



ISO/TMBG/JTCG/TF 14 COMMUNIQUÉ

Issue N° 2 | July 2019

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 is now known as 'Annex L' of the ISO/IEC Directives Part 1 (previously 'Annex SL' to the ISO Supplement to the Directives). Annex L 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 L and held its first meeting in Atlanta, USA in February 2019 (see Communiqué issue 2019-01).



TF 14's second meeting was hosted by UNIDO, the United Nations Industrial Development Organization, in Vienna from 8 to 12 July 2019. Nigel Croft, TF 14 convener, and Steffen Kaeser, Chief of Standards and Quality Infrastructure Division of UNIDO [see picture], welcomed the 35 participants representing 15 different committees and 14 national standards bodies. In addition, 14 to 18 members (variable) attended remotely the daily briefings on the TF 14 deliberations.

PROGRAMME FOR THE VIENNA MEETING

In the period between the kick-off meeting in Atlanta and this meeting in Vienna, several sub-groups worked on particular topics that had been highlighted in the feedback received during the surveys among committees and national standards bodies on the current version of Annex L. These groups had been assigned to study how the following topics might (or might not) need to be addressed in the revision: 'management of change'; 'organizational knowledge'; 'incident, (non)conformity & (non)compliance'; 'emergency preparedness'; 'outsourcing'; and 'leadership, governance & culture'. All sub-groups provided their report including recommendations [see also items '(Optional) elements in the HLS' and 'Enhanced guidance'].

ABOUT UNIDO

UNIDO is the specialized agency of the United Nations that promotes industrial development for poverty reduction, inclusive globalization and environmental sustainability. The mission of UNIDO is to promote and accelerate inclusive and sustainable industrial development within the context of the 2030 UN Sustainable Development Goals (SDGs). UNIDO's mandate is primarily focused on SDG-9, which calls to "build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation", but its activities (and in particular those related to quality infrastructure development) also impact on a number of other SDGs.

On 12 July 2019, UNIDO hosted the forum entitled '**Advancing SDGs through Quality and Standards**'. The forum highlighted the many ways in which quality infrastructure improves the health and safety of workers, how the upgrading of the quality infrastructure system in Ghana enables more exports and by demonstrating how standards help manage environmental discharges and energy efficiency. A number of TF 14 members made presentations at this forum.



More information about UNIDO is available at [their website](#).

NETWORKING

On 11 July 2019, participants of the TF 14 meeting were kindly invited by Quality Austria to join a social gathering, with great views of one of the famous vineyards close to Vienna for less formal interactions between TF 14 members and local stakeholders. Participants could sample several traditional Austrian food and, of course, locally produced wine.

TF 14 had also received 120 pages of comments related to the current Annex L, all of which were individually reviewed during the week and dispositioned. The aim of this limited revision of Annex L is to make only minor changes in the 'HLS identical text' (Appendix 2) as well as to provide enhanced guidance to the developers of management system standards (Appendix 3). Those comments that are outside the TF 14 remit have been forwarded to the Joint Technical Coordination Group on Management System Standards (ISO/TMBG/JTCG on MSS) for consideration at their upcoming meeting in September 2019.

After long discussions at the first TF 14 meeting in Atlanta about the definition and concepts surrounding the question of 'risk', and anticipating that participants could potentially have spent the whole week in Vienna discussing the same topics, this debate was deliberately scheduled for the 4th day of the TF 14 meeting to allow for

an appropriate discussion of other important topics before that. As expected, day 4 was easily filled with intensive but constructive discussions that provided better insights in the various perceptions of risks (and opportunities), legal constraints and current use in the many different sectors and disciplines. This illustrated once again the complexity of the issue of defining 'risk' [see also item 'Risk'].

Overall, it can be concluded that TF14 made good progress in its contributions to the revision of Annex L.



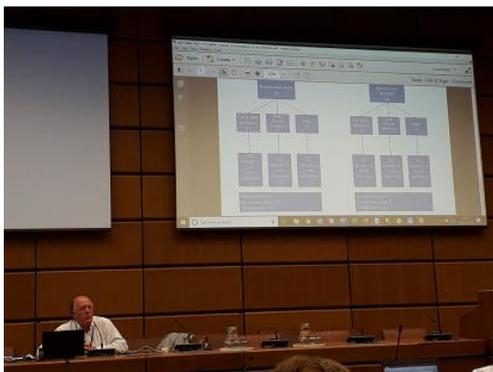
(OPTIONAL) ELEMENTS IN THE HLS

From the sub-group reports it became clear that the topic 'management of change' has already been added by several committees when developing their discipline-specific management system standard(s). This topic is now considered to be applicable to all sectors and disciplines. Therefore, it is proposed to add the concept of 'management of change' as a new element in the HLS under Clause 6 about planning.

Concerning other topics, like 'organizational knowledge' and 'emergency preparedness', it was recognised that these might be relevant for certain sectors or disciplines, but not for all. To enhance alignment, it is considered helpful to include these topics as "optional", and to develop recommendations or standard text for these elements that can be used by committees when developing their management system standard.

Another important proposal is the replacement of the phrase 'outsourced processes' in the HLS with 'externally provided processes, products and services'. This would eliminate the need to maintain the current definition of 'outsource', which was the subject of a number of comments.

RISK



Talking about definitions ... another important topic at the Vienna meeting was to try to resolve the issue about the definition of 'risk'. After the Atlanta meeting, a webinar was organised with the leadership of **ISO/TC 262** 'Risk management', the committee responsible for **ISO 31000:2018**, *Risk management – Guidelines*, to get a better understanding of 'their' definition of risk. In addition, an informal consultation was carried out among those committees and national standards bodies represented in TF 14 to gain better insight whether the current definition in Annex L or the ISO 31000 definition was preferred as starting

point, with possible modifications to be included. Although the results of this consultation showed a small majority in favour of adopting the ISO 31000 definition, some ISO committees expressed, for a variety of reasons, sustained opposition to this definition, which meant that consensus could not be reached.

At the Vienna meeting, sub-groups were therefore tasked to explore possible ways forward – for example by modifying the ISO 31000 definition, modifying the current ‘Annex L’ definition or having no definition at all. Following this initial exploratory process, there was strong support among the TF 14 members present to conduct further work to examine the implications of a ‘no definition’ option as a possible solution to the impasse. It was recognised that if this option will be confirmed, clear drafting instructions and guidance would be needed to avoid divergence of individual MSSs definitions of ‘risk’, whilst at the same time allowing for some discipline-specific customisation. A newly established sub-group will explore the implications of this possible solution, which includes developing a white paper as one of their requested deliverables, to serve as input into further deliberations.

ENHANCED GUIDANCE

Appendix 3 of Annex L (currently available as a [hyperlink](#) from Annex L) is designed to provide guidance on Appendix 2 (the ‘HLS identical text’) for developers of management system standards. Following the sub-group reports and analysis of comments received, it was acknowledged that more guidance is needed to provide the rationale for a number of HLS elements and to explain the options that might be available to supplement those elements. While the current guidance document only provides guidance on a ‘clause-by-clause’ basis, it was recognised that it will also be helpful to provide generic guidance that explains the interrelationship and coherence of the different elements of the HLS. This intends to promote further enhancement of aligning and harmonising the management system standards by including, for example, recommendations that similar topics are incorporated by discipline-specific standards in a consistent way.



The current set of guidance documents also includes FAQs (frequently asked questions) and terminology guidance in support of implementing Annex L. The idea is to update the FAQs document, which will become a more living / dynamic document, responding to stakeholders’ needs and other developments in a timely manner. The terminology guidance document will also be updated at an appropriate stage in the Annex L revision process, to reflect changes introduced in the HLS.

FIRST WORKING DRAFT OF ANNEX L



Based on the outcomes of the Vienna meeting, a first working draft of the revised Appendices 2 and 3 of Annex L is being prepared. This will be circulated for a 3-month comment period among all committees and national standards bodies that have registered to participate in TF 14 activities, via their nominated experts. The experts are expected to engage with their committee members or national stakeholders in order to collect and present consolidated comments that represent a consensus position among these constituents.

TF 14 has concentrated its attention on the limited changes that it feels are needed to Appendix 2, based on the project specification and the comments received so far on the current Annex SL / Annex L text. Some changes are already proposed to Appendix 3, but further changes are likely once TF 14 receives comments back on this first working draft.

If you would like to be involved in this consultation process, you are advised to contact your **national standards body**. They can inform you about the possibilities they offer to provide comments. If you are already an expert in one or more ISO or IEC committees that develop management system standards, you should receive more information through the responsible ISO or IEC committee manager.

In addition to the activities related to the first working draft and the definition of risk, two other sub-groups were established at the Vienna meeting. One sub-group will elaborate on the definition of 'requirement' considering the definitions used in the ISO/IEC Directives and in conformity assessment activities (i.e. ISO/IEC 17000 suite of standards [**CASCO tools box**]). The other sub-group will look into the (consistent) use of references to 'documented information' in the HLS, including when to 'maintain', 'retain' or 'have available' documented information. These task groups will also take into account the comments that have been submitted on these topics during previous consultations.

HEADING TO SYDNEY



The third TF 14 meeting will take place at the premises of Standards Australia in Sydney in the week of 13 to 17 January 2020. The main agenda items will be to discuss the recommendations prepared by the sub-groups, consider and resolve comments received on the first working draft, and prepare the next draft version of the revised HLS. This will then be submitted for a further commenting period prior to a final ballot by national standards bodies, forecast for later in 2020.

YOUR CONTACT IN TF14

Please contact the TF 14 secretariat for more information:

Dick Hortensius
E dick.hortensius@nen.nl
T +31 15 2 690 115
M +31 6 33 334 641



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