
**Safety of machinery — Risk
assessment —**

**Part 1:
Principles**

*Sécurité des machines — Appréciation du risque —
Partie 1: Principes*



PDF disclaimer

This PDF file may contain embedded typefaces. In accordance with Adobe's licensing policy, this file may be printed or viewed but shall not be edited unless the typefaces which are embedded are licensed to and installed on the computer performing the editing. In downloading this file, parties accept therein the responsibility of not infringing Adobe's licensing policy. The ISO Central Secretariat accepts no liability in this area.

Adobe is a trademark of Adobe Systems Incorporated.

Details of the software products used to create this PDF file can be found in the General Info relative to the file; the PDF-creation parameters were optimized for printing. Every care has been taken to ensure that the file is suitable for use by ISO member bodies. In the unlikely event that a problem relating to it is found, please inform the Central Secretariat at the address given below.



COPYRIGHT PROTECTED DOCUMENT

© ISO 2007

All rights reserved. Unless otherwise specified, 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 either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

Published in Switzerland

Contents

Page

Foreword.....	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions.....	1
4 General principles.....	4
4.1 Basic concepts.....	4
4.2 Information for risk assessment	5
5 Determination of limits of machinery	6
5.1 General.....	6
5.2 Use limits	7
5.3 Space limits	7
5.4 Time limits	7
5.5 Other limits	8
6 Hazard identification.....	8
7 Risk estimation	9
7.1 General.....	9
7.2 Elements of risk	9
7.3 Aspects to be considered during risk estimation	12
8 Risk evaluation.....	13
8.1 General.....	13
8.2 Achievement of adequate risk reduction	14
8.3 Comparison of risks	15
9 Documentation	15
Annex A (informative) Examples of hazards, hazardous situations and hazardous events	16
Bibliography	28

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.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. 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.

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.

ISO 14121-1 was prepared by Technical Committee ISO/TC 199, *Safety of machinery*.

This first edition of ISO 14121-1 cancels and replaces ISO 14121:1999, of which it constitutes a technical revision.

ISO 14121 consists of the following parts, under the general title *Safety of machinery — Risk assessment*:

- *Part 1: Principles*
- *Part 2: Practical guidance and examples of methods* [Technical Report]

Introduction

The structure of safety standards in the field of machinery is as follows.

- a) Type-A standards (basic standards) give basic concepts, principles for design, and general aspects that can be applied to machinery.
- b) Type-B standards (generic safety standards) deal with one or more safety aspect(s) or one or more type(s) of safeguards that can be used across a wide range of machinery:
 - type-B1 standards on particular safety aspects (e.g. safety distances, surface temperature, noise);
 - type-B2 standards on safeguards (e.g. two-hands controls, interlocking devices, pressure sensitive devices, guards).
- c) Type-C standards (machine safety standards) deal with detailed safety requirements for a particular machine or group of machines.

This part of ISO 14121 is a type-A standard as stated in ISO 12100-1.

When provisions of a type-C standard are different from those which are stated in type-A or type-B standards, the provisions of the type-C standard take precedence over the provisions of the other standards for machines that have been designed and built according to the provisions of the type-C standard.

The purpose of this type-A standard is to describe principles for a consistent systematic procedure for risk assessment as stated in ISO 12100-1:2003, Clause 5.

This part of ISO 14121 gives guidance for decisions related to the design of machinery and will assist in the preparation of consistent and appropriate type-B and type-C standards, so that machines can be produced that are safe for their intended use in accordance with the methodology given in ISO 12100.

Annex A gives, in separate tables, examples of hazards, hazardous situations and hazardous events, so as to clarify these concepts and assist the designer in the process of hazard identification.

The practical use of a number of methods for each stage of risk assessment is described ISO/TR 14121-2, which also gives some guidance on how the selection of protective measures (in accordance with ISO 12100) can reduce the different elements of risk in relation to Figure 2 of this part of ISO 14121.

This part of ISO 14121 can be incorporated in training courses and manuals where appropriate to give basic instruction on risk assessment.

Safety of machinery — Risk assessment —

Part 1: Principles

1 Scope

This part of ISO 14121 establishes general principles intended to be used to meet the risk reduction objectives established in ISO 12100-1:2003, Clause 5. These principles of risk assessment bring together knowledge and experience of the design, use, incidents, accidents and harm related to machinery in order to assess the risks posed during the relevant phases of the life cycle of a machine.

This part of ISO 14121 provides guidance on the information that will be required to enable risk assessment to be carried out. Procedures are described for identifying hazards and estimating and evaluating risk.

It also gives guidance on the making of decisions relating to the safety of machinery and on the type of documentation required to verify the risk assessment carried out.

It is not applicable to risks posed to domestic animals, property or the environment.

2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 12100-1:2003, *Safety of machinery — Basic concepts, general principles for design — Part 1: Basic terminology, methodology*

ISO 12100-2:2003, *Safety of machinery — Basic concepts, general principles for design — Part 2: Technical principles and specifications*

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

3.1

harm

physical injury or damage to health

[ISO 12100-1:2003, definition 3.5]