

# Pneumatic non-contact topography characterization of finish-ground surfaces using multivariate projection methods

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## Abstract

This paper reports on the application of multivariate analysis methods for the non-contact topography assessment of finish-ground surfaces of roughness in the range of 0.1–0.8  $\mu\text{m Ra}$ . The roughness information is extracted from the frequency spectrum of the back pressure signal acquired using a pneumatic gauge as the surface traverses past the nozzle. Principal Components Analysis is demonstrated to be effective in the unsupervised classification of lapped and ground surfaces of an identical nominal roughness of 0.1  $\mu\text{m Ra}$ , even under conditions that the corresponding frequency spectra are contaminated with noise and affected by vibration. Projection to Latent Structures analyses are further shown to be capable of discriminating cylindrical ground surfaces based on along-the-lay measurements from a rotating component, and formulating multivariate regression models appropriate for process monitoring.

*Key words:* multivariate analysis, pneumatic gauging, roughness measurement, surface metrology

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## 1 Introduction

2 The roughness of a surface has a critical influence on its function and per-  
3 formance in numerous applications relating to such phenomena as friction,  
4 lubrication, reflectivity, corrosion and fatigue. At the present time, roughness  
5 is predominantly quantified using mechanical stylus or optical instruments  
6 that are well suited for measurements in a laboratory. They do not however  
7 lend themselves to in-situ or in-process application in the typical harsh con-  
8 fines of a manufacturing environment. In this context, recent research efforts

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9 have focused on the development of alternative systems for the assessment of  
10 surface roughness [1,2].

11 One such system entails the application of a pneumatic gauge that is widely  
12 used in industry for the measurement of fine displacement. The application  
13 of a pneumatic sensor for assessing surface roughness was motivated by the  
14 observation that the reliability of pneumatic displacement measurement de-  
15 teriorates significantly when the peak-to-valley height of the surface being  
16 gauged exceeds 3–5  $\mu\text{m}$  [3]. The first work in this regard appears to be due  
17 to Nicolau [4] who utilized an air jet to relate the roughness of a surface to  
18 the back pressure measured using a water manometer. Further developments  
19 can be attributed to Hamouda [5] who conceived a twin jet co-axial gauging  
20 system with a view to expanding the measurement range, and to Tanner [6]  
21 who designed a pneumatic analogue of the Wheatstone bridge. Wang and Hsu  
22 [7] reported a linear relationship between the average voltage output of the  
23 pneumatic gauge and the corresponding  $Ra$  value of the surface characterized  
24 using a stylus instrument.

25 The reports above refer to the pneumatic sensor in contact with the work-  
26 piece, and the roughness estimated with respect to the nominal value of the  
27 back pressure signal. There are drawbacks to these techniques as measure-  
28 ment repeatability is influenced by the contact force developed between the  
29 sensor and the surface, as well as the contact initiating chatter when mea-  
30 suring fine surfaces. Furthermore, the surface being measured is stationary,  
31 with the unfortunate implication that it cannot be applied in-process. Wool-  
32 ley [8] demonstrated the application of fine pneumatic jets for mapping the  
33 two-dimensional spatial profile of a surface in a non-contact manner, at a re-  
34 lative speed of  $\sim 0.8$  m/min and a stand-off distance of several  $\mu\text{m}$ ; the fidelity  
35 of the system was shown to deteriorate at higher relative traverse speeds.

36 Development of the pneumatic gauge for dynamic applications has been receiv-  
37 ing attention of late [9], such as for the in-process detection of surface porosity  
38 in machined castings [10]. A recent work [11] focused on adapting this tech-  
39 nology for non-contact roughness estimation by relating the frequency content  
40 of the back-pressure signal to the microgeometry of the surface moving lat-  
41 eral to the nozzle. In light of the air jet being impervious to the influence of  
42 cutting fluid and machining debris, the significant potential of the system for  
43 in-situ application in a machine tool environment was also demonstrated. The  
44 technique was further shown to be capable of rapid areal characterization of  
45 turned and milled surfaces with a roughness higher than  $\sim 0.8$   $\mu\text{m}$   $Ra$ ; in the  
46 case of finer surfaces, the noise in the pneumatic signal was noted to obscure  
47 the signatures that correspond to roughness.

48 Following up on this limitation, the research presented in this paper refers to  
49 the pneumatic characterization of finish-ground surfaces of roughness ranging

50 from 0.1 to 0.8  $\mu\text{m Ra}$ . The frequency content in the back pressure signal  
 51 is processed using multivariate projection methods [12] so as to identify and  
 52 isolate the features pertaining to the surface topography. This process en-  
 53 tails several steps including feature extraction and reduction, and calibration  
 54 followed by empirical model development. The applicability of the methods  
 55 for classification, discrimination and regression are demonstrated, as a step  
 56 towards integrating the pneumatic system into a manufacturing stream for  
 57 enabling real-time, in-process assessment. This is envisaged to facilitate 100%  
 58 inspection and/or adaptive process control, which would concurrently enhance  
 59 both manufacturing productivity and product quality.

## 60 2 Working principle

61 The operation of the roughness sensor (Fig. 1) involves the supply of com-  
 62 pressed air at constant pressure  $p_s$  through a control orifice O to the atmo-  
 63 sphere through a nozzle, past a variable pressure chamber C so as to impinge  
 64 on a work surface adjacent to it. A change in the stand-off distance  $x_i$  between  
 65 the nozzle tip and the work surface due to relative normal displacement be-  
 66 tween them alters the flow of air as it leaves the nozzle. This is reflected as  
 67 a highly sensitive change in the back pressure  $p_b$  measured using a sensitive  
 68 dynamic piezoelectric pressure transducer P. As the nozzle translates lateral  
 69 to the surface, the change in back pressure corresponds to the change in the  
 70 air escape area, which is determined by the surface topography. The escape  
 71 area is obtained by integrating the local distance from the nozzle tip to the  
 72 surface over the circumference of the nozzle. The effects of the nozzle geomet-  
 73 ric parameters and operating variables on the sensor characteristics can be  
 74 found in [11,13].

75 As indicated previously, for cut surfaces of a relatively coarse finish, frequency  
 76 decomposition of the back pressure signal alone was sufficient to characterize  
 77 the surfaces in terms of the amplitude of the dominant peak and the area under  
 78 the frequency plot (see Fig. 2). For the assessment of finish-ground surfaces,  
 79 the addition of an analysis module referring to multivariate projection methods  
 80 (Fig. 1) was required in order to handle issues with the pneumatic noise and the  
 81 effect of vibration. There have been attempts [14–17] at numerical modeling

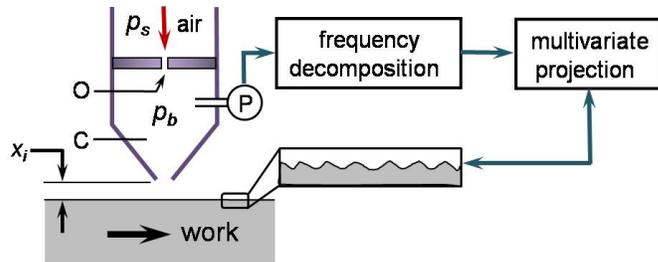


Fig. 1. *Pneumatic roughness assessment of ground surfaces.*

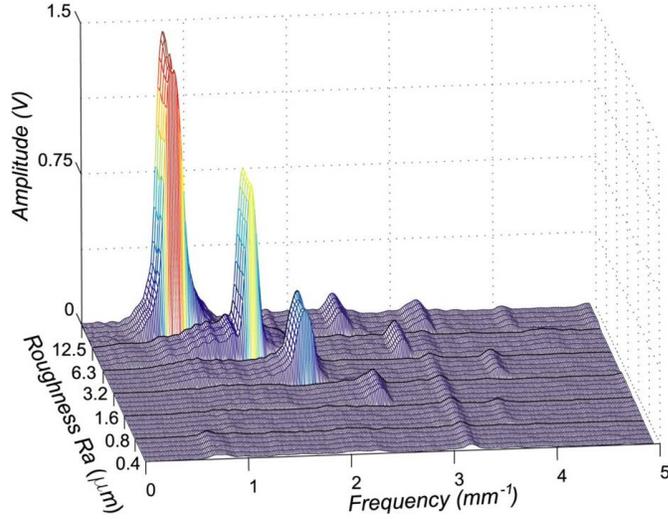


Fig. 2. Waterfall frequency plot of pneumatic signals from milled surfaces [11].

82 of the performance of pneumatic gauging systems, however these works do not  
 83 consider a surface moving lateral to the nozzle. Given the lack of a fundamental  
 84 physical model, it has been expedient to pursue an empirical approach in the  
 85 present work.

86 The advantages of such a pneumatic system are several. The hardware is sim-  
 87 ple, rugged and inexpensive, and is maintenance-free on account of there being  
 88 no moving parts. The sensor is also applicable to all work materials indepen-  
 89 dent of such characteristics as reflectivity, and is amenable to application in  
 90 confined spaces such as bore holes of a high aspect ratio that could otherwise  
 91 be inaccessible. In light of it being non-contact, the technique further circum-  
 92 vents problems arising from contact forces and friction, thereby facilitating  
 93 the assessment of moving surfaces, with potential for in-process application.

### 94 3 Experimental

95 The objective of the experimental work was to establish the proof of concept of  
 96 pneumatic non-contact roughness assessment of moving finish-ground surfaces.  
 97 To this end, the first set of experiments focussed on the capability of the  
 98 system to distinguish surfaces with the same numerical roughness but different  
 99 topographic attributes. For these tests, planar lapped and ground surfaces  
 100 of a nominal roughness of  $0.1 \mu\text{m } Ra$  were used, and measurements were  
 101 taken at a traverse speed of  $0.4 \text{ m/min}$ . Following this, experiments were  
 102 conducted in-situ on an external cylindrical grinding machine tool to collect  
 103 pneumatic samples from two plunge ground surfaces of roughness  $0.3$  and  
 104  $0.5 \mu\text{m } Ra$ , to test system performance when measurements are taken along  
 105 the lay. The peripheral linear speed of the workpiece of diameter  $58 \text{ mm}$  was  
 106  $1.5 \text{ m/min}$ , with the nozzle traversing along the workpiece axis at a feed rate

107 of 12.5 mm/min such that the measurement trace was practically along the  
 108 grinding lay. The last set of experiments were conducted to formulate and  
 109 evaluate a multivariate regression model suitable for process monitoring. This  
 110 model was created using across-the-lay measurements at a traverse speed of  
 111 0.4 m/min on flat surfaces of roughness in the range of 0.1–0.8  $\mu\text{m } Ra$ , which  
 112 were generated in a surface grinding operation.

113 In all experiments, the pneumatic traces corresponded to a length of at least  
 114 10 mm, and several samples were collected to capture the variability in the sur-  
 115 face. Experiments involving flat surfaces were conducted on a die sinker with  
 116 the sensor mounted on the ram of the machine tool. Back pressure measure-  
 117 ments entailed a dynamic piezoelectric pressure transducer (Model 112A22,  
 118 PCB Piezotronics) with a rise time of less than 2  $\mu\text{s}$ , and a low frequency  
 119 response and a resonant frequency of 0.5 Hz and 250 kHz, respectively. All  
 120 experiments corresponded to nozzle and control orifice diameters of 1.5 and  
 121 0.5 mm, respectively, and a supply pressure  $p_s$  of 138 kPa. A stand-off dis-  
 122 tance  $x_i = 25 \mu\text{m}$  was chosen in consideration of the requirements referring  
 123 to a non-contact application and sensor sensitivity [11,13]. The precision ma-  
 124 chine tools on which the experiments were conducted allowed the control of  
 125  $x_i$  with a resolution of 0.1  $\mu\text{m}$ . The volume of the variable pressure chamber  
 126 in the pneumatic sensor was  $\sim 300 \text{ mm}^3$ .

#### 127 4 Assessment of ground surfaces

128 The difficulty with the application of the pneumatic sensor for assessing fine  
 129 ground surfaces is the significant variability in the signal that is corrupted with  
 130 noise. This is in contrast to the relatively repeatable and noise-free spectra  
 131 (Fig. 2) corresponding to cut surfaces of a higher roughness. Fig. 3 shows the

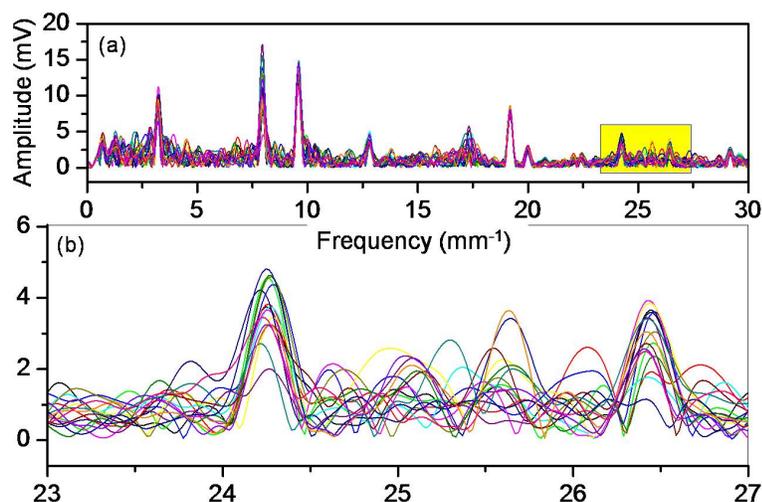


Fig. 3. (a) Frequency plot showing 15 superimposed pneumatic signals corresponding to a flat ground surface of roughness 0.1  $\mu\text{m } Ra$ ; (b) shows detail of inset in (a).

132 frequency spectra from 15 back pressure signals corresponding to a ground  
 133 surface of roughness  $0.1 \mu\text{m } Ra$ , with the inset showing the detail to exemplify  
 134 the variability and noise. Furthermore, a comparison of a typical back pressure  
 135 frequency spectrum with that of the signal from an accelerometer mounted  
 136 on the moving table on which the roughness artefact was mounted, revealed a  
 137 correspondence between several of the peaks in the pneumatic and acceleration  
 138 signals (Fig. 4). This indicated that the pneumatic measurements are prone  
 139 to be affected by vibration, particularly when measuring fine surfaces.

140 To address the issues above, the present work invoked two data-driven multi-  
 141 variate projection methods: (i) Principal Components Analysis (PCA) for the  
 142 purpose of dimensionality reduction and classification, and (ii) Projection to  
 143 Latent Structures (PLS) for discrimination, and the formulation of a regres-  
 144 sion model. These analysis techniques have found wide ranging applications  
 145 [18,19] in chemical process industries since long; however, their application in  
 146 mechanical manufacturing research has been relatively recent and few [20–22],  
 147 despite their significant potential. Elements of these methods are presented in  
 148 this paper with reference to their applications in the specific context of pneu-  
 149 matic roughness assessment of ground surfaces.

#### 150 4.1 Classification of lapped and ground surfaces

151 Fig. 5 shows the frequency spectra from 15 back pressure signals corresponding  
 152 to a lapped surface of roughness  $0.1 \mu\text{m } Ra$ . Inspection of this data juxtaposed  
 153 to that in Fig. 3 depicting data pertaining to a ground surface of the same  
 154 roughness (in terms of the  $Ra$  parameter) makes it clear that the variability  
 155 and the noise render it rather difficult to distinguish between them. PCA which  
 156 is capable of dealing with large and noisy data sets with significant variability

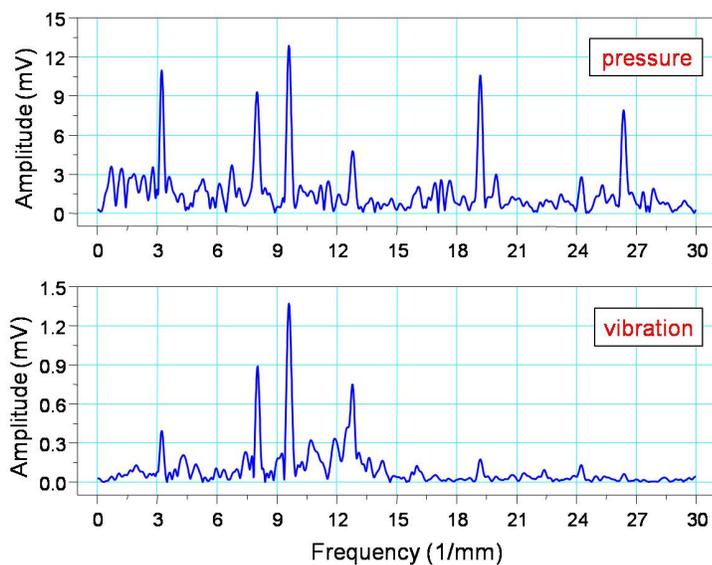


Fig. 4. Correspondence between pressure and vibration spectra.

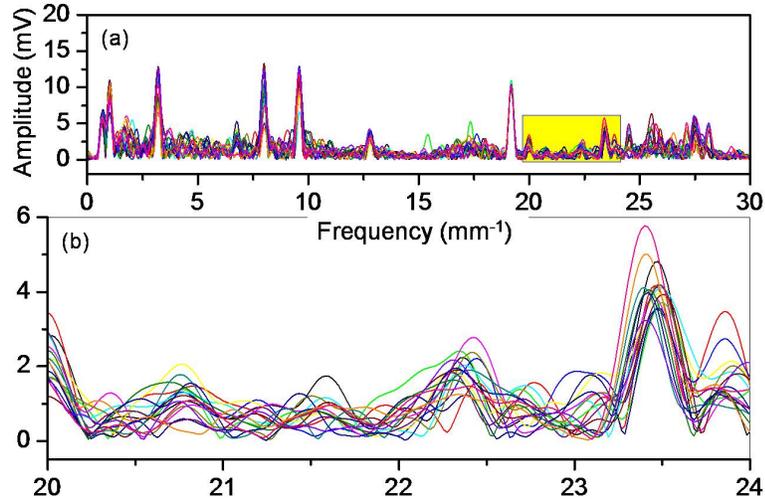


Fig. 5. (a) Frequency plot showing 15 superimposed pneumatic signals corresponding to a flat lapped surface of roughness  $0.1 \mu\text{m Ra}$ ; (b) shows detail of inset in (a).

157 was therefore used to analyse this data towards an attempt at unsupervised  
 158 classification. This analysis technique, as will be evident shortly, is capable of  
 159 identifying patterns by appropriately filtering and highlighting the pertinent  
 160 information in signals contaminated with noise.

161 The central idea in PCA is that the dimensionality of a  $(N \times K)$  data matrix  
 162  $\mathbf{X}$  representing  $N$  observations and  $K$  variables can be reduced significantly  
 163 by projecting it on to a lower dimensional geometric entity (such as a line or  
 164 plane) to reveal clusters, trends and outliers in the data. In this work, the ob-  
 165 servations refer to several back pressure samples corresponding to ground and  
 166 lapped surfaces, and the variables are the amplitudes of the back pressure sig-  
 167 nals at discrete frequencies, obtained numerically by a Fourier transformation  
 168 (as seen in Figs. 3 and 5).

169 Geometrically,  $\mathbf{X}$  represents a swarm of  $N$  data points in  $K$ -dimensional space;  
 170 however, only 3 variables  $X_1$ ,  $X_2$  and  $X_3$  are considered in the following in  
 171 order to facilitate a graphical approach to explaining the essential concepts  
 172 (readers are referred to [12] for a lucid presentation of the details). The  $N$   
 173 observations can be visualized in this three-dimensional space as a cloud of  $N$   
 174 points as shown in Fig. 6. The data is mean-centered, and therefore the origin  
 175 of the coordinate system shown refers to the average value in the data. The  
 176 data is further scaled to correspond to unit variance so as to normalize any  
 177 differences in the numerical range of the variables.

178 The fundamental premise in PCA is that the information in  $\mathbf{X}$  can be cap-  
 179 tured in a small number of independent latent variables known as principal  
 180 components. The first principal component  $\mathbf{t}_1$  (see Fig. 6) is a line that passes  
 181 through the origin that best approximates the data swarm in the least squares

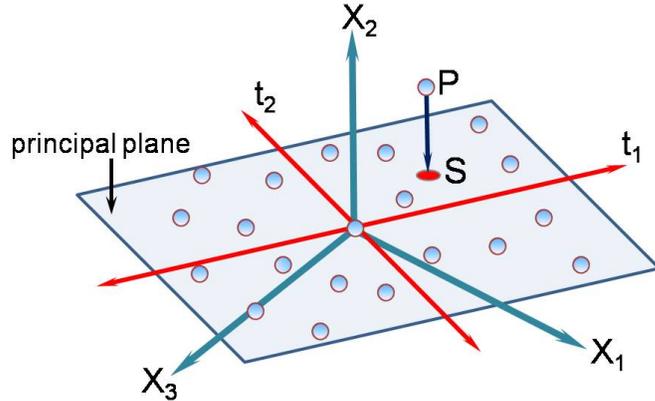


Fig. 6. *Concept of principal components.*

182 sense such that it corresponds to the maximum variation in the data. The  
 183 second principal component  $\mathbf{t}_2$  is orthogonal to the first, passes through the  
 184 origin and corresponds to the next largest variation in the data, which is not  
 185 captured by the first component. As variations in data are generally driven  
 186 by underlying phenomena, and principal components correspond directions  
 187 of maximum variance, they can be expected to reveal such phenomena that  
 188 otherwise remain concealed in the data.

189 The two principal components define a plane in the  $\mathbf{X}$ -space known as the  
 190 principal plane on to which each of the points in the data swarm can be  
 191 projected (for example, observation P is projected to point S located on the  
 192 principal plane in Fig. 6). The information in  $\mathbf{X}$  is thus summarized in terms of  
 193 uncorrelated principal components that are a lower-dimensional representation  
 194 of the original measured variables. This concept can be extended to higher  
 195 dimensions with more than just two principal components.

196 As the principal components are orthogonal to each other, each component  
 197 offers new insight into the data. Further components could be added until the  
 198 enhancement in the predictive ability of the model by the addition of another  
 199 component is deemed insignificant, as evaluated by a technique known as cross-  
 200 validation [12]. This entails the separation of the entire data set into several  
 201 subgroups such that models can be formulated using the data devoid of one  
 202 such group to predict and compare the data in the group not considered. This  
 203 is repeated iteratively as many times as the number of groups to obtain an  
 204 overall measure of the predictive capability of the model.

205 The direction of the principal components  $\mathbf{t}_i$  with respect to the original co-  
 206 ordinate system is specified by the loading vectors  $\mathbf{p}_i$ . In PCA, the  $\mathbf{X}$ -data is  
 207 decomposed as

$$208 \quad \mathbf{X} = \mathbf{TP}^T + \mathbf{E} \quad (1)$$

209 where  $\mathbf{T}$  and  $\mathbf{P}$  comprise the score (coordinates of observations projected on  
 210 to the principal plane) and loading vectors, and  $\mathbf{E}$  refers to the residuals.  $\mathbf{T}$   
 211 and  $\mathbf{P}^T$  are of dimensions  $(N \times A)$  and  $(A \times K)$ , respectively, where  $A$  is  
 212 the number of principal components considered. The scores are obtained by  
 213 a linear combination of the observed values in  $\mathbf{X}$  and the loading vector. For  
 214 instance, the first score for observation  $i$  is calculated as

$$215 \quad t_{i1} = \mathbf{x}_i^T \mathbf{p}_1 \quad (2)$$

216 The loadings and the scores are computed recursively using the Nonlinear  
 217 Iterative Partial Least Squares (NIPALS) algorithm, details of which can be  
 218 found in [12].

219 In the present analysis, the frequency spectrum of the entire back pressure data  
 220 is considered as  $\mathbf{X}$ . The number of observations is  $N = 30$  with 15 samples  
 221 each for ground and lapped surfaces. The number of variables  $K = 1600$   
 222 represent the spectrum digitized in  $K$  frequencies in the range of 0 to 30  $\text{mm}^{-1}$ ,  
 223 indicating that  $\mathbf{X}$  is indeed a fairly large multi-dimensional data set.

224 The principal plane constitutes a lower-dimensional window that offers a useful  
 225 perspective into the topography of the surface that is otherwise latent in the  
 226 pneumatic signal. In this case, the first two principal components explained  
 227  $\sim 80\%$  of the variation in the data, and hence the 1600-dimensional roughness  
 228 information in the frequency plot of the pneumatic signal could be reduced to  
 229 a single point in the two-dimensional score plot (Fig. 7). Eqn. 2 implies that  
 230 similar observations in the  $\mathbf{X}$ -space would cluster together in the score plot.  
 231 This is indeed the case in Fig. 7 wherein a distinct clustering of the ground and  
 232 lapped surfaces could be realized, despite the corresponding frequency spectra  
 233 (Figs. 3 and 5) being contaminated with noise and affected by vibration.

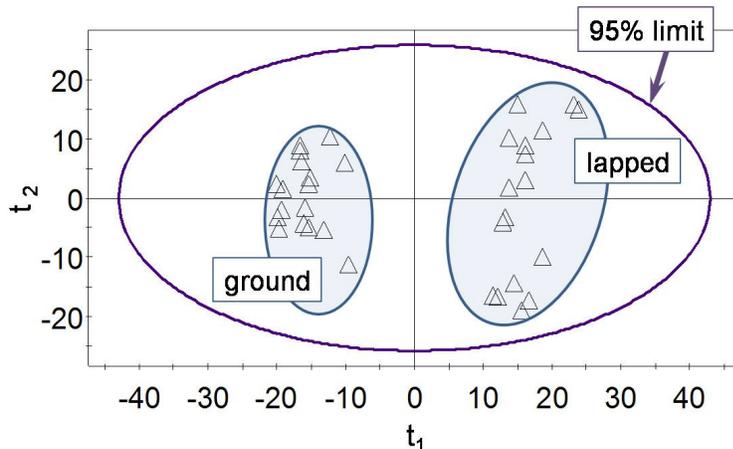


Fig. 7. Score plot for ground and lapped surfaces of the same nominal roughness (frequency range of pneumatic signal: 0 to 30  $\text{mm}^{-1}$ ).

234 The ellipse in Fig. 7 represents the 95% confidence limit for the Hotelling's  $T^2$   
 235 statistic which is a measure of the distance of an observation from the origin  
 236 in the principal plane evaluated as

$$237 \quad T^2 = \frac{t_1^2}{s_1^2} + \frac{t_2^2}{s_2^2} \quad (3)$$

238 where  $s_i^2$  is the estimated variance of  $t_i$ . Observations outside of the ellipse  
 239 deviate from normality and would be considered outliers. In this case, all  
 240 observations are bounded by the confidence limit in the model plane.

241 In the generation of the score plot in Fig. 7, the frequency spectra considered  
 242 corresponded to a frequency range of 0 to 30  $\text{mm}^{-1}$ , which includes both  
 243 roughness and waviness components. In fact, an inspection of the lower end of  
 244 the frequency spectrum in Figs. 3 and 5 point to a difference in the waviness  
 245 between the ground and lapped surfaces. To filter the waviness component,  
 246 PCA was repeated by omitting the contribution from the low frequency signals  
 247 (less than 1.25  $\text{mm}^{-1}$  that corresponds to a wavelength of 0.8 mm, which is the  
 248 standard value [2] for a surface of roughness of 0.1  $\mu\text{m } Ra$ ). The corresponding  
 249 score plot seen in Fig. 8 shows that the relative position of the two clusters are  
 250 now different from Fig. 7, and that the ground and lapped surfaces are again  
 251 well differentiated. To further test the capability of the model in classifying  
 252 lapped and ground surfaces, back pressure signals that were not used in the  
 253 creation of the model were input as a prediction set. The filled symbols shown  
 254 in Fig. 8 refer to these data, which demonstrates that the model is indeed  
 255 effective in unambiguous and unsupervised classification of new observations  
 256 with reference to the frequency information in the pneumatic signal.

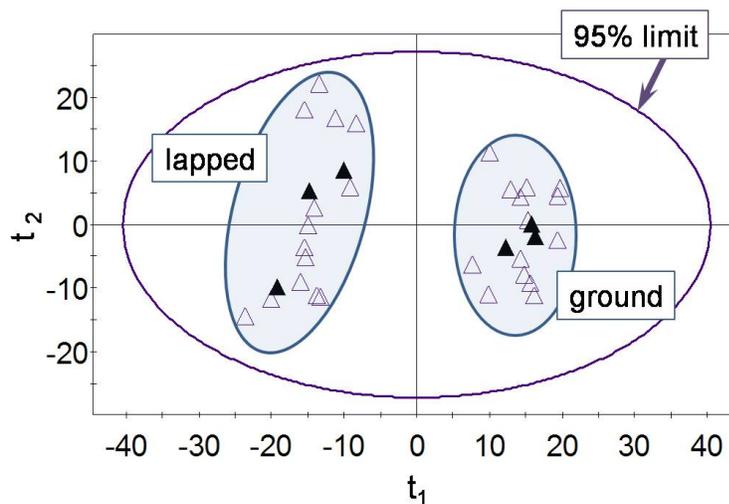


Fig. 8. Score plot for ground and lapped surfaces of the same nominal roughness (frequency range: 1.25 to 30  $\text{mm}^{-1}$ ); filled symbols indicate test data.

257 An application of the concept developed above with significant practical impli-  
 258 cation in the automotive industry refers to the problem with residual tool feed  
 259 marks in finished engine cylinder bores. This is a consequence of a non-uniform  
 260 and/or incomplete finish honing process that follows the boring operation. The  
 261 capability of distinguishing between even lapped and finish-ground surfaces of  
 262 the same numerical roughness attests to the potential of a pneumatic sensor  
 263 for the in-line inspection of cylinder bores towards detecting such defects.

#### 264 4.2 Discrimination of cylindrical ground surfaces

265 An issue with the in-process assessment of cylindrical ground surfaces is the  
 266 need to halt the rotation of the component, as roughness measurements are  
 267 realized across the grinding lay. It is hence of interest to investigate if cylin-  
 268 drical ground surfaces can be distinguished from pneumatic measurements  
 269 on a rotating component, with the nozzle traversing a path almost along the  
 270 grinding lay (as shown schematically in Fig. 9).

271 The score plot from the application of PCA on data relating to two cylindrical  
 272 ground surfaces of a nominal roughness of 0.3 and 0.5  $\mu\text{m Ra}$  (as measured  
 273 across the lay with a stylus instrument) is shown in Fig. 9. Although the  
 274 surfaces can be seen to have been somewhat differentiated, the separation  
 275 between the clusters is not as defined as that between the ground and lapped  
 276 surfaces in Figs. 7 and 8. The plot also exhibits a few outliers, which is not  
 277 uncommon as the Hotelling's  $T^2$  ellipse refers to the 95% limits. As PCA  
 278 was inadequate, a technique known as Discriminant Analysis by Projection to  
 279 Latent Structures (PLS-DA) was used to identify a discriminant plane that  
 280 can exhibit better separation. In PLS-DA class membership information is  
 281 explicitly incorporated into the model for supervised classification.

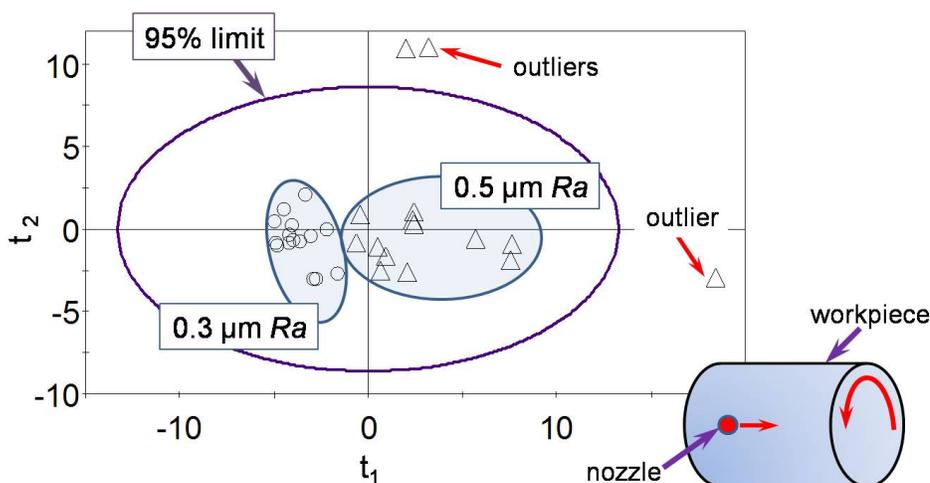


Fig. 9. Score plot for along-the-lay pneumatic measurements on cylindrical ground surfaces of roughness 0.3 and 0.5  $\mu\text{m Ra}$ .

282 PLS, which can be considered a linear regression extension of PCA, is first  
 283 explained in the following to lead into PLS-DA. Regression application of  
 284 PLS is presented in the next section. In contrast to PCA that involves just  
 285 the  $\mathbf{X}$  data, PLS involves an additional matrix  $\mathbf{Y}$  of dimensions  $(N \times M)$   
 286 corresponding to  $M$  responses. Principal components in PCA correspond to  
 287 the directions of maximum variation in the multivariate space, however these  
 288 need not necessarily bring about the best separation among different classes  
 289 in the data. In PLS, the first principal component  $\mathbf{t}_1$  in  $\mathbf{X}$ -space and  $\mathbf{u}_1$  in  
 290  $\mathbf{Y}$ -space are hence constructed (see Fig. 10) so as to: (i) explain the maximum  
 291 variance in  $\mathbf{X}$  and  $\mathbf{Y}$ , and (ii) to maximize the correlation between scores  $t_1$   
 292 and  $u_1$ . Successive components further improve the approximations and the  
 293 correlation, but with diminishing returns, and hence the increase in the spread  
 294 in the data in the  $t_2$ - $u_2$  plot as compared to the  $t_1$ - $u_1$  plot (Fig. 10).

295 In PLS-DA, a model is developed to separate classes of observations by en-  
 296 coding a dummy  $\mathbf{Y}$ -matrix with as many columns as there are classes such  
 297 that the column  $g$  is one for observations corresponding to class  $g$ , and zero  
 298 for all others [12]. A PLS-DA model fit for  $\mathbf{X}$  and  $\mathbf{Y}$  would hence tend to  
 299 separate the observations based on their respective class membership, as the  
 300 information encoded in  $\mathbf{Y}$  is orthogonal by design. Such an analysis can be  
 301 seen to have improved the discrimination of the cylindrical ground surfaces  
 302 (Fig. 11) as compared to PCA (Fig. 9).

303 A unique and notable feature of multivariate models is that a new observation  
 304 can be checked for its consistency with the already available  $\mathbf{X}$ -model, before  
 305 a classification is attempted. To test this feature, signals from pneumatic mea-  
 306 surements taken across the lay (with a stationary workpiece) on a cylindrical  
 307 surface of roughness  $0.3 \mu\text{m } Ra$  were assessed using the PLS-DA model pre-  
 308 sented in Fig. 11 for along-the-lay measurements. The resulting score plot in

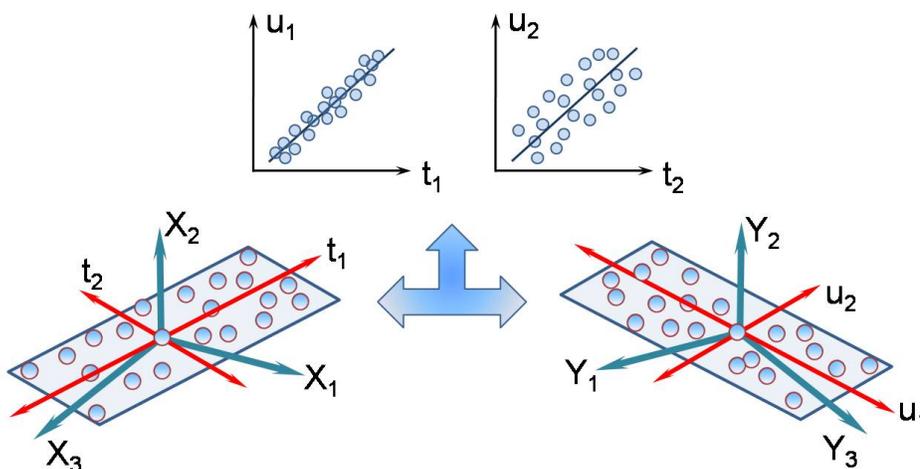


Fig. 10. *Concept of Projection to Latent Structures (PLS).*

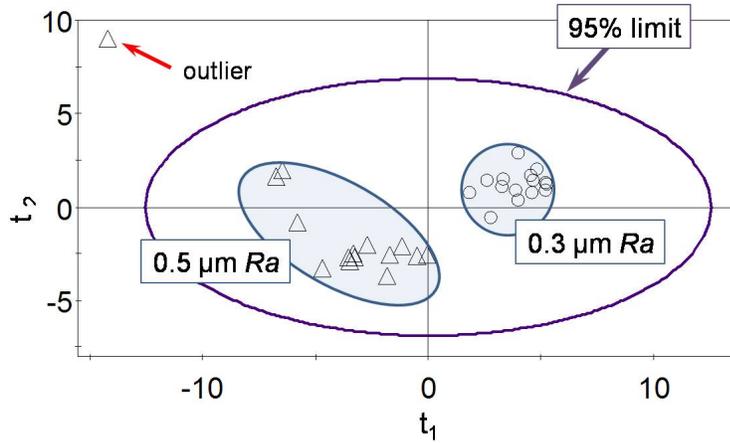


Fig. 11. Score plot referring to partial least squares discriminant analysis (PLS-DA) of along-the-lay pneumatic measurements on cylindrical ground surfaces.

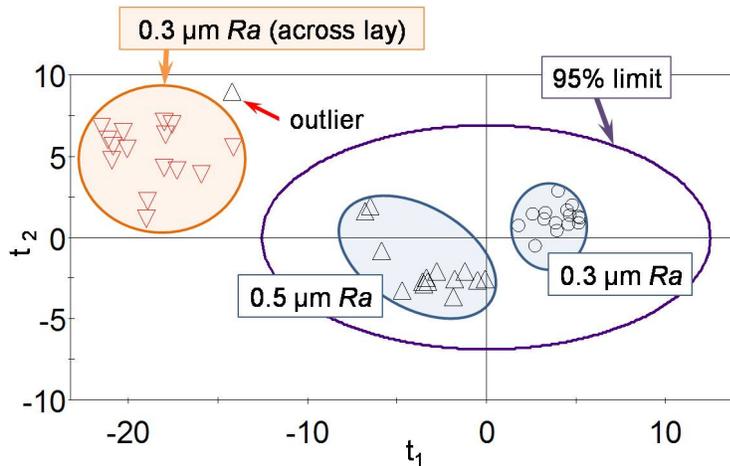


Fig. 12. Score plot of data corresponding to across-the-lay measurements on a surface of roughness  $0.3 \mu\text{m Ra}$  not included in the PLS-DA model shown in Fig. 11.

309 Fig. 12 shows that across-the-lay observations cluster in the model plane, but  
 310 fall well outside the 95% ellipse, signifying their lack of conformance to the  
 311 model, as is to be expected.

312 In addition to assessing new observations before classification with respect to  
 313 their projections on the principal plane as above, they can also be appraised  
 314 in terms of the corresponding normalized distances to the principal plane (e.g.  
 315 distance PS in Fig. 6) in the  $\mathbf{X}$ -space, as shown in Fig. 13. It is amply evident  
 316 that the observations corresponding to across-the-lay measurements exceed  
 317 the critical distance appreciably (referring to 5% probability) in respect of  
 318 the original model based on measurements taken along the lay. Such means  
 319 to assess data consistency towards identifying anomalous signals enhances  
 320 the robustness of multivariate methods in comparison to techniques such as  
 321 neural networks. This aspect is of critical importance in process monitoring

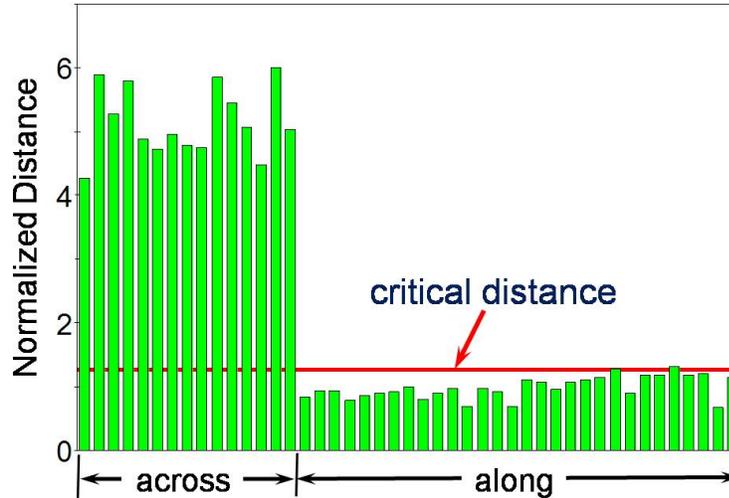


Fig. 13. Normalized distance to model plane plot for measurements along and across the lay.

322 applications.

### 323 4.3 Characterization of flat ground surfaces

324 This section refers to the application of PLS to relate the relevant features  
 325 of the pneumatic back-pressure signal to the roughness of ground surfaces in  
 326 the range of 0.1–0.8  $\mu\text{m } Ra$ . This technique models the correlation structure  
 327 in the data, and on calibration is useful for purposes of monitoring as long as  
 328 this correlation structure is maintained. As shown in the previous section, the  
 329 conformance of a new observation in terms of this correlation structure can  
 330 be ascertained to ensure that the system performance is robust. For a single  
 331 roughness parameter such as  $Ra$ , the  $\mathbf{Y}$ -matrix reduces to a vector comprising  
 332 the roughness values, as opposed to the dummy matrix used for Discriminant  
 333 Analysis (Sec. 4.2).

334 PLS regression is preferred over multiple linear regression (MLR) in light of  
 335 the fact that the data is likely collinear when a large number of variables are  
 336 involved, such as in this work. MLR is applicable only when  $\mathbf{Y}$  is a vector  
 337 and  $\mathbf{X}$  is of full rank with at least  $(K + 1)$  observations, which is not trivial  
 338 when it comes to multivariate calibration problems. PLS is well suited for the  
 339 analysis and calibration of data wherein the number of variables far exceeds the  
 340 number of observations. It can further deal with collinear data as the regression  
 341 is realized in terms of the latent variables that are orthogonal and hence  
 342 independent of each other. The correlation between  $\mathbf{X}$  and  $\mathbf{Y}$  has also been  
 343 explicitly considered when extracting the principal components. Although not  
 344 relevant to this application, PLS is also tolerant to moderate levels (on the  
 345 order of 10 to 20%) of missing data provided the data loss is not systematic  
 346 [12].

347 On having formulated a PLS regression model, a new observation is first exam-  
 348 ined for the consistency of its structure with respect to the already conceived  
 349  $\mathbf{X}$ -model in terms of the Hotelling's  $T^2$  and Distance to Model Plane param-  
 350 eters described in the previous section. Following this, the relationship between  
 351  $\mathbf{t}$  and  $\mathbf{u}$  is used (see Fig. 10) to compute the  $\mathbf{u}$  vector for this observation,  
 352 which in turn can be used to make a prediction in the  $\mathbf{Y}$  space.

353 Fig. 14 shows a comparison of the actual and predicted roughness values,  
 354 which reinforces the applicability of the PLS regression model for process  
 355 monitoring through appropriate multivariate calibration. The plot shows some  
 356 overlap at the lower end of roughness, between surfaces of roughness 0.1 and  
 357 0.2  $\mu\text{m Ra}$ . Model performance can be further improved by restricting the  
 358 range of roughness values considered (Fig. 15).

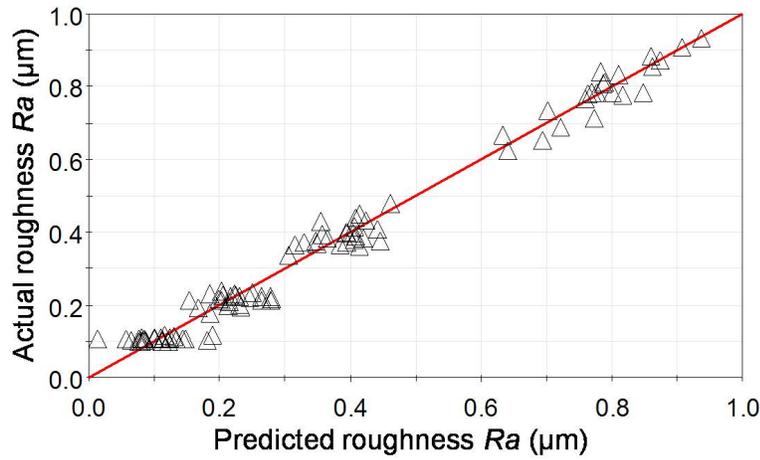


Fig. 14. Predicted and actual roughness values of ground surfaces in the range of 0.1 to 0.8  $\mu\text{m Ra}$ .

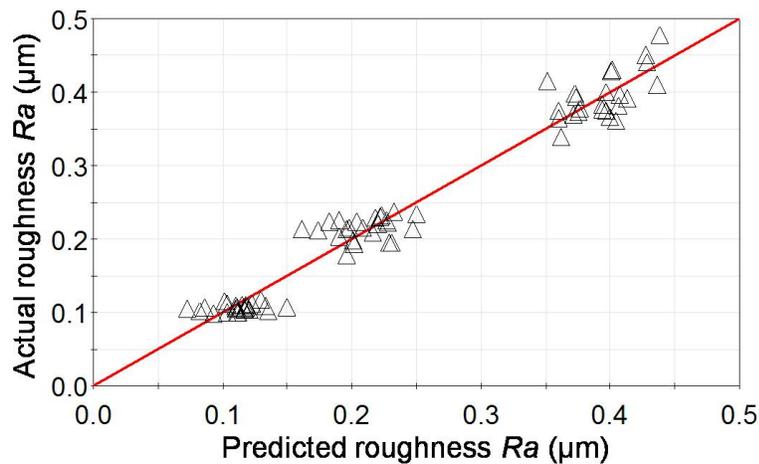


Fig. 15. Predicted and actual roughness values of ground surfaces in the range of 0.1 to 0.4  $\mu\text{m Ra}$ .

## 359 5 Conclusions

360 The feasibility of applying multivariate techniques such as PCA and PLS for  
361 the non-contact pneumatic characterization of moving finish-ground surfaces  
362 has been demonstrated. Through the application of PCA, it has been possible  
363 to distinguish between ground and lapped surfaces of an identical roughness  
364 of  $0.1 \mu\text{m } Ra$  in an unsupervised manner. PLS-DA was shown to discrim-  
365 inate between cylindrical ground surfaces of roughness  $0.3$  and  $0.5 \mu\text{m } Ra$   
366 based on pneumatic measurement traces taken practically along the lay, which  
367 demonstrates the potential for its in-process application in cylindrical grind-  
368 ing machine tools. In both cases above, model performance was evaluated  
369 and ascertained in terms of classification and prediction by using test samples  
370 that were not included in the formulation of the model. The application of a  
371 PLS regression model for ground surfaces of roughness in the range of  $0.1$  to  
372  $0.8 \mu\text{m } Ra$  has also been demonstrated.

373 In consideration of the enabling aspects of the technology, and the volume  
374 and range of the manufactured products with roughness specifications, the  
375 potential of the system for in-situ or in-process monitoring cannot be overem-  
376 phasized. Further related work will focus on engineering the pneumatic sensor  
377 for enhanced performance, and gaining a fundamental understanding of the  
378 roughness information in the back pressure signal by means of computational  
379 fluid dynamics modeling.

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