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# Statistical methods in process management — Capability and performance —

## Part 4: Process capability estimates and performance measures

*Méthodes statistiques dans la gestion de processus — Aptitude et  
performance —*

*Partie 4: Estimations de l'aptitude de processus et mesures de  
performance*



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## Contents

	Page
<b>Foreword</b> .....	<b>v</b>
<b>Introduction</b> .....	<b>vi</b>
<b>1 Scope</b> .....	<b>1</b>
<b>2 Symbols and abbreviated terms</b> .....	<b>1</b>
2.1 Symbols.....	1
2.2 Abbreviated terms.....	3
<b>3 Basic concepts used for process capability and performance</b> .....	<b>3</b>
3.1 General.....	3
3.2 Location.....	3
3.3 Dispersion.....	3
3.3.1 Inherent dispersion.....	3
3.3.2 Total dispersion.....	3
3.3.3 Short-term dispersion.....	3
3.4 Mean square error (MSE).....	4
3.5 Reference limits.....	4
3.6 Reference interval (also known as process spread).....	4
<b>4 Capability</b> .....	<b>4</b>
4.1 General.....	4
4.2 Process capability.....	6
4.2.1 Normal distribution.....	6
4.2.2 Non-normal distribution.....	7
4.3 Process location.....	7
4.4 Process capability indices for measured data.....	8
4.4.1 General.....	8
4.4.2 $C_p$ index (for the normal distribution).....	9
4.4.3 $C_{pk}$ index (for the normal distribution).....	10
4.4.4 $C_{pk}$ index for unilateral tolerances.....	10
4.5 Process capability indices for measured data (non-normal).....	10
4.5.1 General.....	10
4.5.2 Probability paper method.....	11
4.5.3 Pearson curves method.....	11
4.5.4 Distribution identification method.....	12
4.6 Alternative method for describing and calculating process capability estimates.....	12
4.7 Other capability measures for continuous data.....	13
4.7.1 Process capability fraction (PCF).....	13
4.7.2 Indices when the specification limit is one-sided or no specification limit is given.....	13
4.8 Assessment of proportion out-of-specification (normal distribution).....	15
<b>5 Performance</b> .....	<b>16</b>
5.1 General.....	16
5.2 Process performance indices for measured data (normal distribution).....	16
5.2.1 $P_p$ index.....	16
5.2.2 $P_{pk}$ index.....	17
5.3 Process performance indices for measured data (non-normal distribution).....	17
5.3.1 General.....	17
5.3.2 Probability paper method.....	17
5.3.3 Pearson curves method.....	18
5.3.4 Distribution identification method.....	18
5.4 Other performance indices for measured data.....	18
5.5 Assessment of proportion out-of-specification for a normal distribution of the total distribution.....	18
<b>6 Reporting process capability and performance indices</b> .....	<b>19</b>

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<b>Annex A (informative) Estimating standard deviations</b> .....	<b>21</b>
<b>Annex B (informative) Estimating capability and performance measures using Pearson curves — Procedure and example</b> .....	<b>23</b>
<b>Annex C (informative) Distribution identification</b> .....	<b>37</b>
<b>Annex D (informative) Confidence intervals</b> .....	<b>42</b>
<b>Bibliography</b> .....	<b>44</b>

This is a preview of "ISO 22514-4:2016". [Click here to purchase the full version from the ANSI store.](#)

## Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#).

The committee responsible for this document is Technical Committee ISO/TC 69, *Applications of statistical methods*, Subcommittee SC 4, *Applications of statistical methods in process management*.

This first edition of ISO 22514-4 cancels and replaces ISO/TR 22514-4:2007, which has been technically revised.

ISO 22514 consists of the following parts, under the general title *Statistical methods in process management — Capability and performance*:

- *Part 1: General principles and concepts*
- *Part 2: Process capability and performance of time-dependent process models*
- *Part 3: Machine performance studies for measured data on discrete parts*
- *Part 4: Process capability estimates and performance measures*
- *Part 5: Process capability estimates and performance for attributive characteristics*
- *Part 6: Process capability statistics for characteristics following a multivariate normal distribution*
- *Part 7: Capability of measurement processes*
- *Part 8: Machine performance of a multi-state production process*

## Introduction

Many organizations have embarked upon a continuous improvement strategy. To comply with such a strategy, any organization will need to evaluate the capability and performance of its key processes. The methods described in this part of ISO 22514 are intended to assist any management in this respect. These evaluations need to be constantly reviewed by the management so that actions compatible with continuous improvement can be taken when required.

The content of this part of ISO 22514 has been subject to large shifts of opinion during recent times. The most fundamental shift has been to philosophically separate what is named in this part of ISO 22514 as capability conditions from performance conditions, the primary difference being whether statistical stability has been obtained (capability) or not (performance). This naturally leads onto the two sets of indices that are to be found in their relevant clauses. It has become necessary to draw a firm distinction between these since it has been observed in the industry that companies have been deceived about their true capability position due to inappropriate indices being calculated and published.

The progression of this part of ISO 22514 is from the general condition to the specific and this approach leads to general formulae being presented before their more usual, but specific manifestations.

There exist numerous references that describe the importance of understanding the processes at work within any organization, be it a manufacturing process or an information handling process. As organizations compete for sales with each other, it has become increasingly apparent that it is not only the price paid for a product or service that matters so much, but also what costs will be incurred by the purchaser from using such a product or service. The objective for any supplier is to continually reduce variability and not to just satisfy specification.

Continual improvement leads to reductions in the costs of failure and assists in the drive for survival in an increasingly more competitive world. There will also be savings in appraisal costs for as variation is reduced, the need to inspect product might disappear or the frequency of sampling might be reduced.

Process capability and performance evaluations are necessary to enable organizations to assess the capability and performance of their suppliers. Those organizations will find the indices contained within this part of ISO 22514 useful in this endeavour.

Quantifying the variation present within a process enables judgement of its suitability and ability to meet some given requirement. The following paragraphs and clauses provide an outline of the philosophy required to be understood to determine the capability or performance of any process.

All processes will be subject to certain inherent variability. This part of ISO 22514 does not attempt to explain what is meant by inherent variation, why it exists, where it comes from nor how it affects a process. This part of ISO 22514 starts from the premise that it exists and is stable.

Process owners should endeavour to understand the sources of variation in their processes. Methods such as flowcharting the process and identifying the inputs and outputs from a process assist in identification of these variations together with the appropriate use of cause and effect (fishbone) diagrams.

It is important for the user of this part of ISO 22514 to appreciate that variations exist that will be of a short-term nature, as well as those that will be of a long-term nature and that capability determinations using only the short-term variation might be greatly different to those which have used the long-term variability.

When considering short-term variation, a study that uses only the shortest-term variation, sometimes known as a machine study and described in ISO 22514-3, might be carried out. The method required to carry out such a study will be outside the scope of this part of ISO 22514; however, it should be noted that such studies are important and useful.

It should be noted that where the capability indices given in this part of ISO 22514 are computed, they only form point estimates of their true values. It is therefore recommended that, wherever possible, the

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indices' confidence intervals are computed and reported. This part of ISO 22514 describes methods by which these can be computed.