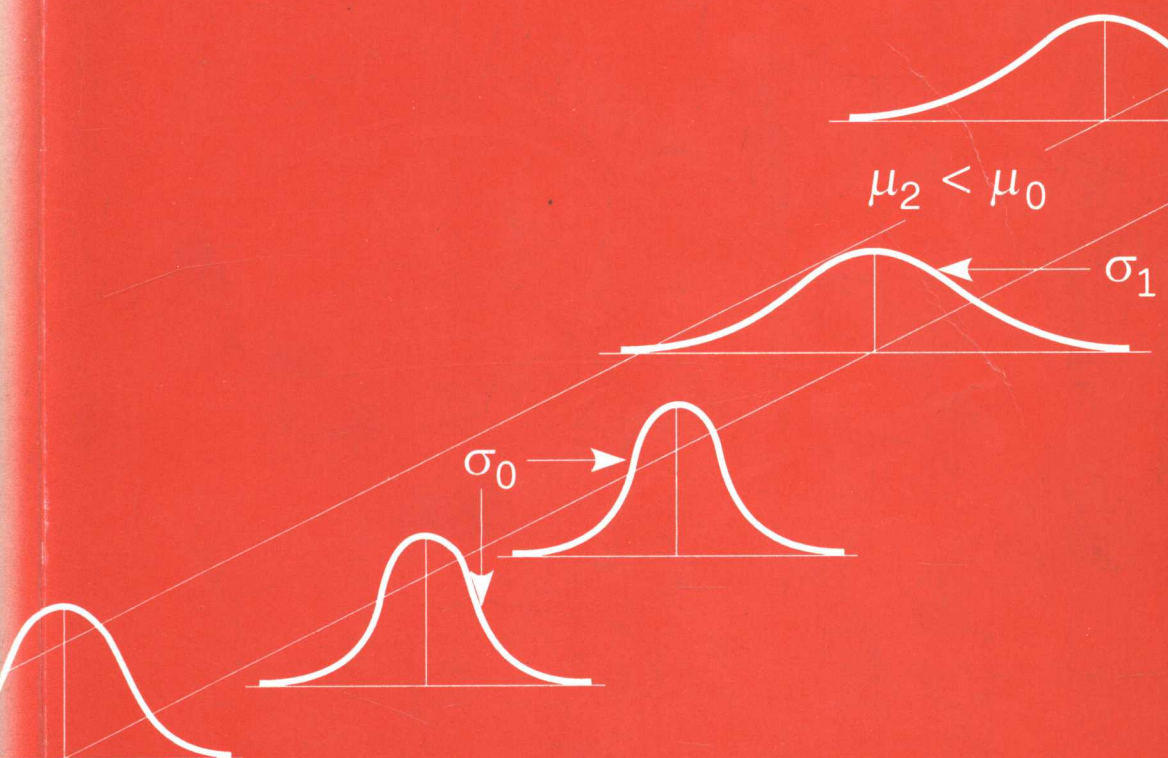


INTRODUCTION TO STATISTICAL QUALITY CONTROL

Third Edition



Douglas C. Montgomery

Introduction to

Statistical

Quality

Control

Third Edition

Douglas C. Montgomery

Arizona State University



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SPC Calculations for Control Limits

Notation:	UCL — Upper Control Limit	$\bar{\bar{x}}$ — Average of Measurements
	LCL — Lower Control Limit	$\bar{\bar{x}}$ — Average of Averages
	CL — Center Line	R — Range
	n — Sample Size	\bar{R} — Average of Ranges
	PCR — Process Capability Ratio	USL — Upper Specification Limit
	σ — Process Standard Deviation	LSL — Lower Specification Limit

Variables Data (\bar{X} and R Control Charts):

\bar{x} Control Chart	n	A_2	D_3	D_4	d_2
UCL = $\bar{\bar{x}} + A_2 \bar{R}$	2	1.880	0.000	3.267	1.128
LCL = $\bar{\bar{x}} - A_2 \bar{R}$	3	1.023	0.000	2.574	1.693
CL = $\bar{\bar{x}}$	4	.729	0.000	2.282	2.059
	5	.577	0.000	2.115	2.326
R Control Chart	6	.483	0.000	2.004	2.534
UCL = $\bar{R} D_4$	7	.419	.076	1.924	2.704
LCL = $\bar{R} D_3$	8	.373	.136	1.864	2.847
CL = \bar{R}	9	.337	.184	1.816	2.970
Capability Study	10	.308	.223	1.777	3.078
PCR = (USL - LSL)/(6 $\hat{\sigma}$); where $\hat{\sigma} = \bar{R}/d_2$					

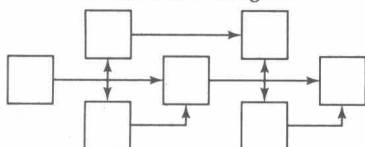
Attribute Data (p , np , c , and u Control Charts):

Control Chart Formulas

	p (fraction)	np (number of nonconforming)	c (count of nonconformances)	u (count of nonconformances/unit)
CL	\bar{p}	$n\bar{p}$	\bar{c}	\bar{u}
UCL	$\bar{p} + 3 \sqrt{\frac{\bar{p}(1-\bar{p})}{n}}$	$n\bar{p} + 3 \sqrt{n\bar{p}(1-\bar{p})}$	$\bar{c} + 3 \sqrt{\bar{c}}$	$\bar{u} + 3 \sqrt{\frac{\bar{u}}{n}}$
LCL	$\bar{p} - 3 \sqrt{\frac{\bar{p}(1-\bar{p})}{n}}$	$n\bar{p} - 3 \sqrt{n\bar{p}(1-\bar{p})}$	$\bar{c} - 3 \sqrt{\bar{c}}$	$\bar{u} - 3 \sqrt{\frac{\bar{u}}{n}}$
Notes	If n varies, use \bar{n} or individual n_i	n must be a constant	n must be a constant	If n varies, use \bar{n} or individual n_i

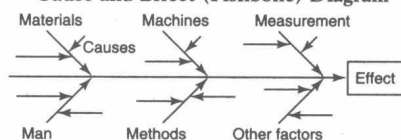
Quality Improvement Tools

Process Flow Diagram



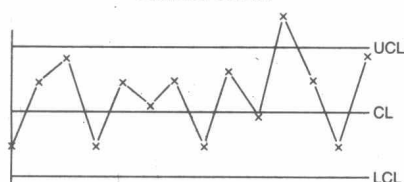
- Expresses detailed knowledge of the process
- Identifies process flow and interaction among the process steps
- Identifies potential control points

Cause and Effect (Fishbone) Diagram



- All contributing factors and their relationship are displayed
- Identifies problem areas where data can be collected and analyzed

Control Chart



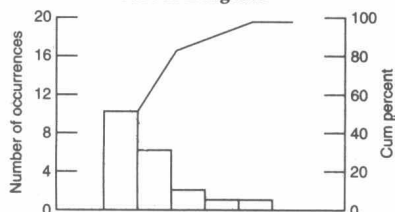
- Helps reduce variability
- Monitors performance over time
- Allows process corrections to prevent rejections
- Trends and out-of-control conditions are immediately detected

Checksheet

A							
B							
C							
D							
E							
F							

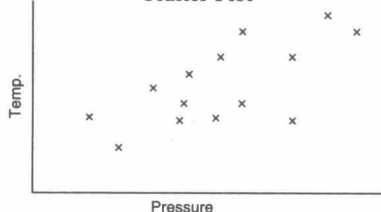
- Simplifies data collection and analysis
- Spots problem areas by frequency of location, type, or cause

Pareto Diagram



- Identifies most significant problems to be worked first
- Historically 80% of the problems are due to 20% of the factors
- Shows the vital few

Scatter Plot

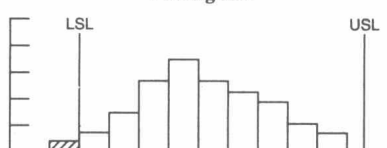


- Identifies the relationship between two variables
- A positive, negative, or no relationship can be easily detected

Design of Experiments (DOE)

- Useful in process development and troubleshooting
- Identifies magnitude and direction of important process variable effects
- Greatly reduces the number of runs required to perform an experiment
- Identifies interaction among process variables
- Useful in engineering design and development
- Focuses on optimizing process performance

Histogram



- The shape shows the nature of the distribution of the data
- The central tendency (average) and variability are easily seen
- Specification limits can be used to display the capability of the process

Introduction to

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About the Author

Douglas C. Montgomery, Professor of Industrial and Management Systems Engineering at Arizona State University, received his B.S., M.S., and Ph.D. degrees from Virginia Polytechnic Institute, all in engineering. From 1969 to 1984 he was a faculty member of the School of Industrial & Systems Engineering at the Georgia Institute of Technology; from 1984 to 1988 he was at the University of Washington, where he held the John M. Fluke Distinguished Chair of Manufacturing Engineering, was Professor of Mechanical Engineering, and Director of the Program in Industrial Engineering.

Dr. Montgomery has research and teaching interests in engineering statistics including statistical quality control techniques, design of experiments, regression analysis and empirical model building, and the application of operations research methodology to problems in manufacturing systems. He has authored and coauthored many technical papers in these fields and is an author of ten other books. Dr. Montgomery is a Fellow of the American Society for Quality Control, a Fellow of the American Statistical Association, and a Fellow of the Institute of Industrial Engineers. He is a recipient of the Ellis R. Ott award, and both the Brumbaugh Award and the Shewell Award from the American Society for Quality Control. He is currently the editor of the *Journal of Quality Technology*.

In addition to his academic activities, Dr. Montgomery is a partner in Statistical Productivity Consultants, a Seattle-based consulting organization specializing in the application of statistical methods for quality and productivity improvement. Dr. Montgomery has served as a consultant in these areas to many major corporations.

Preface

This book is about the modern use of statistical methods for quality control and improvement. It provides comprehensive coverage of the subject from basic principles to state-of-the-art concepts and applications. The objective is to give the reader a sound understanding of the principles and the basis for applying those principles in a wide variety of both product and nonproduct situations. While statistical techniques are emphasized throughout, the book has a strong engineering and management orientation. Extensive knowledge of statistics is not a necessary prerequisite for using this book. Readers whose background includes a basic course in statistical methods will find this book easily accessible.

The book is an outgrowth of over 25 years of teaching, research, and consulting in the application of statistical methods in quality engineering and quality improvement. It is designed as a textbook for students enrolled in colleges and universities, who are studying engineering, management, statistics, and related fields and are taking a first course in statistical quality control. Such courses are often taught at the junior or senior level. I have also used the text materials extensively in training programs for professional practitioners, including quality and reliability engineers, manufacturing and development engineers, managers, procurement specialists, marketing personnel, technicians and laboratory analysts, inspectors, and operators. Many professionals have also used the material for self-study.

Chapter 1 is an introduction to the philosophy and basic concepts of quality improvement. It notes that quality has become a major business strategy and that organizations with successful quality-improvement programs can increase their productivity, enhance their market penetration, and achieve greater profitability and a strong competitive advantage. Some of the managerial and implementation aspects of total quality management (or TQM) are included.

Following the introductory chapter, the book is divided into four parts. Part I presents a description of statistical methods useful in quality improvement. Topics covered included sampling and descriptive statistics, the basic notions of probability and probability distributions, point and interval estimation of parameters, and statistical hypothesis testing. These topics are usually covered in a basic course in statistical methods; however, their presentation in this text is from the quality-engineering viewpoint. My experience has been that even readers with a strong statistical background will find the approach to

this material useful and somewhat different from that used in a standard statistics textbook.

Part II contains six chapters on statistical process control (or SPC). While the entire range of SPC tools are extensively discussed, the primary focus is on the control chart. The control chart is certainly not new, but its use in modern-day business and industry is of tremendous value. Furthermore, the combination of sensing and measurement technology, the widespread availability of powerful microcomputers, and good modern SPC software has made the implementation of SPC at the workplace a standard practice in many businesses. SPC will play an even greater role in the U.S. industry over the next 20 years than it has in the last 50.

Part III contains three chapters that show how statistically designed experiments can be used for process design, development and improvement. Chapter 10 presents the fundamental concepts of designed experiments and introduces the reader to some of the data analysis methods employed. While the treatment of the subject is not extensive and is no substitute for a formal course in experimental design, it will enable the reader to appreciate more sophisticated examples of experimental design. Chapter 11 illustrates factorial and fractional factorial designs, with particular emphasis on the two-level system of designs. These designs are used extensively in industry for factor screening and process characterization. Chapter 12 introduces response surface methods and designs, illustrates evolutionary operation (EVOP) for process monitoring, and gives an overview of Taguchi's contributions to quality engineering. I've tried to present my view that Taguchi has made many valuable contributions to quality improvement philosophy, but that his technical methods are often ineffective and inefficient, and can be improved. Chapters 10, 11, and 12 emphasize the important interrelationship between statistical process control and experimental design for process improvement.

Part IV contains two chapters dealing with acceptance sampling. The focus is on lot-by-lot acceptance sampling, although there is some discussion of continuous sampling and MIL STD 1235C in Chapter 14. Other sampling topics presented include various aspects of the design of acceptance-sampling plans, a discussion of MIL STD 105E, MIL STD 414 (and their civilian counterparts, ANSI/ASQC Z1.4 and ANSI/ASQC Z1.9), and other techniques such as chain sampling and skip-lot sampling.

Throughout Parts II and IV, guidelines are given for selecting the proper type of statistical process-control or sampling technique to use in a wide variety of product and nonproduct situations. There are also extensive references to journal articles and other technical literature that should assist the reader in applying the methods described.

CHANGES IN THE THIRD EDITION

Based on my own teaching experiences and extensive feedback from other users of the text, I have made numerous changes in this edition of the book. A major change is in the order of presentation of variables and attributes control charts. Chapter 7 on cumulative sum (CUSUM) and exponentially weighted moving average (EWMA) control charts has been completely rewritten. The tabular or algorithmic CUSUM is emphasized, and the

V-mask approach is only briefly mentioned. Hopefully, the SPC software providers will finally eliminate the V-mask as well. Chapter 8 is extensively updated and rewritten and includes coverage of short-run SPC methods, group control charts for multiple-stream processes, acceptance control charts and control charts with modified limits, much new material on multivariate quality control, an expanded treatment of SPC with autocorrelated data, the economic design of control charts (which formerly was covered in a separate chapter), a discussion of the interface between SPC and engineering control, and a brief survey of several other topics. The coverage of process-capability analysis in Chapter 9 has been expanded to include more useful information on process capability indices (confidence intervals), and techniques for assessing gage capability. Throughout Part II I have provided illustrations of typical computer software output that supports quality engineering activities.

Part III on process improvement with designed experiments has been completely reorganized and expanded. I originally included this material in the previous edition at the request of many instructors who find it necessary to introduce students in their quality control courses to the fundamentals of experimental design because this topic is not covered in their basic statistics course. I have expanded this material to give more details of its use in quality and process improvement. I have also illustrated how the computer is used in the analysis of data from designed experiments. I realize that it is possible to present this material without introducing the student to the analysis of variance (indeed, some books have done that); however, I chose to use the analysis of variance because when the students plan and conduct experiments in the real world they will use a computer package that uses this method. It's a disservice to the students to teach them otherwise.

Part IV on acceptance sampling has been shortened, because most modern courses deemphasize this topic. I reduced the discussion of the details of the military standard sampling plans, eliminated some of the tables from these plans, and condensed or eliminated the discussion of several other topics.

All of the examples in this book utilize data from real applications. In some cases, I have disguised the data or the application situation so that proprietary information will be protected.

ACKNOWLEDGMENTS

Many people have generously contributed their time and knowledge of quality improvement to this book. I would like to thank Dr. Bill Woodall, Dr. Joe Sullivan, Dr. George Runger, Mr. Eric Ziegel, Dr. Joe Pignatiello, Dr. John Ramberg, Dr. Ernie Saniga, and Dr. Jim Alloway for their thorough and insightful reviews on a draft of the third edition. These individuals shared many of their ideas and teaching experiences with me, leading to substantial improvements in the book.

Over the years since the first edition was published, I have received assistance and ideas from a great many people. A complete list of colleagues with whom I have interacted in various academic or consulting projects over the years would be impossible to enumerate. However, some of the major contributors and their professional affiliations

are as follows: Dr. J. Bert Keats, Dr. Mary R. Anderson, Dr. Dwayne A. Rollier, and Dr. Norma F. Hubele, Arizona State University; Mr. Seymour M. Selig, formerly of the Office of Naval Research; Dr. Lynwood A. Johnson, Dr. Russell G. Heikes, Dr. David E. Fyffe, and Dr. H. M. Wadsworth, Jr., Georgia Institute of Technology; Dr. Richard L. Storch, University of Washington; Dr. William H. Woodall, University of Alabama; Dr. Cynthia A. Lowry, Texas Christian University; Dr. Christina M. Mastrangelo, the University of Virginia; Dr. Smiley Cheng, Dr. John Brewster, Dr. Brian Macpherson, and Dr. Fred Spiring, the University of Manitoba; Dr. Joseph D. Moder, University of Miami; Dr. Erwin M. Saniga, University of Delaware; Dr. John S. Ramburg, University of Arizona; Dr. Frank B. Alt, and Dr. George C. Runger, University of Maryland; Dr. Kenneth E. Case, Oklahoma State University; Mr. Daniel R. McCarville, Ms. Lisa Custer, and Mr. Robert Stuart, Motorola; Dr. Dale Sevier, Hybritech; Mr. John A. Butora, Mr. Leon V. Mason, Mr. Lloyd K. Collins, Mr. Dana D. Leshner, Mr. Roy E. Dent, Mr. Mark Fazey, Ms. Kathy Schuster, Mr. Dan Fritze, Dr. J. S. Gardiner, Mr. Ariel Rosentrater, Mr. Lolly Marwah, Mr. Ed Schleicher, Mr. Armin Weiner, and Ms. Elaine Baechtle, IBM; Mr. Thomas C. Bingham, Mr. K. Dick Vaughn, Mr. Robert LeDoux, Mr. John Black, Mr. Jack Wires, Dr. Julian Anderson, Mr. Richard Alkire, and Mr. Chase Nielsen, The Boeing Company; Ms. Karen Madison, Mr. Don Walton, and Mr. Mike Goza, Alcoa; Mr. Harry Peterson-Nedry, Ridgecrest Vineyards and The Chehalem Group; Dr. Russell A. Boyles, Precision Castparts Corporation; Dr. Sadre Khalessi and Mr. Franz Wagner, Signetics Corporation; Mr. Larry Newton and Mr. C. T. Howlett, Georgia Pacific Corporation; Mr. Robert V. Baxley, Monsanto Chemicals; Dr. Craig Fox, Dr. Thomas L. Sadosky, Mr. James F. Walker, and Mr. John Belvins, The Coca-Cola Company; Mr. Bill Wagner and Mr. Al Pariseau, Litton Industries; Mr. John M. Fluke, Jr., John Fluke Manufacturing Company; Dr. William DuMouchel, Columbia University; Dr. Pat Spagon and Dr. Paul Tobias, Semitech; and Ms. Janet Olson, BBN Software Products Corporation. I would also like to acknowledge the contribution of my partner in Statistical Productivity Consultants, Mr. Sumner S. Averett. All of these individuals and many others have contributed to my knowledge of the quality improvement field.

Ms. Charity Robey, the editor at John Wiley who I worked with in preparing the third edition of this book, deserves much credit. She has tolerated the peculiarities of authorship far better than did other editors with whom I have worked. Ms. Cheryl Jennings made many valuable contributions by her careful checking of the manuscript and proof materials.

I thank the various professional societies and publishers who have given permission to reproduce their materials in my text. Permission credit is acknowledged at appropriate places in this book.

I am also indebted to several organizations, including the Office of Naval Research, the National Science Foundation, the Aluminum Company of America, and the IBM Corporation. These organizations sponsored my academic research activities in quality improvement for a number of years. Finally, I would like to thank the many users of the first and second editions of this book including students, practicing professionals, and my academic colleagues. Many of the changes and (hopefully) improvements in this edition of the book are the direct result of your feedback.

Douglas C. Montgomery
Tempe, Arizona

Contents

CHAPTER 1	QUALITY IMPROVEMENT IN THE MODERN BUSINESS ENVIRONMENT	1
1-1	The Meaning of Quality and Quality Improvement	2
1-1.1	Dimensions of Quality	2
1-1.2	Quality Engineering Terminology	6
1-2	A Brief History of Quality Methodology	8
1-3	Statistical Methods for Quality Improvement	12
1-4	Total Quality Management	17
1-4.1	Quality Philosophy	17
1-4.2	The Link Between Quality and Productivity	21
1-4.3	Quality Costs	22
1-4.4	Legal Aspects of Quality	28
1-4.5	Implementing Quality Improvement	30
PART I	STATISTICAL METHODS USEFUL IN QUALITY IMPROVEMENT	33
CHAPTER 2	MODELING PROCESS QUALITY	34
2-1	Describing Variation	35
2-1.1	The Stem and Leaf Plot	35
2-1.2	The Frequency Distribution and Histogram	38
2-1.3	Numerical Summary of Data	40
2-1.4	The Box Plot	43
2-1.5	Sample Computer Output	44
2-1.6	Probability Distributions	46
2-2	Important Discrete Distributions	51
2-2.1	The Hypergeometric Distribution	51
2-2.2	The Binomial Distribution	52
2-2.3	The Poisson Distribution	55
2-2.4	The Pascal and Related Distributions	56

2-3	Important Continuous Distributions	57
2-3.1	The Normal Distribution	57
2-3.2	The Exponential Distribution	62
2-3.3	The Gamma Distribution	65
2-3.4	The Weibull Distribution	67
2-4	Some Useful Approximations	69
2-4.1	The Binomial Approximation to the Hypergeometric	69
2-4.2	The Poisson Approximation to the Binomial	69
2-4.3	The Normal Approximation to the Binomial	70
2-4.4	Comments on Approximations	70
2-5	Exercises	71

CHAPTER 3

INFERENCES ABOUT PROCESS QUALITY

77

3-1	Statistics and Sampling Distributions	78
3-1.1	Sampling from a Normal Distribution	79
3-1.2	Sampling from a Bernoulli Distribution	83
3-1.3	Sampling from a Poisson Distribution	84
3-2	Estimation of Process Parameters	85
3-2.1	Point Estimation	85
3-2.2	Interval Estimation	86
3-3	Hypothesis Testing on Process Parameters	96
3-3.1	Tests on Means, Variance Known	97
3-3.2	The Use of <i>P</i> -Values in Hypothesis Testing	100
3-3.3	Tests on Means of Normal Distributions, Variance Unknown	101
3-3.4	Tests on Variances of Normal Distributions	107
3-3.5	Tests on Binomial Parameters	109
3-3.6	Tests on Poisson Parameters	110
3-3.7	Probability Plotting	113
3-3.8	The Probability of Type II Error	116
3-4	Exercises	119

PART II

STATISTICAL PROCESS CONTROL

127

CHAPTER 4

METHODS AND PHILOSOPHY OF STATISTICAL PROCESS CONTROL

129

4-1	Introduction	130
4-2	Chance and Assignable Causes of Quality Variation	130
4-3	Statistical Basis of the Control Chart	132
4-3.1	Basic Principles	132
4-3.2	Choice of Control Limits	138
4-3.3	Sample Size and Sampling Frequency	140

4-3.4	Rational Subgroups	143
4-3.5	Analysis of Patterns on Control Charts	146
4-3.6	Discussion of Sensitizing Rules for Control Charts	149
4-4	The Rest of the "Magnificent Seven"	150
4-5	Implementing SPC	158
4-6	An Application of SPC	159
4-7	Nonmanufacturing Applications of Statistical Process Control	167
4-8	Exercises	174

CHAPTER 5 CONTROL CHARTS FOR VARIABLES 179

5-1	Introduction	180
5-2	Control Charts for \bar{x} and R	181
5-2.1	Statistical Basis of the Charts	181
5-2.2	Development and Use of \bar{x} and R Charts	186
5-2.3	Charts Based on Standard Values	201
5-2.4	Interpretation of \bar{x} and R Charts	202
5-2.5	The Effect of Nonnormality on \bar{x} and R Charts	205
5-2.6	The Operating-Characteristic Function	206
5-2.7	The Average Run Length for the \bar{x} Chart	209
5-3	Control Charts for \bar{x} and S	211
5-3.1	Construction and Operation of \bar{x} and S Charts	212
5-3.2	The \bar{x} and S Control Charts with Variable Sample Size	217
5-3.3	The S^2 Control Chart	221
5-4	Control Charts for Individual Measurements	221
5-5	Summary of Procedures for \bar{x} , R , and S Charts	229
5-6	Applications of Variables Control Charts	230
5-7	Exercises	235

CHAPTER 6 CONTROL CHARTS FOR ATTRIBUTES 250

6-1	Introduction	251
6-2	The Control Chart for Fraction Nonconforming	251
6-2.1	Development and Operation of the Control Chart	253
6-2.2	Variable Sample Size	265
6-2.3	Nonmanufacturing Applications	270
6-2.4	The Operating-Characteristic Function and Average Run Length Calculations	271
6-3	Control Charts for Nonconformities (Defects)	275
6-3.1	Procedures with Constant Sample Size	275
6-3.2	Procedures with Variable Sample Size	285

- 6-3.3 Demerit Systems 287
- 6-3.4 The Operating-Characteristic Function 289
- 6-3.5 Dealing with Low Defect Levels 290
- 6-3.6 Nonmanufacturing Applications 294
- 6-4 Choice Between Attributes and Variables Control Charts 294
- 6-5 Guidelines for Implementing Control Charts 299
- 6-6 Exercises 304

CHAPTER 7 CUMULATIVE SUM AND EXPONENTIALLY WEIGHTED MOVING AVERAGE CONTROL CHARTS 313

- 7-1 The Cumulative-Sum Control Chart 314
 - 7-1.1 Basic Principles: The Cusum Control Chart for Monitoring the Process Mean 314
 - 7-1.2 The Tabular or Algorithmic Cusum for Monitoring the Process Mean 317
 - 7-1.3 Recommendations for Cusum Design 322
 - 7-1.4 The Standardized Cusum 324
 - 7-1.5 Rational Subgroups 325
 - 7-1.6 Improving Cusum Responsiveness for Large Shifts 325
 - 7-1.7 The Fast Initial Response or Headstart Feature 325
 - 7-1.8 One-Sided Cusums 327
 - 7-1.9 A Cusum for Monitoring Process Variability 328
 - 7-1.10 Cusums for Other Sample Statistics 329
 - 7-1.11 The V-Mask Procedure 329
- 7-2 The Exponentially Weighted Moving-Average Control Chart 332
 - 7-2.1 The Exponentially Weighted Moving-Average Control Chart for Monitoring the Process Mean 333
 - 7-2.2 Design of an EWMA Control Chart 337
 - 7-2.3 Rational Subgroups 339
 - 7-2.4 Extensions of the EWMA 339
- 7-3 The Moving Average Control Chart 341
- 7-4 Exercises 344

CHAPTER 8 OTHER STATISTICAL PROCESS CONTROL TECHNIQUES 348

- 8-1 Statistical Process Control for Short Production Runs 349
 - 8-1.1 \bar{x} and R Charts for Short Production Runs 349
 - 8-1.2 Attribute Control Charts for Short Production Runs 352
 - 8-1.3 Other Methods 353
- 8-2 Modified and Acceptance Control Charts 354
 - 8-2.1 Modified Control Limits for the \bar{x} Chart 354
 - 8-2.2 Acceptance Control Charts 357

8-3	Group Control Charts for Multiple-Stream Processes	358
8-4	Multivariate Quality Control	360
8-4.1	Monitoring of Means	362
8-4.2	Monitoring Process Variability	372
8-5	SPC with Correlated Data	374
8-6	Interfacing Statistical Process Control and Engineering Process Control	386
8-6.1	Process Monitoring and Process Regulation	386
8-6.2	Combining SPC and EPC	395
8-7	Economic Design of Control Charts	399
8-7.1	Designing a Control Chart	399
8-7.2	Process Characteristics	399
8-7.3	Cost Parameters	400
8-7.4	Early Work and Semi-Economic Design	402
8-7.5	An Economic Model of the \bar{x} Control Chart	403
8-7.6	Other Work	412
8-8	Overview of Other Procedures	413
8-8.1	Tool Wear	413
8-8.2	Control Charts Based on Other Sample Statistics	414
8-8.3	Adaptive Schemes	415
8-8.4	Selecting the Optimum Target Value for a Process	417
8-8.5	Fill Control	419
8-8.6	Precontrol	419
8-9	Exercises	421

CHAPTER 9 PROCESS CAPABILITY ANALYSIS

430

9-1	Introduction	431
9-2	Process-Capability Analysis Using a Histogram or a Probability Plot	433
9-2.1	Using the Histogram	433
9-2.2	Probability Plotting	434
9-3	Process Capability Ratios	438
9-3.1	Use and Interpretation of PCR	438
9-3.2	Process-Capability Ratio for an Off-Center Process	442
9-3.3	Normality and the Process Capability Ratio	444
9-3.4	More About Process Centering	444
9-3.5	Confidence Intervals and Tests on Process Capability Ratios	447
9-4	Process-Capability Analysis Using a Control Chart	451
9-5	Process-Capability Analysis Using Designed Experiments	453
9-6	Gage and Measurement System Capability Studies	455

9-7	Setting Specification Limits on Discrete Components	461
9-7.1	Linear Combinations	461
9-7.2	Nonlinear Combinations	465
9-8	Estimating the Natural Tolerance Limits of a Process	467
9-8.1	Tolerance Limits Based on the Normal Distribution	468
9-8.2	Nonparametric Tolerance Limits	469
9-9	Exercises	470

PART III	PROCESS DESIGN AND IMPROVEMENT WITH DESIGNED EXPERIMENTS	475
-----------------	---	------------

CHAPTER 10	THE FUNDAMENTALS OF EXPERIMENTAL DESIGN	477
10-1	What is Experimental Design?	478
10-2	Examples of Designed Experiments in Quality and Process Improvement	479
10-3	Experiments with One Factor	483
10-3.1	An Example	483
10-3.2	The Analysis of Variance	485
10-3.3	Residual Analysis	490
10-3.4	Comparison of Individual Means	491
10-3.5	Using the Computer	494
10-3.6	A Components-of-Variance Model	496
10-4	Blocking and Nuisance Factors	499
10-4.1	The Randomized Block Design	499
10-4.2	Residual Analysis	504
10-5	Guidelines for Designing Experiments	506
10-6	Exercises	508

CHAPTER 11	FACTORIAL AND FRACTIONAL FACTORIAL EXPERIMENTS FOR PROCESS DESIGN AND IMPROVEMENT	512
11-1	Factorial Experiments	513
11-1.1	An Example	517
11-1.2	Statistical Analysis	517
11-1.3	Residual Analysis	523
11-2	The 2^k Factorial Design	525
11-2.1	The 2^2 Design	525
11-2.2	The 2^k Design for $k \geq 3$ Factors	532
11-2.3	A Single Replicate of the 2^k Design	545
11-2.4	Addition of Center Points to the 2^k Design	549
11-2.5	Blocking and Confounding in the 2^k Design	553