

国外电子信息精品著作(影印版)

表面形貌的光学测量

Optical Measurement of Surface Topography

Richard Leach



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内 容 简 介

本书介绍了表面形貌测量领域中一系列国际标准规范。复杂的准则都是基于新的测量技术而产生的。目前有很多用来测量表面形貌新的光学技术,每种方法都有其优点以及局限性。本书既适用于业界及学术研究领域的工程人员,也适用于相关领域的研究生及高年级本科生。

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Optical Measurement of Surface Topography

By Richard Leach

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《国外电子信息精品著作》序

20 世纪 90 年代以来,信息科学技术成为世界经济的中坚力量。随着经济全球化的进一步发展,以微电子、计算机、通信和网络技术为代表的信息技术,成为人类社会进步过程中发展最快、渗透性最强、应用面最广的关键技术。信息技术的发展带动了微电子、计算机、通信、网络、超导等产业的发展,促进了生命科学、新材料、能源、航空航天等高新技术产业的成长。信息产业的发展水平不仅是社会物质生产、文化进步的基本要素和必备条件,也是衡量一个国家的综合国力、国际竞争力和发展水平的重要标志。在中国,信息产业在国民经济发展中占有举足轻重的地位,成为国民经济重要支柱产业。然而,中国的信息科学技术发展的力度不够,信息技术还处于比较落后的水平,因此,快速发展信息科学技术成为我国迫在眉睫的大事。

要使我国的信息技术更好地发展起来,需要科学工作者和工程技术人员付出艰辛的努力。此外,我们要从客观上为科学工作者和工程技术人员创造更有利于发展的环境,加强对信息技术的支持与投资力度,其中也包括与信息技术相关的图书出版工作。

从出版的角度考虑,除了较好较快地出版具有自主知识产权的成果外,引进国外的优秀出版物是大有裨益的。洋为中用,将国外的优秀著作引进到国内,促进最新的科技成就迅速转化为我们自己的智力成果,无疑是值得高度重视的。科学出版社引进一批国外知名出版社的优秀著作,使我国从事信息技术的广大科学工作者和工程技术人员能以较低的价格购买,对于推动我国信息技术领域的科研与教学是十分有益的事。

此次科学出版社在广泛征求专家意见的基础上,经过反复论证、仔细遴选,共引进了接近 30 本外版书,大体上可以分为两类,第一类是基础理论著作,第二类是工程应用方面的著作。所有的著作都涉及信息领域的最新成果,大多数是 2005 年后出版的,力求"层次高、内容新、参考性强"。在内容和形式上都体现

了科学出版社一贯奉行的严谨作风。

当然，这批书只能涵盖信息科学技术的一部分，所以这项工作还应该继续下去。对于一些读者面较广、观点新颖、国内缺乏的好书还应该翻译成中文出版，这有利于知识更好更快地传播。同时，我也希望广大读者提出好的建议，以改进和完善丛书的出版工作。

总之，我对科学出版社引进外版书这一举措表示热烈的支持，并盼望这一工作取得更大的成绩。



中国科学院院士

中国工程院院士

2006年12月

Contents

1	Introduction to Surface Texture Measurement	1
	<i>Richard Leach</i>	
1.1	Surface Texture Measurement.....	1
1.2	Surface Profile and Areal Measurement.....	2
1.3	Areal Surface Texture Measurement	2
1.4	Surface Texture Standards and GPS.....	3
1.4.1	Profile Standards	3
1.4.2	Areal Specification Standards.....	4
1.5	Instrument Types in the ISO 25178 Series.....	5
1.5.1	The Stylus Instrument.....	7
1.5.2	Scanning Probe Microscopes.....	8
1.5.3	Scanning Electron Microscopes	9
1.5.4	Optical Instrument Types	9
1.6	Considerations When Choosing a Method	10
	Acknowledgements	11
	References	11
2	Some Common Terms and Definitions.....	15
	<i>Richard Leach</i>	
2.1	Introduction	15
2.2	The Principal Aberrations.....	15
2.3	Objective Lenses.....	17
2.4	Magnification and Numerical Aperture	18
2.5	Spatial Resolution.....	19
2.6	Optical Spot Size	20
2.7	Field of View	21
2.8	Depth of Field and Depth of Focus.....	21
2.9	Interference Objectives	22
	Acknowledgements	22
	References	22
3	Limitations of Optical 3D Sensors	23
	<i>Gerd Häusler, Svenja Ettl</i>	
3.1	Introduction: What Is This Chapter About?	23
3.2	The Canonical Sensor.....	24

3.3	Optically Rough and Smooth Surfaces	25
3.4	Type I Sensors: Triangulation	27
3.5	Type II and Type III Sensors: Interferometry	33
3.6	Type IV Sensors: Deflectometry	38
3.7	Only Four Sensor Principles?	42
3.8	Conclusion and Open Questions	43
	References	45
4	Calibration of Optical Surface Topography Measuring Instruments	49
	<i>Richard Leach, Claudiu Giusca</i>	
4.1	Introduction to Calibration and Traceability	49
4.2	Calibration of Surface Topography Measuring Instruments	50
4.3	Can an Optical Instrument Be Calibrated?	51
4.4	Types of Material Measure	52
4.5	Calibration of Instrument Scales	54
4.5.1	Noise	56
4.5.2	Residual Flatness	58
4.5.3	Amplification, Linearity and Squareness of the Scales	59
4.5.4	Resolution	63
4.6	Relationship between the Calibration, Adjustment and Measurement Uncertainty	66
4.7	Summary	67
	Acknowledgements	68
	References	69
5	Chromatic Confocal Microscopy	71
	<i>François Blateyron</i>	
5.1	Basic Theory	71
5.1.1	Confocal Setting	72
5.1.2	Axial Chromatic Dispersion	73
5.1.3	Spectral Decoding	75
5.1.4	Height Detection	76
5.1.5	Metrological Characteristics	77
5.1.5.1	Spot Size	77
5.2	Instrumentation	78
5.2.1	Lateral Scanning Configurations	78
5.2.1.1	Profile Measurement	78
5.2.1.2	Areal Measurement	80
5.2.2	Optoelectronic Controller	81
5.2.3	Optical Head	83
5.2.4	Light Source	84
5.2.5	Chromatic Objective	85
5.2.6	Spectrometer	86
5.2.7	Optical Fibre Cord	87

5.3	Instrument Use and Good Practice	87
5.3.1	Calibration	87
5.3.1.1	Calibration of Dark Level	87
5.3.1.2	Linearisation of the Response Curve	88
5.3.1.3	Calibration of the Height Amplification Coefficient	90
5.3.1.4	Calibration of the Lateral Amplification Coefficient	90
5.3.1.5	Calibration of the Hysteresis in Bi-directional Measurement	90
5.3.2	Preparation for Measurement	91
5.3.3	Pre-processing	91
5.4	Limitations of the Technique	91
5.4.1	Local Slopes	91
5.4.2	Scanning Speed	94
5.4.3	Light Intensity	94
5.4.4	Non-measured Points	94
5.4.5	Outliers	95
5.4.6	Interference	96
5.4.7	Ghost Foci	96
5.5	Extensions of the Basic Principles	97
5.5.1	Thickness Measurement	97
5.5.2	Line and Field Sensors	99
5.5.3	Absolute Reference	99
5.6	Case Studies	100
	Acknowledgements	105
	References	105
6	Point Autofocus Instruments	107
	<i>Katsuhiro Miura, Atsuko Nose</i>	
6.1	Basic Theory	107
6.2	Instrumentation	112
6.3	Instrument Use and Good Practice	114
6.3.1	Comparison with Roughness Material Measures	114
6.3.2	Three-Dimensional Measurement of Grinding Wheel Surface Topography	117
6.4	Limitations of PAI	118
6.4.1	Lateral Resolution	118
6.4.2	Vertical Resolution	119
6.4.3	The Maximum Acceptable Local Surface Slope	120
6.5	Extensions of the Basic Principles	122
6.6	Case Studies	126
6.7	Conclusion	128
	References	128
7	Focus Variation Instruments	131
	<i>Franz Helmli</i>	
7.1	Introduction	131

7.2	Basic Theory.....	131
7.2.1	How Does It Work?.....	131
7.2.2	Acquisition of Image Data.....	133
7.2.3	Measurement of 3D Information	133
7.2.4	Post-processing.....	137
7.2.5	Handling of Invalid Points.....	139
7.3	Difference to Other Techniques.....	139
7.3.1	Difference to Imaging Confocal Microscopy	140
7.3.2	Difference to Point Auto Focusing Techniques.....	140
7.4	Instrumentation.....	140
7.4.1	Optical System.....	141
7.4.2	CCD Sensor	141
7.4.3	Light Source	142
7.4.4	Microscope Objective.....	144
7.4.5	Driving Unit.....	144
7.4.6	Practical Instrument Realisation	145
7.5	Instrument Use and Good Practice	148
7.6	Limitations of the Technology	153
7.6.1	Translucent Materials	153
7.6.2	Measurable Surfaces.....	153
7.7	Extensions of the Basic Principles.....	154
7.7.1	Repeatability Information.....	154
7.7.2	High Radiometric Data Acquisition	155
7.7.3	2D Alignment	156
7.7.4	3D Alignment	157
7.8	Case Studies	160
7.8.1	Surface Texture Measurement of Worn Metal Parts	160
7.8.2	Form Measurement of Complex Tap Parameters	162
7.9	Conclusion.....	166
	Acknowledgements	166
	References	166
8	Phase Shifting Interferometry	167
	<i>Peter de Groot</i>	
8.1	Concept and Overview	167
8.2	Principles of Surface Measurement Interferometry	168
8.3	Phase Shifting Method.....	171
8.4	Phase Unwrapping.....	173
8.5	Phase Shifting Error Analysis.....	174
8.6	Interferometer Design.....	175
8.7	Lateral Resolution	178
8.8	Focus	181
8.9	Light Sources.....	182
8.10	Calibration	183
8.11	Examples of PSI Measurement.....	184
	References	185

9	Coherence Scanning Interferometry	187
	<i>Peter de Groot</i>	
9.1	Concept and Overview	187
9.2	Terminology	189
9.3	Typical Configurations of CSI	190
9.4	Signal Formation	191
9.5	Signal Processing.....	197
9.6	Foundation Metrics and Height Calibration for CSI	201
9.7	Dissimilar Materials	201
9.8	Vibrational Sensitivity	202
9.9	Transparent Films	203
9.10	Examples	205
9.11	Conclusion.....	206
	References	206
10	Digital Holographic Microscopy	209
	<i>Tristan Colomb, Jonas Kühn</i>	
10.1	Introduction	209
10.2	Basic Theory.....	210
10.2.1	Acquisition.....	211
10.2.2	Reconstruction	211
10.3	Instrumentation.....	214
10.3.1	Light Source.....	215
10.3.2	Digital Camera.....	216
10.3.3	Microscope Objective	216
10.3.4	Optical Path Retarder.....	216
10.4	Instrument Use and Good Practice	217
10.4.1	Digital Focusing.....	217
10.4.2	DHM Parameters	218
10.4.3	Automatic Working Distance in Reflection DHM.....	218
10.4.4	Sample Preparation and Immersion Liquids	219
10.5	Limitations of DHM	219
10.5.1	Parasitic Interferences and Statistical Noise	219
10.5.2	Height Measurement Range.....	220
10.5.3	Sample Limitation.....	220
10.6	Extensions of the Basic DHM Principles	220
10.6.1	Multi-wavelength DHM.....	221
10.6.1.1	Extended Measurement Range.....	221
10.6.1.2	Mapping	222
10.6.2	Stroboscopic Measurement	222
10.6.3	DHM Reflectometry	223
10.6.4	Infinite Focus	224
10.6.5	Applications of DHM.....	224
10.6.5.1	Topography and Defect Detection.....	224
10.6.5.2	Roughness	225
10.6.5.3	Micro-optics Characterization.....	228

10.6.5.4	MEMS and MOEMS.....	229
10.6.5.5	Semi-transparent Micro-structures	230
10.7	Conclusions.....	232
References		232
11	Imaging Confocal Microscopy	237
	<i>Roger Artigas</i>	
11.1	Basic Theory.....	237
11.1.1	Introduction to Imaging Confocal Microscopes.....	237
11.1.2	Working Principle of an Imaging Confocal Microscope	238
11.1.3	Metrological Algorithm	241
11.1.4	Image Formation of a Confocal Microscope.....	242
11.1.4.1	General Description of a Scanning Microscope.....	242
11.1.4.2	Point Spread Function for the Limiting Case of an Infinitesimally Small Pinhole	245
11.1.4.3	Pinhole Size Effect.....	246
11.2	Instrumentation.....	249
11.2.1	Types of Confocal Microscopes.....	250
11.2.1.1	Laser Scanning Confocal Microscope Configuration	250
11.2.1.2	Disc Scanning Confocal Microscope Configuration	253
11.2.1.3	Programmable Array Scanning Confocal Microscope Configuration	256
11.2.2	Objectives for Confocal Microscopy	259
11.2.3	Vertical Scanning.....	262
11.2.3.1	Motorised Stages with Optical Linear Encoders	262
11.2.3.2	Piezoelectric Stages.....	263
11.2.3.3	Comparison between Motorised and Piezoelectric Scanning Stages.....	264
11.3	Instrument Use and Good Practice	265
11.3.1	Location of an Imaging Confocal Microscope.....	265
11.3.2	Setting Up the Sample	265
11.3.3	Setting the Right Scanning Parameters	265
11.3.4	Simultaneous Detection of Confocal and Bright Field Images	267
11.3.5	Sampling	268
11.3.6	Low Magnification against Stitching	269
11.4	Limitations of Imaging Confocal Microscopy.....	270
11.4.1	Maximum Detectable Slope on Smooth Surfaces.....	270
11.4.2	Noise and Resolution in Imaging Confocal Microscopes.....	272
11.4.3	Errors in Imaging Confocal Microscopes	274
11.4.3.1	Objective Flatness Error.....	274
11.4.3.2	Calibration of the Flatness Error	275
11.4.3.3	Measurements on Thin Transparent Materials	276
11.4.4	Lateral Resolution.....	276

11.5 Measurement of Thin and Thick Film with Imaging Confocal Microscopy.....	278
11.5.1 Introduction.....	278
11.5.2 Thick Films.....	278
11.5.3 Thin Films.....	280
11.6 Case Study: Roughness Prediction on Steel Plates.....	283
References	285
12 Light Scattering Methods	287
<i>Theodore V. Vorburger, Richard Silver, Rainer Brodmann, Boris Brodmann, Jörg Seewig</i>	
12.1 Introduction	287
12.2 Basic Theory.....	289
12.3 Instrumentation and Case Studies.....	295
12.3.1 Early Developments.....	295
12.3.2 Recent Developments in Instrumentation for Mechanical Engineering Manufacture	298
12.3.3 Recent Developments in Instrumentation for Semiconductor Manufacture (Optical Critical Dimension).....	302
12.4 Instrument Use and Good Practice	308
12.4.1 SEMI MF 1048-1109 (2009) Test Method for Measuring the Effective Surface Roughness of Optical Components by Total Integrated Scattering	308
12.4.2 SEMI ME1392-1109 (2009) Guide for Angle-Resolved Optical Scatter Measurements on Specular or Diffuse Surfaces.....	310
12.4.3 ISO10110-8: 2010 Optics and Photonics — Preparation of Drawings for Optical Elements and Systems — Part 8: Surface Texture	311
12.4.4 Standards for Gloss Measurement	312
12.4.5 VDA Guideline 2009, Geometrische Produktspezifikation Oberflächenbeschaffenheit Winkelaufgelöste Streulichtmesstechnik Definition, Kenngrößen und Anwendung (Light Scattering Measurement Technique)	312
12.5 Limitations of the Technique.....	314
12.6 Extensions of the Basic Principles.....	314
Acknowledgements	315
References	315
Index	319

1 Introduction to Surface Texture Measurement

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Abstract. This chapter introduces some of the concepts used in the measurement and characterisation of surface texture that will be used throughout the rest of the book. A short history of optical measurement techniques will be given, followed by descriptions of surface profile and areal surfaces. How surface texture sits within the ISO Geometrical Product Specification is discussed along with the current position with surface texture specification standards. Non-optical and optical surface texture measurement instrument types are summarised and some general advice is given on instrument choice.

1.1 Surface Texture Measurement

Surface texture plays a vital role in the functionality of a component. It is estimated that surface effects cause 10 % of manufactured parts to fail and can contribute significantly to an advanced nation's GDP. In the last century, surface texture was primarily measured by a method that involved tracing a contacting stylus across the surface and measuring the vertical motion of the stylus as it traversed the surface features. In most cases only a single line, or surface profile, was measured and this gave rise to enough information to control production, but was limited to identifying process change. Optical instruments closely followed the development of stylus instruments and had the benefit of being non-contact and potentially faster than stylus instruments (see Leach 2009 for a short history of surface texture measurement and Hume 1980 for a more thorough history of engineering metrology).

In the early and middle of the twentieth century several different optical instrument designs were developed for measurement of surface texture and form. These included conventional Michelson and Twyman-Green interferometers (Leach 2009), Schmalz light sectioning microscopes (Schmalz 1929), Linnik microinterferometers (Miroshnikov 2010), Tolansky multiple beam interferometers (1960), and fringes of equal chromatic order (FECO) interferometers (Bennett 1976). The interferometers produced very good fringe images that accurately tracked the peaks and valleys of the surface texture with high vertical resolution. However, it was not until the development of high speed computing that the

analysis of fringes could be automated to the point where digitised topography profiles and images could be produced in an automated way that could enable optical instruments to rival the usefulness of stylus instruments. The first of these was the phase shifting interferometric (PSI) microscope in the early 1980s (Bhushan et al. 1985, Greivenkamp and Bruning 1992, see Chap. 8), which was primarily useful for measurement of smooth optical surfaces. This was followed in the early 1990s by the coherence scanning interferometric microscope (Caber 1993, Deck and de Groot 1994, see Chap. 9), also called the vertical scanning interferometer or scanning white light interferometer, which was aimed at overcoming the roughness limitations of the PSI technique. The success of interferometric microscopes was matched by confocal microscopes (Schmidt and Compton 1992, see Chap. 11) in the 1990s. Nowadays, these two types of instruments dominate the market for optical surface topography instruments, but a number of other techniques have been developed as well. Many of these different types of optical instruments are discussed in the remaining chapters of the book.

1.2 Surface Profile and Areal Measurement

Surface profile measurement is the measurement of a line across the surface that can be represented mathematically as a height function with lateral displacement, $z(x)$. Areal surface texture measurement is the measurement of an area on the surface that can be represented mathematically as a height function with displacement across a plane, $z(x,y)$. Surface texture characterisation, both profile and areal, are not discussed here – this book concentrates on the methods used to capture areal surface texture data. The subsequent characterisation methods are presented in detail elsewhere (Whitehouse 2010, Leach 2009, Muralikrishnan and Raja 2008).

1.3 Areal Surface Texture Measurement

Over the past three decades there has been an increased need to relate surface texture to surface function and, whilst a profile measurement may give some functional information about a surface, to really determine functional information, a three dimensional (3D), or areal, measurement of the surface is necessary. Control of the areal nature of a surface allows a manufacturer to alter the way a surface interacts with its surroundings. By controlling the areal nature of a surface optical, tribological, biological, aerodynamic and many other properties can be altered (Evans and Bryan 1999, Lonardo et al. 2002, de Chiffre et al. 2003, Bruzzone et al. 2008).

The measurement of areal surface texture has a number of benefits over profile measurement (Blunt and Jiang 2003). Areal measurements give a more realistic representation of the whole surface and have more statistical significance. There is also less chance that significant features will be missed by an areal method and the manufacturer, therefore, gains a better visual record of the overall structure of the surface. The need for areal surface texture measurements resulted in stylus instruments that could measure over an area (a series of usually parallel profiles)

and optical techniques. Optical instruments either scan a beam over the surface akin to stylus instruments, or take an areal measurement by making use of the finite field of view of a microscope objective. There are currently many commercial instruments that can measure areal surface texture, both stylus and optical (see Sect. 1.5).

1.4 Surface Texture Standards and GPS

Surface texture documentary standards are part of the scope of the International Organization for Standardisation (ISO) Technical Committee 213 (TC 213), dealing with Dimensional and Geometrical Product Specifications and Verification as well as many national committees. ISO TC 213 has developed a wide range of standards for surface texture measurement for both profiling and areal methods and has an ambitious agenda for future standards. Some of these standards are listed below.

1.4.1 *Profile Standards*

There are nine ISO specification standards relating to the measurement and characterisation of surface profile. These standards only cover the use of stylus instruments. The details of most of the standards are presented in Leach (2001) and summarised in Leach (2009), and their content is not discussed in detail in this book. It should be noted that the current ISO plan for surface texture is that the profile standards will become a sub-set of the areal standards. Whilst the basic standards and details will probably not change significantly, the reader should keep abreast of the latest developments in standards. The following is a list of the profile specification standards as they stand at the time of writing of this book:

- Nominal characteristics of contact (stylus) instruments (ISO 3274, 1996)
- Rules and procedures for the assessment of surface texture (ISO 4288, 1996)
- Metrological characteristics of phase correct filters (ISO 11562, 1996)
- Motif parameters (ISO 12085, 1996)
- Surfaces having stratified functional properties — filtering and general measurement conditions (ISO 13565 part 1, 1996)
- Surfaces having stratified functional properties — height characterization using material ratio curve (ISO 13565 part 2, 1998)
- Terms, definitions and surface texture parameters (ISO 4287, 2000)
- Measurement standards — material measures (ISO 5436 part 1, 2000)
- Software measurement standards (ISO 5436 part 2, 2000)
- Calibration of contact (stylus) instruments (ISO 12179, 2000)
- Surfaces having stratified functional properties — height characterization using material probability curve (ISO 13565 part 3, 2000)
- Indication of surface texture in technical product documentation (ISO 1302, 2002)

Note that there is only one specification standard (ISO 25178: 602 2011) that relates to the measurement of surface profile using optical instruments. However, in many cases where a profile can be mathematically extracted from an areal optical scan, the profile characterisation standards can be applied. It is important, however, to understand how the surface data is filtered, especially when trying to compare contact stylus and optical results (Leach and Haitjema 2010).

1.4.2 Areal Specification Standards

In 2002, ISO technical committee 213 formed a working group (WG) 16 to address standardisation of areal surface texture measurement methods. WG 16 is developing a number of draft standards encompassing definitions of terms and parameters, calibration methods, file formats and characteristics of instruments. Several of these standards have been published and a number are at various stages in the review and approval process. The plan is to have the profile standards as a sub-set of the areal standards (with appropriate re-numbering). Hence, the profile standards will be re-published after the areal standards (with some omissions, ambiguities and errors corrected) under a new numbering scheme that is consistent with that of the areal standards. All the areal standards are part of ISO 25178, which will consist of at least the following parts, under the general title Geometrical product specification (GPS) — surface texture: areal:

- Part 1: Areal surface texture drawing indications (2011)
- Part 2: Terms, definitions and surface texture parameters (2011)
- Part 3: Specification operators (2011)
- Part 4: Comparison rules
- Part 5: Verification operators
- Part 6: Classification of methods for measuring surface texture (2010)
- Part 70: Measurement standards for areal surface texture measurement instruments (2011)
- Part 71: Software measurement standards (2011)
- Part 72: Software measurement standards – XML file format (2011)
- Part 601: Nominal characteristics of contact (stylus) instruments (2010)
- Part 602: Nominal characteristics of non-contact (confocal chromatic probe) instruments (2010)
- Part 603: Nominal characteristics of non-contact (phase shifting interferometric microscopy) instruments (2011)
- Part 604: Nominal characteristics of non-contact (coherence scanning interferometry) instruments (2011)
- Part 605: Nominal characteristics of non-contact (point autofocus) instruments (2011)
- Part 606: Nominal characteristics of non-contact (variable focus) instruments (2011)

- Part 607: Nominal characteristics of non-contact (imaging confocal) instruments (2011)
- Part 700: Calibration of non-contact instruments (2011)
- Part 701: Calibration and measurement standards for contact (stylus) instruments (2010)

At the time of writing, a general standard on the calibration of all areal surface topography measuring instruments is being drafted, but is not yet a committee draft. The American National Standards Institute has also published a comprehensive documentary specification standard, ANSI/ASME B46.1 (2010) that includes some areal analyses (mainly fractal based).

1.5 Instrument Types in the ISO 25178 Series

ISO 25178 part 6 (2010) defines three classes of methods for surface texture measuring instruments (and see Fig. 1.1):

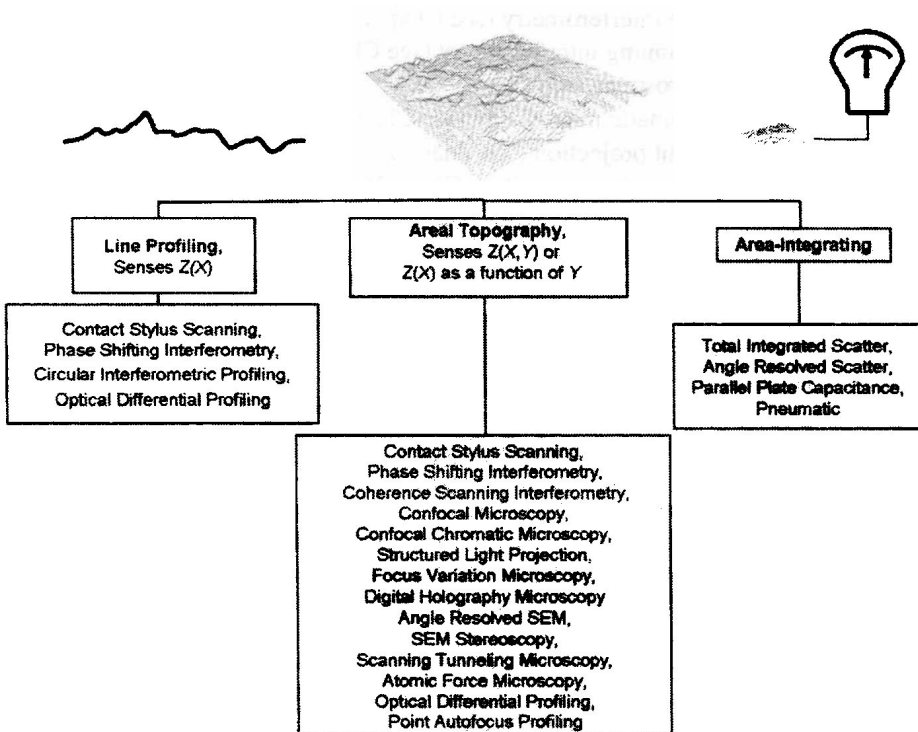


Fig. 1.1 A classification of surface texture measurement methods with examples, excerpted with permission (ISO 25178-6 2010)