#### **ORIGINAL ARTICLE**



# **Infuence of turning parameters on residual stresses and roughness of 42CrMo4+QT**

Diego Díaz-Salamanca<sup>1</sup> <sup>D</sup> [·](http://orcid.org/0009-0009-5993-6499) Miguel Muñiz-Calvente<sup>1</sup> · Pejman Ebrahimzadeh<sup>2</sup> · Iñigo Llavori<sup>3</sup> · Alaitz Zabala<sup>3</sup> · **Pablo Pando1 · Carlos Suárez Álvarez<sup>1</sup> · Inés Fernández‑Pariente2 · Miren Larrañaga3 · Jan Papuga4**

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### **Abstract**

Residual stresses and surface roughness have been recognized to play a critical role in the fatigue strength of metal components. Machining processes can induce diferent roughness and residual stress conditions depending on the parameters used in the process. Therefore, it is essential to develop knowledge that helps to predict the residual stresses and roughness that would be obtained from diferent machining conditions. Due to the growing interest from the industry in the use of 42CrMo4 steel because of its excellent mechanical properties, the main objective of this work is to establish two phenomenological models to accurately predict the residual stress and roughness values in turned specimens of this material. The models are derived from data of four process variables: (a) insert tip radius; (b) feed rate; (c) cutting speed; and (d) depth of cut. For this purpose, a wide experimental campaign has been developed, which includes the machining of 68 specimens under various cutting scenarios, and their subsequent measurement of residual stresses and roughness. Once the experimental data were obtained, the response surface method based on the central composite design was used to fit the models, obtaining a correlation index  $R^2$  higher than 0.9 in both cases. In this article, it is concluded that feed rate and insert radius have a greater efect on the residual stress and roughness obtained, while cutting speed and depth of cut have a lesser impact on the results. It is hoped that the fndings will establish a groundwork for the machining of this material type, ensuring controlled conditions of residual stress and roughness.

**Keywords** Turning process · Roughness · Residual stresses · Response surface methodology

#### **Nomenclatures**



 $\boxtimes$  Diego Díaz-Salamanca diazsdiego@uniovi.es

- <sup>1</sup> Dep. of Construction and Manufacturing Engineering, Univesity of Oviedo, Gijón, Spain
- <sup>2</sup> Dep. of Materials Sciences and Metallurgical Engineering, Univesity of Oviedo, Gijón, Spain
- <sup>3</sup> Faculty of Engineering, Mechanics and Industrial Production, Mondragon Unibertsitatea, Mondragon, Spain
- <sup>4</sup> Faculty of Mechanical Engineering, Czech Technical University in Prague, Prague, Czechia



# **1 Introduction**

Diferent standards, such as DIN 50100 [[1](#page-22-0)] / ASTM E466-15 [[2\]](#page-22-1) / ISO 1099 [\[3](#page-22-2)] establish the conditions for fatigue life characterization testing of metallic materials. Among the geometries available in these standards, cylindrical crosssections are the most widely used, since stress concentrators and sharp corners are reduced. For this reason, the turning process, used to manufacture the cylindrical specimens,

takes on special relevance in the characterization of fatigue life. Nevertheless, turning processes invoke two efects that can largely condition the characterization of fatigue life: surface roughness and residual stresses.

On the one hand, the optimal cutting conditions in the last machining passes must be studied to mitigate the residual stresses, since tensile residual stresses can decrease fatigue life, while compressive residual stresses can increase it [\[4](#page-22-3)]. Both scenarios are inadvisable during a material characterization phase, where material properties should be established without the efect of residual stresses.

The residual stresses generated during the machining process and the magnitude of these stresses depend mainly on the cutting conditions and on the material under study. During turning, specimens are subjected to thermal gradients and heterogeneous plastic deformations, which conduce to the generation of thermo-mechanical loads, hence inducing residual stresses in the specimens [\[5](#page-22-4), [6\]](#page-22-5). The infuence of the diferent turning parameters (tool tip radius, cutting speed, feed rate, and depth of cut, among others) has been studied in previous works [[7,](#page-22-6) [8\]](#page-22-7). Among these parameters, depth of cut is found to have the least impact on residual stresses, while cutting speed, feed rate, and tool tip radius are the most infuential parameters [\[8](#page-22-7), [9\]](#page-22-8). However, there is still no clear consensus regarding the efect of each of these three parameters. Although most authors agree that an increase in feed rate results in an increase in axial residual stresses and hence in a decrease in fatigue life, [\[10](#page-22-9), [11\]](#page-22-10), other works reveal that an increase in feed rate leads to an increase in compressive residual stresses [\[11](#page-22-10)]. Unfortunately, until this date, there are no physical models that relate the machining parameters to the residual stresses generated, so it is necessary to resort to experimentation and the ftting of empirical models to solve the problem.

On the other hand, a high surface roughness has a negative infuence on the fatigue life, shortening it signifcantly. In addition, other properties such as tribological behavior or corrosion resistance are afected by the variation of surface roughness [[12\]](#page-22-11). Cutting conditions play a critical role on the surface roughness of the workpiece, mainly cutting speed, feed rate, depth of cut, and tool radius [[13,](#page-22-12) [14\]](#page-22-13). In the literature, predictive analytical equations to estimate the roughness as a function of the turning conditions (depth, feed, and tip radius) can be found [[15](#page-22-14)]. However, these equations need to be revised for extreme cutting conditions, where feeds or depths may be outside the usual range of application of the tool, and which may be necessary to adopt to achieve low residual stresses. In these circumstances, characterized by the high plasticity of the material, these analytical relationships may not be applicable.

In the turning process, the presence of residual stresses alongside surface roughness signifcantly infuences the fatigue endurance and mechanical properties of the fnal product. Therefore, achieving optimal performance depends heavily on the precise adjustment of turning parameters. However, conventional experiments which are based on trial-and-error techniques are not only expensive but also frequently fail to yield the desired results. Hence, there is a pressing need for more efficient estimation and optimization strategies to enhance the durability and overall quality of the machined components. To overcome this, researchers now utilize analytical and mathematical models, providing a more precise and efficient path to estimation and optimization. Response surface methodology (RSM) emerges as a powerful tool in this regard, streamlining experimentation and facilitating the exploration of variable interactions. Its adaptability shines through diverse applications, such as enhancing formability in friction stir welded blanks [[16](#page-22-15)], refning laser micromachining techniques [[17\]](#page-22-16), and optimizing turning parameters [[18\]](#page-22-17). These examples underscore RSM's efectiveness across various experimental scenarios, providing a structured framework for process analysis and optimization across diferent domains.

The main objective of this paper is to establish analytical relationships between the parameters of the turning process, residual stresses, and surface roughness for a 42CrMo4 quenched and tempered steel (in the following referred to as  $42CrMo4+QT$ ). For this purpose, the effect of the main turning parameters (cutting speed, feed rate, tool tip radius, and depth of cut) on residual stress and surface roughness has been studied. The residual stresses were measured by means of an X-ray difractometer, while a confocal microscope was used to evaluate the surface roughness. The experimental campaign has been designed employing a central composite design (CCD) of experiments, one of the most widely used methods within RSM. Thanks to the use of this design of experiments, it was possible to obtain acceptable information to build a predictive model, which allows to estimate the roughness and residual stress as a function of those turning parameters.

The manuscript is structured as follows. Firstly, a section devoted to introducing the methods and material used in this research is presented, which includes a description of the material selected, the geometry of the samples, the machining conditions, the design of experiments, the manufacturing, the measurement procedures used for both residual stress and roughness and the evaluation of the results. Subsequently, the results obtained are presented in detail. After that, the methodology to derive the phenomenological models is explained and the results obtained from the model are critically discussed. Finally, the main conclusions of this work are highlighted.

# <span id="page-1-0"></span>**2 Methods and material**

This section is intended to explain the experimental procedure followed in the development of this work according to the fowchart shown in Fig. [1](#page-2-0). First, the properties of the material under study are introduced. Next, the dimensions of the specimens that will be manufactured are presented. The ranges of cutting conditions have been selected and the design of experiments that establish the diferent combinations of machining parameters to be used have been presented. After that, the roughness and residual stress measurement methods are explained in detail. Finally, the results evaluations through the RSM are described.

# **2.1 Material selection**

The material used in this work was a quenched and tempered 42CrMo4 steel. The mechanical properties of this medium carbon ferritic-pearlitic steel include its high resistance to fatigue and impact. These properties, together with its high



<span id="page-2-0"></span>**Fig. 1** Experimental campaign fowchart

machinability, make it suitable for a wide range of applications in the automotive, aeronautical, and energy industries. Some of these applications include the manufacture of highstrength components such as shafts, gears, screws, or pins, thanks to their excellent mechanical properties [[19,](#page-22-18) [20\]](#page-22-19).

For the development of this experimental campaign, a 35-mm diameter 42CrMo4+QT steel round bar, obtained from the same casting T46157/2020 produced by TŘINECKÉ ŽELEZÁRNY, a.s., was used to reduce the existing inhomogeneities between the diferent machined specimens. The chemical composition and the mechanical properties of the material are shown in Table [1](#page-2-1) and Table [2](#page-2-2), respectively.

#### **2.2 Samples geometry**

The geometry of the specimens selected to perform this research is shown in Fig. [2](#page-3-0). This geometrical confguration was selected according to the following requirements. The frst and most decisive of these was to facilitate the surface characterization of the specimens, which implied the need to machine a region of constant cross-section. The second requirement was to obtain a region in which the cutting conditions were homogeneous.

#### <span id="page-2-3"></span>**2.3 Selection of machining parameters**

The main parameters governing the turning process are shown in Fig. [3.](#page-3-1) The crucial machining parameters utilized here are as follows: feed rate, cutting speed, depth of cut, and insert radius. These four variables were selected to study their impact on roughness and residual stress measured in the fnal specimens. The range in which each parameter will be tested is presented in the next paragraphs.

Regarding cutting speed, it is conditioned by the capacity of the lathe used for the manufacture of the specimens and by the diameter of the samples. In this research, a JATOR TAJ-42 computer numerical control (CNC) lathe was used, whose technical specifications can be seen in Table [3.](#page-3-2) Taking this into consideration, the range of the cutting speeds was defned between 76 and 200 m/min.

<span id="page-2-2"></span>**Table 2** Mechanical properties of 42CrMo4+QT



<span id="page-2-1"></span>





<span id="page-3-0"></span>**Fig. 2** Specimen fnal geometry



<span id="page-3-1"></span>**Fig. 3** Principal parameters of the turning process

To take the impact of tool radius on machining into account, two fnishing inserts with two diferent tip radii (0.4 mm and 0.8 mm) were selected. The technical and dimensional characteristics of both inserts used together with the operating regions recommended by the insert manufacturer are shown in Table [4](#page-4-0).

Finally, the ranges of the depths of cut and feed rates were defned between (0.05–0.25 mm) and (0.1–0.25 mm/ rev), respectively. A resume of the machining parameters ranges is shown in Table [5.](#page-4-1) As can be seen, the tools will not always work within their optimum operating range, which will give new insights into the impact of these conditions on both roughness and residual longitudinal stress.

# <span id="page-3-3"></span>**2.4 Design of experiments**

A design of experiment methodology based on the response surface method was used for the scheme of the experimental

<span id="page-3-2"></span>



campaign. The RSM is a set of mathematical and statistical techniques that allow the study of the impact of one or more input variables on the response variables of a given problem through an empirical model [\[22\]](#page-22-21). Due to its versatility and capacity, this methodology is used in numerous areas of knowledge, from the medical to the industrial feld, for the design of experiments or the adjustment of processes. In the feld of manufacturing engineering, it has been widely used to study the impact of the cutting conditions of material removal processes (turning, milling, etc.) as well as to optimize these conditions in order to reduce tool wear and to study the surface fnish [\[23,](#page-22-22) [24\]](#page-22-23).

Among the different designs of experiments available, a CCD, also known as the Box-Wilson CCD, has been selected. This type of design consists of central points (normally between 4 and 6), which enable the correct fit of the model to be analyzed and the pure experimental error estimation. These central points are extended with axial or star points, by means of which the quadratic effects can be analyzed. Thanks to this design, the firstand second-order terms can be efficiently estimated [[25](#page-22-24)].

The experimental design used for this work was done through Design Expert v13 software. The inputs of the model are 4 factors: feed rate  $(f_n)$ , cutting speed  $(V_c)$ , depth of cut  $(a_n)$ , and insert radius  $(R)$ . The first three factors are numerical variables while the last one is a categorical variable (there are few values, and only two of them are used in the proposed experimental campaign). There are also 2 responses: roughness and residual stress. Both responses are numerical continuous variables. From these input variables, 4 equations will be obtained (2 equations for each tool radius used) with which the value of the residual stress and roughness can be predicted. The ranges of input parameters of the model are shown in Table [6](#page-4-2). The use of the CCD (central composite design) in experiments involves defning three groups of design points: two-level factor points (min. level and max. level as shown in Table [6](#page-4-2)), center points (center in Table [6](#page-4-2)), and axial points (axial min. and axial max. in Table [6](#page-4-2)). The two-level factor points and the center points defne the primary design space where predictions are expected to be reliable. In contrast, the axial points are crucial for accurately

Insert manufacturer	Sandvik Coromant	Sandvik Coromant
Reference	DCMX 11 T3 04-WF 4325	DCMX 11 T3 08-WF 4425
Tip radius (mm)	0.4	0.8
Main cutting edge angle (°)	93	93
Recommended depth of cut (mm)	$0.3 - 3$	$0.3 - 3$
Recommended cutting speed (m/min)	345-475	305-420
Recommended feed rate (mm/rev)	$0.07 - 0.30$	$0.12 - 0.4$

<span id="page-4-1"></span>**Table 5** Machining parameter ranges selected for the machining process



identifying the response surface curvature and capturing the model's behavior in extreme cases. However, predictions at these axial values may be less accurate due to the lower density of points in this region and their position outside the primary design space defned by the factor and center points.

### **2.5 Turning process**

<span id="page-4-0"></span>**Table 4** Insert technical specifications

For the machining process, a parametric numerical control program was developed to reduce programming times. During the process, several roughing passes were performed on the 35 mm bar. Thereafter, at least the 3 fnishing passes were performed in each specimen employing the fnishing inserts selected in Section [2.3](#page-2-3). In order to ensure that tool wear does not afect the roughness or residual stresses obtained, the tool was changed every 2 machined specimens. The environmental conditions in the laboratory during the machining process were 25.1 °C and a relative humidity of 68%.

#### **2.6 Residual stresses measurement**

The longitudinal residual stresses derived from the machined process were measured by means of a Stresstech 3000-G3R

X-ray difractometer. The {221} gamma lattice plane was examined under a 2θ angle of 156.1°, utilizing the Kα chromium wavelength (0.2291 nm).

To obtain the values of the residual stresses, the  $\sin^2\psi$ technique [[26\]](#page-22-25) was implemented by means of the following equation:

$$
\sigma_{\phi} = \left(\frac{E}{1+v}\right)_{(hkl)} \left(\frac{1}{d_{\phi 0 hkl}}\right) \left(\frac{\partial d_{\phi \psi hkl}}{\partial \sin^2 \psi}\right) \tag{1}
$$

where  $E$  and  $\nu$  are the elastic modulus and Poisson's ratio of the  $42CrMo4+OT$  steel, in the measured crystallographic plane, taken as 206 GPa and 0.296, respectively, while *d* is the interplanar distance of the selected difraction plane (*hkl*),  $\psi$  is the tilt angle, and  $\phi$  the angle in the same plane. Table [7](#page-5-0) refects the confguration of the difractometer used for the determination of the residual stresses.

#### **2.7 Roughness measurement**

A Leica DCM3D confocal microscope was used to measure the surface roughness of the specimens. In comparison with other methods used for surface roughness assessment, the use of a confocal microscope allows a better three-dimensional description of the measured surface [\[27\]](#page-22-26). As one of the most commonly used, average roughness value  $(R_a)$ was selected as the reference parameter to evaluate surface roughness in this experimental campaign.  $R_a$  measurements were carried out at three diferent points in the central area of the specimen in accordance with the UNE-EN-ISO 21920–3 standard [ $28$ ]. The cut-off filter,  $\lambda_c$ , was equal to 0.8 mm, and 7 repetitions were made, which conducts to the evaluation

<span id="page-4-2"></span>**Table 6** Input parameters and corresponding levels used for the model



length of 5.60 mm. Once again, the measurement direction was longitudinal, as in the case of the residual stresses. The main confguration of the equipment can be found in Table [8.](#page-5-1)

#### **2.8 Results evaluation**

The design of experiments addressed in Section [2.4](#page-3-3) allows not only to establish the experimental campaign, but also to analyze the results of these experiments thanks to its built-in statistical tools. Figure [4](#page-5-2) summarizes the RSM developed in this work, highlighting the relation between the design of experiments explained in Section [2.4](#page-3-3) and the fnal predictive equations. Four predictive equations were obtained (2 for each response and insertion radius), which allow for estimating both residual stress and roughness values as a function of the 4 input factors.

## **3 Experimental results**

This section presents the results of the experimental campaign designed in Section [2](#page-1-0) (see Table [16](#page-18-0) in the Appendix). Furthermore, a critical and pivotal analysis of the results is carried out in which the discrepancies obtained in some of the samples show a diferent roughness or residual stress, despite being machined under the same cutting conditions, are discussed.

#### **3.1 Critical analysis of results**

A closer inspection of the results reveals discrepancies in the experimental values obtained. This is the case for specimens 45 and 46, which, despite being machined in the same scenario, show signifcant diferences in terms of roughness and residual stresses as shown in Table [16](#page-18-0) in the Appendix. Figure [5](#page-6-0) establishes a comparison between the surface obtained for specimen 45 (a) and for specimen 46 (b), showing the

<span id="page-5-0"></span>**Table 7** Experimental parameters for residual stress measurements

Stresstech 3000-G3R X-ray diffractometer setup	
Maximum voltaje (kV)	30
Exposure time $(s)$	20
Tilt $\Psi$ (°)	5 points $(-45^{\circ}$ to $+45^{\circ}$ )
Noise reduction	Parabolic
Filter of $K\alpha$ radiation	Vanadium
Maximun intensity (mA)	6.7
Collimator diameter (mm)	2 (short type)
Goniometric rotation (measurement direction) $\varnothing$ ( $\degree$ )	$\Omega$
Peak adjustment	Pseudo-Voigt

<span id="page-5-1"></span>**Table 8** Experimental parameters for roughness measurements



presence of large grooves along the length of specimen 45, which may have induced the high roughness measured in this specimen. Figure [5](#page-6-0)c, d shows the  $R_a$  roughness numerical values measured in the longitudinal direction of specimens 44 and 45, respectively.

Scatter of the results is always expected when an experimental campaign is performed. Nevertheless, it is always necessary to identify the results that are out of the scope, which must be treated as outliers. These outliers can be produced by numerous causes, such as equipment failure, human errors, or measurement errors [[29\]](#page-22-28). Identifying those specimens that could be classifed as outliers is of vital importance for the correct modeling of the subsequent response surface. For this purpose, powerful statistical tools are required to determine whether such experimental outputs can be treated as outliers or they cannot. Including them in the model without carrying out this prior



<span id="page-5-2"></span>**Fig. 4** Outline of the response surface method designed with inputs and outputs

analysis may result in an incorrect ftting of the model. The statistical tools used to identify those samples are described below.

In order to identify and analyze these outliers, the methodology shown in Fig. [6](#page-7-0) was implemented. Once the residual stress and roughness were measured, a preliminary ft of the model was done, which was then analyzed by means of the statistical diagnostic tools which are explained as follows.

The frst statistical tool allows the user to determine whether the externally studentized residuals are normally distributed. To do this, the percentiles of the theoretical normal distribution are plotted against the percentiles of the experimental residuals. If the externally studied residuals follow a normal distribution, the plot of the theoretical percentiles of the normal distribution overlaps with the plot of the observed percentiles of the sample. The second tool presents the externally studied residuals against the expected residuals as the output parameters (in this work, roughness and residual stresses) increase, allowing the hypothesis of homogeneity of variances to be tested independently of the value of the response [\[30](#page-22-29)]. Similar to the previous one, the third statistical tool consists of plotting the externally studentized residuals against the residuals obtained in each of the samples of the experiment, thus allowing to identify hidden variables that may have infuenced the response. The externally studied residual, also known as the outlier *t*-value or RStudent, is calculated by excluding one series at a time from the analysis and predicting the response based on the remaining series. This involves estimating the response without the contribution of each specifc series. The resulting *t*-value represents the diference, in terms of standard deviations, between the predicted value and the actual response. Essentially, this assessment determines whether the excluded run fits the model using coefficients derived from the remaining runs [\[30](#page-22-29)]. In other words, it tests whether the omitted run is in harmony with the overall pattern of data for the specifed model. Finally, the Box-Cox Plot is used



<span id="page-6-0"></span>**Fig. 5** Surface defects generated during the turning process of two specimens machined in the same scenario: **a** 3D representation of the surface of specimen 45; **b** 3D representation of the surface of specimen 46; **c** Measured  $R_a$  values along the surface for 45 specimens; and **d** measured  $R_a$ values along the surface for 45 specimens



<span id="page-7-0"></span>**Fig. 6** Proposed methodology to assess the experimental data in order to identify the suitable outliers

to determine whether any transformation of the response is necessary  $[31]$  $[31]$ . The latter tool shows the recommended transformation based on the actual lambda value applied to the response and the lower point of the curve generated by the natural logarithm of the sum of the squares of the residuals, been the diference between both values directly related to the required transformation. The implementation of the methodology described above can be seen in Section [4](#page-7-1).

If a potential outlier is observed by using any of the presented statistical tools, the frst step is to check whether any transformation of the response is necessary before considering the sample as an outlier. Regardless of the followed path, a readjustment of the previous model is therefore essential. This iterative process is applied until the outliers identifed are eliminated, pursuing a compromise between having no outliers and not biasing the model. Tables [9.](#page-8-0) and [10](#page-8-1) show, respectively, the outliers identifed for each response.

# <span id="page-7-1"></span>**4 Proposed predictive models**

The following section presents the models obtained for both residual stress and roughness. Section [4.1](#page-7-2) presents the complete statistical summary of the model according to the methodology explained above, the correlations between roughness and machining parameters, and, finally, two predictive equations for the surface roughness estimation model, one for the 0.4 mm insert radius and one for the 0.8 mm insert radius. In Section [4.2,](#page-9-0) a similar approach is adopted for the residual stress estimation model.

#### <span id="page-7-2"></span>**4.1 Predictive model for roughness**

The impact of the diferent machining factors on the surface roughness is graphically shown in Fig. [7](#page-9-1). On the one hand, among the numerical variables, the variable with the greatest impact on the surface roughness is the feed rate with a correlation coefficient of 0.737, while the cutting speed and depth have a much lesser infuence on the surface roughness of the samples, with a correlation coefficient of −0.053 and −0.191 respectively. On the other hand, an analysis of the categorical variable shows that as the tool radius increases, roughness decreases.

The aforementioned correlation coefficients are obtained using the Pearson correlation coefficient  $(r)$ , which is mathematically defned as follows:

<span id="page-7-3"></span>
$$
r = \frac{\sum_{i=1}^{n} (x_i - \bar{x})(y_i - \bar{y})}{\sqrt{\sum_{i=1}^{n} (x_i - \bar{x})^2 \sum_{i=1}^{n} (y_i - \bar{y})^2}}
$$
(2)

where  $x_i$  and  $y_i$  are the individual values of the variables  $x_i$ and *y*,  $\bar{x}$ , and  $\bar{y}$  are the means of the variables *x* and *y*, respectively, and fnally, *n* represents the number of data pairs. The Pearson correlation coefficient can take values between−1 and 1, where a value of 1 indicates a perfect positive correlation,−1 indicates a perfect negative correlation, and 0 indicates no correlation between the two variables under study.

Figure [8](#page-10-0) presents the diagnostic plots after iteratively applying the statistical methodology explained in the previous section for the detection of possible outliers where a natural logarithmic transformation of the roughness was required. Figure [8](#page-10-0)a shows the correct ft of the externally studentized residuals to a normal distribution. Figure [8b](#page-10-0), c show how the externally studentized residuals conform to the principle of homogeneity in variances independently of the increase in response (b) or the run number (c). Finally, Fig. [8](#page-10-0)d shows the result of the Box-Cox plot for the evaluation of the possible transformations required in the response after applying the recommended logarithmic transformation. It shows that no transformation is necessary.

Model coefficients are shown in Table  $11$ . The significance level used to consider a term signifcant or not is 0.05. Thus, those terms whose associated *p*-value is below the threshold of 0.05 are considered signifcant. Those terms included in the model with an associated *p*-value greater than 0.05 are necessary to maintain the hierarchy of the model (in this case,  $V_c \cdot R$ , and  $V_c^2$ ); hence, they are retained. On the other hand, the model shows a non-signifcant lack of ft with an associated *p*-value of 0.1547. Table [12](#page-11-1) shows a difference of less than 0.2 between the predicted  $R^2$  and the adjusted  $R^2$ . Furthermore, the value of Adeq. precision (which measures the signal to noise ratio) of 34.5 is much higher than the minimum value of 4.0 estimated for this

Run	Factor $R$ : insert radius (mm)	Factor $a_p$ : depth of $cut$ (mm)	Factor $V_c$ : cutting speed (m/min)	Factor $f_n$ : feed rate (mm/rev)	Response 1: Ra roughness $(\mu m)$	Response 2: residual stresses (MPa)
14	0.4	0.15	138	0.05	0.657	$-513.3$
36	0.8	0.05	138	0.15	1.069	496.4
45	0.8	0.15	76	0.15	3.235	133.0
61	0.8	0.2	107	0.2	1.259	669.6
65	0.8	0.2	169	0.1	0.54	24.8

<span id="page-8-0"></span>**Table 9.** Identifed outliers for the roughness model

<span id="page-8-1"></span>**Table 10** Identifed outliers for the residual stresses model

Run	Factor $R$ : insert radius (mm)	Factor $a_n$ : depth of cut(mm)	Factor $V_c$ : cutting speed (m/min)	Factor $f_n$ : feed rate (mm/rev)	Response 1: Ra roughness $(\mu m)$	Response 2: residual stresses (MPa)
10	0.4	0.1	169	0.1	0.561	122.3
12	0.4	0.15	76	0.15	0.806	102.5
15	0.4	0.15	138	0.15	0.796	141.3
27	0.4	0.2	107	0.2	1.002	519.7
38	0.8	0.1	107	0.1	0.551	$-253.1$
52	0.8	0.15	138	0.15	0.41	545.9
53	0.8	0.15	138	0.15	0.475	538.7
66	0.8	0.2	169	0.1	0.372	374.9
67	0.8	0.25	138	0.15	0.367	67.2

parameter, so that the model is able to make accurate predictions within the design space.

Figure [9](#page-11-2) shows the roughness response surfaces for the 0.4 mm tool radius insert (Fig. [9a](#page-11-2)) and for the 0.8 mm radius insert (Fig. [9](#page-11-2)b), derived for fixed depth of cut of 0.15 mm, which corresponds to half of the range of values that the depth variable takes in the experimental campaign. Taking into account that the depth of cut is the variable that has a lower impact on the results, the response surfaces obtained for other depths inside the workspace would be similar to the ones represented in Fig. [9](#page-11-2). A more detailed analysis of both response surfaces reveals a completely opposite behavior in terms of cutting speed. On the one hand, for those specimens machined with a 0.4 mm insert, it can be observed that at the same feed rate, the roughness reaches its maximum for a cutting speed of around 126 m/min, decreasing for cutting speeds higher or lower than this value. On the other hand, for those samples machined with a 0.8 mm insert, it can be observed that at the same feed rate, the estimated roughness reaches its minimum when the cutting speed is around 150 m/min, increasing as the cutting speed moves away from this value. Moreover, the highest roughness values are expected for those specimens machined with the

0.4 mm inserts under high feed rates. Figures [10](#page-12-0) and [11](#page-12-1) establish a comparison between the experimental results and the values obtained on the basis of the predictive models developed previously, showing the correct adequacy of these for the prediction of roughness.

Finally, the equations of the predictive model are introduced to estimate the roughness value as a function of the turning process parameters:

For insert radius  $(R) = 0.4$ 

$$
\ln(R_a + 0.5) = -0.936195 + 4.79502 f_n + 0.008349 V_c - 0.287258 a_p - 0.016195 (V_c \cdot a_p) - 0.000023 (V_c)^2 + 6.26819 (a_p)^2
$$
\n(3)

For Insert radius  $(R) = 0.8$ 

$$
\ln(R_a + 0.5) = 0.407991 + 2.34984 f_n - 0.00756 V_c
$$
  
- 1.09785 a<sub>p</sub> - 0.016195 (V<sub>c</sub> · a<sub>p</sub>) (4)  
- 0.000034 (V<sub>c</sub>)<sup>2</sup> + 6.26819 (a<sub>p</sub>)<sup>2</sup>

where  $R_a$  corresponds to the roughness parameter expressed in  $\mu$ m,  $f_n$  is the feed rate in mm/rev,  $V_c$  is the cutting speed expressed in m/min, and  $a_p$  is the depth of cut in mm.



<span id="page-9-1"></span>**Fig. 7** Correlation between factors and roughness: **a** feed rate vs roughness; **b** cutting speed vs roughness; **c** depth of cut vs roughness; and **d** radius vs roughness

#### <span id="page-9-0"></span>**4.2 Predictive model for residual stresses**

The analysis performed for residual stresses is analogous to that performed for roughness. Thus, Fig. [12](#page-13-0) introduces the correlations between the input variables and the residual stress measured after the experimental campaign. As in the case of roughness, the variable that seems to have the greatest impact on the residual stresses generated on the surface of the feed rate, with a Pearson correlation coefficient factor (obtained by means of Eq. [\(2\)](#page-7-3)) of 0.838, while the correlations coefficients for cutting speed and depth are  $0.062$ and−0.028, respectively. Moreover, a change in tool radius does not seem to have a signifcant infuence on the longitudinal residual stresses.

The diagnostic plots show a correct normal distribution of the externally studentized residuals (Fig. [13a](#page-14-0)) as well as the homogeneity of the observed variances independent of residual stress values and sample number (Fig. [13](#page-14-0)b, c) once the recommended transformation has been applied. The transformation used to adjust the residual stresses data is a power law one, with lambda equal to 1.85 and a constant *k* equal to 627.645 according to the Box-Cox plot recommendations.

The coefficients of the different terms of the model are shown in Table [13.](#page-15-0) The lack of ft shows an associated *p*-value of 0.5996, while the model has an associated *F*-value of 58.63, which indicates the signifcance of the model. Table [14](#page-15-1) shows the coefficients of variation associated with the model, where the diference between the



<span id="page-10-0"></span>**Fig. 8** Diagnostic plots for Roughness: **a** externally studentized residuals vs normal % probability; **b** externally studentized residuals vs predicted; **c** externally studentized residuals vs run number; and **d** Box-Cox plot for power transforms

predicted  $R^2(0.9162)$  and the adjusted  $R^2$  value (0.8976) is less than 0.2, thus showing a reasonable agreement.

Figure [14](#page-15-2) shows the residual stress response surfaces for the specimens machined with the 0.4 mm tip radius insert (Fig. [14](#page-15-2)a) and the 0.8 mm insert (Fig. [14](#page-15-2)b). As regards the response in residual stress values, the depth is again the lowest weight value for both tool radius, so to obtain the response surface its value is set to 0.15 mm. A more detailed analysis of both response surfaces shows the existence of signifcant diferences between them with respect to the infuence of the cutting speed. On the one hand, the response surface for the specimens machined with the 0.4 mm tool shows how the variation of the cutting speed has hardly any infuence for low feed rates, while for higher feed rates some impact can be seen can be seen. By setting a feed rate of 0.2 mm/rev, the tensile residual stresses reach their maximum value, while they decrease for higher cutting speeds. On the other hand, the response surface for the specimens machined with the 0.8 mm tool shows how the variation of the cutting speed has hardly any infuence on high feed rates, whereas it does for low feed rates. Thus, by setting the feed rate to 0.1 mm/ rev, it can be seen that for low cutting speeds compressive residual stresses are obtained, while for higher cutting speeds the residual stresses are positive. In both surfaces, it can be seen that an increase in the feed rate leads to higher residual stresses. Figure [15](#page-15-3) shows a correct fit of the phenomenological models obtained for both the 0.4 and 0.8 radii, with all results falling in the central area of the graph.

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<span id="page-11-0"></span>

	<b>Table 11</b> Analysis of variance for roughness predictive model
--	---

Source	Sum of	df	Mean square $F$ -value $p$ -value		
	squares				
Model	3.04	11	0.2761	67.17	< 0.0001
$f_n$ – feed rate	1.83	1	1.83	445.13	< 0.0001
$V_c$ - cutting speed	0.0177	1	0.0177	4.30	0.0431
$a_p$ – depth of cut	0.1556	1	0.1556	37.86	< 0.0001
$R-$ insert radius	0.6111	1	0.6111	148.68	< 0.0001
$f_n \bullet R$	0.2143	1	0.2143	52.13	< 0.0001
$V_c \bullet a_p$	0.0187	1	0.0187	4.55	0.0377
$V_c \bullet R$	0.0002	1	0.0002	0.0522	0.8201
$a_p \bullet R$	0.0233	1	0.0233	5.67	0.0210
$V_c^2$	0.0021	1	0.0021	0.5029	0.4815
$a_p^2$	0.0198	1	0.0198	4.81	0.0328
$V_c^2 \cdot R$	0.0642	1	0.0642	15.61	0.0002
Residual	0.2096	51	0.0041		
Lack of fit	0.0941	18	0.0052	1.49	0.1547
Pure error	0.1155	33	0.0035		
Cor total	3.25	62			

<span id="page-11-1"></span>**Table 12** Regression parameters for roughness model



Finally, the two predictive equations obtained for the determination of the longitudinal residual stresses are presented.

For insert radius  $(R)$ = 0.4 mm

$$
(\sigma_{RSL} + 627.65)^{1.85} = -780996 + 9569110f_n + 4687.59618V_c + 315040a_p - 21069.41(f_n \cdot V_c) - 14143.15(V_c \cdot a_p) - 13474900(f_n)^2 + 5651830(a_p)^2
$$
\n(5)

<span id="page-11-4"></span>For Insert radius  $(R) = 0.8$  mm

$$
(\sigma_{RSL} + 627.65)^{1.85} = 856760 + 6203690f_n + 5989.03239V_c
$$
  
+ 315040a<sub>p</sub> - 21069.41(f<sub>n</sub> · V<sub>c</sub>)  
- 14143.15(V<sub>c</sub> · a<sub>p</sub>) - 981032(f<sub>n</sub>)<sup>2</sup> + 5651830(a<sub>p</sub>)<sup>2</sup> (6)

where  $\sigma_{RSL}$  corresponds to the longitudinal residual stress expressed in MPa,  $f_n$  is the feed rate in mm/rev,  $V_c$  is the cutting speed expressed in m/min and  $a<sub>p</sub>$  is the depth of cut in mm. A more exhaustive comparison between the experimental results and the proposed models can be seen in Fig. [16](#page-16-0), showing the correct ft of the models for each insert radius.

# **5 Discussion**

In this section, a comparative analysis is conducted between the results obtained from the models proposed in this study and those proposed in the literature for the same purpose.

On the one hand, the most widespread model to predict the estimated value of surface roughness,  $R_a$ , as a function of cutting parameters [[15\]](#page-22-14) is as follows:

<span id="page-11-3"></span>
$$
R_a = \frac{1000 f_n^2}{32 R}
$$
 (7)

where  $R_a$  corresponds to the average roughness parameter expressed in  $\mu$ m, while  $f_n$  and  $R$  refer to the feed rate expressed in mm/rev and the tool tip radius in mm,



<span id="page-11-2"></span>**Fig. 9** Response surfaces for roughness: **a** response surface for 0.4 mm insert radius and **b** response surface for 0.8 mm insert radius



<span id="page-12-0"></span>**Fig. 10** Predicted vs measured roughness parameters

respectively. A graphical comparison based on the results found before has been made in Fig. [17](#page-16-1), showing again the good results obtained with the roughness model for both the 0.4 mm (a) and 0.8 mm (b) tool insert radius. Table [17](#page-20-0) in the Appendix compares the predictions made by the model proposed in this paper with the ones derived from Eq. [\(7](#page-11-3)). The results shown in Table [17](#page-20-0) in the Appendix, reveal that Eq. [\(7](#page-11-3)) gives rise to signifcantly higher relative errors compared to the models proposed in this study, which highlights the efectiveness of the model developed in the prediction of the surface roughness parameter,  $R_a$ , under the selected machining conditions. It is important to mention that Eq. ([7\)](#page-11-3) is expected to be valid for the fnishing cutting conditions recommended by the manufacturer. The deviations in *Ra* observed between our experimental results and Eq. ([7\)](#page-11-3) are attributed to the use of cutting conditions outside this recommended range. Therefore, it is not our intention to suggest that Eq. ([7\)](#page-11-3) is invalid in other scenarios. We have only demonstrated that, within the space of cutting parameters tested, the proposed models yield better predictions than Eq. ([7](#page-11-3)).

On the other hand, the models obtained in this study to estimate the residual stresses have been compared with those proposed in the research carried out by Capello [\[9](#page-22-8)], which is one of the most cited in the literature. He established that the residual stresses can be obtained by the following:

$$
\sigma_{RSL} = \sigma_{rm}(HRb) + \sigma_{rp}(f_n, R) = 1000[h_1HRb + \log(f_n^{h_2}R^{h_3})]
$$
\n(8)

where *HRb* corresponds to the general Rockwell B hardness value of the steel under study obtained by Capello, while  $f_n$  and *R* refer to the feed rate expressed in mm/rev and the tool tip radius in mm respectively. Coefficients  $h_1, h_2$ , and  $h_3$  are the regression parameters for the 42CrMo4 steel, which can be seen in Table [15](#page-17-0). The reader should note that there are some discrepancies between the values of the mechanical properties measured by Capello (in terms of ultimate strength  $(R_m)$  and  $HRb$ ) in his work and those proposed here based on measurements made by the authors for 42CrMo4+QT steel in previous works [[21\]](#page-22-20). However, since hardness is one of the most critical parameters in Capello's predictive equation and in order not to bias the results, the comparison here has been made using the hardness value



<span id="page-12-1"></span>**Fig. 11** Comparison of experimentally measured and predicted roughness according to the model proposed by the authors: **a** for 0.4 mm insert radius and **b** For 0.8 mm insert radius



<span id="page-13-0"></span>**Fig. 12** Correlation between factors and residual stresses: **a** feed rate vs residual stress; **b** cutting speed vs residual stress; **c** depth of cut vs residual stress; and **d** radius vs residual stress

proposed in his original paper. This comparison of results is also shown graphically in Fig. [18,](#page-17-1) where Fig. [18](#page-17-1)a is devoted to the 0.4 mm insert radius values and Fig. [18](#page-17-1)b to those specimens machined with the 0.8 mm insert radius tool. In both cases, it can be seen how the model proposed in Capello's work fails for residual stresses close to zero or negative, while for higher values, the models tend to predict similar behavior. Analogously to what was previously proposed for the study of roughness, Table [18](#page-21-0) in the Appendix shows the comparison of the relative percentage errors obtained in the prediction of residual stress with the model proposed here compared to those obtained with the model proposed by Capello [\[9](#page-22-8)], demonstrating the improvement achieved in this case. Once again, it is important to remark that the deviation between the experimental results obtained in this work and the predictions obtained by Capello's model can be caused by the values used to machining the samples, which, in some cases, are out of the scope of the Capello's work, which supposes an extrapolation of his model.

A detailed analysis of the two equations proposed in the literature underlines that among all the variables of the turning process that can afect both roughness and residual stresses, feed rate, and tool radius are the most critical parameters, being these results clearly aligned with those obtained in this experimental campaign.



<span id="page-14-0"></span>**Fig. 13** Diagnostic plots for residual stresses: **a** externally studentized residuals vs normal % probability; **b** externally studentized residuals vs predicted; **c** externally studentized residuals vs run number; and **d** Box-Cox plot for power transforms

# **6 Conclusions**

In this work, four models have been developed to estimate surface roughness and longitudinal residual stresses based on the turning conditions for  $42CrMo4 + QT$  steel. It is important to highlight that, while these models can be crucial for machining parts or fatigue characterization specimens of this material, they are only valid within the range of cutting parameters defned in this study and for the selected material. Therefore, any extrapolation beyond these ranges is not guaranteed.

To obtain these models, a design of experiments was carried out using the central composite design method. Based on this design, 68 specimens were machined under 30 different machining scenarios in order to have sufficient information on the impact of the turning process on the surface integrity of the specimens. Subsequently, a statistical methodology was applied to identify potential outliers, which were removed from the model, thus eliminating their impact and improving the model ft. This elimination may be due to various factors such as non-uniform chips that occur during the turning process or unexpected phenomena that could

Source	Sum of squares	df	Mean square $F$ -value $p$ -value		
Model	$1.390E + 12$	11	$1.263E + 11$	58.63	< 0.0001
$f_n$ – feed rate	$1.174E + 12$	1	$1.174E + 12$	544.86	< 0.0001
$V_c$ - cutting speed	$1.598E + 08$	1	$1.598E + 08$	0.0741	0.7866
$a_p$ – depth of cut	$4.741E + 08$	$\mathbf{1}$	$4.741E + 08$	0.2200	0.6412
$R-$ insert radius	$1.273E + 11$	1	$1.273E + 11$	59.09	< 0.0001
$f_n \cdot V_c$	$2.931E + 10$	1	$2.931E + 10$	13.60	0.0006
$f_n \cdot Ir$	$5.443E + 09$	1	$5.443E + 09$	2.53	0.1187
$V_c \cdot a_p$	$1.317E + 10$	1	$1.317E + 10$	6.11	0.0171
$V_c \cdot Ir$	$2.218E + 10$	1	$2.218E + 10$	10.29	0.0024
$f_n^2$	$2.777E + 10$	1	$2.777E + 10$	12.89	0.0008
$a_p^2$	$1.537E + 10$	1	$1.537E + 10$	7.13	0.0104
$f_n^2 \cdot R$	$2.307E + 10$	1	$2.307E + 10$	10.71	0.0020
Residual	$1.013E + 11$	47	$2.155E + 09$		
Lack of fit	$3.589E + 10$	18	$1.994E + 09$	0.8842	0.5996
Pure error	$6.540E + 10$	29	$2.255E + 09$		
Cor total	$1.491E + 12$	58			

<span id="page-15-0"></span>**Table 13** Analysis of variance for residual stresses predictive model



<span id="page-15-1"></span>**Table 14** Regression parameters for the residual stress model





<span id="page-15-3"></span>**Fig. 15** Predicted vs measured residual stresses

tip radius as a categorical variable in the analysis, four fnal equations were obtained, two dedicated to the prediction of the roughness evaluated in terms of the  $R_a$  parameter divided for each categorical factor (here insert radius, 0.4 mm, and 0.8 mm), and as the same mentioned factors, two for the evaluation of the residual stress were obtained.

Finally, a comparison was made between two of the most widely used equations in the literature to predict roughness and longitudinal residual stress, showing the advantages of the model designed here to predict both parameters under the proposed machining scenarios.



<span id="page-15-2"></span>**Fig. 14** Response surfaces for residual stresses: **a** response surface for 0.4 mm insert radius and **b** response surface for 0.8 mm insert radius

# **Appendix**



<span id="page-16-0"></span>**Fig. 16** Comparison of experimentally measured and predicted longitudinal residual stress according to the model proposed by the authors: **a** for 0.4 mm insert radius and **b** for 0.8 mm insert radius



<span id="page-16-1"></span>**Fig. 17** Comparison of roughness estimated by the model proposed in this paper and the most used proposal in the literature (Eq. [\(6](#page-11-4))): **a** for 0.4 mm insert radius and **b** for 0.8 mm insert radius

<span id="page-17-0"></span>**Table 15** Estimated parameters proposed in Capello's predictive model [\[9](#page-22-8)]

Principal mechanical properties and regression parameters for 42CrMo4					
$R_m(MPa)$	HRb	$h_1$	h <sub>2</sub>	h <sub>3</sub>	
1000	107	0.011	0.278	0.135	



<span id="page-17-1"></span>**Fig. 18** Comparison of residual stresses estimated by the model proposed in this paper and by Capello's model [\[9](#page-22-8)]: **a** for 0.4 mm insert radius and **b** for 0.8 mm insert radius

<span id="page-18-0"></span>



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<span id="page-20-0"></span>



<span id="page-21-0"></span>



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**Author contribution** Diego Díaz Salamanca: conceptualization, methodology, data curation, formal analysis, validation, writing—original draft, and writing—review and editing. Miguel Muñiz Calvente: conceptualization, methodology, resources, funding acquisition, data curation, formal analysis, validation, supervision, project administration, and writing—review and editing. Pejman Ebrahimzadeh: conceptualization, methodology, data

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#### **Declarations**

**Competing interests** The authors declare no competing interests.

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