# Contents

Series Editor’s Foreword  
Copyrights and Permissions  
Acknowledgments  
Introduction  

**Chapter 1. The Case for Failure Mode and Effects Analysis**  
In This Chapter / 1  
1.1 The Need for Effective FMEAs / 1  
1.2 FMEA Application by Industry / 4  
1.3 The Factor of 10 Rule / 5  
1.4 FMEA Successes / 6  
1.5 Brief History of FMEA / 8  
1.6 FMEA Standards and Guidelines / 8  
1.7 How to Use This Book / 9  
1.8 Web Companion to *Effective FMEAs* / 10  
1.9 End of Chapter Problems / 10  
References / 11  

**Chapter 2. The Philosophy and Guiding Principles for Effective FMEAs**  
In This Chapter / 12  
2.1 What Is Philosophy and Why Does It Matter to FMEAs? / 12
Contents

2.2 Guiding Principles for Effective FMEAs / 13
   2.2.1 Having the Right Objectives / 13
   2.2.2 Having the Right Resources / 14
   2.2.3 Having the Right Procedures / 16

2.3 The Role of FMEA in Design for Reliability / 17

2.4 You Can’t Anticipate Everything / 18

2.5 End of Chapter Problems / 19

References / 20

Chapter 3. Understanding the Fundamental Definitions and Concepts of FMEAs 21

In This Chapter / 21

3.1 Definition of FMEA / 21

3.2 Primary Objective of FMEA / 22

3.3 Definition of Failure Mode Effects and Criticality Analysis / 22

3.4 Types of FMEAs / 23

3.5 FMEA Definitions and Examples / 25
   3.5.1 Item / 26
   3.5.2 Function / 27
   3.5.3 Failure Mode / 28
      3.5.3.1 Failure Modes at System/Subsystem Level versus Component Level / 30
   3.5.4 Effect / 32
   3.5.5 Severity / 34
   3.5.6 Cause / 36
   3.5.7 Occurrence / 38
   3.5.8 Controls / 38
   3.5.9 Detection / 43
   3.5.10 Risk Priority Number / 44
   3.5.11 Recommended Actions / 45

3.6 Is It a Failure Mode, Effect, or Cause? / 48

3.7 FMEA Glossary / 49

3.8 Web Companion to Effective FMEAs / 51

3.9 End of Chapter Problems / 51

References / 55

Chapter 4. Selection and Timing of FMEA Projects 56

In This Chapter / 56

4.1 Guidelines for When to Do FMEAs / 56

4.2 FMEA Project Selection Criteria / 58
4.3 Preliminary Risk Assessment / 59
4.4 When to Do Different Types of FMEAs / 60
4.5 Responsibility for FMEAs between OEMs and Suppliers / 62
4.6 Introducing the All-Terrain Bicycle Case Study / 63
4.7 End of Chapter Problems / 64

Chapter 5. How to Perform an FMEA Project: Preparation 66

In This Chapter / 66
Use of the Bicycle Examples in the Chapter / 66
5.1 The Subject of FMEA Preparation / 67
5.2 Preparation Tasks Done Once for All FMEA Projects / 67
  5.2.1 FMEA Software Selection / 67
  5.2.2 Selecting or Modifying FMEA Worksheets and Scales / 68
  5.2.3 Identifying Roles and Responsibilities / 70
  5.2.4 FMEA Team Training / 72
  5.2.5 Legal Guidelines for Doing FMEAs / 72
  5.2.6 Meeting Logistics / 73
  5.2.7 Defining the System Hierarchy (For System and Design FMEAs) / 73
  5.2.8 Defining the Process Steps (for Process FMEAs) / 75
  5.2.9 Access to Failure Information / 76
5.3 Preparation Tasks for Each New FMEA Project / 78
  5.3.1 Determine the Scope of the Analysis / 79
  5.3.2 Make the Scope Visible (for System and Design FMEAs) / 82
    5.3.2.1 FMEA Block Diagram / 82
    5.3.2.2 FMEA Interface Matrix / 84
    5.3.2.3 Parameter Diagram (P-Diagram) / 85
    5.3.2.4 Functional Block Diagram / 87
  5.3.3 Make the Scope Visible (for Process FMEAs) / 88
    5.3.3.1 Process Flow Diagram (PFD) / 88
    5.3.3.2 PFD Worksheet / 91
  5.3.4 Assemble the Correct Team / 93
  5.3.5 Establish the Ground Rules and Assumptions / 96
  5.3.6 Establish the Role of Suppliers / 98
Chapter 6. How to Perform an FMEA Project: Procedure

In This Chapter / 107
Use of the Bicycle Examples in the Chapter / 107

6.1 FMEA Procedure Sequence of Steps / 108
6.2 Basic FMEA Procedure / 109
6.2.1 Items / 109
6.2.2 Functions / 111
6.2.2.1 Requirements / 113
6.2.2.2 Checklist of Function Types / 114
6.2.3 Failure Modes / 119
6.2.4 Effects / 121
6.2.5 Severity Ranking / 125
6.2.6 Classification (Optional) / 127
6.2.7 Causes and Failure Mechanisms / 129
6.2.7.1 Failure Mechanisms (for System and Design FMEAs) / 131
6.2.7.2 Five Whys / 136
6.2.8 Occurrence Ranking / 138
6.2.9 Controls / 140
6.2.9.1 Design Controls for System or Design FMEAs / 140
6.2.9.2 Process Controls for Process FMEAs / 141
6.2.9.3 Use of Early Warning Devices and Mitigating Controls / 142
6.2.10 Detection Ranking / 145
6.2.10.1 Detection Scale for Assessing Risk Related to In-Service Detection Systems / 146
6.2.10.2 Limitations and Alternatives to Using Detection Ranking / 147
6.2.11 Risk Priority Number (RPN) / 148
6.2.11.1 Limitations and Alternatives to Using RPN / 150
6.3 FMEA Linkages / 152
6.3.1 System or Design FMEA Linkage to Design Verification Plan / 152
6.3.2 Process FMEA Linkage to Process Control Plans / 153
6.3.3 Design FMEA Linkage to Process FMEA / 155
6.3.4 Relationship between System, Subsystem, and Component FMEAs / 157
6.4 End of Chapter Problems / 158
References / 161

Chapter 7. How to Develop and Execute Effective Risk Reduction Actions 162

In This Chapter / 162
Use of the Bicycle Examples in the Chapter / 162
7.1 Prioritize Issues for Corrective Action / 163
7.1.1 Is Action Always Required on High Severity Issues? / 164
7.2 Develop Effective Recommended Actions / 165
7.2.1 Quality and Reliability Resources to Help Formulate FMEA Recommended Actions / 166
7.3 Action Strategies to Reduce Risk / 166
7.3.1 Action Strategies to Reduce Severity Risk / 167
7.3.2 Action Strategies to Reduce Occurrence Risk / 168
7.3.3 Action Strategies to Reduce Detection Risk / 172
7.3.4 Common Action Strategy Mistakes to Avoid / 174
7.4 Examples of Recommended Actions / 176
7.5 FMEA Execution Enablers / 176
7.6 The Essence of Execution / 182
7.7 Documenting Actions Taken / 182
7.8 Ensuring Risk Is Reduced to an Acceptable Level / 183
7.9 End of Chapter Problems / 183
References / 186

Chapter 8. Case Studies 187

In This Chapter / 187
8.1 Case Study: Shock Absorber Assembly / 188
8.2 Case Study: Strudel Pastry Manufacturing / 190
Chapter 9. Lessons Learned for Effective FMEAs 226

In This Chapter / 226

9.1 The Most Common FMEA Mistakes: How to Avoid Them and Audit Them / 226

9.2 Summary of FMEA Quality Objectives / 235

9.3 FMEA Quality Audit Procedure / 235

9.4 End of Chapter Problems / 236

Chapter 10. How to Facilitate Successful FMEA Projects 241

In This Chapter / 241

10.1 FMEA Facilitation / 241

10.2 Effective Meetings / 242

10.3 Primary FMEA Facilitation Skills / 243

10.3.1 Brainstorming / 243

10.3.2 Asking Probing Questions / 244

10.3.3 Encouraging Participation / 245

10.3.4 Active Listening / 245

10.3.5 Controlling Discussion / 245

10.3.6 Making Decisions / 246

10.3.7 Conflict Management / 247

10.3.8 Facilitator Interventions / 248
Chapter 11. Implementing an Effective Company-Wide FMEA Process

In This Chapter / 266
11.1 What Is a Company-Wide FMEA Process and Why Is It Important? / 266
11.2 Management Roles and Responsibilities / 267
11.3 Effective FMEA Process / 268
11.3.1 Planning Stage / 268
11.3.2 Performing FMEAs Stage / 272
11.3.3 Review Stage / 274
11.3.4 Implementation Stage / 277
11.4 Lessons Learned in Implementing a Company-Wide FMEA Process / 279
11.5 Company Climate for Sharing Failure Information / 281
11.6 End of Chapter Problems / 282

Chapter 12. Failure Mode Effects and Criticality Analysis (FMECA)

In This Chapter / 285
12.1 Introduction to FMECA / 285
12.2 When to Use FMECA / 286
12.3 Brief History of FMECA / 286
12.4 Types of FMECA / 287
12.5 Quantitative Criticality Analysis / 287
12.6 Qualitative Criticality Analysis / 289
12.7 FMECA Criticality Matrix / 292
12.8 FMECA Worksheet / 292
12.9 Summary Output of FMECA / 292
12.10 End of Chapter Problems / 294
References / 296
Chapter 13. Introduction to Design Review Based on Failure Mode (DRBFM)  297

In This Chapter / 297
13.1 What Is DRBFM? / 297
13.2 Change Point Analysis / 300
13.3 Conducting DRBFM Projects / 302
13.4 How DRBFM Integrates with FMEA / 304
13.5 DRBFM Worksheet / 304
13.6 DRBFM Examples and Case Studies / 304
   13.6.1 DRBFM Case Study 1 / 304
   13.6.2 DRBFM Case Study 2 / 307
   13.6.3 DRBFM Case Study 3 / 307
13.7 Design Review Based on Test Results / 309
13.8 DRBFM Glossary / 311
13.9 DRBFM Resources for Further Study / 312
13.10 End of Chapter Problems / 313
References / 315

Chapter 14. Introduction to Fault Tree Analysis (FTA)  316

In This Chapter / 316
14.1 What Is Fault Tree Analysis? / 316
14.2 FTA and FMEA / 317
   14.2.1 When Should FTA Be Used in Addition to FMEA? / 317
14.3 Brief History of FTA / 318
14.4 Models / 318
14.5 Events and Gates / 318
14.6 FTA Example / 319
14.7 FTA Glossary / 320
14.8 FTA Procedure / 323
14.9 FTA Handbooks and Standards / 324
14.10 Use of FTA on Software / 324
14.11 FTA Benefits and Limitations / 324
14.12 End of Chapter Problems / 326
References / 327

Chapter 15. Other FMEA Applications  328

In This Chapter / 328
15.1 Reliability-Centered Maintenance / 328
   15.1.1 RCM and FMEA / 329
   15.1.2 RCM: The Seven Basic Questions / 329
Chapter 16. Selecting the Right FMEA Software 365

In This Chapter / 365
16.1 Characteristics of Excellent FMEA Software / 365
16.2 Why Not Just Use Spreadsheet Software? / 368
16.3 Advantages of Relational Database / 368
16.4 Using the Criteria for Selecting Relational Database Software / 369
16.5 End of Chapter Problems / 369
Reference / 370

Appendices 371

Appendix A  FMEA Scales / 371
Appendix B  FMEA Worksheet Forms / 376
  B.1 Design FMEA Worksheet Forms / 377
  B.2 Process FMEA Worksheet Forms / 382
Contents
Appendix C  All-Terrain Bicycle Documents / 388
Appendix D  Lists and Checklists / 392
   D.1  FMEA Preparation Checklists / 392
      D.1.1 Checklist for FMEA Preparation / 392
      D.1.2 Ground Rules and Assumptions Checklist / 393
      D.1.3 Gather Information Checklist (for System and Design FMEAs) / 394
      D.1.4 Gather Information Checklist (for Process FMEAs) / 395
      D.1.5 Ready-for-First-Meeting Checklist / 395
   D.2  Lists of Failure Mechanisms (excerpts from book) / 396
   D.3  FMEA Quality Objectives / 399
   D.4  FMEA Facilitation Checklists / 400
      D.4.1 Checklist for Effective Meetings / 400
      D.4.2 FMEA Facilitator “Thought-Starter” Questions / 401
   D.5  FMEA Action Strategy Checklist / 405
   D.6  FMEA Quality Audit Procedure / 409
   D.7  FMEA Quality Survey Form / 413
Appendix E  FMEA Glossary / 414
References / 418

Index 419