2002

CREATING AN IN-HOUSE SHOT PEENING SPECIFICATION FOR GEARS Part 1

Whether large or small, companies can take certain steps to ensure reliable shot peening specifications for the gears they process. Learn how in this first of a two-part article.

By Mark Lawerenz, Imants Ekis

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hot peening is widely recognized as proven, cost-effective process to enhance the fatigue characteristics of metal parts and eliminate the problems of stress-corrosion cracking. Forming and texturizing are added benefits.

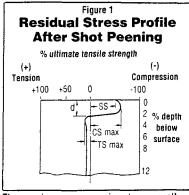
Though shot peening is widely used today, the means of specifying process parameters and controlling documents for process control are not widely understood. Many design and materials engineers continue to ask questions about shot size, intensity and blueprint specification to assure a high quality and repeatable shot peening process.

Many existing internal company specifications are adequate, but many are not because they have not been updated to coincide with the improvements in shot peening technology over the past years. Companies considering creation of an in-house specification for gears or interested in revising an existing specification should consult a knowledgeable shot peening authority.

For smaller companies and those that less frequently specify the shot peening process, good specifications that can be used as a reference are readily available. Two of these are Military Standard MILS-13165-B and AMS 2430.

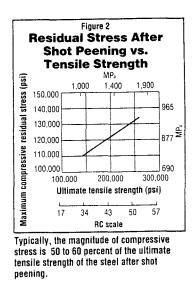
Shot peening is an effective tool for combating fatigue and stresscorrosion cracking, as well as assisting in forming and shape correction. By definition, shot peening is the bombardment of the surface of a material by small spherical media (the shot) to produce a thin layer of high magnitude residual (or self) compressive stress.

This residual or self stress is introduced into a material prior to any actual applications of loads to a component. The magnitude and depth of these compressive stresses are predictable. As shown in Figure 1,⁵ the maximum compressive stress usually occurs at some distance below the peened surface, which is represented by the top horizontal line.

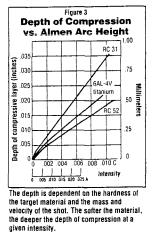


The maximum compressive stress usually occurs at some distance below the peened surface.

Typically, this magnitude of compressive stress (CS max) is approximately 50 to 60 percent of the ultimate tensile strength of the material, as shown in Figure 2. 6 (Dual intensity peening can move the CS max closer to the surface of the peened material.) Because this method is not typically employed, Figure 1 is adequate for this discussion. The d represents the depth of compression or the point at which the compressive stress induced by the peening crosses the neutral axis and becomes tensile.



The depth, as shown in Figure 3, depends on the hardness of the target material and the mass and velocity of the shot. Essentially, the softer the target material, the deeper the depth of compression at a given intensity. For example, at a 15A Almen intensity on a 52 RC material, the depth of compression will be about 0.008 in. Additional curves for various materials are available in reference No. 5.



The purpose of introducing compressive stresses into a part is to prevent fatigue failures, which typically are propagated through a component in regions of tensile stress. Changing tensile stresses to compressive stresses at the surface of a component where fatigue usually occurs limits crack initiation and propagation.

Residual tensile stresses can decrease the fatigue life of a component. Compressive stresses, however, tend to increase fatigue life. Some machining processes introduce unwanted tensile stresses into a part prior to any applied loading. If these factors are not taken into consideration, premature component failure can occur.

Controlling the Process

Certain basic controls must be introduced into any in-house company specifications on shot peening. Specifications, such as AMS 2430 and military specifications MILS-13165-B, deal extensively with controls.

To assure proper shot peening, an engineer must:

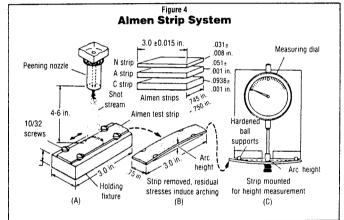
- determine the intensity
- maintain and control the integrity of the shot
- assure complete coverage
- determine whether computer-controlled equipment or automated equipment will be used.

Without proper shot peening controls, repeatability and desired product reliability will not be maintained. The process would degenerate into nothing more than a blasting operation as used in cleaning and potentially lead to severe damage to the fatigue properties of a part.

Intensity is determined by application of a shot stream to a metal strip known as an Almen strip. Three gauges of these strips exist: N, A and C.

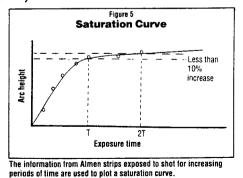
The **N** strip is used for light-intensity peening, **C** is used for highintensity and **A** for medium-range peening. The proper strip is selected and mounted on an Almen block, and a shot stream is applied to the exposed surface.

After proper exposure time, the strip is removed from the block, as shown in part \mathbf{A} of Figure 4. The strip deflects upward toward the peened surface (see part \mathbf{B} of Figure 4), and the arc height is measured by an Almen gauge (see part \mathbf{C} of Figure 4). The archeight of the strip and the amount of time the strip was exposed to the shot stream are noted.



Intensity is determined by applying a shot stream to an Almen strip. After exposure, the strip is removed from the block (A). The strip deflects upward toward the peened surface (B), and the arc height is measured by an Almen gauge (C).

Additional strips of the same type then are exposed to shot streams for increasingly longer periods of time. The information from all these strips is used to plot a saturation curve (Figure 5) to assure that the equipment setup has been properly made for repeatability of the desired intensity.



Numerous controls go into this aspect of the peening process. The primary purpose of maintaining proper shot control is to prevent degeneration of the round shot into broken shot that typically is used in a blasting operation.

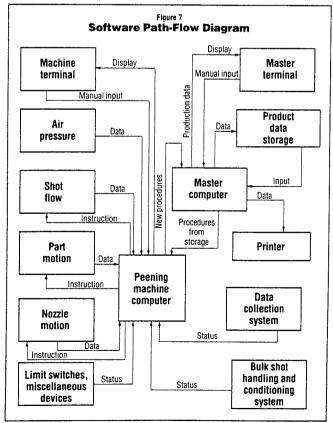
Left in an improperly controlled state, broken shot could produce unacceptable surfaces, as shown in **A** of Figure 6. Properly peened surfaces produced by controlled shot should appear as seen in **B** of Figure 6. The primary equipment used to ensure shot integrity is a classifier, which not only segregates improperly sized shot from good shot, but also segregates irregularly shaped shot from the desired round peening media.



Besides the classifier, techniques to qualify the shot prior to use should include methods that determine porosity, breakdown of shot, hardness and metallurgy. To neglect this aspect of controls could hasten degeneration of the process into blasting rather than peening. This would be analogous to striking the surface of the material with the claw end of a hammer rather than the ball end.

A properly peened surface has many overlapping dimples, referred to as an orange skin or orange peel effect. A partially covered surface never should be seen. Proper coverage can be determined with a 10 power (10x) magnifying glass or by the Peenscan process. The Peenscan method lets you view coverage of a surface with ultraviolet light after it has been treated with a material similar to a dye penetrant, which is removed by a peening operation. Areas that have not been peened properly glow under a black light.

The engineer must determine whether the equipment to be used is computer controlled or automated without computer control. Computer-controlled equipment typically is used for more sophisticated parts and when repeatability and computer printouts for monitoring process variables are required. This is the most sophisticated and usually most expensive peening methods. Figure 7 shows a sample of a software path-flow diagram, with primary monitoring points on the left.



Computer-controlled shot peening equipment is the most sophisticated, assuring repeatability and constant monitoring. Primary monitoring points are shown on the left-hand side of the diagram. Automated machinery without computer control usually employs manual load and unload of equipment. The machine automatically peens a part for a set cycle without computer monitoring or operator involvement. Most parts are peened in this manner.

Considerations

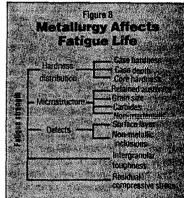
Besides assuring good controls to assure repeatability, certain considerations should be applied to any gearing before any shot peening specifications are made. They include but are not limited to the following:

- application
- geometric configuration of part
- material hardness and heat treatment used
- material
- surface finish requirements before and after shot peening

• optional peening methods and additional considerations—strain peening, dual-intensity peening, plating and salvage methods, contour correction (forming) peening, increasing wear due to work hardening, porosity (closure in powdered metal parts and castings), salvage/grinding both before and after, and stress-corrosion cracking.

The primary consideration in shot peening gears is to determine if the process is to be used to increase bending fatigue strength of gear teeth, increase surface fatigue life, or change the texture to either break up continuous machining marks or to aid lubrication of the gear face.

Numerous variables enter into how the gear's ultimate fatigue strength will be determined. Figure 8 shows the variety of possibilities. Residual compressive stress has specific effects on fatigue and on hardness and microstructure.



Numerous metallurgical variables affect a gear's ultimate fatigue strength.

As noted by Dudley and Seabrook,⁹ shot peening is beneficial, and the fillets at the gear root should be peened. The authors show no hesitation in recommending the practice of shot peening for carburized and hardened teeth despite their high hardness and brittleness.

Typically, a gear has 20 to 30 percent additional load-carrying capability if its root fillets are peened. Similar results were noted on through-hardened and induction-hardened gearing. (See reference No. 10 through No. 12.)

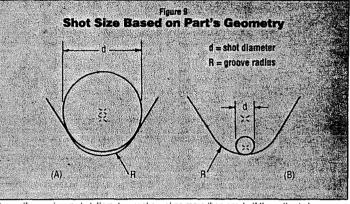
It also should be determined if surface pitting found at the pitch line is the primary fatigue concern, or whether fatigue at the root because of tooth flexure is primary. NASA tests on the effect of surface fatigue life of carburized and hardened spur gears¹³ noted a 60 percent increase in the life of gears that are shot peened to combat this phenomenon. Another consideration is whether the peening will be used primarily to improve surface finish, called texturizing, rather than to introduce beneficial residual compressive stresses.

The texture produced by the peened surface consists of homogeneous, overlapping dimples that can be used to eliminate stress risers produced by various machining processes, such as hobbing. Generally, this operation is performed in the "green state" of the gear just prior to heat treatment. Proper shot selection depends on how disrupted the surface will be. At a given intensity, large shot produces a smoother finish than small shot.

Another way to produce a texture is to carburize the gears, slow cool to a hardness higher than the green state, follow with a texturizing shot peening process, and then fully harden. Any compressive stresses produced prior to heat treatment will be dissipated due to the heat treatment. Shot peening after heat treatment will be required to produce a surface with compressive stresses if either of the two fatigue conditions also need consideration.

An additional consideration is whether the dimpling will be used to aid gear lubrication. But this rarely is the primary consideration.

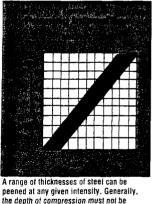
After determining the reason for shot peening, the next step is to determine shot size based on the part's geometry. The general rule used for MIL 13165-B is that the maximum shot diameter d, as shown in Figure 9, must be equal to no more than 1/2 R (the radius to be peened). For example, in **A** of Figure 9, it is obvious that the shot is too large and will not provide full coverage in the fillet radius.



Generally, maximum shot diameter must equal no more than one-half the radius to be peened. For this part, (A) shows a shot size that is too large (d=22R), while (B) shows the maximum shot size permitted according to military specifications ($d=\frac{1}{2}R$).

After determining the geometry into which the shot will move, the intensity of the shot is determined.

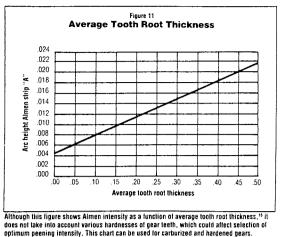
The general guideline is that the depth of compression cannot be greater than 10 percent of the thickness of the part. Figure 10 provides an example of a range of thicknesses of steel that can be peened at a given intensity and illustrates the range of intensities that can be used for any given thickness. For example, at a 4A intensity, steel thicknesses from 0.018 in. to 0.15 in. can be peened. Figure 10 indicates that a steel part with a cross section of 0.150 in. can be peened with an intensity as low as 4A and as high as 14A.



beta depth of compression must not be greater than 10 percent of the part's thickness. Optimum selection of the correct intensity is a function of shot size used, coupled with the hardness of the target material. Curves that provide examples for depth of compression should be used, but remember that the depth of compression must not exceed 10 percent of the thickness of a part per peened side or a total of no more than 20 percent of the cross section of a component.

Figure 11 shows Almen intensity as a function of average tooth root thickness. Note that it does not take into account various hardnesses

of gear teeth, which could have an effect on selecting an optimum peening intensity. Still, it can be used as a guideline for carburized and hardened gears.



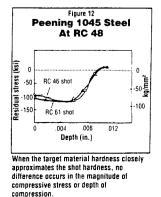
Realizing some of the difficulties in selecting an optimum shot intensity for a given gear type and material, the American Gear Manufacturers Association provides a list of typical shot size and intensity for shot peening based on diametral pitch as a guide.¹⁶ Henry Fuchs' paper, "Optimum Peening Intensities", explains in depth a method for selecting optimum peening intensities.¹⁷

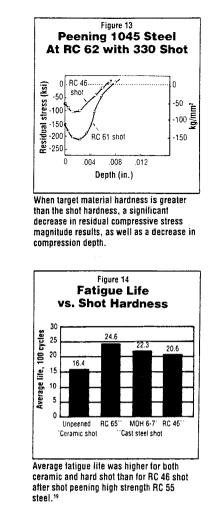
In general, when a shot size is selected based on the gear's geometry, the maximum intensity should be used. The maximum intensity should provide a depth of compression not exceeding 10 percent of the gear's cross section at any point where the shot stream comes into contact with the thinnest cross section of that gear. To do this, proper charts showing depths of compression generated as a function of material type and hardness should be reviewed. See Figure 3 or Reference 5.

Heat Treat Methods

After the application, shot size and intensity have been determined, the next step is to determine if the intensity selected is correct to meet the depth of compression based on the material hardness. Figure 2 shows that the higher the ultimate tensile stress, the higher the magnitude of compressive stress. The 50/60 percent relationship of the compressive stress to the ultimate tensile stress is maintained as long as shot hardness is equal to or greater than the surface hardness of the gear.

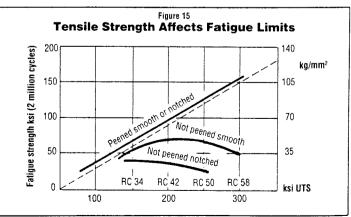
Figure 12 clearly shows that when the target material hardness closely approximates the shot hardness, no difference occurs in the magnitude of the compressive stress or the depth of compression. However, when the target material hardness is greater than the shot hardness, a significant decrease in the residual compressive stress magnitude results (RC 46 shot curve at a maximum compressive stress of 100 ksi vs. RC 61 shot, providing in excess of 200 ksi) as well as a decrease in the compression depth. See Figure 13. This was confirmed when tests were performed peening high-strength steel using not only RC 65 shot but also ceramic shot and RC 46 cast steel. In Figure 14, average fatigue life was higher for both ceramic and hard shot than for RC 46.





The benefits of using hard shot on high hardness gear materials was further demonstrated in a paper by Miwa, et al.⁸ Further support for using high hardness shot for high hardness materials rather than increasing the intensity of shot peening is provided in Reference 20.

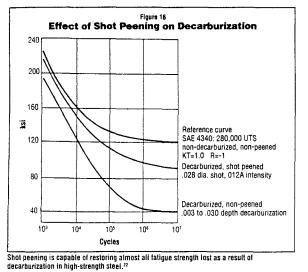
As the hardness of a material increases so does the ultimate tensile strength of that material. However, as the hardness increases, a noticeable decrease in the fatigue strength in some materials may result because of an increase in notch sensitivity and brittleness, as shown in Figure 15. For those steel specimens shown at a hardness above RC 42 that have not been shot peened, fatigue strength decreases as ultimate tensile strength increases. By changing to peening with hard shot and peening the high strength steel, not only will a higher ultimate tensile strength result, but the fatigue strength of the material also will be increased.



As hardness increases, a noticeable decrease in the fatigue strength in some materials may result because of an increase in notch sensitivity and brittleness.^{6 21}

An additional consideration is whether decarburization may occur in heating the steel. Decarburization, the loss of carbon at the surface

of a ferrous material, can result in the loss of fatigue strength of high strength steel. Figure 16 shows how shot peening can restore almost all the fatigue strength that had been lost.



If decarburization may occur, incorporating shot peening into a part's design can ensure component integrity. Essentially, the hardness of the material must be considered to determine the depth of the compressive stress, whether hard shot is to be used and whether decarburization will be a factor.

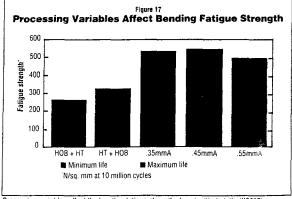
Material Consideration

Another major consideration is to determine if the media and intensity chosen to this point will have any adverse or additional desirable effects on the target material. Representative curves of shot peened material of a similar nature are helpful in calculating the depth of compressive stress,⁵ but certain questions must be answered:

• Will the selected peening media contaminate the target material? For instance, the use of cast steel shot on an austenitic stainless steel may require chemical passivating or other mechanical cleaning methods.

• Would it be preferable to use other peening media, such as stainless steel, ceramic or glass?

• Is work-hardening possible and/or desirable? For example, austempered ductile iron (ADI) not only responds well to shot peening by increasing fatigue strength but also has the added benefit of work-hardening. Fatigue strength increases for ADI at various peening intensities as shown in Figure 17. Reference No. 23 through No. 26 support not only the fatigue benefits for ADI but also the improved wear characteristics caused by desirable work-hardening. Other materials, such as high manganese-content steel and austenitic stainless steels, also will readily work-harden.



Processing variables affect the bending-latigue strength of austenitic-bainite (K9805) gear teeth: measurement after 10 million cycles, heat treatment affer hobbing, hobbing after heat treatment, shot peening 0.35mm Almen A, shot peening 0.45 Almen A, and shot peening 0.55 mm Almen A

• Does the material have a tendency towards different microstructures, such as retained austenite? If the retained austenite is excessive, significantly reduced compressive stress magnitudes will be noted unless hard shot is used. • Will the material respond favorably to the selected shot size or should an alternate size be used? For instance, aluminum alloys respond better at a given intensity to larger shot at a low velocity than to small shot at a higher velocity. Though both conditions could produce the same intensity, larger shot is more desirable if geometric constraints allow it.

• Is the gearing of a powder metallurgy? Special considerations must be made if it is. However, if handled properly, fatigue life improvement due to increased hardness and due to residual compressive stresses is possible.²⁷

Surface Finish

Additional consideration should be given to the desired surface finish before and after shot peening.

Note that a shot peened surface's overall dimension will increase slightly because new measurements are taken at the tops of peaks produced by the dimpling action. This growth depends upon hardness of target material as well as shot size and intensity used, but typical growth rarely exceeds 0.0005 in. per side. If this size change will be detrimental from the standpoint of fit, samples of the material should be peened experimentally before working with actual parts. All typical drawing dimensions should reflect dimensions prior to peening.

As a general rule, original surface finishes above 125 RMS can be improved by peening, whereas surfaces below 125 RMS generally will be increased in surface roughness, depending on material type and hardness, shot size and intensity. Samples should be provided to confirm desired results.

If a surface finish is required that will be finer than one produced by shot peening, certain machining processes may be performed after peening. Cool processes, such as lapping and honing, are allowed because they do not generate much heat and will not dissipate compressive stresses. However, material removal must be limited to no more than 10 percent of the depth of compression. Additional material removal will adversely affect all peening benefits.

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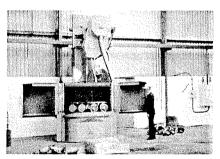
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Bingo No. 17

CREATING AN IN-HOUSE SHOT PEENING SPECIFICATION FOR GEARS

PART 2

Understanding less conventional shot peening methods helps manufacturers develop an in-house specification for gears. This article also relates specification to the part drawing.

By MARK LAWERENZ, IMANTS EKIS

This last of a two-part series, which provides guidelines for developing an in-house shot peening specification for gearing, covers optional peening methods and considerations, and explains how to relate the in-house specification to the part drawing. Part 1 appeared in the February 1992 issue.

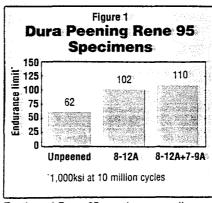
hen creating a shot peening specification for any type of gearing, some additional, less conventional peening methods and considerations should be included. These optional methods and techniques follow:

• Strain peening or stress peening. This technique is applied when parts are stressed in one direction only and longer fatigue life is required. The part is shot peened in a stressed, or loaded, condition. Compressive stresses produced by the peening can be as high as the compressive yield stress of the material itself. This technique has been used a great deal in numerous industries. • Dual intensity peening. This method can produce substantially longer fatigue life than can be obtained by conventional shot peening methods. Research on carburized steel indicates that dual

peening, which is high intensity shot peening, followed by lower intensity shot peening with smaller shot, increases the magnitude of surface compressive residual stress.¹ Additional testing on other materials have confirmed this data.²³ See Figures 1 and 2.

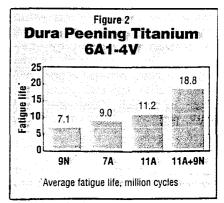
• Plating and salvage. Shot peening prior to plating can be used when parts with machining discrepancies in production are salvaged or when plating is used for a wear or protective surface.

The shot peening prevents microcracks in the plating from propagating into the parent metal if the part is subjected to a cyclical load. Cracks will not propagate into layers of compressed stress as shown in the before-and-after diagrams in



Testing of Rene 95 specimens confirms that dual peening of carburized steel increases the magnitude of surface compressive residual stress.¹ Figure 3. Significant increases in fa tigue strength closely approximat ing original unpeened surfaces arshown in Figure 4. In some cases shot peening prior to plating may be required by contractual agree ments. Specifications such as Fed eral Specifications QQ-C-320 and MII-C-26074A require shot peening on steel parts that are chrome or electroless nickel plated.

An additional benefit is the prevention of hydrogen embrittlemenby the shot peening of the parenmetal prior to the plating operation Since atomic hydrogen is extremely mobile and easily penetrates and interacts with metal, the shot peening reduces the metal's ductility and ability to withstand cyclic loads. Peening has been proven to be ef-



As with carburized steel, dual intensity peening of titanium provides longer fatigue life than does conventional shot peening.² fective in retarding the migration of hydrogen through metal.⁵ See Figure 5.

• Contour correction. Just as it is possible to create a desired curvature and shape to components by shot peening, it is possible to correct the shape and form of parts as well. The shot peening process avoids the unfavorable (tensile) residual stresses produced by other straightening methods and instead produces favorable (compressive) residual stresses.

• Increased wear due to work hardening. If a material's ability to readily work-harden is a major consideration for a company, then it should be addressed in the specification. For materials that cannot be heat treated but require wear resistance, shot peening should be considered.

• Porosity. When porosity is a concern, it should be reviewed as a specification option. Typically, shot peening is not utilized for the compressed stress benefits, but rather to compact the surface⁷ or reveal some subsurface porosity prior to machining. Therefore, it can be used as an inspection tool before machining of questionable castings.

• Salvage/grinding before and after shot peening. When severe grinding has developed a resultant residual tensile stress and surface brittleness, consider shot peening the surface after grinding. Figure 6 shows S-N curves for a part originally designed for an endurance limit with a gentle grind, the resultant lowered endurance limit after grinding, and the improved endurance limit of the severely ground surface followed by shot peening.

Another technique that can be used especially on particularly difficult grinding operations or materials is to shot peen prior to grinding to prevent grinding cracks. Grinding of carburized gears can produce high residual tensile stresses, which can initiate cracks in the tooth surface. Shot peening prior to grinding greatly reduces this tendency. Used here, peening can prevent crack propagation from the grinding but is not intended to increase bending fatigue strength.

Stress corrosion cracking. In par-

ticularly hostile environments in which a material may be affected adversely by general corrosion coupled with residual or applied tensile stresses, shot peening may be a consideration. Peening changes the surface residual tensile stresses to compressive stresses, which eliminates the conditions that promote stress corrosion cracking.

Specifications on Part Drawings

Once a satisfactory in-house specification has been established that addresses the particular needs of a company, it is still necessary to translate the information to particular gears.

The general specification should assist the design professional regarding the necessary steps to properly select an optimum drawing specification. The information then must be transferred to the manufacturing drawing. Now you have arrived at specifying shot peening.

In specifying shot peening requirements on part drawings, the following parameters should be identified:

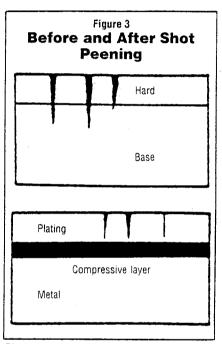
- areas to be shot peened
- areas to be masked
- optional areas

areas where shot peening fades out (if necessary)
shot size, hardness and material • locations for intensity verification and intensity range

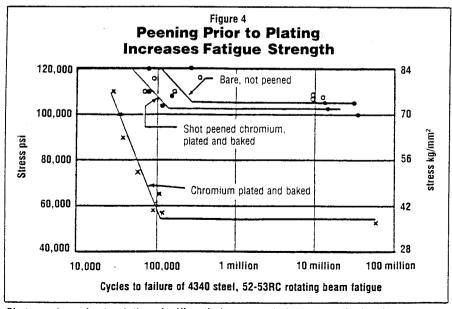
• coverage requirements for all areas to be peened, including the method used for coverage determination

• applicable shot peening specification

Figure 7 provides a theoretical example of a gear with a suggested



Plating cracks will not propagate into layers of compressed stress.



Shot peening prior to plating significantly increases fatigue strength closely approximating original unpeened surfaces.⁴

specification. Using the points listed above, the analysis of this specification is as follows:

• Areas to be shot peened. These are noted by DIM A, and further critical areas are identified by XXX. There are five primary areas requiring the proper intensity: at the tooth root fillet, the gear pitch line, two shaft fillet transition areas and the main shaft body.

The shot selection indicates, because only one peening operation is to be performed, that the apparent geometric limiting factor of the shot is the fillet radii of the gear teeth. Most likely, the main shaft is being peened because the shaft also may experience problems with fatigue. It is possible that some machining may occur on the shaft body after shot peening, so rather than mask this area, peening is being allowed. The gear pitch line area is noted because pitting of the gear tooth may occur.

• Areas to be masked. These are noted by DIM B and DIM C. Most likely the O.D. of the gear has limitations on the potential of burring at the top land. This is costly and should be avoided unless other alternate wavs are not available. A potential alternate solution may be to break or radius all sharp edges in the areas to be peened prior to peening. This can minimize or eliminate the potential to burr. The threads at the shaft end do not require peening and must be masked because peening could damage them.

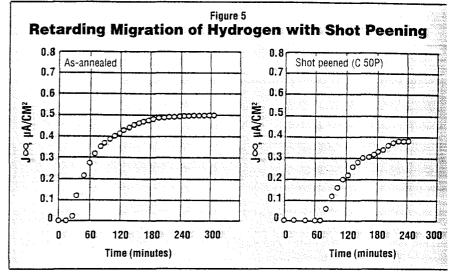
• Optional areas. Noted by DIM **D**. These are the holes in the gear body.

• Areas where shot peening fades out. This is not applicable here.

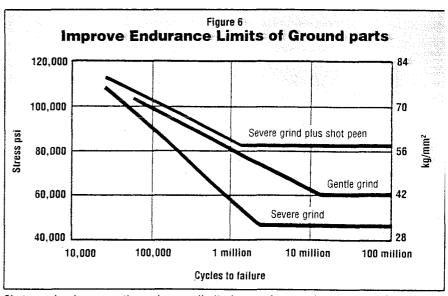
• Shot size, hardness and material. MI 110 shot, intensity 6-10A. The MI 110 designation defines a cast steel shot.

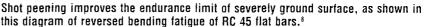
• Location for intensity verification and intensity range at each location. Only one intensity is specified. It is marked by XXX. If other intensities or shot sizes are to be used, additional callouts and symbols are necessary.

• Coverage requirements for all areas to be peened, including the



Peening can retard the migration of hydrogen through metal, as shown in the diagram non-treated and shot peened surfaces.⁵





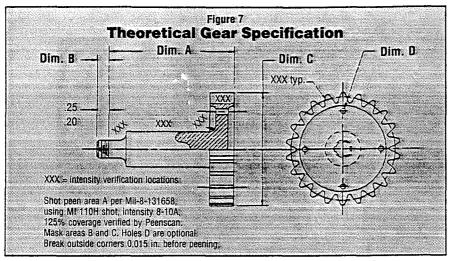
method used for coverage determination; 125 percent coverage, verified by Peenscan.

• Applicable shot peening specification; MIL-S-13165B.

The above sample drawing specification clearly denotes the proper shot peening requirement, which should be easily accomplished by the manufacturing group or vendor. The drawing specification should readily coincide with the company in-house peening specification. However, the above sample specification most likely will not work on parts similar to the gear for which it was developed. It is best that each gear requiring shot peening first be evaluated based on the general inhouse specification prior to placing shot peening callouts on a manufacturing drawing.

Confusion and some misunderstanding in properly specifying shot peening can cause difficulties in the manufacturing process. Concise in-house specifications covering considerations, coupled with accurate manufacturing drawing callouts can make the most of shot

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This part drawing of a gear provides a theoretical example of a suggested specification.

peening.

With the in-house specification addressing the particular needs of the manufacturing company's gearing requirements and the correct specification on the manufacturing drawing conveying this to the vendor, shot peening can be used to its fullest advantage. [HT]

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