

ISO Guide 72:2001 Guidelines for the justification and development of management system standards

Guidance for justifying and evaluating a proposed management system standard project with a view to assessing market relevance,

Guidance on the methodology (process) of developing and maintaining (i.e. reviewing and revising) management system standards with a view to ensuring compatibility and enhancing alignment, and

Guidance on the terminology, structure and common elements of management system standards with a view to ensuring compatibility as well as enhancing alignment and ease of use.

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Definition of Management System

- “System to establish policy and objectives and achieve those objectives”
- “Management systems are used by organizations to develop their policies and to put these into effect via objectives and targets, using:
 - an organizational structure where the roles, responsibilities, authorities, etc. of people are defined,
 - systematic processes and associated resources to achieve the objectives and targets,
 - measurement and evaluation methodology to assess performance against the objectives and targets, with feedback of results used to plan improvements to the system, and
 - a review process to ensure problems are corrected and opportunities for improvement are recognized and implemented when justified.”

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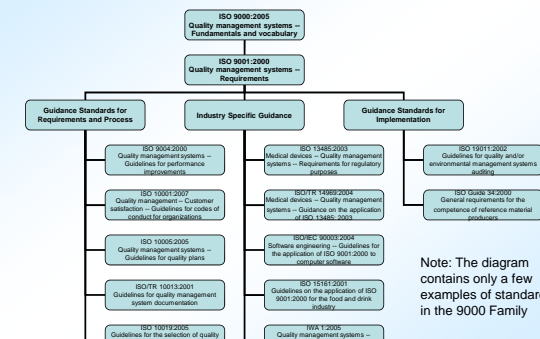
Three Different Types of MSS

- **Type A: management system requirements standards, both generic and sector-specific.**
 - intended to provide the market place with relevant specifications for the management system of an organization to demonstrate its capability to meet internal and external requirements (e.g. by assessment of that capability by internal or external parties)
- **Type B: management system guidelines standards, both generic and sector-specific.**
 - intended to assist an organization to implement and/or to enhance its management system by providing additional guidance to the elements of a management system requirements standard, or stand-alone guidance with no equivalence to a management system requirements standard
- **Type C: management system related standards.**
 - is intended to provide further information on specific parts of the management system or guidance on related supporting techniques, in addition to management system standards

Guide 72 is aimed primarily at Type A MSS's, it is equally applicable to Type B.
Guide 72 is applicable to Type C with exception of MSS structure and common elements.

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The ISO 9000 Family of Standards



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Model, Structure and Common Elements

- Currently two recognized models (others possible):
 - PDCA and Process Model
- Guide 72 “Common Elements” can be arranged under the following main subjects:
 - a) policy;
 - b) planning;
 - c) implementation and operation;
 - d) performance assessment;
 - e) improvement;
 - f) management review.
- “When drafting text for common elements of management system requirement standards, the same wording should be used when the same meaning is expressed.”

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1. Policy

- Common elements:
 - Policy and principles
- Types of issues to be covered:
 - Policy to demonstrate an organization’s commitment to meeting the requirements related to the management system standard and to establish an overall sense of direction and principles for action.
 - The policy should provide a framework for setting objectives and targets.

From: Annex B – Common Elements of ISO MSSs Guide 72:2001

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2. Planning

- 2.1 Common elements:
 - Identification of needs, requirements and analysis of critical issues
- 2.1 Types of issues to be covered:
 - Identification of the issues which have to be controlled and/or improved in order to satisfy the relevant interested party(ies).
 - The term “requirements” includes legal requirements. The policy should provide a framework for setting objectives and targets.

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2. Planning

- 2.2 Common elements:
 - Selection of significant issues to be addressed
- 2.2 Types of issues to be covered:
 - Prioritization of the issues identified as a result of 2.1.
- 2.3 Common elements:
 - Setting of objectives and targets
- 2.3 Types of issues to be covered:
 - Identification of clear objectives and targets (including time frames) based on the output of 2.2, an organization’s policy, and the results of management review (6).

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2. Planning

- 2.4 Common elements:
 - Identification of resources
- 2.4 Types of issues to be covered:
 - Identification of resources needed and the availability of adequate human, infrastructure and financial resources.
- 2.5 Common elements:
 - Identification of organizational structure, roles, responsibilities and authorities
- 2.5 Types of issues to be covered:
 - Identification of the roles, responsibilities, authorities and their interrelationships within the organization as far as needed to ensure effective and efficient operations.

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2. Planning

- 2.6 Common elements:
 - Planning of operational processes
- 2.6 Types of issues to be covered:
 - The planning arrangements for the operational processes that may include actions effecting how the objectives and targets defined in 2.3 are achieved.
- 2.7 Common elements:
 - Contingency preparedness for foreseeable events
- 2.7 Types of issues to be covered:
 - The arrangements that need to be in place to manage foreseeable emergencies.

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3. Implementation and Operation

- 3.1 Common elements:
 - Operational control
- 3.1 Types of issues to be covered:
 - The operational control measures needed to implement the plan(s) and maintain control of activities against defined targets.
- 3.2 Common elements:
 - Management of human resources
- 3.2 Types of issues to be covered:
 - The management of employees, contractors, temporary staff, etc. (including qualifications and activities such as awareness building and training).

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3. Implementation and Operation

- 3.3 Common elements:
 - Management of other resources
- 3.3 Types of issues to be covered:
 - The operational management and maintenance of infrastructure, plant, facilities, finance, etc. which have an impact on the organization’s performance.
- 3.4 Common elements:
 - Documentation and its control
- 3.4 Types of issues to be covered:
 - The management of those documents which are essential to the successful implementation and operation of the management system.

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3. Implementation and Operation

- 3.5 Common elements:
 - Communication
- 3.5 Types of issues to be covered:
 - The arrangements for communications both within the organization and to/from external sources.
- 3.6 Common elements:
 - Relationship with suppliers and contractors
- 3.6 Types of issues to be covered:
 - The formalizing of arrangements for those who supply and contract their services to the organization which have an impact on the organization's performance.

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4. Performance Assessment

- 4.1 Common elements:
 - Monitoring and measuring
- 4.1 Types of issues to be covered:
 - The mechanisms by which the organization assesses its performance on an ongoing basis.
- 4.2 Common elements:
 - Analysing and handling nonconformities
- 4.2 Types of issues to be covered:
 - The determination of nonconformities and the manner in which these are dealt with.
- 4.3 Common elements:
 - System audits
- 4.3 Types of issues to be covered:
 - The audit of the management system.

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5. Improvement

- 5.1 Common elements:
 - Corrective action
- 5.1 Types of issues to be covered:
 - The mechanism for eliminating the causes of detected nonconformities both in the management system and the operational processes.
- 5.2 Common elements:
 - Preventive action
- 5.2 Types of issues to be covered:
 - The mechanism for instigating action to eliminate potential causes of nonconformities in both the management system and the operational processes.
- 5.3 Common elements:
 - Continual improvement
- 5.3 Types of issues to be covered:
 - The provisions made for continual improvement of the management system.

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6. Management Review

- 6.1 Common elements:
 - Management review
- 6.2 Types of issues to be covered:
 - Management review of the system to determine its current performance, to ensure its continuing suitability, adequacy and effectiveness, and to instruct improvements and new directions when found necessary.

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From ISO Guide 72:2001 Introduction

- "ISO management system standards are increasingly being used worldwide by organizations of all types and sizes."
- "For them to remain useful, authoritative and respected, it is of key importance that they reflect demonstrated market needs and that they are mutually compatible to facilitate their joint implementation."
- "Use of these guidelines should also help ensure compatibility and enhance alignment between management system standards with a view to facilitating the combined application of the standards by organizations that wish to do so."

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Thank You

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