



**iTeh STANDARD PREVIEW**  
**(standards.iteh.ai)**

SIST ISO 7873:1996

<https://standards.iteh.ai/catalog/standards/sist/2e43be3a-f47f-402f-ab6f-0c839875bf6e/sist-iso-7873-1996>

INTERNATIONAL  
STANDARD

**ISO**  
**7873**

First edition  
1993-12-15

---

---

**Control charts for arithmetic average with  
warning limits**

**iTeh STANDARD PREVIEW**  
*Cartes de contrôle de la moyenne arithmétique à limites de surveillance*  
**(standards.iteh.ai)**

SIST ISO 7873:1996

<https://standards.iteh.ai/catalog/standards/sist/2e43be3a-f47f-402f-ab6f-0c839875bf6e/sist-iso-7873-1996>



Reference number  
ISO 7873:1993(E)

## 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.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 7873 was prepared by Technical Committee ISO/TC 69, *Applications of statistical methods*, Sub-Committee SC 4, *Statistical process control*.

SIST ISO 7873:1996

Annex A forms an integral part of this International Standard. Annexes B, C and D are for information only.

© ISO 1993

All rights reserved. No part of this publication may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying and microfilm, without permission in writing from the publisher.

International Organization for Standardization  
Case Postale 56 • CH-1211 Genève 20 • Switzerland

Printed in Switzerland

## Introduction

The statistical control of processes using arithmetic average control charts with warning limits is a modification of Shewhart control charts. Control charts for the arithmetic average using both warning and action limits are characterized by higher sensitivity to a process level shift.

Arithmetic average control charts with warning limits are able to reveal smaller shifts of the mean value of the controlled quality measure because of additional information obtained from the points being accumulated in the warning zone. In addition, sudden large shifts in process level are detectable if sample average values fall beyond action limits. In comparison with Shewhart control charts, they are more sensitive in the case of minor and slowly forming biases of the quality measure (that is, shifts not exceeding  $2,5\sigma/\sqrt{n}$ , where  $\sigma$  is the standard deviation of the quality measure and  $n$  is the sample size).

iTeh STANDARD PREVIEW  
(standards.iteh.ai)

[SIST ISO 7873:1996](https://standards.iteh.ai/catalog/standards/sist/2e43be3a-f47f-402f-ab6f-0c839875bf6e/sist-iso-7873-1996)

<https://standards.iteh.ai/catalog/standards/sist/2e43be3a-f47f-402f-ab6f-0c839875bf6e/sist-iso-7873-1996>

**iTeh STANDARD PREVIEW**  
**(standards.iteh.ai)**

SIST ISO 7873:1996

<https://standards.iteh.ai/catalog/standards/sist/2e43be3a-f47f-402f-ab6f-0c839875bf6e/sist-iso-7873-1996>

# Control charts for arithmetic average with warning limits

## 1 Scope

This International Standard specifies procedures for the statistical control of processes by using control charts based on calculating the arithmetic average of a sample and using warning limits and action limits. It is assumed that for large lots and for the mass output of piece and batch production, such a measure of quality is a random variable following a normal distribution. However, when averages of four or more items are plotted, this assumption of a normal distribution is not necessary for control purposes (see 4.2).

## 2 Normative references

The following standards contain provisions which, through reference in this text, constitute provisions of this International Standard. At the time of publication, the editions indicated were valid. All standards are subject to revision, and parties to agreements based on this International Standard are encouraged to investigate the possibility of applying the most recent editions of the standards indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ISO 3534-1:1993, *Statistics — Vocabulary and symbols — Part 1: Probability and general statistical terms*.

ISO 3534-2:1993, *Statistics — Vocabulary and symbols — Part 2: Statistical quality control*.

## 3 Definitions

For the purposes of this International Standard, the definitions given in ISO 3534-1 and ISO 3534-2 apply.

1) "Level shifts" means a case in which  $\mu$  becomes equal to  $\mu_1$  or  $\mu_{-1}$ .

## 4 Conditions of application

**4.1** The implementation of the statistical methods of process control should be preceded by statistical analysis during a base period of the quality measure to be controlled in order to provide a basis for constructing relationships between a process (the operations) and product quality, as well as for producing recommendations for the adjustment of the process.

If the statistical analysis shows that the process is out of control, and the process capability does not meet specified requirements, it is necessary to determine the causes of level shifts<sup>1)</sup> and ways of adjusting the process.

**4.2** In order to apply the rules of this International Standard, it is necessary first to establish the following.

- The arithmetic average  $\bar{X}$  approximates a normal distribution. Except for extremely unusual circumstances, averages of samples of four or more items will, under the Central Limit Theorem, follow approximately a normal distribution even though the individual observations may not.
- For best results, the individual observations averaged to obtain  $\bar{X}$  are made by scale-measuring instruments with scale divisions not exceeding  $\sigma/2$ .
- The underlying, but unknown, mean value  $\mu$  of the sample  $\bar{X}$  values defines the current process level. If the process level shifts, then so will  $\mu$ . The process level should then be adjusted.
- The target level  $\mu_0$  corresponds to the value of the middle line of the tolerance zone of the quality measure specified in the documents when the two-sided criterion is used.

## ISO 7873:1993(E)

- e) The standard deviation  $\sigma$  of the quality measure is assumed to remain constant and acceptable. This assumption must be verified by using sample standard deviation or range control charts.
- f) In the case of the one-sided criterion  $\mu_1 > \mu_0$  or  $\mu_{-1} < \mu_0$ , the target level is assumed to be  $\mu_0$ , but only the direction of concern is of interest. When a process is considered to be out of control in the direction of interest, it requires correction. Values of  $\mu_1$  or  $\mu_{-1}$  are selected to indicate process shifts  $\Delta = |\mu_1 - \mu_0|$  or  $|\mu_{-1} - \mu_0|$  that should be discovered quickly and are called "highly undesirable" levels. This value shall correspond to a fraction of rejection (see annex A).
- g) In the case of the two-sided criterion  $\mu_1 > \mu_0$  and  $\mu_{-1} < \mu_0$ , interest lies on either side of  $\mu_0$ . When the process is out of control in either direction, it requires correction.

Proceeding from the values  $\mu_0$ ,  $\sigma$ ,  $\mu_1$  and/or  $\mu_{-1}$  the value  $\delta$ , which characterizes the standardized form of the mean value in the case where the process is out of control, is determined, i.e.

$$\delta = \frac{\mu_1 - \mu_0}{\sigma}$$

$$= \frac{\mu_0 - \mu_{-1}}{\sigma}$$

When the value  $\sigma$  is constant, the process may go out of control owing to the change of  $\mu$  under the influence of assignable causes.

## 5 Description of the method

**5.1** The statistical control of a process is monitored using control charts for the arithmetic average with warning limits.

The control chart is used to show graphically the level and the variability of the process; the current sample averages of the measure of quality  $\bar{X}$  are plotted on the charts, as shown in figure B.1.

**5.2** The control chart for arithmetic average with warning limits has a target line (central line) corresponding to the mean value of the quality measure for the adjusted process. This line corresponds to  $\mu_0$ , the warning limits to

$$\mu_0 \pm B_2 \sigma / \sqrt{n}$$

and the action limits to

$$\mu_0 \pm B_1 \sigma / \sqrt{n}$$

where  $n$  is the sample size. An underlying assumption is that the individual observations used to compute  $\bar{X}$  are statistically independent.

$B_1$  and  $B_2$  are the values determining the position of action and warning limits on the control charts. The

principle of the selection of  $B_1$  and  $B_2$  is described in clause 6.

**5.3** The control chart may be located on a printed form, on an illuminated indicator board, in computer memory in coded form, or displayed in other appropriate ways.

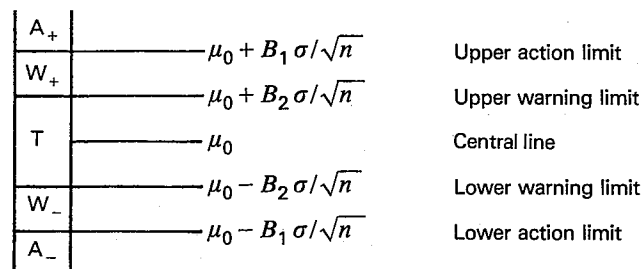
**5.4** Control charts should be located as close to the working areas as practical and data entry and chart plotting should be clear and explicit.

**5.5** A standard operating procedure for the definition, preparation, application, maintenance and use of a control chart as a method of measuring the variation of the process should be prepared and data as collected should be promptly entered on the chart.

**5.6** Control charts for arithmetic average with warning limits may be used both for one-sided and for two-sided criteria of statistical process control. However, it is usual to use two-sided criteria.

**5.6.1** When a process is statistically controlled by means of a two-sided criterion, five quality zones are used (see figure 1), as follows.

- a) Zone T (target): the sample average value is located between the upper warning and lower warning limits.
- b) Zones  $W_+$  and  $W_-$  (warning): the sample average value is located between the upper warning and upper action limits, or between the lower warning and lower action limits, respectively.
- c) Zones  $A_+$  and  $A_-$  (action): the sample average value is located beyond the upper action limit, or the lower action limit, respectively.



**Figure 1 — Quality zones for statistical control with a two-sided criterion**

**5.6.2** When the process is statistically controlled by means of a one-sided criterion, three quality zones are used (see figures 2 and 3), as follows.



- a) Zone T (target): the sample average value is located below the upper or above the lower warning limits as the case may be.
- b) Zone W (warning): the sample average value is located between the warning and action limits.
- c) Zone A (action): the sample average value is located beyond the action limit.

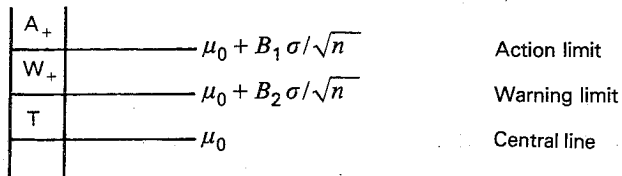


Figure 2 — Quality zones for statistical control with a one-sided criterion — Upper limits

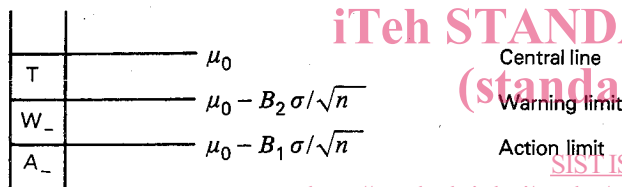


Figure 3 — Quality zones for statistical control with a one-sided criterion — Lower limits

Figure 2 shows the case when concern for a level shift is connected with an increase of the mean value of the measure of quality.

Figure 3 shows the case when concern for a level shift is connected with a decrease of the mean value of the measure of quality.

**5.7** The sample average value of the measure of quality is plotted on control charts with warning limits in the following way.

A point is plotted on the chart for each sample with an identification number (numerical order, time order, etc.) as abscissa and the corresponding sample average as ordinate (see figure B.1).

2) Values for  $t$  and  $n$  are specified beforehand.

## 6 Statistical control of a process

**6.1** A single point falling in the upper action zone  $A_+$  or the lower action zone  $A_-$  is an out-of-control signal. When an out-of-control signal occurs, the cause of the out-of-control condition should be determined and corrected so as to obtain control of the process at the appropriate level.

**6.2** When the selected number of successive points,  $K$ , fall into one of the warning zones, upper  $W_+$  or lower  $W_-$ , this is an out-of-control signal and the process needs to be adjusted.

The value of the various parameters are chosen in accordance with the procedures shown in clause 7.

## 7 Choice of values of parameters for a statistical control plan of a process

**7.1** When choosing a plan for statistical process control it is necessary to establish the following values:

- sample size<sup>2)</sup>  $n$  (see 7.3);
- sampling period<sup>2)</sup>  $t$  (see 7.3);
- number of successive points,  $K$  (see 6.2);
- values determining the positions of action and warning limits on control charts,  $B_1$  and  $B_2$  (see 7.2.2 and 7.4.1);
- decision-making rules for process correction.

Initial values for choosing a plan for statistical process control are as follows:

$\mu_0$ ,  $\sigma$ ,  $\mu_1$  and/or  $\mu_{-1}$  (see clause 4);

$L_0$  and  $L_1$  [the average run lengths (ARL) of a process in and out of control, respectively (see 7.2 and annex C)].

**7.2** The efficiency of a statistical process control plan can be described in terms of average run lengths.

**7.2.1** The average run length (ARL) of a process is the average number of sample averages that will be plotted before an out-of-control signal is obtained, with the process average constant. The ARL is a maximum when the process level is at the target level ( $\mu_0$ ), and decreases progressively as the process deviates from target. The design of the control chart should provide a large ARL,  $L_0$ , when the process average is on target; this provides a low rate of false alarms. The design of the control chart should also provide a small ARL,  $L_1$ , when the process average is

## ISO 7873:1993(E)

at  $\mu_{+1}$  or  $\mu_{-1}$ ; this provides rapid detection of an unsatisfactory situation.

**7.2.2** For the case of the one-sided criterion of the process statistical control, tables 1 to 3 give  $L_0$  values (on the line  $\delta\sqrt{n} = 0$ ) and  $L_1$  values (on the line corresponding to the established value  $\delta\sqrt{n}$ ) as a function of  $K$ ,  $B_1$ ,  $B_2$  and  $\delta\sqrt{n}$ . When choosing  $L_0$  and  $L_1$ , it is necessary to specify a few variants of  $B_1$  and  $B_2$  and choose, as far as possible, those which provide the highest  $L_0/L_1$  ratio.

**7.2.3** For the case of the two-sided criterion of the process statistical control, one should use tables 1 to 4. In this case the ARL of the process in control  $L_0$  is determined from table 4 with  $\delta\sqrt{n} = 0$ . The ARL of the process out of control  $L_1$  is determined using table 4 with  $\delta\sqrt{n} < 1$  and tables 1 to 3 with  $\delta\sqrt{n} \geq 1$ , since at  $\delta\sqrt{n} \geq 1$  the ARL for the two-sided criterion coincides numerically with the ARL for the one-sided criterion (see table C.1).

**7.2.4** For the values of  $\delta\sqrt{n}$  missing from tables 1 to 4, the corresponding  $L_1$  values are obtained through linear interpolation.

**7.3** The sample size  $n$  affects the ARL curves, as shown through the formulae in annex C, as well as the parameters  $\mu_0$ ,  $\mu_{+1}$  and/or  $\mu_{-1}$ ,  $\sigma$  and  $K$ . Moreover, for the same total number of observations or measurements the control chart can be designed with a long sampling period,  $t$ , and a small sample size  $n$ , or conversely.

In each specific application, various trial combinations of  $n$  and  $t$  should be investigated during design of the control chart to determine the resulting values of  $L_0$  and  $L_1$ . The design should be evaluated in terms of the elapsed process time associated with the resulting values of  $L_0$  and  $L_1$ .

In most cases, the pre-existing sampling plan ( $n$ ,  $t$ ) will be the "base" trial combination, and other trial designs should be compared with the base design with respect to performance ( $L_0$  and  $L_1$ ) and cost.

**7.4** Tables 1 to 4 are used for choosing a plan of the statistical process control.

**7.4.1** If the values  $\delta$  and  $n$ , as well as  $L_0$  and  $L_1$  (and their restrictions), are predetermined, then  $B_1$ ,  $B_2$  and  $K$  are found under the given value  $\delta\sqrt{n}$  in tables 1 to 4 (interpolating, if necessary) (see clause B.2).

If there are several variants of the statistical process control plan that meet specified requirements (see clause B.2), a variant which provides the maximum  $L_0/L_1$  ratio should be chosen, with regard to 7.2.1. In this case, if the ratio is high (is greater than or equal to 40) it is recommended that the variant giving the smaller value of  $L_1$  be chosen.

**7.4.2** If the sample size  $n$  is not predetermined, its possible values can be found using tables 1 to 4. Values are found by choosing those columns in tables 1 to 4 for which  $L_0$  values satisfy given conditions and then the first number smaller than or equal to the given  $L_1$  value is taken. Then, from the corresponding value of  $\delta\sqrt{n}$ ,  $\delta$  given, the sample size  $n$  is obtained by rounding the calculated number to the nearest integer (see clause B.4).

In this case, many variants of the statistical control plan are obtained; often it would be appropriate to choose that plan (with regard to points 7.2 and 7.4.1) which provides the smallest sample size. This is especially important when the process to improve control is rather expensive.

SIST ISO 7873:1996  
<https://standards.iteh.ai/catalog/standards/sist/2e43be3a-f47f-402f-ab6f-0c839875bf6e/sist-iso-7873-1996>

**7.5** Various changes may take place in production technique manufacturing conditions, for example the skill of operators, materials supplied, the narrowing or widening of action limits because of some technological or economic reasons, etc. All these changes should be immediately taken note of in the plans for process statistical control.

To this end, it should be recorded in the documents that in some specified time periods (a month, a quarter, a year etc.) control charts and other documents shall be subject to statistical analysis in order to update them. The frequency of such an analysis shall be determined by production necessity.

Table 1 — ARL values for  $B_1 = 2,75$  (One-sided criterion)

$\delta\sqrt{n}$	ARL with $B_1 = 2,75$ and $B_2$														
	K = 2					K = 3					K = 4				
	$B_2$					$B_2$					$B_2$				
	1,0	1,25	1,5	1,75	2,0	1,0	1,25	1,5	1,75	2,0	1,0	1,25	1,5	1,75	2,0
0,0	41,7	79,8	146,8	232,8	297,4	161,8	253,0	310,2	330,6	334,5	287,4	324,6	333,6	335,1	335,4
0,2	24,5	43,6	76,7	120,9	158,9	80,4	126,3	161,7	180,3	184,7	146,4	166,6	185,2	185,3	185,6
0,4	15,3	25,4	42,3	65,8	88,0	42,4	66,9	88,2	101,5	105,5	69,1	96,0	104,1	106,1	106,4
0,6	10,3	15,9	25,0	32,2	50,5	24,6	37,4	50,5	56,0	62,4	40,8	54,2	60,6	62,9	63,3
0,8	7,3	10,5	15,0	22,7	30,3	15,3	22,1	29,7	35,2	38,0	24,4	31,8	36,7	38,4	39,1
1,0	5,4	7,3	10,3	14,4	19,0	9,6	14,0	18,3	22,0	23,9	15,7	19,6	22,8	24,3	24,8
1,2	4,2	5,4	7,2	9,7	12,6	7,2	8,9	12,1	14,5	16,0	10,3	12,7	15,0	16,2	16,6
1,4	3,4	4,2	5,3	6,8	8,5	5,4	6,7	8,2	9,6	10,7	7,2	8,6	9,9	10,8	11,2
1,6	2,8	3,3	3,9	4,7	5,6	4,0	5,0	5,4	6,0	6,5	5,0	6,2	6,2	6,6	7,9
1,8	2,4	2,8	3,2	4,1	4,5	3,5	3,9	4,4	5,2	5,4	4,2	4,7	5,2	5,6	5,6
2,0	2,2	2,4	2,7	3,1	3,5	2,9	3,5	3,4	3,8	4,1	3,4	3,7	4,0	4,8	4,3
2,2	1,9	2,1	2,3	2,5	2,8	2,5	2,7	2,8	3,1	3,2	2,9	3,0	3,1	3,3	3,4
2,4	1,8	1,9	2,0	2,1	2,3	2,2	2,3	2,4	2,5	2,6	2,4	2,5	2,6	2,6	2,7
2,6	1,6	1,7	1,8	1,9	2,0	1,9	2,0	2,0	2,2	2,2	2,1	2,1	2,2	2,3	2,3
2,8	1,6	1,6	1,7	1,7	1,7	1,8	1,8	1,9	2,0	1,9	2,0	1,9	2,0	2,0	2,0
3,0	1,4	1,4	1,5	1,5	1,5	1,6	1,6	1,6	1,6	1,6	1,7	1,6	1,6	1,7	1,7
3,2	1,3	1,3	1,4	1,4	1,4	1,4	1,4	1,4	1,5	1,5	1,5	1,5	1,5	1,5	1,5
3,4	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3
3,6	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2
3,8	1,1	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2	1,2

iTech STANDARD PREVIEW

Table 2 — (ARL values for  $B_1 = 3$  (One-sided criterion))

$\delta\sqrt{n}$	ARL with $B_1 = 3$ and $B_2$														
	K = 2					K = 3					K = 4				
	$B_2$					$B_2$					$B_2$				
	1,0	1,25	1,5	1,75	2,0	1,0	1,25	1,5	1,75	2,0	1,0	1,25	1,5	1,75	2,0
0,0	43,8	83,5	186,1	346,2	556,0	215,1	422,5	620,1	711,0	734,6	535,4	624,1	730,9	738,3	739,4
0,2	25,7	48,1	92,7	151,0	275,2	101,3	194,0	301,7	365,0	385,9	245,4	341,6	380,6	389,6	391,0
0,4	16,1	27,9	50,5	89,6	141,9	51,8	95,6	159,4	192,1	210,5	117,1	174,6	203,3	212,4	214,2
0,6	10,8	17,2	26,4	39,8	76,0	28,6	49,7	78,4	87,7	115,9	59,5	89,7	111,0	117,6	121,9
0,8	8,1	11,3	17,7	28,4	43,0	19,2	28,1	43,1	55,2	66,9	35,4	48,8	62,3	69,4	71,4
1,0	5,6	7,9	11,6	17,4	25,5	11,6	17,1	25,0	33,7	39,9	19,5	40,3	36,3	41,3	43,3
1,2	4,2	5,8	8,0	11,4	16,1	7,7	11,2	14,9	20,6	24,7	11,9	17,1	22,0	25,6	27,2
1,4	3,6	4,5	5,8	7,8	11,2	6,0	7,8	10,3	13,2	15,8	8,7	11,2	15,0	16,4	17,6
1,6	3,0	3,5	4,4	5,7	7,4	4,7	5,8	7,2	8,9	10,6	6,5	7,8	9,4	10,9	11,3
1,8	2,6	2,9	3,5	4,7	5,4	3,9	4,5	5,3	6,8	7,4	5,0	5,8	6,7	7,9	8,3
2,0	2,3	2,5	2,9	3,4	4,1	3,4	3,6	4,1	4,7	5,4	4,0	4,5	5,0	5,5	6,0
2,2	2,1	2,2	2,5	2,8	3,2	2,8	2,8	3,3	3,7	4,1	3,4	3,6	3,9	4,2	4,5
2,4	1,9	2,0	2,2	2,4	2,6	2,5	2,6	2,8	3,0	3,2	2,9	3,0	3,1	3,3	3,5
2,6	1,7	1,8	1,9	2,0	2,2	2,2	2,3	2,3	2,5	2,6	2,5	2,5	2,7	2,7	2,8
2,8	1,6	1,7	1,8	1,8	1,9	2,0	2,1	2,1	2,1	2,2	2,2	2,3	2,3	2,3	2,4
3,0	1,5	1,6	1,6	1,6	1,7	1,8	1,8	1,8	1,9	1,9	1,9	1,9	1,9	1,9	2,0
3,2	1,4	1,4	1,4	1,5	1,5	1,6	1,6	1,6	1,6	1,7	1,6	1,6	1,6	1,6	1,7
3,4	1,3	1,3	1,4	1,4	1,4	1,5	1,5	1,5	1,5	1,5	1,5	1,5	1,5	1,5	1,5
3,6	1,3	1,3	1,3	1,3	1,3	1,3	1,4	1,4	1,4	1,4	1,4	1,4	1,4	1,4	1,4
3,8	1,2	1,2	1,2	1,2	1,2	1,2	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3	1,3