



DRAFT ISO GUIDE 83

Secretariat: TMB

Voting begins on
2011-05-06

Voting terminates on
2011-09-06

INTERNATIONAL ORGANIZATION FOR STANDARDIZATION • МЕЖДУНАРОДНАЯ ОРГАНИЗАЦИЯ ПО СТАНДАРТИЗАЦИИ • ORGANISATION INTERNATIONALE DE NORMALISATION

High level structure and identical text for management system standards and common core management system terms and definitions

Structure à niveau élevé et texte identique pour les normes de système de management et termes et définitions principaux communs de système de management

ICS 01.120; 03.100.01

iTeh STANDARD PREVIEW
(standards.iteh.ai)

[ISO/DGuide 83](#)

<https://standards.iteh.ai/catalog/standards/sist/f626e9ee-40af-4fd3-ac10-297a74480fa6/iso-dguide-83>

Please see the administrative notes on page iii

Member bodies are advised that while this document is being issued in the form of a draft ISO Guide for voting in accordance with annex A of Part 1 of the ISO/IEC Directives, the Technical Management Board has not taken a final decision with regard to the final form of publication of the document.

WARNING — THIS DOCUMENT IS NOT AN ISO GUIDE. IT IS DISTRIBUTED FOR REVIEW AND COMMENT. IT IS SUBJECT TO CHANGE WITHOUT NOTICE AND MAY NOT BE REFERRED TO AS A GUIDE.

RECIPIENTS OF THIS DRAFT ARE INVITED TO SUBMIT, WITH THEIR COMMENTS, NOTIFICATION OF ANY RELEVANT PATENT RIGHTS OF WHICH THEY ARE AWARE AND TO PROVIDE SUPPORTING DOCUMENTATION.

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT GUIDES MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME DOCUMENTS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

iTeh STANDARD PREVIEW (standards.iteh.ai)

[ISO/DGuide 83](https://standards.iteh.ai/catalog/standards/sist/f626e9ee-40af-4fd3-ac10-297a74480fa6/iso-dguide-83)

<https://standards.iteh.ai/catalog/standards/sist/f626e9ee-40af-4fd3-ac10-297a74480fa6/iso-dguide-83>

Copyright notice

This ISO document is a Draft Guide and is copyright-protected by ISO. Except as permitted under the applicable laws of the user's country, neither this ISO draft nor any extract from it may be reproduced, stored in a retrieval system or transmitted in any form or by any means, electronic, photocopying, recording or otherwise, without prior written permission being secured.

Requests for permission to reproduce should be addressed to either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

Reproduction may be subject to royalty payments or a licensing agreement.

Violators may be prosecuted.

In accordance with the provisions of Council Resolution 15/1993 this document is circulated in the English language only.

Conformément aux dispositions de la Résolution du Conseil 15/1993, ce document est distribué en version anglaise seulement.

To expedite distribution, this document is circulated as received from the committee secretariat. ISO Central Secretariat work of editing and text composition will be undertaken at publication stage.

Pour accélérer la distribution, le présent document est distribué tel qu'il est parvenu du secrétariat du comité. Le travail de rédaction et de composition de texte sera effectué au Secrétariat central de l'ISO au stade de publication.

iTeh STANDARD PREVIEW (standards.iteh.ai)

[ISO/DGuide 83](#)

<https://standards.iteh.ai/catalog/standards/sist/f626e9ee-40af-4fd3-ac10-297a74480fa6/iso-dguide-83>

iTeh STANDARD PREVIEW
(standards.iteh.ai)

ISO/DGuide 83

<https://standards.iteh.ai/catalog/standards/sist/f626e9ee-40af-4fd3-ac10-297a74480fa6/iso-dguide-83>



Final draft High Level Structure and identical text for MSS and common MS terms and core definitions

This document contains the consolidated outcomes of JTCG Task groups 1 and 3 as reviewed and approved during the 8th meeting of JTCG, 15 October 2010 in Vienna.

It combines documents JTCG TF 1 N 36 and JTCG TF 3 N 127.

iTeh STANDARD PREVIEW
(standards.iteh.ai)

ISO/DGuide 83

<https://standards.iteh.ai/catalog/standards/sist/f626e9ee-40af-4fd3-ac10-297a74480fa6/iso-dguide-83>

Secretariat administered by:

NEN, PO BOX 5059, 2600 GB Delft, Netherlands

email: dick.hortensius@nen.nl TP+1 31 15 2690 115

TF+1 31 15 2690 207



1. High Level Structure, with draft “Identical text”

Note : In the Identical text proposals, **XXX** = an MSS discipline specific qualifier (e.g. energy, road traffic safety, IT security, food safety, societal security, environment, quality) needs to be inserted. Blue italicized text is given as advisory notes to standards’ drafters.

<p>Introduction</p> <p><i>Note: Unique to the discipline</i></p>
<p>1. Scope</p> <p><i>Note: Specific to the discipline; possibly some identical text</i></p>
<p>2. Normative references</p> <p><i>Note: Clause Title shall be used. Unique to the discipline</i></p>
<p>3. Terms and definitions</p> <p><i>Note: Clause Title shall be used. Terms and definitions may either be within the standard or in a separate document. To reference Aligned definitions + discipline specific ones</i></p>
<p>4. Context of the organization</p>
<p>4.1 Understanding the organization and its context</p> <p>The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its XXX management system.</p> <p>These issues shall be taken into account when establishing, implementing, maintaining and improving the organization’s XXX management system.</p>
<p>4.2 Understanding the needs and expectations of interested parties</p> <p>When establishing its XXX management system, the organization shall determine</p> <ul style="list-style-type: none"> – its relevant interested parties and – their requirements (i.e. their needs and expectations whether stated, implied or obligatory)
<p>4.3 Determining the scope of the management system</p> <p>The organization shall determine the scope of the XXX management system, such that the boundaries and applicability of the XXX management system can be clearly communicated to relevant internal and external parties.</p> <p>When determining the scope of the management system the organization shall consider:</p> <ul style="list-style-type: none"> - the external and internal issues referred to in 4.1 - the requirements referred to in 4.2, <p>The organization shall retain documented information on the scope of the XXX management system</p>
<p>4.4 XXX management system</p> <p>The organization shall, establish, implement, maintain and improve an XXX management system in accordance with the requirements of this International Standard including the processes needed and their interactions.</p>



<p>5. Leadership</p>
<p>5.1 General</p> <p>Persons in top management and other relevant management roles throughout the organization shall demonstrate leadership with respect to the XXX management system.</p> <p>NOTE This can be shown, for example, by motivating and empowering persons to contribute to the effectiveness of the XXX management system</p>
<p>5.2 Management commitment</p> <p>Top management shall demonstrate its commitment by</p> <ul style="list-style-type: none"> - ensuring the XXX management system is compatible with the strategic direction of the organization - integrating the XXX management system requirements into the organization's business processes; - providing the resources to establish, implement, maintain and continually improve the XXX management system - communicating the importance of effective XXX management and conforming to the XXX management system requirements; - ensuring that the XXX management system achieves its intended outcomes - directing and supporting continual improvement <p>NOTE Reference to "business" in this International Standard should be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.</p>
<p>5.3 Policy</p> <p>Top management shall establish a XXX policy. The policy shall:</p> <ul style="list-style-type: none"> - be appropriate to the purpose of the organization, - provide the framework for setting XXX objectives; - include a commitment to satisfy applicable requirements, - include a commitment to continual improvement of the XXX management system - be communicated within the organization - be available to interested parties, as appropriate. <p>The organization shall retain documented information on the XXX policy.</p>
<p>5.4 Organizational roles, responsibilities and authorities</p> <p>Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.</p> <p>Top management shall assign the responsibility and authority for</p> <ol style="list-style-type: none"> a) ensuring that the XXX management system conforms to the requirements of this International Standard b) reporting on the performance of the XXX management system to top management



6 Planning

6.1 Actions to address risks and opportunities

The organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to

- assure the management system can achieve its intended outcome(s)
- prevent undesired effects
- realize opportunities for improvement.

The organization shall:

- a) evaluate the need to plan actions to address these risks and opportunities, and
- b) where applicable
 - integrate and implement these actions into its **XXX** management system processes (see 8.1)
 - ensure information will be available to evaluate if the actions have been effective (see 9.1)

6.2 **XXX** objectives and plans to achieve them

Top management shall ensure that **XXX** objectives are established and communicated for relevant functions and levels within the organization.

The **XXX** objectives shall:

- be consistent with the **XXX** policy
- be measurable (if practicable)
- take into account applicable requirements
- be monitored and updated as appropriate

The organization shall retain documented information on the **XXX** objectives.

To achieve its **XXX** objectives, the organization shall determine:

- who will be responsible
- what will be done
- what resources will be required
- when it will be completed
- how the results will be evaluated

7. Support

7.1 Resources

The organization shall determine and provide the resources needed for the **XXX** management system



<p>7.2 Competence</p> <p>The organization shall:</p> <ul style="list-style-type: none"> - determine the necessary competence of person(s) doing work under its control that affects its XXX performance - ensure these persons are competent on the basis of appropriate education, training, or experience, - where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken - retain appropriate documented information as evidence of competence. <p>NOTE Applicable actions may include, for example: the provision of training to, the mentoring of, or the re-assignment of current employees; or the hiring or contracting of competent persons.</p>
<p>7.3 Awareness</p> <p>Persons doing work under the organization's control shall be aware of:</p> <ul style="list-style-type: none"> - the XXX policy - their contribution to the effectiveness of the XXX management system, including the benefits of improved XXX performance - the implications of not conforming with the XXX management system requirements
<p>7.4 Communication</p> <p>The organization shall determine the need for internal and external communications relevant to the XXX management system including</p> <ul style="list-style-type: none"> - what to communicate - when to communicate - to whom it will communicate
<p>7.5 Documented information</p>
<p>7.5.1 General</p> <p>The organization's XXX management system shall include:</p> <ul style="list-style-type: none"> - documented information required by this International Standard - documented information determined by the organization as being required for the effectiveness of the XXX management system
<p>7.5.2 Create and update</p> <p>The process for creating and updating documented information shall ensure appropriate:</p> <ul style="list-style-type: none"> - identification and description (e.g. a title, date, author, number) - format (e.g. language, software version, graphics) and media (e.g. paper, electronic)



- review and approval for adequacy

NOTE The extent of documented information for a **XXX** management system can differ from one organization to another due to:

- the size of organization and its type of activities, processes, products and services,
- the complexity of processes and their interactions, and
- the competence of persons

7.5.3 Control of documented Information

Documented information required by the **XXX** management system and by this International Standard shall be controlled.

Control of documented information shall include the following, as applicable:

- Distribution
- Access
- Storage and preservation
- Retrieval and use
- Control of changes (e.g. version control)
- Preservation of legibility (i.e. clear enough to read)
- Prevention of the unintended use of obsolete information
- Retention and disposition

Documented information of external origin determined by the organization to be necessary for the planning and operation of the **XXX** management system shall be identified as appropriate, and controlled.

When establishing control of documented information, the organization shall ensure that there is adequate protection for the documented information (e.g. protection against compromise, unauthorized modification or deletion).

NOTE Access implies a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information, etc.

8. Operation

8.1 Operational planning and control

The organization shall determine, plan, implement and control those processes needed to address the risks and opportunities determined in 6.1 and to meet requirements, by:

- establishing criteria for those processes
- implementing the control of these processes in accordance with the criteria
- keeping documented information to demonstrate that the processes have been carried out as planned.



The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary

The organization shall control processes that are contracted-out or outsourced.

9. Performance Evaluation

9.1 Monitoring, measurement, analysis and evaluation

The organization shall determine:

- what needs to be measured and monitored;
- the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results.
- when the monitoring and measuring shall be performed;
- when the analysis and evaluation of monitoring and measurement results shall be performed.

The organization shall evaluate the **XXX** performance and the effectiveness of the **XXX** management system.

Additionally, the organization shall:

- take action when necessary to address adverse trends or results before a nonconformity occurs.
- retain relevant documented information as evidence of the results.

9.2 Internal Audit

The organization shall conduct internal audits at planned intervals to provide information to assist in the determination of whether the **XXX** management system

- a) conforms to
 - the organization's own requirements for its **XXX** management system
 - the requirements of this International Standard.
- b) is effectively implemented and maintained.

The organization shall

- plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, while taking into consideration the importance of the processes concerned and the results of previous audits.
- define the audit criteria and scope for each audit
- select auditors and conduct audits to ensure objectivity and the impartiality of the audit process.
- ensure that the results of the audits are reported to relevant management
- retain documented information as evidence of the results.

9.3 Management review

Top management shall review the organization's **XXX** management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

The management review shall include consideration of:

- the status of actions from previous management reviews;
- changes in external and internal issues that are relevant to the **XXX** management system,
- information on the **XXX** performance, including trends in:



- nonconformities and corrective actions
- monitoring and measurement evaluation results and
- audit results,

- opportunities for continual improvement.

The outputs of the management review shall include decisions related to continual improvement opportunities and the possible need for changes to the **XXX** management system

The organization shall retain documented information as evidence of the results of management reviews.

10. Improvement

10.1 Nonconformity and corrective action

The organization shall:

- identify nonconformities,
- react to the nonconformities, and as applicable
 - take action to control, contain and correct them,
 - deal with the consequences

The organization shall also evaluate the need for action to eliminate the causes of nonconformities, including:

- reviewing nonconformities
- determining the causes of nonconformities,
- identifying if potential similar nonconformities exist elsewhere in the **XXX** management system
- Evaluating the need for action to ensure that nonconformities do not recur or occur elsewhere
- determining and implementing action needed, and
- reviewing the effectiveness of any corrective action taken.
- making changes to the **XXX** management system, if necessary

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

The organization shall retain documented information as evidence of

- the nature of the nonconformities and any subsequent actions taken, and
- the results of any corrective action

10.2 Continual improvement

The organization shall continually improve the suitability, adequacy or effectiveness of the **XXX** management system.

NOTE The organization can use the processes of the **XXX** management system such as leadership, planning and performance evaluation, to achieve improvement

iTech STANDARD PREVIEW
(standards.itech.ai)

ISO/DGuide 83

<https://standards.itech.ai/standards/sis/ISO/401-405-ac16>

797a74480f66/iso-dguide-83