



## INTRODUCTION

ISO's Joint Technical Coordination Group ('JTCG') was established in 2007 and comprises representatives from all of ISO's management system standards committees. It is responsible for what until now has been known as 'Annex SL' of the ISO/IEC Directives Part 1. This annex defines the terminology, high-level structure ('HLS') and core text to enhance the consistency of ISO's and IEC's portfolio of management system standards. Taskforce 14 (TF 14) was established in late 2018 to conduct a limited revision of this Annex SL. TF 14 held its kick-off meeting from 26 February to 1 March 2019, hosted by the Enterprise Innovation Institute of the Georgia Institute of Technology ('Georgia Tech') in Atlanta, USA, and sponsored by the US TAG to ISO/TC 301 'Energy management'. Approximately 40 participants were welcomed by the hosts Deann Desai (chair of the JTCG) and Chris Downing (President of the Institute).



*Interactive set-up of meeting room with TF 14 participants*

Nigel Croft of ABNT (Brazil), and convener of TF 14, opened the meeting by providing the background that led to the development of the HLS, the expectations for this revision process (including the terms of reference of TF 14) and the objectives for this kick-off meeting.

## REVISION OF THE HIGH-LEVEL STRUCTURE FOR MANAGEMENT SYSTEM STANDARDS

'Annex L' refers to the annex in the ISO/IEC Directives Part 1, 2019 edition, dealing with proposals and criteria for management system standards ('MSS'). It was introduced in 2012 as 'Annex SL' of the ISO Supplement to the ISO/IEC Directives, and was originally only applicable to management system standards developed by ISO; from 2019 also IEC will apply this annex. Appendices 2 and 3 of Annex L prescribe the high-level structure (HLS) to be followed by each management system standard and guidance on its application (including flexibility criteria).

Although 'Annex L' is not a standard in its own right, it does form the basis for harmonization of over 40 individual management system standards published by ISO. In 2018, after a broad consultation among the developers (relevant ISO committees) and users (via ISO national member bodies), and a meta-analysis of the different management system standards, it was concluded and agreed that 'Annex SL' (now 'Annex L') should undergo a limited revision.

This limited revision will involve changes to the Annex including:

- 1) the content of subclauses 9.3 *Non-applicability* and 9.4 *Using Appendix 2*
- 2) the content of Appendix 2
- 3) the guidance documents referenced in Appendix 3

The JTCG is responsible for undertaking the first item, with the newly-established TF 14 responsible for the second and third.

## 'ANNEX SL' >> 'ANNEX L'

In 2012, only ISO adopted the concept of the HLS for developing management system standards. Earlier in 2019, however, IEC also agreed to adopt this philosophy, which means that 'Annex SL' of the ISO Supplement to the ISO/IEC Directives Part 1 has now become 'Annex L' to Part 1 of the 2019 edition of ISO/IEC Directives.

## HIGHLIGHTS ATLANTA MEETING

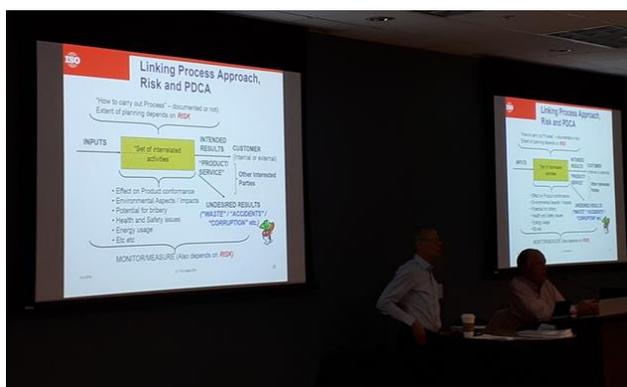
The meeting was conducted in a workshop-like setting, with organised plenary discussions and break-out sessions to discuss several specific topics to be addressed in the limited revision of Annex L. The focus was to build initial consensus on WHAT changes need to be introduced and WHY (keeping in mind the 'impact/benefit' criteria for any changes that might be proposed), and to discuss issues surrounding some of the more potentially contentious topics. This will be used to provide inputs into subsequent meetings that will focus on HOW to improve the text. The following topics have been discussed:

- Risk:** Following feedback received during the 2018 JTCG survey of ISO committees and national standards bodies, the main topic for discussion was how to improve the way in which 'risk' is addressed in the HLS. Different MSS committees have built on the HLS core text in different ways since 'Annex SL' was published in 2012, leading to some divergence in their detailed approach. This includes various different aspects of risk, starting with the definition, but also how to incorporate the concepts of risk management in general, including the idea of 'risk-based thinking' and the relationship between 'risks' and 'opportunities', and how to address risks at the strategic, tactical and operational levels. During the meeting, the definition was intensively discussed and further consultations among the various stakeholders were planned in order to gain wider inputs prior to the next meeting (see also item 'Risk – An opportunity to get involved').



### Topics for discussion....

- Risk
  - Do we adopt the ISO 31000 definition?
  - should we include (or reference) in Clause 4, 8, (9, 10!) as well as Clause 6?
  - "permeates throughout the entire document"
- How to deal with Opportunity (de-couple from Risk?)
- Include consideration of threat (include as a concept?)
- Include NOTE about relationship between risk, threat and opportunity??
- Only talk about "uncertainty"??
- Leave things as they are??
- Make reference to ISO 31000 / 31010?
- Include concept of "risk-based thinking"?



*Linking process approach, risk and PDCA*

- Documented information:** One topic often mentioned in the 2018 survey concerned the concept of maintaining and/or retaining 'documented information', while some MSS users might still be more acquainted with 'procedures', 'records', and so on. During the meeting, it was concluded that all comments received on this topic could be dealt with on a case-by-case basis.
- Other topics:** Sub-groups were also established to work remotely after the meeting to investigate the following topics:
  - management of change
  - organisational knowledge
  - incident, non-conformity, non-compliance management
  - emergency preparedness
  - outsourcing
  - leadership, governance and culture

The sub-groups are asked to look at how their topic is currently addressed in various MSS, beyond the basic HLS requirements, and to report back with recommendations on the potential need to include them in some way in the revised HLS.

### ABOUT TF 14

TF 14 was established as a task-force under the JTCG after it was agreed to revise Annex SL (now Annex L). TF 14 is chaired by Nigel Croft (previously chair of the ISO subcommittee responsible for ISO 9001 and ISO 9004) with Dick Hortensius of NEN (the Netherlands) as secretary. TF 14 comprises representatives from the ISO committees that develop and maintain at least one MSS, and from national member bodies. Representatives are expected to keep their stakeholders informed, and collect feedback to ensure that the proposed amendments are broadly supported. TF 14 will prepare draft proposals for revising Annex L including the HLS that will be balloted among the ISO and IEC member bodies for their endorsement/approval. The intent is to publish the revised Annex L in the ISO/IEC Directives Part 1 of May 2021.

## RISK – AN OPPORTUNITY TO GET INVOLVED

At the kick-off meeting, TF 14 discussed various options on how to proceed with the topic of ‘risks and opportunities’, and in particular the different definitions of ‘risk’. Many would find it logical to adopt the definition of ‘risk’ provided in the 2018 edition of **ISO 31000**, *Risk management — Guidelines* to enhance consistency. Concerns were expressed that this definition is not suitable for all disciplines and sectors covered in the current portfolio of management system standards, and that the definition is not in alignment with the common usage of the term, where ‘risk’ is perceived only to have negative consequences. There were also concerns about including the reference to ‘objectives’ in the ISO 31000 definition, which could lead to misinterpretation in the context of management systems.

It was agreed to consult a wider range of stakeholders about their preferred approach, offering them three options:

- 1) Adopt ISO 31000:2018 definition of risk (see text box)
- 2) Maintain the current definition of risk in Annex L (without ‘on objectives’)
- 3) Remove the definition completely from the HLS, and leave definition of risk to the committees responsible for individual management system standards

TF 14 has organised a webinar with the leadership of **ISO/TC 262** ‘Risk management’ to improve the understanding of philosophy applied by the developers of the revised ISO 31000.

### Definition of ‘risk’ in ISO 31000:2018

#### risk

effect of uncertainty *on objectives*

Note 1 to entry: An effect is a deviation from the expected. It can be positive, negative or both, and can address, create or result in opportunities and threats.

Note 2 to entry: Objectives can have different aspects and categories, and can be applied at different levels.

Note 3 to entry: Risk is usually expressed in terms of risk sources, potential events, their consequences and their likelihood.

Do you have a particular opinion to express? Contact your **national member body** (or technical committee if already involved in standardisation) to share your view, which will then be consolidated and taken into account by TF 14.

## HEADING TO VIENNA



The next TF 14 meeting will take place at UNIDO headquarters in Vienna in the week of 8 to 12 July 2019, when drafting work is planned to begin. As the scope of TF 14 is a limited revision, its work will adhere to a 3-stage approach:

- 1) amendment of guidance documents in Appendix 3 of Annex L
- 2) if not possible, amendment of Annex L (excluding the HLS defined in Appendix 2), and
- 3) ultimately, amendment of HLS prescribed by Appendix 2.

## YOUR CONTACT IN TF14

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*This Communiqué was developed by the Communications sub-group of ISO/TMBG/JTCG/TF14*