



SLOVENSKI STANDARD

oSIST prEN ISO 18497-3:2023

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Kmetijski stroji in traktorji - Varnost delno avtomatiziranih, polavtonomnih in avtonomnih strojev - 3. del: Avtonomna delovna območja (ISO/DIS 18497-3:2022)

Agricultural machinery and tractors - Safety of partially automated, semi-autonomous and autonomous machinery - Part 3: Autonomous operating zones (ISO/DIS 18497-3:2022)

Landmaschinen und Traktoren - Sicherheit von teilautomatisierten, halbautonomen und autonomen Maschinen - Teil 3: Gestaltungsleitsätze für autonome Betriebsbereiche (ISO/DIS 18497-3:2022)

Tracteurs et matériels agricoles - Sécurité des machines partiellement automatisées, semi-autonomes et autonomes - Partie 3: Zones de fonctionnement autonome (ISO/DIS 18497-3:2022)

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65.060.01	Kmetijski stroji in oprema na splošno	Agricultural machines and equipment in general
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Agricultural machinery and tractors — Safety of partially automated, semi-autonomous and autonomous machinery —

Part 3: Autonomous operating zones

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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 this document 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 this document 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 23, *Tractors and machinery for agriculture and forestry*, Subcommittee SC 19, *Agricultural electronics*, in collaboration with the European Committee for Standardization (CEN) Technical Committee CEN/TC 144, *Tractors and machinery for agriculture and forestry*, in accordance with the Agreement on technical cooperation between ISO and CEN (Vienna Agreement).

This first edition of ISO 18497-3, together with ISO 18497-1¹⁾, ISO 18497-2¹⁾ and ISO 18497-4¹⁾, cancels and replaces ISO 18497:2018, which has been technically revised.

The main changes are as follows:

- Autonomous operating zones were defined and were made its own part (ISO 18497-3), accounting for the wide range of functionality and use cases within agricultural machines and tractors

A list of all parts in the ISO 18497 series can be found on the ISO website.

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 www.iso.org/members.html.

1) Under preparation

Introduction

This document is a type-B1 standard as stated in ISO 12100:2010.

This document is of relevance, in particular, for the following stakeholder groups representing the market players with regard to machinery safety:

- machine manufacturers (small, medium and large enterprises);
- health and safety bodies (regulators, accident prevention organisations, market surveillance, etc.).

Others can be affected by the level of machinery safety achieved with the means of the document by the above-mentioned stakeholder groups:

- machine users/employers (small, medium and large enterprises);
- machine users/employees (e.g. trade unions, organizations for people with special needs);
- service providers, e.g. for maintenance (small, medium and large enterprises);
- consumers (in case of machinery intended for use by consumers).

The above-mentioned stakeholder groups have been given the possibility to participate at the drafting process of this document.

In addition, this document is intended for standardization bodies elaborating type-C standards.

The requirements of this document can be supplemented or modified by a type-C standard.

For machines which are covered by the scope of a type-C standard and which have been designed and built according to the requirements of that standard, the requirements of that type-C standard take precedence.

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

- Type-A standards (basis standards) give basic concepts, principles for design, and general aspects that can be applied to machinery;
- Type-B standards (generic safety standards) deal with one or more safety aspects or one or more types 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);
- Type-C standards (machinery safety standards) deal with detailed safety requirements for a particular machine or group of machines.

The purpose of this document is to establish general design principles for partially automated, semi-autonomous and autonomous (see ISO 18497-1²) functions of agricultural machinery and tractors.

Manual non-automated functions are addressed in existing agricultural machinery and tractor safety standards. Due to the potential number of different functions of agricultural machinery and tractors and the mixed type and mode to which these functions can exist, it is necessary to establish general design principles. In this way, the combination, operator location, and types of interaction of these functions can be guided so that further type-C safety standards can be developed consistently and explicitly to address the mitigation of risk of injury to operators and bystanders. This is the primary focus of safety standards. Attempting to define risk mitigation requirements based on combinations of

2) Under preparation

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type and mode of functions alone cannot be accomplished accurately for all agricultural machinery and tractors due to the wide variety of the machinery and variety of functionality.

Therefore, the familiar representation of SAE J3016^[4] with six levels of automation was deliberately not chosen as a basis for this document and it is necessary to develop more specific type-C safety standards, using the general design principles of this document, to adequately account for the risks of agricultural machinery and tractors used in a specified way with various types of partially automated, semi-autonomous and autonomous functions.

When the requirements of this document for partially automated, semi-autonomous and autonomous functions of agricultural machinery and tractors are different from those which are stated in a machine-specific type-C standard dealing with partially automated, semi-autonomous and autonomous functions of agricultural machinery and tractors, the requirements of the machine-specific standard take precedence over the requirements of this document.

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Agricultural machinery and tractors — Safety of partially automated, semi-autonomous and autonomous machinery —

Part 3: Autonomous operating zones

1 Scope

This document specifies principles for the design of agricultural machinery and tractors utilizing autonomous operating zones that are used in agricultural applications and that have partially automated, semi-autonomous and autonomous functions. Additionally, it provides guidance on the type of information, to be provided by the manufacturer, on safe working practices (including information about residual risks).

The autonomous operating zone itself is not in scope of this document. It can include, for example, considerations for the autonomous operating zone location, physical or virtual boundaries, physical boundary types (natural or man-made) and the associated risks with the autonomous operating zone design.

The purpose of this document is to assist in the provision of more specific safety requirements, means of verification and information for use to ensure an appropriate level of safety for agricultural machinery and tractors with partially automated, semi-autonomous and autonomous functions used in a specified way.

This document deals with all the significant hazards, hazardous situations and events, relevant to agricultural machinery and tractors with partially automated, semi-autonomous and autonomous functions when used as intended and under the conditions of misuse foreseeable by the manufacturer during normal operation and service.

Applicability of the design principles and any additional detailed requirements; for design, verification, validation or information for use are outside the scope of this document. When risk assessment concludes that hazards are not significant hazards, the principles of this document do not apply.

NOTE Safety requirements for specific non-automated functions of agricultural machinery and tractors can be available in machine-specific type-C standards.

This document is not applicable to:

- forestry applications;
- operations on public roads including relevant requirements for braking and steering systems.

This document is not applicable to agricultural machinery and tractors which are manufactured before the date of its publication, or to systems applied to agricultural machinery and tractors put into use before the date of its publication.

2 Normative references

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/DIS 18497-3:2022(E)

ISO 3767-1:2016, *Tractors, machinery for agriculture and forestry, powered lawn and garden equipment — Symbols for operator controls and other displays — Part 1: Common symbols*

ISO 3767-1:2016/Amd 1:2020, *Tractors, machinery for agriculture and forestry, powered lawn and garden equipment — Symbols for operator controls and other displays — Part 1: Common symbols — Amendment 1*

ISO 3767-2:2016, *Tractors, machinery for agriculture and forestry, powered lawn and garden equipment — Symbols for operator controls and other displays — Part 2: Symbols for agricultural tractors and machinery*

ISO 3767-2:2016/Amd 1:2020, *Tractors, machinery for agriculture and forestry, powered lawn and garden equipment — Symbols for operator controls and other displays — Part 2: Symbols for agricultural tractors and machinery — Amendment 1*

ISO 12100:2010, *Safety of machinery — General principles for design — Risk assessment and risk reduction*

ISO 13849-1:2015, *Safety of machinery — Safety-related parts of control systems — Part 1: General principles for design*

ISO 13849-2:2012, *Safety of machinery — Safety-related parts of control systems — Part 2: Validation*

ISO 18497-1,³⁾ *Agricultural machinery and tractors — Safety of partially automated, semi-autonomous and autonomous machinery — Part 1: Machine design principles and vocabulary*

ISO 18497-2³⁾, *Agricultural machinery and tractors — Safety of partially automated, semi-autonomous and autonomous machinery — Part 2: Design principles for obstacle protective systems*

ISO 18497-4³⁾, *Agricultural machinery and tractors — Safety of partially automated, semi-autonomous and autonomous machinery — Part 4: Verification methods and validation principles*

ISO 25119-1:2018, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 1: General principles for design and development*

ISO 25119-1:2018/Amd 1:2020, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 1: General principles for design and development — Amendment 1*

ISO 25119-2:2019, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 2: Concept phase*

ISO 25119-3:2018, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 3: Series development, hardware and software*

ISO 25119-3:2018/Amd 1:2020, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 3: Series development, hardware and software — Amendment 1*

ISO 25119-4:2018, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 4: Production, operation, modification and supporting processes*

ISO 25119-4:2018/Amd 1:2020, *Tractors and machinery for agriculture and forestry — Safety-related parts of control systems — Part 4: Production, operation, modification and supporting processes — Amendment 1*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 18497-1⁴⁾ 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>

3) Under preparation

4) Under preparation

— IEC Electropedia: available at <https://www.electropedia.org/>

4 Safety requirements and protective or risk reduction measures

4.1 General

Agricultural machinery and tractors that have partially automated, semi-autonomous and autonomous functions (see [Figure 1](#)) and which utilize autonomous operating zones as a measure to reduce risks related to obstacle contact as a significant hazard, as defined in ISO 12100:2010; 3.8, shall be designed according to the principles of [4.2](#) for protective or risk reduction measures.

Significant hazards are dependent on use case of agricultural machinery and tractors with partially automated, semi-autonomous and autonomous functions and shall be determined using a risk assessment according to ISO 12100:2010.

In addition, agricultural machinery and tractors that have partially automated, semi-autonomous and autonomous functions and which utilize autonomous operating zones shall be designed according to the principles of ISO 12100:2010 for relevant but not significant hazards which are not dealt with by this document. For significant hazards not covered in [4.2](#), the determination of requirements and corresponding verification procedures shall be done according to ISO 12100:2010.

Specific type-C standards, when available, can give more detailed requirements.

	Manual Non-Automated (see ISO 18497-1 ⁴ , 3.1)	Partially Automated (see ISO 18497-1 ⁴ , 3.2)	Semi-Autonomous (see ISO 18497-1 ⁴ , 3.3)	Autonomous (see ISO 18497-1 ⁴ , 3.4)
Functions (see ISO 18497-1 ⁴ , 3.5)	Non-Automated (see ISO 18497-1 ⁴ , 3.6)			
		Automated (see ISO 18497-1 ⁴ , 3.7)		
Modes	Manual Mode (see ISO 18497-1 ⁴ , 3.9)			
		Autonomous Mode (see ISO 18497-1 ⁴ , 3.10)		

Figure 1 — Terms used for combinations of functions and modes (see ISO 18497-1⁴)

Design of machine systems and obstacle protective systems shall be designed in accordance with ISO 18497-1⁴ and ISO 18497-2⁴ respectively.

Verification methods of ISO 18497-4⁴ shall be applied to the design principles of [4.2](#).

4.2 Design principles

4.2.1 General

For ensuring an appropriate level of safety of partially automated, semi-autonomous (when automated machine functions operate in autonomous mode) and autonomous functions of agricultural machinery and tractors, the following protective or risk reduction measures shall be provided in the design of agricultural machinery and tractors when utilizing autonomous operating zones as a measure to reduce significant hazards related to obstacle contact.

4.2.2 Boundary detection

4.2.2.1 Perception and supervisory systems

- a) Prevention of failures to detect, late detection, misclassification and errors in location/orientation of a detected boundary of an autonomous operating zone shall be provided