

CONTENTS

FOREWORD.....	8
INTRODUCTION.....	10
1 Scope.....	11
2 Normative references.....	12
3 Terms, definitions and abbreviations.....	13
3.1 Alphabetical list of definitions.....	13
3.2 Terms and definitions.....	15
3.3 Abbreviations.....	28
4 Design process of an SCS and management of functional safety.....	28
4.1 Objective.....	28
4.2 Design process.....	29
4.3 Management of functional safety using a functional safety plan.....	31
4.4 Configuration management.....	33
4.5 Modification.....	33
5 Specification of a safety function.....	34
5.1 Objective.....	34
5.2 Safety requirements specification (SRS).....	34
5.2.1 General.....	34
5.2.2 Information to be available.....	34
5.2.3 Functional requirements specification.....	35
5.2.4 Estimation of demand mode of operation.....	35
5.2.5 Safety integrity requirements specification.....	36
6 Design of an SCS.....	37
6.1 General.....	37
6.2 Subsystem architecture based on top down decomposition.....	37
6.3 Basic methodology – Use of subsystem.....	37
6.3.1 General.....	37
6.3.2 SCS decomposition.....	38
6.3.3 Sub-function allocation.....	39
6.3.4 Use of a pre-designed subsystem.....	39
6.4 Determination of safety integrity of the SCS.....	40
6.4.1 General.....	40
6.4.2 PFH.....	40
6.5 Requirements for systematic safety integrity of the SCS.....	41
6.5.1 Requirements for the avoidance of systematic hardware failures.....	41
6.5.2 Requirements for the control of systematic faults.....	42
6.6 Electromagnetic immunity.....	43
6.7 Software based manual parameterization.....	43
6.7.1 General.....	43
6.7.2 Influences on safety-related parameters.....	43
6.7.3 Requirements for software based manual parameterization.....	44
6.7.4 Verification of the parameterization tool.....	45
6.7.5 Performance of software based manual parameterization.....	45
6.8 Security aspects.....	45
6.9 Aspects of periodic testing.....	46
7 Design and development of a subsystem.....	46

7.1	General.....	46
7.2	Subsystem architecture design	47
7.3	Requirements for the selection and design of subsystem and subsystem elements.....	48
7.3.1	General	48
7.3.2	Systematic integrity	48
7.3.3	Fault consideration and fault exclusion	51
7.3.4	Failure rate of subsystem element	52
7.4	Architectural constraints of a subsystem	55
7.4.1	General	55
7.4.2	Estimation of safe failure fraction (<i>SFF</i>)	56
7.4.3	Behaviour (of the SCS) on detection of a fault in a subsystem	57
7.4.4	Realization of diagnostic functions.....	58
7.5	Subsystem design architectures.....	59
7.5.1	General	59
7.5.2	Basic subsystem architectures.....	59
7.5.3	Basic requirements.....	61
7.6	<i>PFH</i> of subsystems	62
7.6.1	General	62
7.6.2	Methods to estimate the <i>PFH</i> of a subsystem	62
7.6.3	Simplified approach to estimation of contribution of common cause failure (CCF).....	62
8	Software.....	62
8.1	General.....	62
8.2	Definition of software levels	63
8.3	Software – Level 1	64
8.3.1	Software safety lifecycle – SW level 1	64
8.3.2	Software design – SW level 1	65
8.3.3	Module design – SW level 1.....	67
8.3.4	Coding – SW level 1	67
8.3.5	Module test – SW level 1	68
8.3.6	Software testing – SW level 1	68
8.3.7	Documentation – SW level 1	69
8.3.8	Configuration and modification management process – SW level 1.....	69
8.4	Software level 2	70
8.4.1	Software safety lifecycle – SW level 2	70
8.4.2	Software design – SW level 2	71
8.4.3	Software system design – SW level 2	73
8.4.4	Module design – SW level 2.....	73
8.4.5	Coding – SW level 2	74
8.4.6	Module test – SW level 2	75
8.4.7	Software integration testing SW level 2.....	75
8.4.8	Software testing SW level 2	75
8.4.9	Documentation – SW level 2.....	76
8.4.10	Configuration and modification management process – SW level 2.....	77
9	Validation	77
9.1	Validation principles.....	77
9.1.1	Validation plan.....	80
9.1.2	Use of generic fault lists	80

9.1.3	Specific fault lists	80
9.1.4	Information for validation	81
9.1.5	Validation record	81
9.2	Analysis as part of validation	82
9.2.1	General	82
9.2.2	Analysis techniques	82
9.2.3	Verification of safety requirements specification (SRS)	82
9.3	Testing as part of validation	83
9.3.1	General	83
9.3.2	Measurement accuracy	83
9.3.3	More stringent requirements	84
9.3.4	Test samples	84
9.4	Validation of the safety function	84
9.4.1	General	84
9.4.2	Analysis and testing	85
9.5	Validation of the safety integrity of the SCS	85
9.5.1	General	85
9.5.2	Validation of subsystem(s)	85
9.5.3	Validation of measures against systematic failures	86
9.5.4	Validation of safety-related software	86
9.5.5	Validation of combination of subsystems	87
10	Documentation	87
10.1	General	87
10.2	Technical documentation	87
10.3	Information for use of the SCS	89
10.3.1	General	89
10.3.2	Information for use given by the manufacturer of subsystems	89
10.3.3	Information for use given by the SCS integrator	90
Annex A (informative)	Determination of required safety integrity	92
A.1	General	92
A.2	Matrix assignment for the required SIL	92
A.2.1	Hazard identification/indication	92
A.2.2	Risk estimation	92
A.2.3	Severity (Se)	93
A.2.4	Probability of occurrence of harm	93
A.2.5	Class of probability of harm (CI)	96
A.2.6	SIL assignment	96
A.3	Overlapping hazards	98
Annex B (informative)	Example of SCS design methodology	99
B.1	General	99
B.2	Safety requirements specification	99
B.3	Decomposition of the safety function	99
B.4	Design of the SCS by using subsystems	100
B.4.1	General	100
B.4.2	Subsystem 1 design – “guard door monitoring”	100
B.4.3	Subsystem 2 design – “evaluation logic”	102
B.4.4	Subsystem 3 design – “motor control”	103
B.4.5	Evaluation of the SCS	103
B.4.6	PFH	104

B.5	Verification.....	104
B.5.1	General	104
B.5.2	Analysis.....	104
B.5.3	Tests	105
Annex C (informative)	Examples of $MTTF_D$ values for single components	106
C.1	General.....	106
C.2	Good engineering practices method	106
C.3	Hydraulic components.....	106
C.4	$MTTF_D$ of pneumatic, mechanical and electromechanical components	107
Annex D (informative)	Examples for diagnostic coverage (DC).....	109
Annex E (informative)	Methodology for the estimation of susceptibility to common cause failures (CCF).....	111
E.1	General.....	111
E.2	Methodology	111
E.2.1	Requirements for CCF	111
E.2.2	Estimation of effect of CCF	111
Annex F (informative)	Guideline for software level 1	114
F.1	Software safety requirements.....	114
F.2	Coding guidelines	115
F.3	Specification of safety functions	116
F.4	Specification of hardware design	117
F.5	Software system design specification.....	119
F.6	Protocols	121
Annex G (informative)	Examples of safety functions.....	124
Annex H (informative)	Simplified approaches to evaluate the PFH value of a subsystem	125
H.1	Table allocation approach	125
H.2	Simplified formulas for the estimation of PFH	127
H.2.1	General	127
H.2.2	Basic subsystem architecture A: single channel without a diagnostic function	127
H.2.3	Basic subsystem architecture B: dual channel without a diagnostic function	128
H.2.4	Basic subsystem architecture C: single channel with a diagnostic function	128
H.2.5	Basic subsystem architecture D: dual channel with a diagnostic function(s)	133
H.3	Parts count method.....	134
Annex I (informative)	The functional safety plan and design activities	135
I.1	General.....	135
I.2	Example of a machine design plan including a safety plan	135
I.3	Example of activities, documents and roles.....	135
Annex J (informative)	Independence for reviews and testing/verification/validation activities	138
J.1	Software design	138
J.2	Validation.....	138
Bibliography.....		140
Figure 1 – Scope of this document.....		12

Figure 2 – Integration within the risk reduction process of ISO 12100 (extract)	29
Figure 3 – Iterative process for design of the safety-related control system	30
Figure 4 – Example of a combination of subsystems as one SCS.....	31
Figure 5 – By activating a low demand safety function at least once per year it can be assumed to be high demand	36
Figure 6 – Examples of typical decomposition of a safety function into sub-functions and its allocation to subsystems	39
Figure 7 – Example of safety integrity of a safety function based on allocated subsystems as one SCS	40
Figure 8 – Subsystem A logical representation	60
Figure 9 – Subsystem B logical representation	60
Figure 10 – Subsystem C logical representation	60
Figure 11 – Subsystem D logical representation	61
Figure 12 – V-model for SW level 1.....	64
Figure 13 – V-model for software modules customized by the designer for SW level 1	64
Figure 14 – V-model of software safety lifecycle for SW level 2.....	70
Figure 15 – Overview of the validation process	79
Figure A.1 – Parameters used in risk estimation	92
Figure A.2 – Example proforma for SIL assignment process	98
Figure B.1 – Decomposition of the safety function.....	100
Figure B.2 – Overview of design of the subsystems of the SCS	100
Figure F.1 – Plant sketch	116
Figure F.2 – Principal module architecture design.....	119
Figure F.3 – Principal design approach of logical evaluation	120
Figure F.4 – Example of logical representation (program sketch)	121
Figure H.1 – Subsystem A logical representation	127
Figure H.2 – Subsystem B logical representation	128
Figure H.3 – Subsystem C logical representation.....	128
Figure H.4 – Correlation of subsystem C and the pertinent fault handling function	129
Figure H.5 – Subsystem C with external fault handling function	129
Figure H.6 – Subsystem C with external fault diagnostics	131
Figure H.7 – Subsystem C with external fault reaction	131
Figure H.8 – Subsystem C with internal fault diagnostics and internal fault reaction.....	131
Figure H.9 – Subsystem D logical representation	133
Figure I.1 – Example of a machine design plan including a safety plan	135
Figure I.2 – Example of activities, documents and roles	136
Table 1 – Terms used in IEC 62061	13
Table 2 – Abbreviations used in IEC 62061.....	28
Table 3 – SIL and limits of <i>PFH</i> values.....	36
Table 4 – Required SIL and <i>PFH</i> of pre-designed subsystem	40
Table 5 – Relevant information for each subsystem	47
Table 6 – Architectural constraints on a subsystem: maximum SIL that can be claimed for an SCS using the subsystem	56

Table 7 – Overview of basic requirements and interrelation to basic subsystem architectures	61
Table 8 – Different levels of application software	63
Table 9 – Documentation of an SCS	88
Table A.1 – Severity (Se) classification	93
Table A.2 – Frequency and duration of exposure (Fr) classification	94
Table A.3 – Probability (Pr) classification	95
Table A.4 – Probability of avoiding or limiting harm (Av) classification	96
Table A.5 – Parameters used to determine class of probability of harm (Cl)	96
Table A.6 – Matrix assignment for determining the required SIL (or PL_r) for a safety function	97
Table B.1 – Safety requirements specification – example of overview	99
Table B.2 – Systematic integrity – example of overview	104
Table B.3 – Verification by tests	105
Table C.1 – Standards references and $MTTF_D$ or B_{10D} values for components	107
Table D.1 – Estimates for diagnostic coverage (DC)	109
Table E.1 – Criteria for estimation of CCF	112
Table E.2 – Criteria for estimation of CCF	113
Table F.1 – Example of relevant documents related to the simplified V-model	114
Table F.2 – Examples of coding guidelines	115
Table F.3 – Specified safety functions	117
Table F.4 – Relevant list of input and output signals	118
Table F.5 – Example of simplified cause and effect matrix	121
Table F.6 – Verification of software system design specification	122
Table F.7 – Software code review	122
Table F.8 – Software validation	123
Table G.1 – Examples of typical safety functions	124
Table H.1 – Allocation of PFH value of a subsystem	126
Table H.2 – Relationship between B_{10D} , operations and $MTTF_D$	127
Table H.3 – Minimum value of $1/\lambda_D F_H$ for the applicability of PFH equation (H.4)	132
Table J.1 – Minimum levels of independence for review, testing and verification activities	138
Table J.2 – Minimum levels of independence for validation activities	138