

Required and Desirable Documentation for the Annex SL, High Level Structure (HLS) Core Text

Overview

This document details the following for the Core Text of the Annex SL, High Level Structure (HLS).

- (1) The documentation that the HLS requires.
- (2) Desirable documentation to support implementation of the HLS.

This documentation is common to all management system standards that are based upon the HLS. Each standard has additional required and desirable documentation to support implementation.

Desirable Documentation

Clause	Title	Documentation
4.1	Understanding the organization and its context	Periodically (annually) reviewed and updated document including the following. (1) Analysis of external factors, such as one of the following: (a) STEEPLE Analysis (Social, Technological, Economic, Environmental, Political, Legal, Ethical); (b) PESTLE Analysis (Political, Economic, Social, Technological, Legal, Environmental). (2) Similar analysis of internal factors.
4.2	Understanding the needs and expectations of interested parties	Periodically (annually) reviewed and updated document including: (1) Interested parties; (2) Their interests with respect to the organisation and its management system; (3) The organisation's interests with respect to the interested parties.
5.3	Roles, responsibilities and authorities	(1) Organisation Chart; (2) Job Descriptions/Specifications.
6.1	Actions to address risks and opportunities	Periodically (annually) reviewed and updated register of opportunities and risks (pertaining to the management system).
7.3	Awareness	(1) Records of initial awareness training during induction; (2) Records of periodic (annual) refresher training.
7.4	Communication	POSSIBLE EXAMPLES: (1) Company/Departmental/Site update briefings/meetings; (2) Emails from top management; (3) Newsletter; (4) Website/Intranet company news pages; (5) One-To-One meetings between line managers and workers.

Required Documentation

Clause	Title	(Shall) Requirement	Implementation
4.3	Determining the scope of the XXX management system	The scope shall be available as documented information.	Periodically reviewed statement of the scope of the management system. <i>This can be on the same document as the policy.</i>
5.2	Policy	The XXX policy shall: – be available as documented information;	Periodically reviewed statement of the policy of the management system.
6.2	XXX objectives and planning to achieve them	The organization shall retain documented information on the XXX objectives .	Periodically reviewed statement of the objectives of the management system and records of their attainment. <i>This can be on the same document as the policy.</i>
7.2	Competence	The organization shall: – retain appropriate documented information as evidence of competence .	Training needs analysis, Records of training delivered/received Tests of effectiveness of training.
9.1	Monitoring, measurement, analysis and evaluation	The organization shall retain appropriate documented information as evidence of the results .	Monitoring, and appropriate metrics to evaluate the operation of processes of the management system and attainment of (policy) objectives.
9.2	Internal audit	The organization shall: e) retain documented information as evidence of the implementation of the audit programme(s) and the audit results .	Records of internal audits.
8.1	Operational planning and control	The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in 6.1, by: – keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.	<i>Clause 8 Operation contains the majority of the text added to the HLS to create a management system standard. Additional clauses such as 8.2 and 8.3 may be also added. Refer to each individual management system standard for specific details of the documentation required by this Clause 8.1 and required by any additional Clauses 8.2, 8.3 etc.</i>
9.3	Management review	The organization shall retain documented information as evidence of the results of management reviews .	Minutes of management review meetings.
10.1	Nonconformity and corrective action	The organization shall retain documented information as evidence of: – the nature of the nonconformities and any subsequent actions taken; – the results of any corrective action.	Records of nonconformities and consequential corrective actions, both arising from audits and unrelated to audits.