a rise in stress between the contacting surfaces [26,59,60]. It is also observed that the wear rate depends on the build direction of the sample. Such dependency on build direction is relatively lower under the lower load (5 N). The hardness alone cannot be a governing factor in wear; however, the porosity has a vital role in case of SLM samples [17]. The pores in the SLM material can act as the crack-initiation sites, leading to an increase in the volume loss of the material during dry-friction wear. Wear resistance of NS3 sample under the higher loads (especially, 20 N) is superior among the non-treated samples, which is possible due to the lower macro-defects (section 3.2.1), smallest grain size (section 3.1), and slightly higher hardness (Table 3). Figure 9(b) shows the 2D profiles across the wear tracks (which represents the cross-sections of the

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3 worn surface) of NS1, NS2, and NS3 samples tested under 10 N load. These results show that the cross-  
4 sectional area of wear track is maximum for NS1 sample and minimum for NS3 sample.  
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8 Figure 9(c)-(e) shows the effect of severe surface deformation on the tribological response of  
9 S1, S2, and S3 samples (in comparison with the corresponding non-treated samples). The surface  
10 roughness of these samples after SMAT processing is approximately  $0.8 \mu\text{m}$  (Table 3 and Fig. 7(a)-  
11 (b)). Like the non-treated samples, wear rate increases with an increase in normal load. The dependency  
12 of wear rate on load can be affected by the surface conditions (like porosity, roughness, phase  
13 transformation during wear, localized surface-heating, etc.) [26]. Wear rate of the surface-treated  
14 samples is lower than the non-treated sample under the different loads. The severe surface deformation  
15 causes an increase in the surface hardness (Fig. 8 and Table 3) and elimination of macro-defects  
16 (section 3.2.1) in the deformed layer, leading to an enhancement in the load-bearing capacity and hence,  
17 an improvement in the wear resistance [26,61]. Figure 9(f) compares the cross-sectional profiles of  
18 wear tracks for NS3 and S3 samples tested under 10 N load. The area of the cross-section of wear track  
19 generated on severely deformed samples is smaller than the corresponding non-treated sample, which  
20 signifies a lower volume loss of the surface-treated sample during wear study.  
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38 As per the Archard equation, the wear rate is inversely proportional to the hardness. Figure 10  
39 shows the wear rate versus the surface hardness of non-SMATed and SMATed SLM 316L samples  
40 under different loading conditions. The decreasing trend of the wear rate with increase in the hardness  
41 is observed for the samples.  
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48 Figure 11 shows the results of the coefficient of frictional (COF) for the non-treated and  
49 surface-treated samples. Figure 11(a) and (b) shows the variation of COF with time, where the COF  
50 profiles can be divided into (i) running-in stage and (ii) steady-state stage. In the running-in stage, the  
51 COF increases rapidly. COF increases gradually with time in the steady-state stage. The average values  
52 of COF in the steady-state phase are plotted in Fig. 11(c)-(f) for the samples studied under different  
53 load. Except for 5 N load, NS3 sample shows the lowest COF among the non-treated samples (Fig.  
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3 11(c)), which is possible due to the slightly higher hardness and smaller grain size. The severely  
4 deformed surface shows the lower COF than the corresponding non-treated surface throughout the test  
5 duration (Fig. 11(b)) and almost under different loads (Fig. 11(d)-(f)) (except for S1 sample under 5 N  
6 load). A harder surface can exhibit a lower COF in the wear experiment [58,62,63]. Increase in load  
7 increases the COF of all samples. Complex interactions of the events like change in the hardness  
8 (domination of strain-hardening or thermal softening) and the formation of wear debris during wear  
9 test influence the COF [26].

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11 The micrographs of worn surface of NS1, NS2, and NS3 samples are shown in Fig. 12(a), (b),  
12 and (c), respectively. The worn surface morphology of the S3 sample is shown in Fig. 12(d) as a  
13 representative of surface-deformed samples. All the samples show the presence of scratching (abrasion  
14 wear) on the worn surface. Entrapment of wear debris between the ball (counter surface) and the sample  
15 surface causes such scratching. NS1 sample shows severe scratching (due to its lower hardness). Apart  
16 from scratching, indications of delamination and adhesion are prominently visible for the non-treated  
17 samples. During the continuous sliding of the steel ball on the sample surface, the formation of cracks  
18 can occur underneath the surface, which propagate and cause delamination wear [17,26,64]. Softening  
19 of the material (due to the frictional heating) during dry sliding could be responsible for adhesion wear  
20 [26,65,66]. Due to the high hardness (Fig. 8) and low macro-defects in the severely deformed layer  
21 (Fig. 3(a)-(c)), the domination of scratching (abrasion wear) is observed on the worn surface of the  
22 surface-treated sample (Fig. 12(d)).

#### 49 **4. Conclusions**

- 51 • The microstructure of annealed SLM 316L stainless steel samples shows a non-uniform  
52 distribution and random orientation of the grains for all build directions (0°, 45°, and 90°). High  
53 angle grain boundaries (HAGBs) dominate the microstructure. However, clusters of low angle  
54 grain boundaries (LAGBs) spread in the microstructure. The average grain size is about 63, 51,  
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3 and 41  $\mu\text{m}$  for  $0^\circ$ ,  $45^\circ$ , and  $90^\circ$  build direction, respectively. The geometrically necessary  
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5 dislocation (GND) maps reveal the uneven distribution of strain gradient within the specimens.  
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7 The average density of GND in the annealed SLM steel samples is about  $5.5 \times 10^{13} \text{ m}^{-2}$ , which  
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9 is significantly higher than a typical annealed wrought stainless steel. Samples manufactured  
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11 in  $45^\circ$  and  $90^\circ$  directions have a slightly higher density (i.e., lesser macro-defects) than the  
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13 sample having  $0^\circ$  build direction.  
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17 • Severe surface deformation (as a post-treatment) of the SLM 316L stainless steel is beneficial  
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19 to reduce the surface roughness (by  $\sim 87\%$ ) and eliminate internal porosity in the deformed  
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21 layer.  
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- 24 • Due to the application of severe surface deformation (using SMAT process), a highly dense  
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26 network of slip bands is generated (up to a depth of about  $600 \mu\text{m}$ ) in the deformed layer. The  
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28 average dislocation density of severely deformed layer is about 2.2 times higher than that of the  
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30 annealed sample. Increase in surface hardness due to the SMAT is maximum ( $\sim 54\%$ ) for the  
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32 sample manufactured in  $90^\circ$  build direction. Severe surface deformation of SLM 316L steel  
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34 does not cause the formation of deformation-induced martensite.  
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- 37 • In dry reciprocating wear study, wear rate of annealed samples and surface-treated samples is  
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39 increased with an increase in the normal load (from 5 to 20 N). In the case of annealed samples  
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41 (without surface treatment), wear rate and COF are independent of build direction under the  
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43 lower load (5 N). However, under the higher load (especially, 20 N), wear-resistance and COF  
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45 of sample manufactured in  $90^\circ$  build direction are superior amongst the non-treated samples.  
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49 SMAT process enhances the wear resistance and reduces the COF of SLM steel.  
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For Peer Review

**Table 1.** Chemical composition of the AISI 316L stainless steel manufactured using SLM technique

<b>Element</b>	<b>C</b>	<b>Cr</b>	<b>Ni</b>	<b>Mn</b>	<b>Mo</b>	<b>Si</b>	<b>P</b>	<b>S</b>	<b>N</b>	<b>Fe</b>
Wt.%	≤ 0.03	16-18	10-14	≤ 2	2-3	≤ 2	≤ 0.045	≤ 0.03	≤ 0.1	Balance

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**Table 2.** Designations of the SLM 316L stainless steel samples used in the study

<b>Sample designation</b>	<b>NS1</b>	<b>NS2</b>	<b>NS3</b>	<b>S1</b>	<b>S2</b>	<b>S3</b>
<b>Building direction</b>	0°	45°	90°	0°	45°	90°
<b>Sample condition</b>	Heat Treated (Annealed)			Severely Deformed Surface		

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**Table 3.** Surface roughness ( $R_a$ ), porosity, and hardness of the samples

<b>Sample</b>	<b>NS1</b>	<b>NS2</b>	<b>NS3</b>	<b>S1</b>	<b>S2</b>	<b>S3</b>
<b><math>R_a</math> (<math>\mu\text{m}</math>) – Surface (without polishing)</b>	6.097	6.123	6.084	0.786	0.854	0.819
<b><math>R_a</math> (<math>\mu\text{m}</math>) – Polished surface</b>	0.018	0.022	0.019	--	--	--
<b>Porosity (%)</b>	4.23	0.96	2.30	0.70 (up to 600 $\mu\text{m}$ )	0.12 (up to 600 $\mu\text{m}$ )	0.14 (up to 600 $\mu\text{m}$ )
<b>Surface hardness (GPa)</b>	3.7	4.1	4.1	4.9	5.5	6.3

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3 **Fig. 1:** Schematic diagrams depicting the laser scanning strategies used in the manufacturing of SLM  
4 316L stainless steel samples  
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8 **Fig. 2:** Inverse pole figure (IPF), boundary misorientation, and geometrically necessary dislocation  
9 (GND) maps for (a)-(c) NS1, (d)-(f) NS2, and (g)-(i) NS3 samples. Pole figures for (j) NS1, (k) NS2,  
10 and (l) NS3 samples  
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13 **Fig. 3:** Optical micrographs (without etching) of the cross-section of (a) S1, (b) S2, and (c) S3 samples.  
14 (d)-(g) SEM micrographs that show the magnified view of macro-defects present in the non-treated  
15 core of the samples  
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18 **Fig. 4:** Optical micrographs of the etched cross-section of (a) annealed and (b) SMAT processed (i.e.,  
19 severely surface deformed) SLM 316L stainless steel sample. (c)-(d) SEM micrographs of the cross-  
20 section of the severely surface deformed sample  
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23 **Fig. 5:** EBSD results of severely surface deformed (S3) sample: (a) image quality (IQ), (b) inverse-  
24 pole figure (IPF), (c) phase distribution, (d) Kernel Average Misorientation (KAM), and (e)  
25 geometrically necessary dislocation (GND) maps  
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28 **Fig. 6:** Distribution of grain size for (a) NS3 and (b) S3 samples. Comparison of pole figures for (c)  
29 NS3 and (d) S3 samples  
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32 **Fig. 7:** (a) 2D surface profiles of as-built, polished, and severely surface deformed SLM 316L stainless  
33 steel sample (S3). (b) Comparison of cross-sections of NS3 and S3 samples. X-ray diffraction patterns  
34 of (c) NS1, NS2, and NS3 samples, and (d) S3 vs. NS3 samples  
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37 **Fig. 8:** Load–displacement (P–h) curves obtained using nanoindentation at various depths from the  
38 treated-surface of (a) S1, (b) S2, and (c) S3 samples. (d) Nano-hardness depth profiles of S1, S2, and  
39 S3 samples  
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42 **Fig. 9:** (a) Wear rate vs. load for NS1, NS2, and NS3 samples. (b) 2D surface profiles across the wear  
43 tracks of NS1, NS2, and NS3 samples. Comparison of wear rate of non-treated and surface-treated  
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3 samples under different load: (c) NS1 vs. S1, (d) NS2 vs. S2, and (e) NS3 vs. S3. (f) 2D surface profiles  
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5 across the wear tracks of NS3 and S3 samples  
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8 **Fig. 10:** Wear rate vs. surface hardness of non-SMATed and SMATed SLM 316L samples under  
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10 different loading conditions  
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13 **Fig. 11:** Variation of COF with time for (a) NS1, NS2, and NS3 samples, and (b) NS3 vs. S3 samples.  
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15 (c) Variation of average COF with applied load for NS1, NS2, and NS3 samples. Comparison of  
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17 average COF of non-treated and surface-treated samples under different load: (d) NS1 vs. S1, (e) NS2  
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19 vs. S2, and (f) NS3 vs. S3  
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23 **Fig. 12:** SEM micrographs of the worn surface of (a) NS1, (b) NS2, (c) NS3, and (d) S3 samples tested  
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25 under 10 N load and 3 Hz frequency (in dry reciprocating wear study)  
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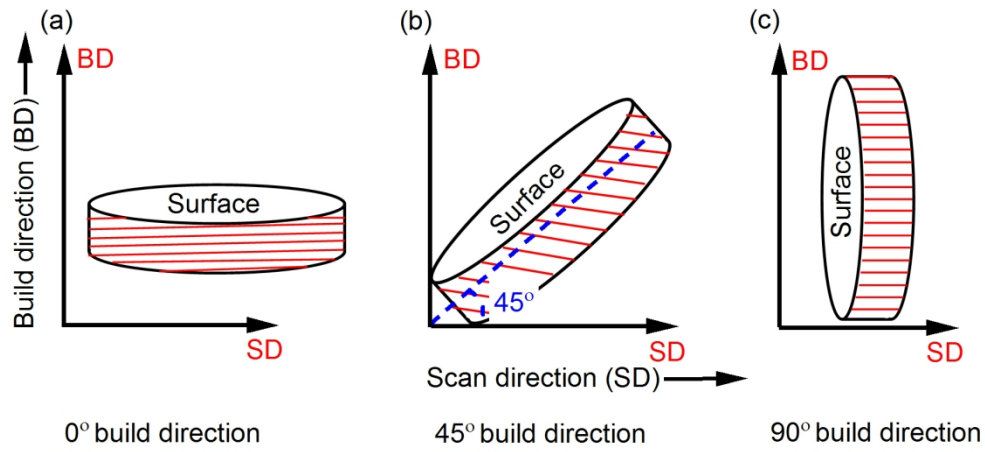


Fig. 1: Schematic diagrams depicting the laser scanning strategies used in the manufacturing of SLM 316L stainless steel samples.

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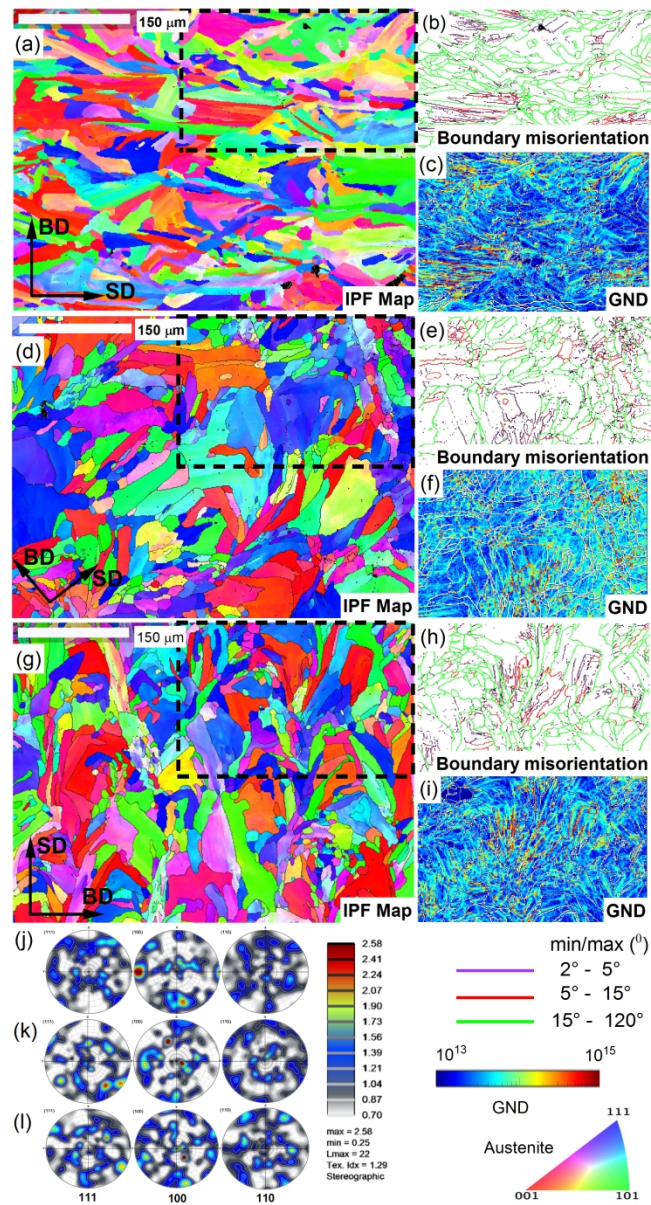


Fig. 2: Inverse pole figure (IPF), boundary misorientation, and geometrically necessary dislocation (GND) maps for (a)-(c) NS1, (d)-(f) NS2, and (g)-(i) NS3 samples. Pole figures for (j) NS1, (k) NS2, and (l) NS3 samples.

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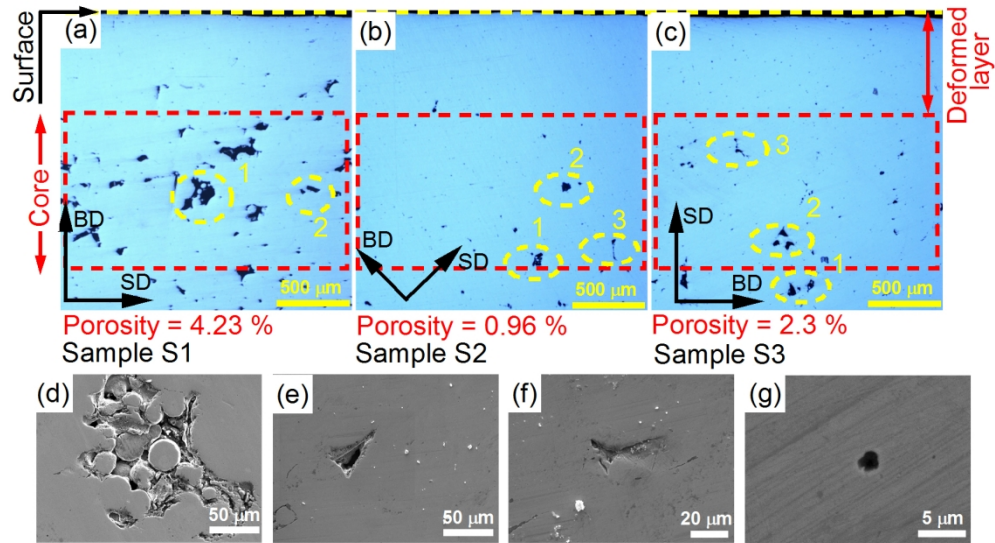


Fig. 3: Optical micrographs (without etching) of the cross-section of (a) S1, (b) S2, and (c) S3 samples. (d)-(g) SEM micrographs that show the magnified view of macro-defects present in the non-treated core of the samples.

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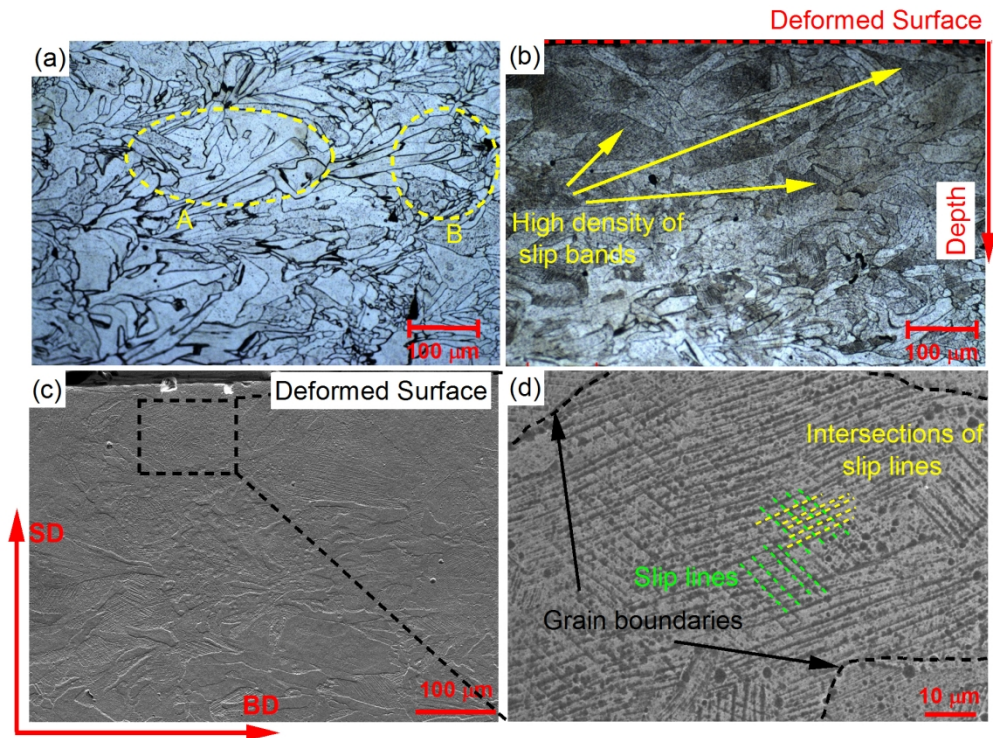


Fig. 4: Optical micrographs of the etched cross-section of (a) annealed and (b) SMAT processed (i.e., severely surface deformed) SLM 316L stainless steel sample. (c)-(d) SEM micrographs of the cross-section of the severely surface deformed sample.

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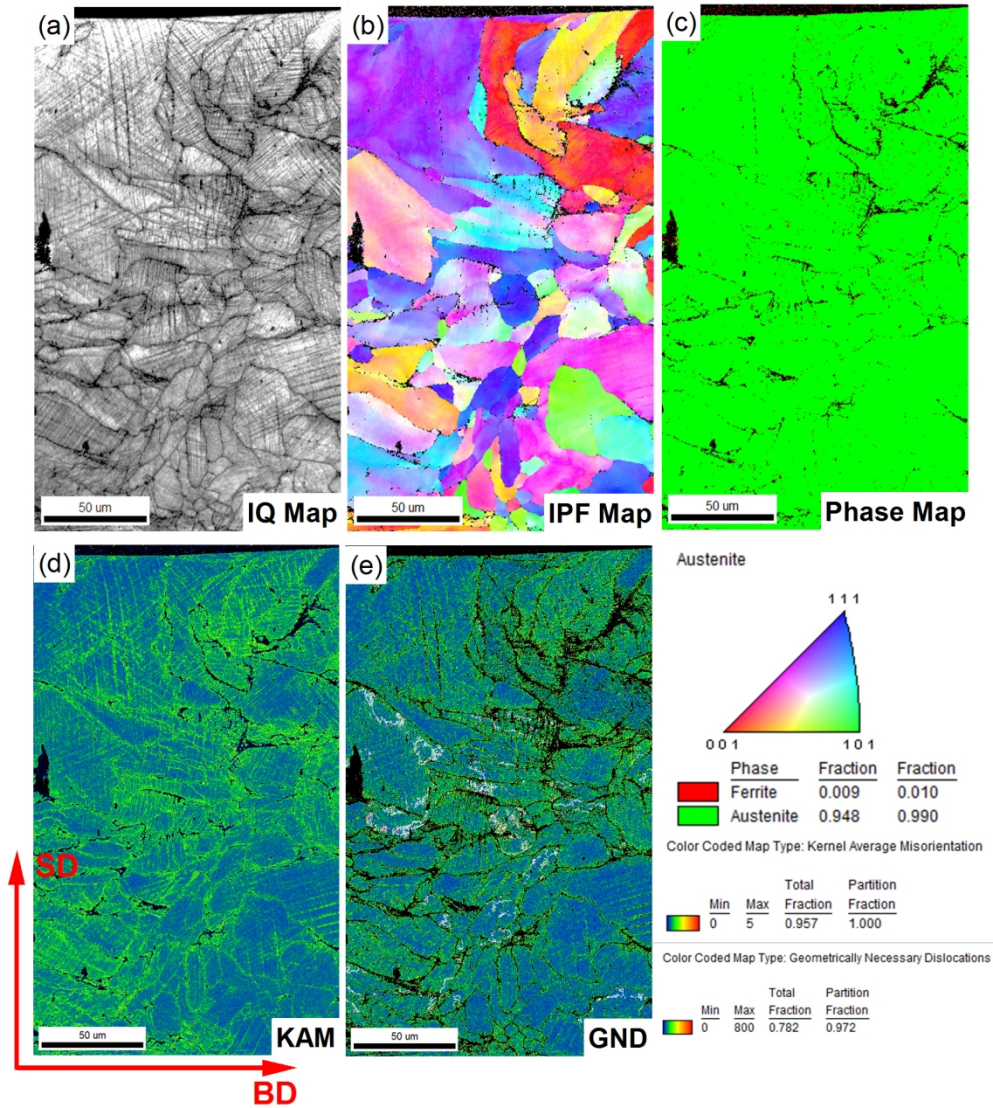


Fig. 5: EBSD results of severely surface deformed (S3) sample: (a) image quality (IQ), (b) inverse-pole figure (IPF), (c) phase distribution, (d) Kernel Average Misorientation (KAM), and (e) geometrically necessary dislocation (GND) maps.

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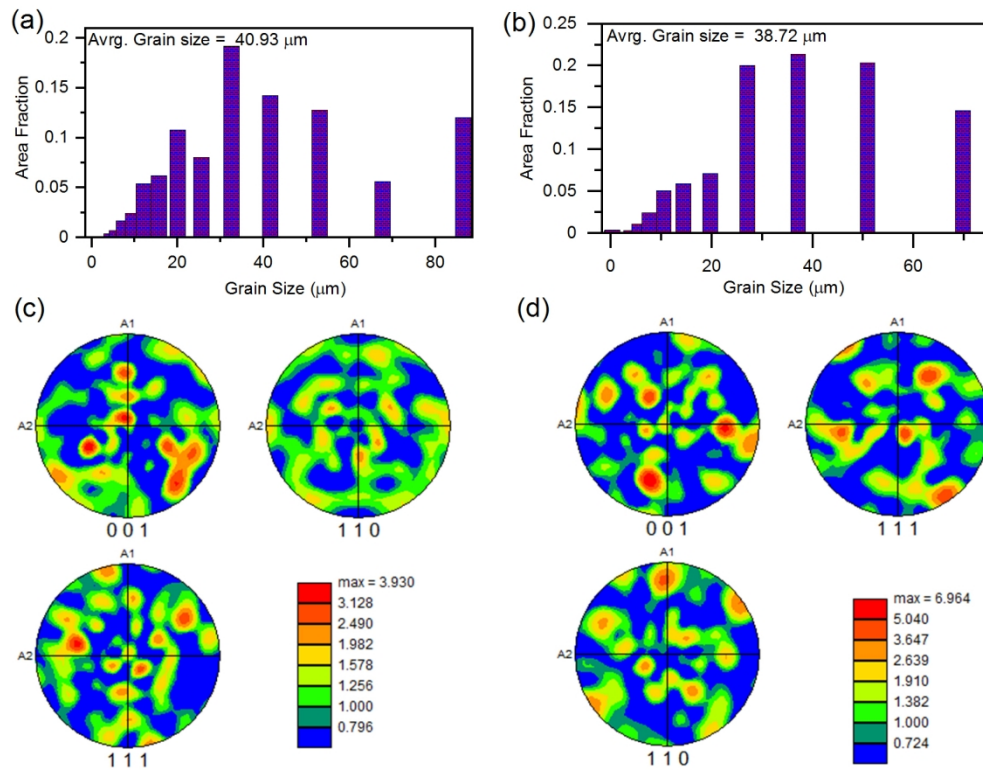


Fig. 6: Distribution of grain size for (a) NS3 and (b) S3 samples. Comparison of pole figures for (c) NS3 and (d) S3 samples.

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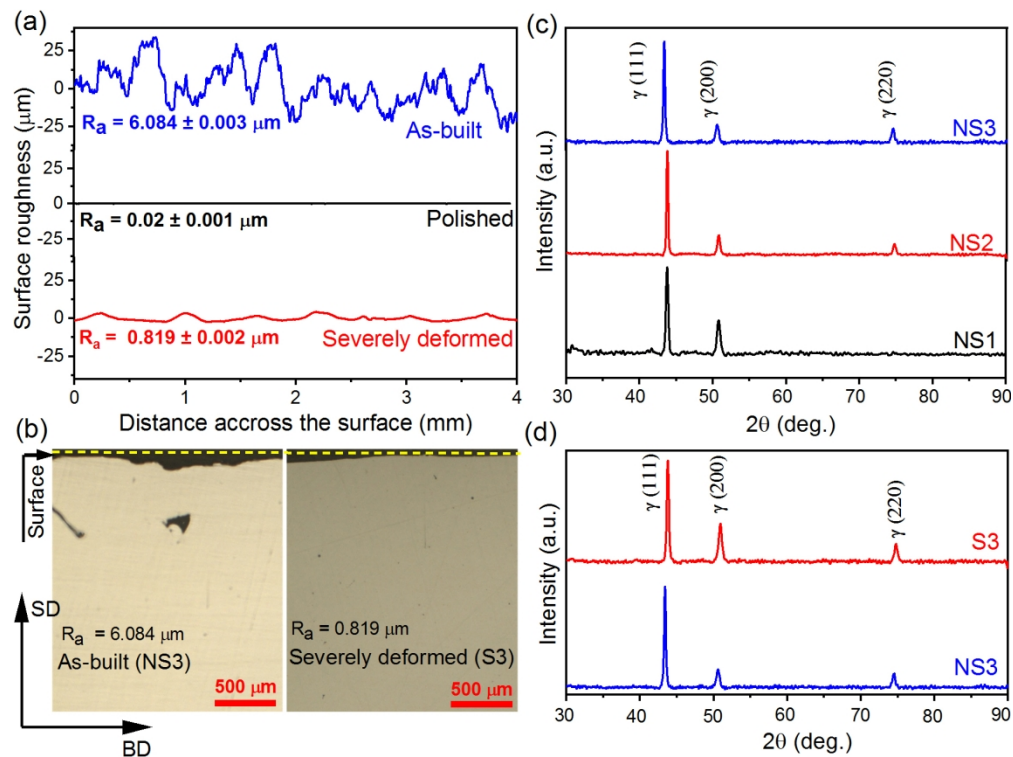


Fig. 7: (a) 2D surface profiles of as-built, polished, and severely surface deformed SLM 316L stainless steel sample (S3). (b) Comparison of cross-sections of NS3 and S3 samples. X-ray diffraction patterns of (c) NS1, NS2, and NS3 samples, and (d) S3 vs. NS3 samples.

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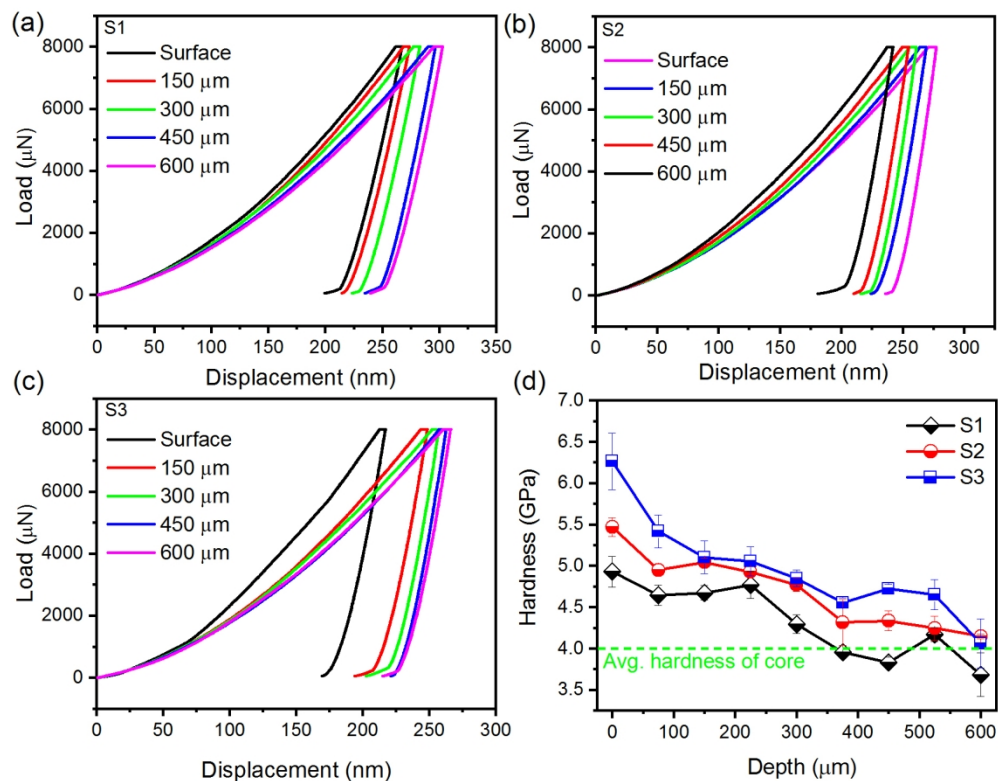


Fig. 8: Load-displacement (P-h) curves obtained using nanoindentation at various depths from the treated-surface of (a) S1, (b) S2, and (c) S3 samples. (d) Nano-hardness depth profiles of S1, S2, and S3 samples.

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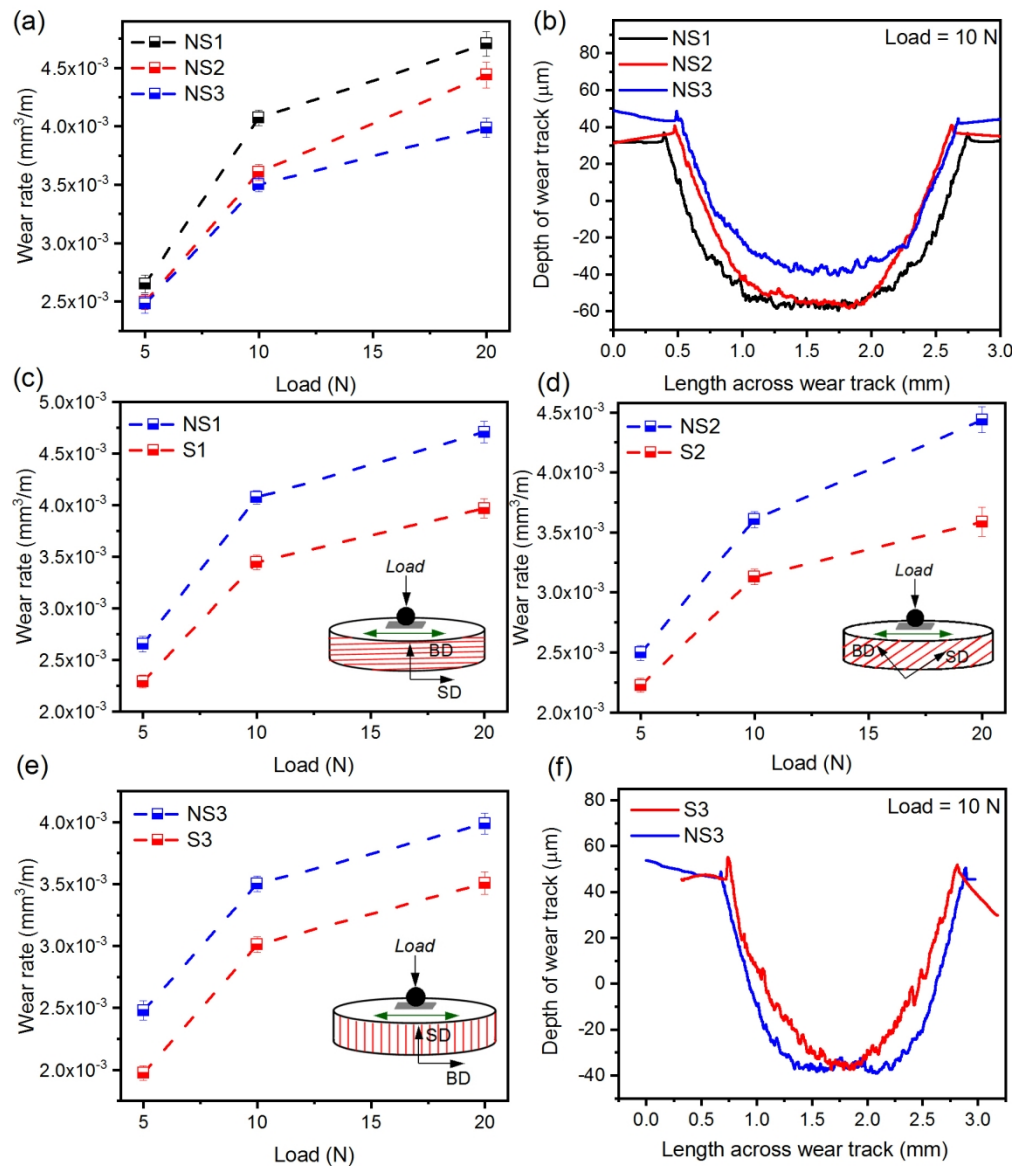


Fig. 9: (a) Wear rate vs. load for NS1, NS2, and NS3 samples. (b) 2D surface profiles across the wear tracks of NS1, NS2, and NS3 samples. Comparison of wear rate of non-treated and surface-treated samples under different load: (c) NS1 vs. S1, (d) NS2 vs. S2, and (e) NS3 vs. S3. (f) 2D surface profiles across the wear tracks of NS3 and S3 samples.

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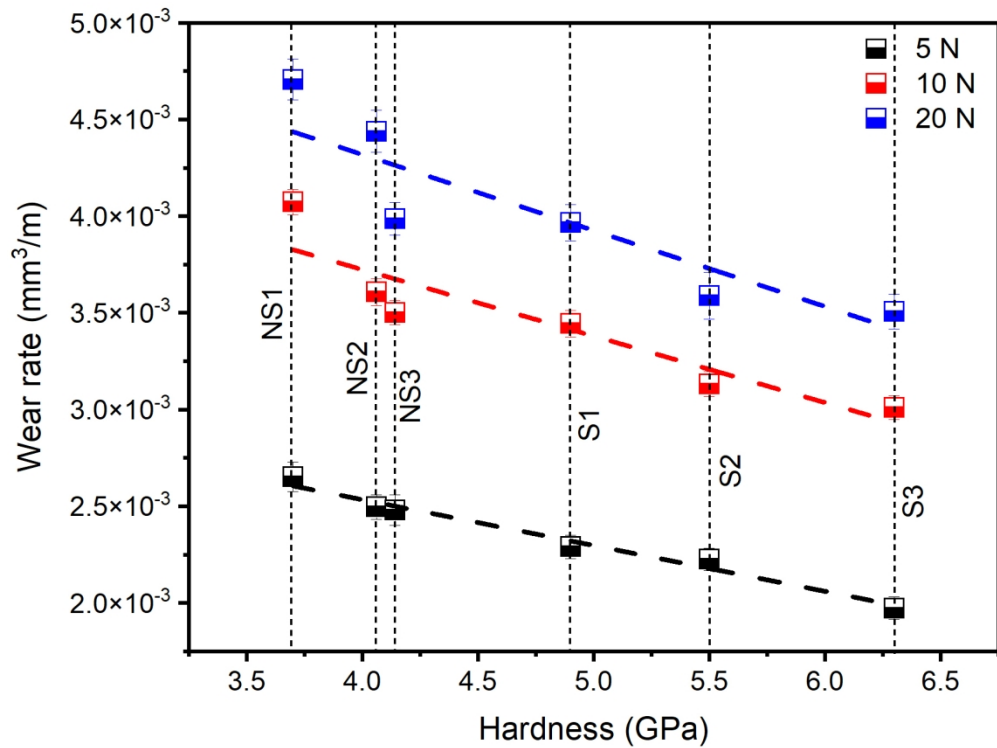


Fig. 10: Wear rate vs. surface hardness of non-SMATed and SMATed SLM 316L samples under different loading conditions.

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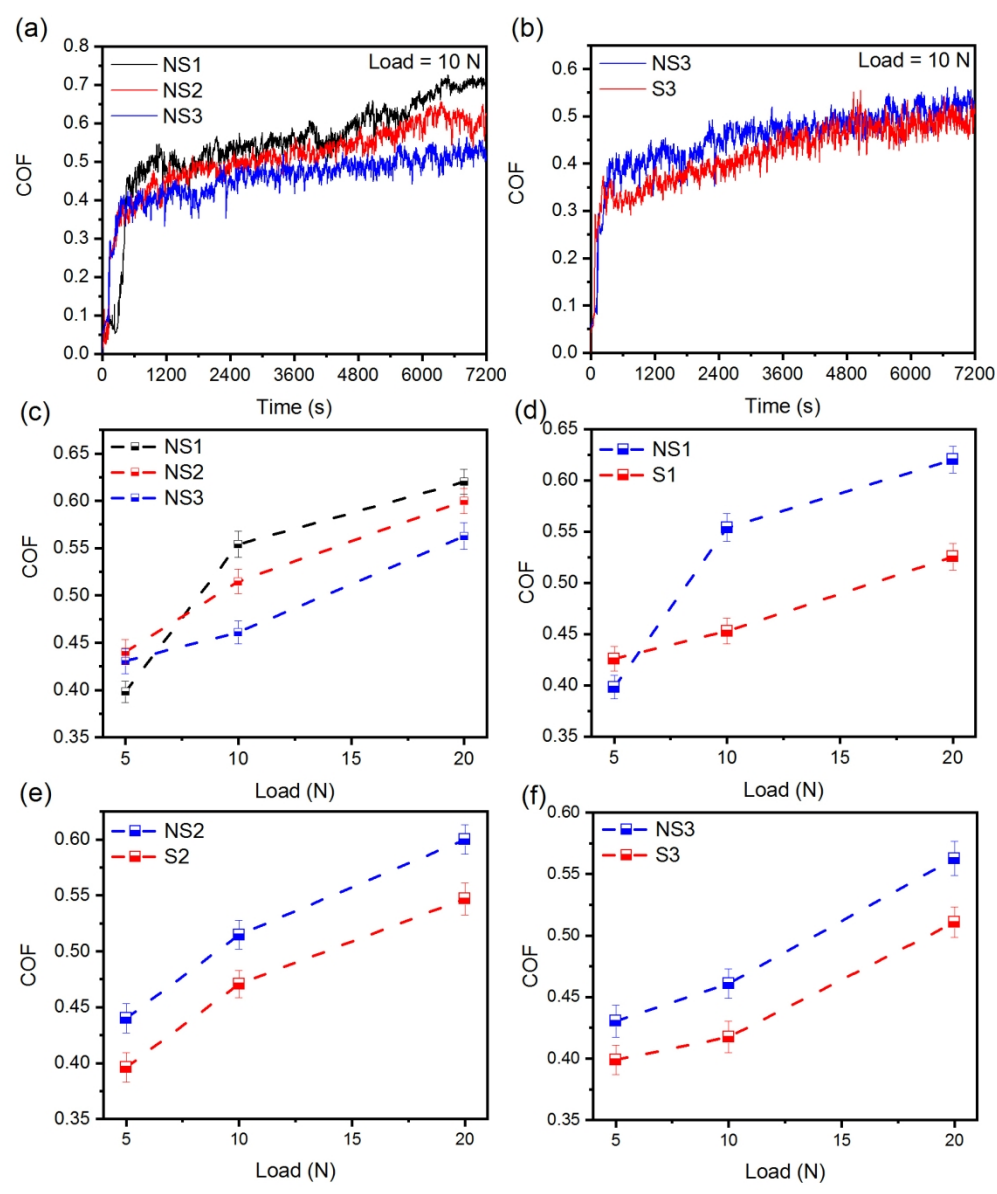


Fig. 11: Variation of COF with time for (a) NS1, NS2, and NS3 samples, and (b) NS3 vs. S3 samples. (c) Variation of average COF with applied load for NS1, NS2, and NS3 samples. Comparison of average COF of non-treated and surface-treated samples under different load: (d) NS1 vs. S1, (e) NS2 vs. S2, and (f) NS3 vs. S3.

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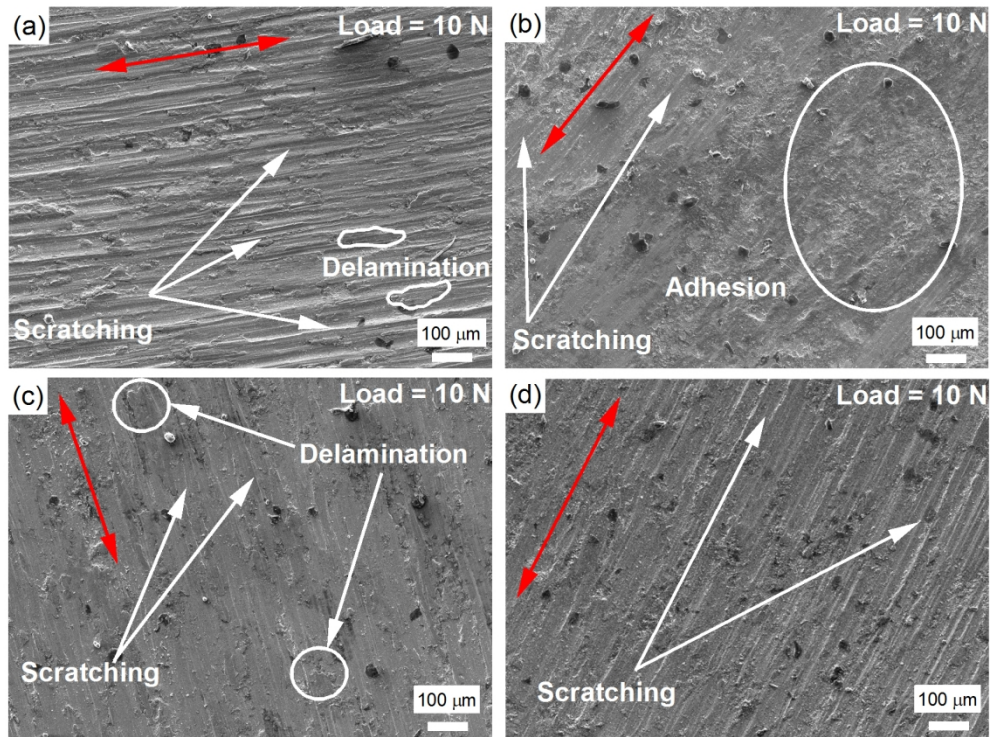


Fig. 12: SEM micrographs of the worn surface of (a) NS1, (b) NS2, (c) NS3, and (d) S3 samples tested under 10 N load and 3 Hz frequency (in dry reciprocating wear study).

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