



Safety requirements for escalators and moving walks

Part 1: Global essential safety requirements (GESR)



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Australian Standard[®]

Safety requirements for escalators and moving walks

Part 1: Global essential safety requirements (GESR)

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PREFACE

This Standard was prepared by the Standards Australia Committee ME-004, Lift Installations.

The objective of this Standard is to specify global essential safety requirements (GESRs) when using new technologies in the design and certifying of escalators and moving walks.

This Standard is identical with, and has been reproduced from ISO/TS 25740-1:2011, *Safety requirements for escalators and moving walks, Part 1: Global essential safety requirements (GESR)*.

As this Standard is reproduced from an International Technical Specification, the following applies:

- (a) In the source text ‘this part of ISO/TS 25740’ should read ‘this Australian Standard’.
- (b) A full point substitutes for a comma when referring to a decimal marker.

None of the normative references in the source document have been adopted as Australian or Australian/New Zealand Standards.

The term ‘informative’ has been used in this Standard to define the application of the annexes to which it applies. An ‘informative’ annex is only for information and guidance.

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INTRODUCTION

After the publication of ISO/TR 14799-1 and ISO/TR 14799-2, discrepancies were noted in the safety standards for escalators and moving walks. A need for the establishment of global essential safety requirements (GESR) for escalators and moving walks was identified, which resulted in the publication of ISO 14798. This methodology was a critical tool in the development of this Technical Specification on safety requirements for escalators and moving walks.

The objective of this Technical Specification is to:

- a) define a common global level of safety for all people using, or associated with, escalators and moving walks;
- b) facilitate innovation of escalators and moving walks not designed according to existing local, national or regional safety standards, while maintaining equal levels of safety (if such innovations become state of the art, they can then be integrated into the detailed local safety standard at a later date);
- c) remove trade barriers.

NOTE ISO/TS 25740-2 will contain global essential safety parameters (GESPs) for escalators and moving walks that should further assist in the use and implementation of the GESRs specified in this part of ISO/TS 25740.

Clause 4 gives the approach and methodology used in the development of this part of ISO/TS 25740. Clause 5 gives instructions for the use and implementation of GESRs. The GESRs are given in Clause 6. Each GESR specifies a safety objective, i.e. what is to be achieved rather than how to do it, in order to allow innovation and development of future technologies.

Annex A gives an overview of GESRs in relation to subsystems of escalators and moving walks. Annex B demonstrates compliance of this document with the European Directive for Machinery 2006/42/EC.

This part of ISO/TS 25740 is a basic safety standard according to the principles given in ISO/IEC Guide 51.

NOTES

AUSTRALIAN STANDARD

Safety requirements for escalators and moving walks**Part 1:**
Global essential safety requirements (GESR)**1 Scope**

This part of ISO/TS 25740:

- specifies global essential safety requirements (GESRs) for escalators and moving walks, their components and functions, and
- establishes a system and provides methods for minimizing safety risks that might arise in the course of the operation and use of, or work on, escalators and moving walks.

NOTE See Clause 5 regarding the use and application of this part of ISO/TS 25740.

This part of ISO/TS 25740 is applicable to escalators and moving walks that are intended to carry persons. The escalators and moving walks to which this part of ISO/TS 25740 applies can:

- a) be located in any permanent and fixed structure or building;
- b) have any
 - 1) rated load, size of load carrying unit (LCU) and speed, and
 - 2) travel height;
- c) be affected by fire in the environment of the LCU and weather conditions;
- d) be misused.

This part of ISO/TS 25740 does not specifically cover:

- all needs of users with disabilities¹⁾;
- risks arising from work on escalators and moving walks under construction or during alterations and dismantling; vandalism; fire in the environment outside the LCU.

1) Although the GESRs specified in this part of ISO/TS 25740 have been identified and evaluated by risk assessment, not all disabilities or combinations of such disabilities of users have necessarily been addressed.

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/IEC Guide 51:1999, *Safety aspects — Guidelines for their inclusion in standards*

ISO 14798, *Lifts (elevators), escalators and moving walks — Risk assessment and reduction methodology*

3 Terms, definitions and abbreviated terms

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

3.1

authorized person

suitably trained person with authorization to access restricted areas of escalators and moving walks (e.g. machinery spaces, separate machine rooms) and to work there for the purpose of inspection, testing and maintenance

3.2

cause

circumstance, condition, event or action that in a hazardous situation contributes to the production of an effect

[ISO 14798:2009, definition 2.1]

3.3

control

system that governs the starting, acceleration, speed, deceleration and/or stopping of the LCU

3.4

corrective action

action taken to reduce risk

3.5

electromagnetic compatibility

EMC

degree of immunity to incident electromagnetic radiation and level of emitted electromagnetic radiation of electrical apparatus

3.6

ESR

essential safety requirement

requirement intended to eliminate or sufficiently mitigate the risk of harm to users, non-users, and authorized persons using or associated with escalators and moving walks

3.7

GESR

global essential safety requirement

globally agreed upon essential safety requirement

3.8

harm

physical injury or damage to the health of people, or damage to property or the environment

[ISO/IEC Guide 51:1999, definition 3.3]

3.9**harmful event**

occurrence in which a hazardous situation results in harm

[ISO/IEC Guide 51:1999, definition 3.4]

3.10**hazard**

potential source of harm

NOTE The term “hazard” can be qualified in order to define its origin or the nature of the expected harm (e.g. electric shock hazard, crushing hazard, cutting hazard, toxic hazard, fire hazard, drowning hazard).

[ISO/IEC Guide 51:1999, definition 3.5]

3.11**hazardous situation**

circumstance in which people, property or the environment are exposed to one or more hazards

[ISO/IEC Guide 51:1999, definition 3.6]

3.12**enclosure of the travel path**

structural elements which isolate the travel path from all other areas or space

3.13**incident**

effect

event or occurrence, which can, but does not necessarily, create a risk of harm, including possible risks due to shearing, crushing, falling, impact, trapping, fire, electric shock, exposure to weather etc.

3.14**landing**

floor, balcony or platform used to receive and discharge persons from the LCU

3.15**escalator**

power-driven, inclined, continuous moving stairway, including guards adjacent to the travel path, used for raising or lowering persons in which the user carrying surface of the LCU (e.g. steps) remains horizontal

3.16**moving walk**

power-driven installation for the conveyance of persons, including guards adjacent to the travel path, in which the user carrying surface of the LCU remains parallel to its direction of motion and is uninterrupted (e.g. pallets, belt)

3.17**LCU****load carrying unit**

step, pallet or belt designed to carry persons for the purpose of transportation

3.18**machinery**

escalator or moving walk machine(s) mechanisms and associated equipment

**3.19
maintenance**

process of examination, lubrication, cleaning, adjustments, repair and replacement of parts of escalators and moving walks to ensure the safe and intended functioning of escalators and moving walks and its components after the completion of the installation and throughout its life cycle

**3.20
non-user**

person in the vicinity of an escalator or moving walk who is not intending to access or use it

**3.21
protective measure**
means used to reduce risk

[ISO 14798:2009, definition 2.8]

NOTE 1 Protective measures include risk reduction by inherently safe design, protective devices, personal protective equipment, information for use and installation, and training.

NOTE 2 See also definition for “corrective actions” in 3.4.

**3.22
rated load**
load that the escalator or moving walk is designed to move**3.23
relative movement**
situation where a component of an escalator or moving walk moves in the vicinity of other components of escalators or moving walks that are stationary, or that move at a different speed or in a different direction; also a situation where a component of an escalator or moving walk moves in the vicinity of a structure where persons might be present

EXAMPLE Building floor surrounding the escalator or moving walk.

**3.24
risk**
combination of the probability of occurrence of harm and the severity of that harm

[ISO/IEC Guide 51:1999, definition 3.2]

**3.25
risk analysis**
systematic use of available information to identify hazards and to estimate the risk

[ISO/IEC Guide 51:1999, definition 3.10]

NOTE This method aims at systematically identifying and assessing hazards, evaluating risks and recommending risk reduction measures.

**3.26
risk assessment**
overall process comprising a risk analysis and a risk evaluation

[ISO/IEC Guide 51:1999, definition 3.12]

**3.27
risk evaluation**
consideration of the risk analysis results to determine if the risk reduction is required

[ISO 14798:2009, definition 2.13]

3.28**severity**

qualitative measure of the worst possible incident (effect) that could be caused by a specific hazard

3.29**transportation**

process whereby persons step onto a moving LCU, which then travels from one landing to another landing, where the person exits the LCU

3.30**travel path**

path and related space within which the LCU travels between the landings

3.31**uncontrolled movement**

situation where

- LCU moves when the escalator or moving walk was to remain stationary, or
- LCU travels at a speed that is out of control of the means designed and intended to control the LCU speed during operation.

EXAMPLE 1 LCU starts to move, due to failure of, or breakdown in, escalator or moving walk components, such as speed control, drive or brake system.

EXAMPLE 2 The LCU speed exceeds its designed speed or does not decelerate or stop as intended, due to failure of, or breakdown in, components of an escalator or moving walk, such as speed control, drive or brake system.

3.32**user**

person using the escalator or moving walk for the purpose of transportation

3.33**working area or space**

area or space defined for use by authorized persons to perform maintenance, inspection or testing of an escalator or moving walk

4 Approach and methodology

4.1 Background

4.1.1 ISO 9589 specifies the building dimensions necessary to permit installation of escalators and moving walks.

4.1.2 In order to facilitate further standardization of escalator and moving walk installations and components, ISO/TC 178 carried out extensive comparison of regional and national safety standards and codes for escalators and moving walks. The results were published in ISO/TR 14799. This Technical Report gave directions for possible harmonization of several specific design and safety related rules in the regional and national standards. No agreement among the experts could be reached for global harmonization of most rules, mainly for the following reasons:

- a) the compared standards and codes were based on different assumptions and experience, written at different stages of industry development, without using a consistent methodology and procedures as recommended in ISO/IEC Guide 51;
- b) they were written in prescriptive rather than performance language.

4.1.3 It further became clear that prescriptive standards not only continuously lag behind the development of escalator and moving walk technologies and the state of the art, but present impediments to the progress

and innovation of industry. Differences in regional and national safety requirements affecting the designs of escalators or moving walks also pose barriers to free trade. Therefore, a new approach in the development of standards for escalators and moving walks affecting safety shall be taken.

4.2 Approach

4.2.1 This Technical Specification has been developed as a product safety standard. See 7.1 of ISO/IEC Guide 51 for the definition of the term “product safety standard”.

4.2.2 The intention was to develop essential safety requirements (ESRs) for escalators and moving walks. In broad terms, the escalator or moving walk is defined as a power-driven unit, including guards adjacent to the travel path, which carries persons from one landing to another, without any design constraints such as those that are usually specified in the regional or national escalator and moving walk standards.

Consequently, a load carrying unit (LCU) of an escalator or moving walk in this document is not necessarily a platform with fully enclosed sides. The space in which the LCU travels is not necessarily fully enclosed as may be defined in national standards.

4.2.3 By taking this approach and by using the systematic risk analysis and assessment process in accordance with ISO 14798, it was possible to establish ESRs for escalators and moving walks without imposing restrictions on the designs of, or materials and technologies used in, the escalators or moving walks.

NOTE The types of escalator and moving walk covered in this part of ISO/TS 25740 are described in the Scope.

4.3 Methodology

Following the risk analysis and assessment process set out in ISO/IEC Guide 51 and the methodology specified in ISO 14798, the working group

- a) identified all safety risk scenarios, including hazardous situations, harmful events (cause), effect and harm, that could arise in all stages and conditions of the operation and use of escalators and moving walks;
- b) estimated and evaluated the risk;
- c) formulated ESRs when the risks required mitigation.

NOTE Table 1 gives examples of risk scenarios related to several GESRs.

5 Understanding and implementing GESRs

5.1 Overall objective

5.1.1 This part of ISO/TS 25740 may be used on its own, independently from future publications in this series, as an effective method of providing safety on escalators and moving walks.

5.1.2 Clause 6 contains a complete set of safety objectives for escalators and moving walks in the form of global essential safety requirements (GESRs), which shall be taken into consideration when mitigating safety risks that escalators and moving walks can present.

5.1.3 The objectives of the GESRs in Clause 6 are to:

- a) introduce a universal approach to identifying and mitigating potential safety risks on new designs of components for escalators and moving walks that use new technologies, materials or concepts that are not adequately addressed in existing standards;
- b) stimulate harmonization of existing safety standards for escalators and moving walks.

Table 1 — Examples of risk scenarios related to GESRs

Example risk scenarios	Proposed solution	Applicable GESR (see Clause 6)
Users are on a moving LCU; a user extends hand or protrudes foot out beyond the LCU perimeters; the hand or foot is engaged with external escalator objects and becomes sheared, crushed or cut.	Prevent exposure to shearing, crushing or abrasion hazards when travelling on the LCU.	6.2.7 Hazards due to relative movement Users and non-users shall be protected from the effects of falling, shearing, crushing or abrasion, or other injuries due to: a) movement of the LCU and other components moving in concert with the LCU relative to stationary objects; b) relative movement of the escalator or moving walk component parts.
Users are preparing to enter or exit the LCU. People are crushed and sheared or destabilized, possibly resulting in an injury if the person falls.	Prevent exposure to shearing, crushing or abrasion hazards when entering/exiting the LCU.	
Non-users are at the floor area in the vicinity of the escalator entrance or at the floor around the LCU travel path. Persons can fall, or extend hand or protrude foot towards, and engage, the moving LCU or any other escalator equipment; hand or foot is sheared, crushed or cut.	Prevent exposure to shearing, crushing or abrasion hazards when located at the floor area in the vicinity of an operating escalator or moving walk.	
There are no balustrades between the LCU travel path and floors surrounding the travel path. If a person leans over the LCU the person can fall down.	Wherever there is risk of people falling down or off the LCU, adequate guards should be provided on the sides.	6.2.2 Falling down or off the area containing the travel path Means shall be provided to prevent users, non-users and authorized persons from falling down or off the area containing the travel path of the LCU and related equipment.
If guards or balustrades are provided but have no adequate strength, a person could lean against such guards or balustrades, break through them and fall down.		

5.1.4 The objectives of the GESRs contained in this part of ISO/TS 25740 shall be followed. Changes in the state of the art shall not adversely affect the required level of safety.

5.1.5 A GESR states only the safety objective, or what outcomes are required, not how to accomplish that objective. Therefore, in order to achieve the safety objective of a GESR, appropriate design of components and functions of escalators and moving walks shall be selected and their compliance with the GESR shall be verified. In other words, the ability of the selected components or functions to eliminate or sufficiently mitigate the safety risks shall be demonstrated.

5.2 Use of GESRs

5.2.1 Basis

Each GESR specified in Clause 6 was established after performing the risk assessment of one or more risk scenarios that can result in harm to persons (see Table 1). Consequently, when assessing safety of an escalator or moving walk or its components or function, all risk scenarios shall be analysed and applicable GESRs shall be identified.

NOTE Risk assessment was carried out in accordance with the principles of ISO 14798.

5.2.2 Ways of using GESRs

With respect to a specific task affecting safety of escalators and moving walks, such as designing an escalator or moving walk, or their components, GESRs can be used in two ways:

- one can begin with the risk analysis of risk scenarios related to the task in order to identify the applicable GESRs as in 5.2.2.2, or

- one can begin with a review of all GESRs in order to identify those that could be applicable to the task, as in 5.2.2.3.

NOTE In addition to designing, tasks could include installing or servicing of, or writing design-prescriptive safety standards for escalators and moving walks or components thereof.

5.2.2.2 When designing an escalator or moving walk or its components, a review of the design should be made in which all possible risk scenarios are formulated. This is done by applying risk analysis and assessment in order to find out which, if any, GESRs are applicable to the design. All possible risk scenarios that could occur during operation and use should be considered, as well as during the maintenance or inspection of the escalator or moving walk.

The risk scenarios shall include specification of all possible hazardous situations, combined with all possible harmful events (causes), effects and possible levels of harm. The risk analysis of a scenario shall be followed by the process of risk estimation and evaluation in accordance with the methodology specified in ISO 14798. As long as a risk is assessed as not acceptable, the designer shall continue to improve the design or implement other protective measures until the applicable GESR has been fully complied with.

EXAMPLE By following this process, risk scenarios similar to those in the first three examples in Table 1 could be formulated and it could be concluded that there is a possibility of injury to persons exposed to shearing, crushing or abrasion hazards. The assessment of the risk will indicate that the risk needs further mitigation, which can be achieved by changing the design or by implementing other protective measures in order to comply with 6.2.7.

NOTE 1 For practical use of GESRs, see 5.3.

NOTE 2 Rationales for GESRs are given in Clause 6, following each GESR. They should assist in the understanding of the intent and use of GESRs.

5.2.2.3 The process can start with a review of GESRs specified in Clause 6. In this case, one considers the design or actual installation of the escalator or moving walk or its components with the intention of identifying those GESRs that can be applicable to the design, installation or component. Compliance with each identified GESR shall be assessed. If compliance is not self-evident, risk analysis and assessment shall be completed to demonstrate compliance.

EXAMPLE In the case of the GESR in 6.2.7 in Table 1, the design or installation of an escalator or moving walk would be observed to find out whether any person travelling on the LCU, entering or exiting the LCU, being around the travel path of the escalator or moving walk, or being in any similar situation could be exposed to shearing, crushing, abrasion or a similar hazard that could cause harm.

5.2.3 Applicability of GESRs

When analysing the safety of the design of an escalator or moving walk or a component, or when writing a design prescriptive requirement or standard, the applicability of all GESRs should be determined. Only systematic descriptions of all possible risk scenarios, combined with the risk assessment of all scenarios (see ISO 14798), determines applicability of individual GESRs.

NOTE The GESR in 6.2.13, related to the effects of earthquakes on escalators and moving walks is an example of GESRs that are not applicable to every escalator or moving walk.

5.2.4 Safety objectives of GESRs

5.2.4.1 GESRs are not “corrective actions” or “protective measures” as defined in ISO 14798. A GESR states only the safety objective; it does not specify how to achieve the objective. Therefore, when designing an escalator or moving walk, appropriate components and functions shall be selected in terms of size, dimensions, strength, force, energy, material, acceleration, reliability of performance of safety related parts, etc., as applicable. Also, their ability to eliminate or sufficiently mitigate risks in order to achieve compliance with the objective specified in the GESR shall be established.