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1 Introduction

1.1 Overview

Before placing goods on the European market, the manufacturer or distributor must meet the requirements of the country of destination. Uniform requirements have been defined for the European Economic Area. The manufacturer must implement all applicable directives and declare their compliance by the CE marking. This essentially includes the documentation of the development process.

The entire CE process of a machine takes into account the fulfillment of the basic health and safety requirements for the design and construction of machines. These indicate the preparation and implementation of a risk evaluation. The assessment results must be taken into account for the design and construction of the machine. To this end, it is recommended that harmonized standards designed to meet the essential requirements of the directives be applied.

To fully comply with the CE marking process, any appropriate directive must be taken into account. Compliance with the Machinery Directive 2006/42/EC is only one prerequisite for CE marking.

Relating to machine safety, this application example focuses on the fulfillment of the requirements for control-related measures. To this end, this document sets out the necessary minimum requirements for Functional Safety Management (FSM) and the benefits of this additional effort to facilitate fulfillment of the requirements.

1.2 Risk evaluation

The risk evaluation process in this application example is based on the DIN EN ISO 12100 standard. Performing the risk evaluation comprises various steps that are necessary to fulfill the specified process.

- Identify hazards
- Risk estimation
- Risk assessment and risk reduction

Figure 1-1 Classification of the risk evaluation in the development process from the idea to placing a machine on the market

Identification of hazards

Once the limits of the machine have been defined, potential hazards are analyzed on this basis, for each phase of its life, and for each mode of operation.

Risk estimation

The risks arising from the hazards identified must be considered. The risk is a combination of

- extent of damage and
- the probability of the occurrence of damage
Risk assessment and reduction

Once the risk estimation has been completed, an assessment of the identified risks takes place to determine whether a reduction is necessary.

From the standard DIN EN ISO 12100, the following measures can be defined and applied:

1. Inherently safe mechanical design (elimination of hazard due to design modification)
2. Technical measures (use of safety components or protective devices)
3. User information about residual risks

After applying any risk reduction measures, a further risk assessment must be carried out to check whether the risk has been reduced to an acceptable level. If this is not the case, further risk reduction measures must be defined.

Figure 1-2 Three-step procedure

Details on technical measures

Technical measures with monitoring (safety functions or control-related measures) are implemented with suitable devices, such as safety relays or fail-safe controls. If the monitored limits or limit values are violated, the machine is automatically transferred to a safe state, as well as in the event of a malfunction of the protective devices.

In order to select suitable safety-relevant equipment, a quantitative degree of safety-relevant performance must be determined. The following levels can be used for this purpose.

- Safety Integrity Level (SIL) according to EN 62061
- Performance level (PL) according to EN ISO 13849

The result of this evaluation forms the basis for the definition and implementation of the safety functions.

To ensure high quality during the implementation and design phase, a suitable process must be established. For the description, several steps are necessary to
meet the requirements. With these steps the phases specification, implementation, verification and validation can be fulfilled. The entire process is called Functional Safety Management (FSM).
2 Functional Safety Management

According to the requirements of the Machinery Directive, it is necessary to ensure a high quality of each individual machine component. With regard to the part of functional safety used to ensure the safe operation of the machine, the following two points should be considered in order to achieve an acceptable level.

- Use of reliable hardware
- Ensuring a reliable and correct implementation

Figure 2-1 Classification of Functional Safety Management in the process

From the risk assessment, the risk reduction measures must be defined in the form of technical, specifically control-related measures by the Functional Safety Management framework. The Functional Safety Management process defines, among other things, the following steps and their execution.

- Listing of a Safety Requirements Specification (SRS) with all relevant safety information
- Design and selection of the required hardware and software
- Verification of compliance with all required safety values
- Creation of a suitable program
- Testing of hardware and software

The FSM process ensures the necessary independence between all persons involved in the process. The completion of the process shows that all safety requirements have been implemented and are functioning properly.

By using basic documents, these requirements of the FSM process can be documented as well as tracked at all times.

2.1 Functional Safety Management plan

The FSM plan is at the heart of the Functional Safety Management process and thus represents a process description for the structured implementation of all safety requirements.

For example, the respective process can be represented with a V model and shows the chronological sequence of the development steps.
Depending on the size and complexity of the system to be developed, the level of detail of the FSM plan may vary, but always follows the same principle.

The most important contents to be defined as well as an exemplary implementation of these contents are presented in the following.
2.2 Safety Requirement Specification

After a risk assessment and the definition of measures, the specification of each individual safety function must be determined. It comprises the part of the risk-reducing measures from this risk assessment that must be implemented by using safety technology (control-related measures).

The design of the hardware and software of control-related measures can be described with the following parameters.
Based on a detailed description, the hardware and software can subsequently be described and defined.
Figure 2-6 Exemplary documentation SRS

Safety Requirement Specification

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<td>Description of the basis on which the required PL was defined</td>
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<td>Safe state</td>
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<td>Description of how the safe state is defined and assured</td>
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<td>Definition of limit values and their associated machine reaction</td>
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3. ...

2.3 Functional Design Specification

The Functional Design Specification (FDS) describes the complete functional scope of the overall system to be created and contains a breakdown of the functionalities into subsystems/subprojects. In order to implement these, a hardware and software design process is necessary. The degree of detail of the FDS depends on the respective project complexity and is largely determined by the scope of supply and services.
For more complex projects, it is advisable to make a further division. For example, an elementary description of a function can be defined in the FDS. A more detailed description can then be made in a respective Detailed Design Specification (DDS).

Note

It is important that references to the Safety Requirements Specification are provided for specification points relating to control-related measures in order to ensure traceability.

Hardware design

The design and selection of hardware plays an essential role in the implementation of a safety function. Here, the results of the risk evaluation must be taken into account and applied. If a combination of safety-relevant parts is required, suitable qualified components must be selected. These include

- certified,
- non-certified or
- combined hardware.

The designer must ask himself various questions in order to achieve the required safety level on the one hand and to select suitable hardware on the other hand.

- Does the hardware meet the safety requirements?
- Can the hardware cover the functional range?
- Can each subsystem be implemented with hardware?
- Which architecture is suitable?
- How reliable must the safety function be?
- What diagnostics is required?
- Resistance to external influences?
- Suitable process available?
- Are further measures needed?
  - Diagnoses?
  - Settings?

Note

Fail-safe modules offer the necessary quality due to integrated structures and diagnostic measures and are certified accordingly for use in the implementation of safety functions. When using non-certified hardware, please note that additional measures may be required to qualify it for use.

After selecting the safety-relevant components, they can be verified by means of the TIA Selection Tool Safety Evaluation in accordance with the standards EN 62061 and EN ISO 13849-1. Taking these into account, a designer can quickly and easily evaluate the safety functions of the machine.

Through early verification of the achievable safety levels with the selected components, the designer can avoid the selection and ordering of hardware that is not suitable for the safety requirements.

Software design

Based on the SRS and the selected hardware, it may be necessary to design a suitable user software. For the software program, detailed planning of its designs is
helpful. In order to realize this, a designer must work out a specification of the program. The following points may help in this respect.

- Description of the function
- Semiformal representation of the program flow
  - Cause-effect diagram
  - Detailed state machine
  - Signal flow chart
  - Program flow charts for state transitions
- General textual description
- Description of the interface
- Address ranges

These points can help the software programmer to implement the program for the safety functions. With increasing quality of the design planning, e.g. through detailed state diagrams, the quality of the subsequently created software and its traceability also increases.
2.4 V&V specification

The V&V specification defines the process with regard to validation and verification. It is specified how these measures have to be carried out and which documents may be created in the process. A high quality of document creation helps to comply with the burden of proof.

Note

The V&V steps to be defined are also largely derived from the scope of supply and services. However, it is also important here, analogous to the FDS, that V&V steps relating to control-related measures must be identified by means of references to the SRS in order to prove their completeness.
Validation
The aim of validation is to check whether the implemented safety functions make the required contribution to risk reduction. In the case of deviations from the expected results, corrections must be made to the technical implementation and an appropriate repeat test must be carried out.

The validation process can be divided into the following phases:

Safety Requirements Specification (SRS), derived from the risk assessment
Once the SRS has been defined and prepared, it is checked whether all risks identified in the risk evaluation are met by the specification. Furthermore, in addition to checking the content, the completeness, contradictions and correctness of the information are also examined.

Hardware and software specification, derived from the SRS
During the hardware and software validation, it is checked whether all requirements specified in the SRS have been covered. This includes, for example, comparing the implemented software and its description with the hardware used. It has to be proven that they comply with the required measures to implement risk reduction.

Verification
During verification, it must be checked whether the hardware or software used in each case meets the respective specifications. This verification can be provided by means of analyses, reviews or various test scenarios.

For the safety functions, it must be demonstrated accordingly that the requirements from the SRS, if necessary by means of an FDS, are complied with in relation to the hardware and software implementation. This can be done in two test stages. It is strongly recommended to carry out a function test. Here the entire function is tested against the specification.

For function modules that are used repeatedly in defined functions, it may be useful to perform a module test.

Module test
This test includes the analysis of the user software with the corresponding hardware configuration. For this purpose, the basic functions of the modules, usually function blocks, are tested. This can be done by means of, for example, parameter checks, black/white box tests, etc. In addition, general tests, as listed below, are also conceivable.

- Hardware setup test in the control cabinet
- Analysis of the address ranges between the modules
- Limit value analysis (memory test, etc.)
- Compliance with programming guidelines
Function test
The function test concerns the program functionality in detail. Various tests are conceivable, such as process simulations, parameter checks, and limit value tests. To investigate the functionality of the software, among other things, various tests and analyses are available.

- IO test
- Acceptance test
- Function test
- Response time test
- Signal path test

Factory Acceptance Test
The acceptance of a safety function in the plant is completed within the scope of a Factory Acceptance Test (FAT). You can find sample documentation for this in Industry Online Support under the entry ID 109758262.
2 Functional Safety Management

Figure 2-8 Exemplary V&V Specification

V&V Specification

Project: Project name
Version: XY of xx.yy.zz

Author: NAME (V&V Manager)
Releaser: NAME (Functional Safety Manager)

1. Module test
   This chapter describes the test procedure for testing the individual modules.

1.1 Test execution
   Hardware
   Description of used hardware to perform the module test.
   Software
   Description of used software to perform the module test.
   Procedure
   Description of the test procedure
   Test structure
   Description of how the test cases are defined (flowcharts, state graphs, ...)

1.2 Overview project parameter
   The following parameters are documented before the testing:
   - Data name of the test project
   - Symbolic block name
   - Object number
   - Block signature
   - Password

1.3 Module Test checklist
   The test cases with the expected results are shown here

1.4 Test case 1

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</table>

1.5 Test case n
2. Function test

This chapter describes the test execution of the entire system in the interaction of the individual modules.

2.1. Test execution

Hardware
Description of used hardware to perform the module test.

Software
Description of used software to perform the module test.

Procedure
Description of the test procedure

Hardware parameter
Specifications for the parameterization of the hardware

Test structure
Description of how the test cases are defined (flowcharts, state graphs, ...)

Block linking
Describes the interaction and signal characteristics between the individual blocks

1.6 Overview project parameter

The following parameters are documented before the testing:
- Data name of the test project
- Symbolic block name
- Object number
- Project signature
- Block signature
- Password

2.2. Description of test documentation

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3. Summary test result

Summary of test result, list of defects to be remedied
3 Summary and conclusion

Every machine manufacturer must provide proof that the products he places on the market meet all legal requirements. The Functional Safety Management process provides a means of doing this.

With the process described, all necessary tasks can be carried out step by step, through a defined organizational structure. Various phases such as specification, implementation, verification and validation are run through and worked out. The responsibilities for activities, documents and milestones are also defined.

This helps to avoid systematic errors, to increase the quality of the products, and to integrate a structured working method into the workflow.

The user himself is responsible for the respective level of detail as well as the scope of this process shown. Here, it is always important to ensure that a suitable degree is found for the respective project scope.
4 Appendix

4.1 Service and support

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Fehler! Linkreferenz ungültig.
4.2 Links and literature

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4.3 Change documentation

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