INTERNATIONAL STANDARD



Second edition 2020-03

Bases for design of structures — General principles on risk assessment of systems involving structures

iTeh Standards (https://standards.iteh.ai) Document Preview

ISO 13824:202

https://standards.iteh.ai/catalog/standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020



Reference number ISO 13824:2020(E)

iTeh Standards (https://standards.iteh.ai) Document Preview

ISO 13824:2020

https://standards.iteh.ai/catalog/standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020



COPYRIGHT PROTECTED DOCUMENT

© ISO 2020

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office CP 401 • Ch. de Blandonnet 8 CH-1214 Vernier, Geneva Phone: +41 22 749 01 11 Fax: +41 22 749 09 47 Email: copyright@iso.org Website: www.iso.org

Published in Switzerland

Contents

Page

Fore	word		v		
Intro	oductio	n	vi		
1	Scop	P			
2	Norn	nativa rafarancas	1		
2					
3	Terms and definitions				
4	Fund	amentals of risk assessment of systems involving structures	4		
5	Establishment of structural engineering context				
	5.1	Structural engineering context	5		
	5.2	Establishment of design basis.	5		
	5.3	Assessment of existing structures	ა ო		
	5.4	Assessment of exceptional structures of extraordinary events	ס ב		
	5.5	r loviding support for decisions for other contexts			
6	Defin	lition of the system	6		
	6.1	General			
	6.Z	Functions of the system	6 6		
	0.5		0		
7	Ident	ification of hazards and undesirable consequences	6		
	7.1	Identification of possible hazards	6		
	7.2	Identification of scenarios.	6		
	7.3	Identification of undesirable consequences			
	7.4	Hazaru screening			
		7.4.1 General			
8	Risk	Risk estimation			
	8.1	Types of risk estimation.			
		8.1.1 General)20 7		
		8.1.2 Qualitative estimation	/ ع		
		814 Quantitative estimation	0 8		
	8.2	Data for risk estimation			
	0.12	8.2.1 Data collection			
		8.2.2 Treatment and modelling of uncertainty			
	8.3	Risk representation			
	8.4	Estimation of probability	9		
		8.4.1 General	9		
		8.4.2 Probability of occurrence of hazard	9		
	0 5	8.4.3 Probability of failure of structures	9		
	8.5	Estimation of undesirable consequence	9		
	8.6	Sensitivity and bounding analysis	9		
9	Risk	Risk evaluation			
	9.1	Risk criteria			
	9.2	Risk acceptance			
10	Evalu	ation of options for risk treatment			
	10.1	General			
	10.2	Determination of options			
		10.2.1 General	12		
		10.2.2 Risk avoidance	12		
		10.2.3 Risk reduction			
		10.2.4 Kisk sharing			
		10.2.3 KISK FELENLION	12		

		10.2.6 Emergency preparedness	12
	10.3	Assessment of options for risk treatment	
	10.4	Risk treatment	13
11	Docun	nentation	
Annex	A (info involv	rmative) General framework of risk management process for systems i ng structures	
Annex	B (info	rmative) Principles in the implementation of risk assessment	
Annex	C (info	rmative) Examples of extraordinary events and exceptional structures for	
	risk as	sessment	26
Annex	D (info	rmative) Techniques for treatment of expert opinions	
Annex	E (info	rmative) Examples of quantitative risk representation	
Annex	F (info	rmative) Formulae for risk estimation	
Annex	G (info	rmative) Procedure for the estimation of consequences	
Annex	H (info	rmative) Examples of measures for risk treatment	41
Annex	I (infor	mative) Examples of application of risk acceptance and optimization	
Annex	J (infor	mative) Examples of risk estimation	
Annex	K (info	rmative) Terrorism and malevolent events	55
Biblio	graphy	i Joh Standarda	60

(https://standards.iteh.ai) Document Preview

ISO 13824:2020

https://standards.iteh.ai/catalog/standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020

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.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 98, *Bases for design of structures*, Subcommittee SC 2, *Reliability of structures*.

This second edition cancels and replaces the first edition (ISO 13824:2009), which has been technically revised. The main changes compared to the previous edition are as follows:

- risk-informed approach has been newly introduced to risk assessment in order to comply with the latest edition of ISO 2394 (ISO 2394:2015);
 - requirements for treatment of uncertainty in risk estimation have been updated by introducing requirements related to sensitivity analysis;
 - requirements for risk treatment have been updated by emphasizing the importance of optimization of prevention and mitigation measures including emergency preparedness;
 - new informative annexes on examples of risk estimation of undesirable consequences caused by human-induced or natural events have been added.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at <u>www.iso.org/members.html</u>.

Introduction

Systems involving structures in public and private sectors depend on civil engineering technologies and structures. Structures support missions and business functions of whole systems.

Structures are subject to multiple natural, technological and malevolent human-induced hazards. Hazards can have adverse impacts on performance of systems involving structures, quality of life, stakeholders' assets inside or near structures, operations and operability, functions and reputation, structural safety and sustainability of environment.

Given the significance of hazards, it is imperative that all stakeholders such as owners, occupants, designers, operators, regulators at all levels and at all phases of the lifecycle of systems involving structures understand their responsibilities for achieving adequate structural safety, structural functionality and managing risk.

This document provides a common basis for assessing risk relevant to planning, design, assessment, maintenance, decommissioning and removal of structures, in accordance with ISO 31000.

In risk assessment, hazard identification and the estimation of consequence are primary procedures. For these, it is essential to assess the risk of systems involving structures rather than just the structures, since structural failure has significant consequences for systems, and a failure of systems such as fire protection systems can cause serious damages. However, actions for risk treatment are taken within the scope of structural design. Such considerations are reflected in the title of this document.

This document is intended to serve as a basis, along with other relevant standards on risk management, for those assessing risk for systems involving structures.

(https://standards.iteh.ai) Document Preview

ISO 13824:2020

https://standards.iteh.ai/catalog/standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020

Bases for design of structures — General principles on risk assessment of systems involving structures

1 Scope

This document specifies general principles of risk assessment for systems involving structures. The focus is on strategic and operational decision-making related to design, assessment, maintenance and decommissioning of structures. This also includes formulation and calibration of related codes and standards. Systems involving structures can expose stakeholders at various levels in society to significant risks. The aim of this document is to facilitate and enhance decision-making with regard to monitoring, reducing and managing risks, and preparing for emergency in an efficient, cost-effective and transparent manner. Within the broader context of risk management, risk assessment provides decision-makers with procedures to determine whether or not, and in what manner, it is appropriate to treat risks.

This document provides a general framework as well as a procedure for identifying hazards and estimating, evaluating and treating risks of structures and systems involving structures. This document also provides a basis for code writers as well as designers to set reasonable target-reliability levels, such as stated in ISO 2394, based on the result of risk considerations. For existing structures, it is intended that assessment of the risks associated with the events that were not considered in the original design or with changes in use be implemented according to the principles stated in this document. This document can also be used for risk assessment of exceptional structures upon specific adaptation and detailing, the design of which is not usually within the scope of existing codes.

2 Normative references Ocument Preview

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements 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 2394, General principles on reliability for structures

3 Terms and definitions

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

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at https://www.iso.org/obp
- IEC Electropedia: available at <u>http://www.electropedia.org/</u>

3.1

acceptable risk

level of risk (3.9) that an individual or society accepts or tolerates to secure certain benefits

3.2

cost/benefit analysis

analysis contributing to decision-making on whether to adopt a project or a plan by quantifying and comparing its costs and benefits

3.3

extraordinary event

very rare event that causes very severe consequences

3.4

failure

state which does not meet required performance objectives due to structural damage and/or loss of function

Note 1 to entry: Failure includes insufficient load-bearing capacity or inadequate serviceability of a *structure* (3.21) or structural member, or rupture or excessive deformation of the ground, in which the strengths of soil or rock are significant in providing resistance.

3.5

hazard

potential source of *undesirable consequences* (3.23)

Note 1 to entry: A hazard can be a *risk* (3.9) source (see ISO Guide 73). Examples of hazards include a possible abnormal action or environmental influence, insufficient strength or stiffness, or excessive detrimental deviation from intended dimensions (see ISO 2394).

3.5.1

hazard identification

process to find, list and characterize hazards (3.5)

3.5.2

hazard curve

exceedance probability of a specified hazard (3.5) intensity for a specified period of time

3.5.3

hazard screening

process of identifying significant *hazards* (3.5) for consideration during *risk assessment* (3.11) of *systems* (3.22) involving the *structures* (3.21)

3.6

option

Document Previe

possible measure for managing *risk* (3.9)

Note 1 to entry: Doing nothing can be one of the feasible options. 020

https://standards.iteh.ai/catalog/standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020 3.7

residual risk

risk (3.9) remaining after *risk treatment* (3.17)

3.8

resilience

ability of a *system* (3.22) to reduce likelihood of *failure* (3.4), to absorb effects of such failure if it occurs and to recover quickly after failure

3.9

risk

effect of uncertainty on objectives

Note 1 to entry: Risk is generally described as a combination of the probability or frequency of occurrence of an event and the magnitude of its consequence.

Note 2 to entry: From the viewpoint of the decision theory, risk is defined as the expected value of all undesirable consequences, i.e. the sum of all the products of the consequences of an event and their probabilities. (see ISO 2394).

[SOURCE: ISO 2394:2015, 2.1.40, modified — Note 1 has been added.]

3.10

risk acceptance

decision to accept a risk (3.9) to secure certain benefits

3.11

risk assessment

overall process of establishment of *structural engineering context* (3.19), definition of *system* (3.22), identification of *hazards* (3.5) and consequences, *risk estimation* (3.15), *risk evaluation* (3.16) and evaluation of treatment *options* (3.6)

3.12

risk communication

exchange or sharing of information about *risk* (3.9) among the decision-makers and *stakeholders* (3.20)

Note 1 to entry: The information can relate to the existence, nature, form, probability, severity, acceptability, treatment or other aspects of risk.

Note 2 to entry: Engineers are the main source for risk information and should encourage decision-makers and stakeholders to communicate with each other. Some engineers are part of, or support, the decision-makers.

3.13

risk control

actions implementing risk-management decisions

Note 1 to entry: Risk control can involve monitoring, re-evaluation and compliance with decisions.

3.14

risk criteria

criteria against which the significance of the results of the risk (3.9) analysis is evaluated

Note 1 to entry: The criteria are generally based on regulations, standards, experience, and/or theoretical knowledge used as a basis for risk acceptance.

Note 2 to entry: Risk criteria can depend on associated costs and benefits, legal and statutory requirements, socio-economic and environmental aspects, the concerns of stakeholders, priorities and other inputs to the assessment.

3.15

ISO

process of assigning values to the probability of occurrence of events and their consequences

3.16

risk evaluation

risk estimation

process of comparing the estimated *risk* (3.9) with given *risk criteria* (3.14) to determine the significance of the risk

Note 1 to entry: Risk evaluation is the process for assisting in the decision to accept or to treat a risk.

3.17

risk treatment

process of selection and implementation of measures to mitigate risk (3.9)

3.18

scenario

description of sequences or combinations of events in time and space and their inter-relationship given the occurrence of a *hazard* (3.5)

3.19

structural engineering context

background or reasons why the *risk assessment* (3.11) is implemented from structural perspectives

3.20

stakeholder

any individual, group, organization or authority that can affect, be affected by, or perceive itself to be affected by, a *risk* (3.9)

Note 1 to entry: The decision-maker is sometimes categorized as one of the stakeholders.

3.21

structure

arrangement of materials that is expected to withstand certain actions and to perform some intended function

3.22

system

delimited group of interrelated, interdependent or interacting objects that is assessed for a *risk* (3.9)

Note 1 to entry: This definition implies that the system is identifiable and is made up of interacting elements or subsystems, that all elements are identifiable, and that the boundary of the system can be identified.

Note 2 to entry: A system involving structures includes the structural system defined in ISO 2394 as a subsystem.

3.23

undesirable consequence

direct and indirect harm due to structural damage, functionality loss, etc., stated in terms of personal injury, death, environmental damage, societal harm and/or monetary loss

Note 1 to entry: There can be more than one undesirable consequence from an event.

Note 2 to entry: Consequences can be expressed qualitatively or quantitatively.

Note 3 to entry: Both immediate and long-term consequences are included.

Document Previe

3.24

undesirable event

event that can have *undesirable consequences* (3.23) 3824:2020

Note 1 to entry: Undesirable events are sometimes caused by natural, technological and human-induced hazards.

4 Fundamentals of risk assessment of systems involving structures

Risk assessment of system involving structures shall be done within the scope of the prescribed risk management; see <u>Annexes A</u> and <u>B</u>. Risk assessment shall consist of the following elements: the establishment of the structural engineering context, the definition of system, the identification of hazards and consequences, the risk estimation, the risk evaluation and the evaluation of options for risk treatment.

NOTE 1 A risk management process typically consists of the establishment of risk-management goals, a risk assessment, a risk treatment, communication and consultation, and a monitoring and review; see <u>Annex A</u>. The establishment of risk-management goals includes the development of risk criteria; see <u>9.1</u>.

NOTE 2 A risk management process is not a one-way process but an iterative process; see <u>Annexes A</u> and <u>B</u>.

There shall be thorough communication and appropriate consultation with the stakeholders for each element of the risk assessment. After the risk assessment is complete, its results shall be conveyed in a suitable manner so that appropriate decisions can be made and the stakeholders can understand them. The decision concerning structures shall conform to requirements specified in ISO 2394.

The appropriateness of all elements of the risk assessment shall be reviewed in order to ensure continuous improvement of the risk management process, including risk assessment; see <u>Annexes A</u> and <u>B</u>.

The results of risk assessment shall be documented for future reference to guarantee that decisions are understood and to assist in the continuous improvement of the process; see <u>Clause 11</u>.

5 Establishment of structural engineering context

5.1 Structural engineering context

Structural engineering context shall be established as the first step of risk assessment. Typical structural engineering contexts or typical applications of risk assessment of systems, including structures, are the following:

- a) establishment of design basis;
- b) assessment of existing structures;
- c) assessment of exceptional structures and/or extraordinary events; see <u>Annexes C</u> and <u>K</u>;
- d) providing support for decisions in other contexts.

Stakeholders shall be identified based on the established structural-engineering context.

NOTE 1 Examples of decisions in other contexts include situations related to operation such as inspection and maintenance planning as well as performance and functional level during emergency situation.

NOTE 2 This document considers only structural engineering contexts; however, there are other relevant contexts; see <u>Annexes A</u> and <u>B</u> and ISO 31000.

5.2 Establishment of design basis

For establishment of the design basis, a series of criteria for the design of structural members shall be developed. The criteria should be determined based on the target reliability levels.

5.3 Assessment of existing structures

In the event that an existing structure, including a heritage structure, is damaged or has a change of usage, then a risk assessment shall be undertaken. If the assessed risk is excessive, then actions shall be undertaken to mitigate the risk and notify the relevant stakeholders.

s://standards.iteh.ai/catalog/standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020 The risk due to extraordinary events, or beyond the events considered in the original design, should be assessed to verify that it is within the acceptable level (see <u>9.1</u>).

NOTE For risk assessment of existing structures, ISO 13822 can be used.

5.4 Assessment of exceptional structures or extraordinary events

Risk assessment of exceptional structures shall be carried out if their failures can have serious consequences. Risk assessment shall be conducted for unfavourable events, such as fires and other extraordinary event scenarios including progressive collapse (see <u>Annex C</u>).

5.5 Providing support for decisions for other contexts

When several options, strategies, or concepts are available, an optimal selection shall be based on the following objectives, considering the result of risk assessment:

a) to minimize risk given constraints such as limited economic resources;

b) to determine the optimal level of investment in risk reduction.

NOTE Prioritization of risk treatment actions to be taken is one of the optimization approaches to reduce the risk of group of exposures over certain period of time.

In both situations, the optional use of economic resources shall be considered to examine whether it results in optimal risk reduction.

Options should be compared according to net utility, cost/benefit or cost-effectiveness; see <u>Annex I</u>. If the aim of decision-making is to minimize risk within economic constraints, the results of the comparison may be used provided that all technical solutions are consistent with best practice.

6 Definition of the system

6.1 General

The system definition shall support decision-making and thus, the extent of the system that is considered in risk assessment shall be clearly identified based on the structural engineering context described in <u>Clause 5</u>.

6.2 Functions of the system

The definition of the system involving structures shall include a clear identification of the functions focusing on critical functions provided by the elements of the system and how these functions are supported by the structural components.

6.3 Identification of the subsystems

The characteristics of each subsystem, such as type of structure(s), codes and standards used in the design of the structure(s), use, importance, location and design/remaining service life, shall be identified. The limit states of the system shall also be specified.

7 Identification of hazards and undesirable consequences

7.1 Identification of possible hazards ment Preview

The hazards that can cause undesirable events during their service lives of structures shall be identified. Temporal and spatial characteristics of hazards such as simultaneous occurrence of multiple hazards (and more) shall be taken into consideration. Possible simultaneous occurrence of multiple hazards should be considered.

NOTE For the detailed procedure on scenario analysis for fire, see ISO 16732 (all parts) and ISO 16733 (all parts).

7.2 Identification of scenarios

Scenarios shall be identified as the sequences or combinations of events or processes necessary for system failure and resulting undesirable consequences for the system involving structures. The scenarios should include collapse or damage of the structure(s), loss of functionality, loss of lives or injury and other economic and/or societal impacts caused by or to the stakeholders.

NOTE The essential techniques used for schematic representation of scenarios include fault trees, event trees, failure modes, effects and criticality analysis (FMECA) and layer of protection analysis (LOPA).

7.3 Identification of undesirable consequences

Undesirable consequences resulting from the hazards and following events shall be identified. They should be described in terms of human fatalities and injuries, environmental damage and/or monetary loss. Some consequences can be identified by scenario analyses considering the extent of influences due to failure of the structures in time and space.

NOTE When conducting scenario analyses, influences of failure of subsystems other than structures are taken into consideration if such failure can cause damages to structural elements.

7.4 Hazard screening

7.4.1 General

Hazards important to a system shall be screened on the basis of the significance of risk associated with those hazards and incorporated in the risk assessment. As each hazard has its inherent characteristics and possible undesirable consequences, it is recommended that the hazards be categorized on the basis of the original cause, the degree of quantification, and the significance of the consequences. The screening of hazards in accordance with their importance for risk assessment can then be performed based on the experience and expertise of the engineer. The results of the hazard screening shall be documented.

7.4.2 Hazard screening criteria

Preliminary risk estimation (see 8.1) shall be carried out to identify the significant risks. The criteria for the hazard screening should, in principle, be based on the magnitude of the risk from the preliminary risk estimation. The frequency of the hazard and/or significance of the relevant consequences can also be useful criteria. Hazards with obviously negligible risk compared with the acceptable risk level may be screened out.

The hazard screening criteria shall be clearly described in terms of frequency of the event and magnitude of its consequence. They may be based on the past experience, human perception and relevant values specified elsewhere.

8 Risk estimation 8.1 Types of risk estimation B.1 Document Preview

8.1.1 General

Risk estimation shall be undertaken according to the purpose of the estimation, required degrees of details, information, data and resources available. The types of estimation fall into three broad categories, qualitative, semi-quantitative, and quantitative, depending on the circumstances.

NOTE In practice, qualitative estimation is often used as a preliminary risk estimation to obtain a general indication of the level of risk and to reveal the risks that shall be considered. Later, it can be necessary to undertake more specific or quantitative estimation on the revealed risk.

8.1.2 Qualitative estimation

In qualitative estimation, risk shall be estimated and ranked in a descriptive manner. Qualitative estimation should be used, in the following cases:

- a) as an initial screening activity to identify risks that require more detailed estimation;
- b) where the qualitative estimation provides sufficient information for decision-making;
- c) where the numerical data or resources are insufficient to allow a quantitative estimation.

NOTE Tools like "what-if" analysis, checklists, event trees, fault trees, influence diagrams, barrier block (bow-tie) diagrams, hazard and operability (HAZOP) studies and failure mode and effects and criticality analysis (FMECA) can be used for qualitative estimation of risk.

8.1.3 Semi-quantitative estimation

In semi-quantitative estimation, a ranking scale more expanded than the one usually achieved in qualitative estimation shall be adopted.

NOTE 1 If the ranking scale chosen cannot properly reflect relativities, this can lead to inconsistent, anomalous or inappropriate outcomes.

NOTE 2 Tools like risk matrix and criticality, accessibility, recuperability, vulnerability, effect and recognizability (CARVER) analysis can be used for semi-quantitative estimation of risk.

8.1.4 Quantitative estimation

In quantitative estimation, numerical values shall be used for both undesirable consequences and probability of occurrence based on data from a variety of sources.

NOTE The quality of the estimation depends on the scenario credibility, accuracy and completeness of the numerical values and the validity of the models used.

8.2 Data for risk estimation

8.2.1 Data collection

Data for risk estimation shall be taken from appropriate sources of information. The most pertinent information sources and techniques should be used when estimating probability as well as undesirable consequences. Information sources can include the following:

a) past records;

nttps://standards

- b) practice and relevant data (field data collection);
- c) relevant published data (incident data);
- d) experiments and prototypes;

SO 13824:2020

e) engineering or other models; standards/iso/4ee817b0-3138-452f-8767-38878ab61430/iso-13824-2020

f) specialist and expert judgment (expert opinions).

8.2.2 Treatment and modelling of uncertainty

All uncertainties associated with data relevant to estimating probability as well as undesirable consequences shall be identified and taken into consideration.

8.3 Risk representation

The results obtained in risk estimation may be converted to a common scale such as potential fatalities, expected monetary loss (see <u>Annex I</u>). These may be related to the probability of occurrence of various hazards and may be compared with other hazardous activities or another risk level.

In qualitative risk representation, risk shall be rated in a descriptive manner. In quantitative representation, the whole profile of risk shall be presented by a combination of probability and undesirable consequence. The expectation of the consequence may be used for risk representation; see <u>Annex E</u>.

NOTE A risk curve is also one of the pictorial representations of risk, where undesirable consequences and associated probability of occurrence are plotted for different scenarios of system failure (see <u>Annex E</u>).