

INTERNATIONAL STANDARD

NORME INTERNATIONALE

Hazard and operability studies (HAZOP studies) – Application guide

Études de danger et d'exploitabilité (études HAZOP) – Guide d'application



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INTERNATIONAL ELECTROTECHNICAL COMMISSION

**HAZARD AND OPERABILITY STUDIES (HAZOP STUDIES) –
APPLICATION GUIDE**

FOREWORD

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International Standard IEC 61882 has been prepared by IEC technical committee 56: Dependability.

This second edition cancels and replaces the first edition published in 2001. This edition constitutes a technical revision.

This edition includes the following significant technical changes with respect to the previous edition:

- a) clarification of terminology as well as alignment with terms and definitions within ISO 31000:2009 and ISO Guide 73:2009;
- b) addition of an improved case study of a procedural HAZOP.

The text of this standard is based on the following documents:

FDIS	Report on voting
56/1653/FDIS	56/1666/RVD

Full information on the voting for the approval of this standard can be found in the report on voting indicated in the above table.

This publication has been drafted in accordance with the ISO/IEC Directives, Part 2.

The committee has decided that the contents of this publication will remain unchanged until the stability date indicated on the IEC website under "<http://webstore.iec.ch>" in the data related to the specific publication. At this date, the publication will be

- reconfirmed,
- withdrawn,
- replaced by a revised edition, or
- amended.

INTRODUCTION

This standard describes the principles for and approach to guide word-driven risk identification. Historically this approach to risk identification has been called a hazard and operability study or HAZOP study for short. This is a structured and systematic technique for examining a defined system, with the objectives of:

- identifying risks associated with the operation and maintenance of the system. The hazards or other risk sources involved can include both those essentially relevant only to the immediate area of the system and those with a much wider sphere of influence, for example some environmental hazards;
- identifying potential operability problems with the system and in particular identifying causes of operational disturbances and production deviations likely to lead to non-conforming products.

An important benefit of HAZOP studies is that the resulting knowledge, obtained by identifying risks and operability problems in a structured and systematic manner, is of great assistance in determining appropriate remedial measures.

A characteristic feature of a HAZOP study is the examination session during which a multi-disciplinary team under the guidance of a study leader systematically examines all relevant parts of a design or system. It identifies deviations from the system design intent utilizing a set of guide words. The technique aims to stimulate the imagination of participants in a systematic way to identify risks and operability problems. A HAZOP study should be seen as an enhancement to sound design using experience-based approaches such as codes of practice rather than a substitute for such approaches.

Historically, HAZOP and similar studies were described as hazard identification as their primary purpose is to test in a systematic way whether hazards are present and, if so, understand both how they could result in adverse consequences and how such consequences could be avoided through process redesign. ISO 31000:2009 defines risk as the effect of uncertainty on objectives, with a note that an effect is a deviation from the expected. Therefore HAZOP studies, which consider deviations from the expected, their causes and their effect on objectives in the context of process design, are now correctly characterized as powerful risk identification tools.

There are many different tools and techniques available for the identification of risks, ranging from checklists, failure modes and effects analysis (FMEA) to HAZOP. Some techniques, such as checklists and what-if/analysis, can be used early in the system life cycle when little information is available, or in later phases if a less detailed analysis is needed. HAZOP studies require more detail regarding the systems under consideration, but produce more comprehensive information on risks and weaknesses in the system design.

The term HAZOP is sometimes associated, in a generic sense, with some other hazard identification techniques (e.g. checklist HAZOP, HAZOP 1 or 2, knowledge-based HAZOP). The use of the term with such techniques is considered to be inappropriate and is specifically excluded from this document.

Before commencing a HAZOP study, it should be confirmed that it is the most appropriate technique (either individually or in combination with other techniques) for the task in hand. In making this judgment, consideration should be given to the purpose of the study, the possible severity of any consequences, the appropriate level of detail, the availability of relevant data and resources and the needs of decision-makers.

This standard has been developed to provide guidance across many industries and types of system. There are more specific standards and guides within some industries, notably the process industries where the technique originated, which establish preferred methods of application for these industries. For details see the bibliography at the end of this standard.

HAZARD AND OPERABILITY STUDIES (HAZOP STUDIES) – APPLICATION GUIDE

1 Scope

This International Standard provides a guide for HAZOP studies of systems using guide words. It gives guidance on application of the technique and on the HAZOP study procedure, including definition, preparation, examination sessions and resulting documentation and follow-up.

Documentation examples, as well as a broad set of examples encompassing various applications, illustrating HAZOP studies are also provided.

2 Normative references

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

IEC 60050-192, *International electrotechnical vocabulary – Part 192: Dependability* (available at <http://www.electropedia.org>)

3 Terms, definitions and abbreviations

3.1 Terms and definitions

For the purposes of this document, the terms and definitions given in IEC 60050-192 and the following apply.

NOTE Within this clause, the terms defined are in *italic* type.

3.1.1

characteristic

qualitative or quantitative property

EXAMPLE Pressure, temperature, voltage.

3.1.2

consequence

outcome of an event affecting objectives

Note 1 to entry: An event can lead to a range of consequences.

Note 2 to entry: A consequence can be certain or uncertain and can have positive or negative effects on objectives.

Note 3 to entry: Consequences can be expressed qualitatively or quantitatively.

Note 4 to entry: Initial consequences can escalate through knock-on effects.

[SOURCE: ISO Guide 73:2009, 3.6.1.3]

3.1.3

control

measure that is modifying *risk* (3.1.12)

Note 1 to entry: Controls include any process, policy, device, practice, or other actions which modify risk.

Note 2 to entry: Controls may not always exert the intended or assumed modifying effect.

[SOURCE: ISO Guide 73:2009, 3.8.1.1]

3.1.4

design intent

designer's desired, or specified range of behaviour for properties which ensure that the item fulfills its requirements

3.1.5

property

constituent of a part which serves to identify the part's essential features

Note 1 to entry: The choice of properties can depend upon the particular application, but properties can include features such as the material involved, the activity being carried out, the equipment employed, etc. Material should be considered in a general sense and includes data, software, etc.

3.1.6

guide word

word or phrase which expresses and defines a specific type of deviation from a property's design intent

3.1.7

harm

physical injury or damage to the health of people or damage to assets or the environment

3.1.8

hazard

source of potential *harm* (3.1.7)

Note 1 to entry: Hazard can be a *risk source* (3.1.14).

[SOURCE: ISO Guide 73:2009, 3.5.1.4]

3.1.9

level of risk

magnitude of a *risk* (3.1.12) or combination of risks, expressed in terms of the combination of *consequences* (3.1.2) and their likelihood

[SOURCE: ISO Guide 73:2009, 3.6.1.8]

3.1.10

manager

person with responsibility for a project, activity or organization.

3.1.11

part

section of the system which is the subject of immediate study

Note 1 to entry: A part can be physical (e.g. hardware) or logical (e.g. step in an operational sequence).

3.1.12

risk

effect of uncertainty on objectives

Note 1 to entry: An effect is a deviation from the expected – positive and/or negative.

Note 2 to entry: Objectives can have different aspects (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and process).

Note 3 to entry: Risk is often characterized by reference to potential events and *consequences* (3.1.2) or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence.

Note 5 to entry: Uncertainty is the state, even partial, or deficiency of information related to, understanding or knowledge of an event, its *consequence*, or likelihood.

[SOURCE: ISO Guide 73:2009, 1.1]

3.1.13 risk identification

process of finding, recognizing and describing *risks* (3.1.12)

Note 1 to entry: Risk identification involves the identification of *risk sources* (3.1.14), events, their causes and their potential *consequences* (3.1.2).

Note 2 to entry: Risk identification can involve historical data, theoretical analysis, informed and expert opinions, and stakeholder's needs.

[SOURCE: ISO Guide 73:2009, 3.5.1]

3.1.14 risk source

element which alone or in combination has the intrinsic potential to give rise to *risk* (3.1.12)

Note 1 to entry: A risk source can be tangible or intangible.

[SOURCE: ISO Guide 73:2009, 3.5.1.2]

3.1.15 risk treatment

process to modify *risk* (3.1.12)

Note 1 to entry: Risk treatment can involve:

- avoiding the risk by deciding not to start or continue with the activity that gives rise to the risk;
- taking or increasing risk in order to pursue an opportunity;
- removing the *risk source* (3.1.14);
- changing the likelihood;
- changing the *consequences* (3.1.2);
- sharing the risk with another party or parties (including contracts and risk financing); and
- retaining the risk by informed decision.

Note 2 to entry: Risk treatments that deal with negative consequences are sometimes referred to as “risk mitigation”, “risk elimination”, “risk prevention” and “risk reduction”.

Note 3 to entry: Clarification of risk treatment and risk *control* (3.1.3) – a risk control is already in place whereas a risk treatment is an activity to improve risk controls. Hence, an implemented treatment becomes a control.

[SOURCE: ISO Guide 73:2009, 3.8.1, modified — Note 3 to entry replaces the existing note 3]

3.2 Abbreviations

ATP	automatic train protection
EER	escape, evacuation and rescue
ETA	event tree analysis