

Required and Desirable Documentation for Management System Standards based upon the HS or HLS

This document details required and desirable documentation for the Core Text of the Annex SL, Harmonised Structure (HS) [published in May 2021] and High Level Structure (HLS) [published in December 2012]. This is common to all management system standards based upon the HS or HLS. Each standard has additional required and desirable documentation to support implementation.

Required Documentation

| Clause | Title | (Shall) Requirement | Notes |
|--------|--|---|--|
| 4.3 | Determining the scope of the XXX management system | The scope shall be available as documented information. | Periodically (typically annually) reviewed statement of the scope of the management system. This can be on the same document as the policy. |
| 5.2 | [HS] XXX Policy [HLS] Policy | The XXX policy shall: – be available as documented information; | Periodically (typically annually) reviewed statement of the policy of the management system. |
| 6.2 | XXX objectives and planning to achieve them | [HS] The XXX objectives shall: g) be available as documented information. [HLS] 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. The statement of the objectives can be on the same document as the policy. |
| 7.2 | Competence | [HS] Appropriate documented information shall be available as evidence of competence. [HLS] The organization shall: – retain appropriate documented information as evidence of competence. | Training needs analysis, Records of training delivered/received Tests of effectiveness of training. |
| 8.1 | Operational planning and control | [HS] Documented information shall be available to the extent necessary to have confidence that the processes have been carried out as planned. [HLS] 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. | Clause 8 Operation contains most of the text added to the HS or HLS to create a management system standard (<i>ISO/IEC 27001 is an exception: the majority of the added text is in its Annex A.</i>). 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. |

| Clause | Title | (Shall) Requirement | Notes |
|------------|--|--|--|
| 9.1 | Monitoring, measurement, analysis and evaluation | [HS] Documented information shall be available as evidence of the results. [HLS] 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. |
| [HS] 9.2.2 | Internal audit programme | Documented information shall be available as evidence of the implementation of the audit programme(s) and the audit results. | Records of internal audits, including any nonconformities, potential nonconformities, opportunities for improvement etcetera and consequential actions (see 10.1 below.) |
| [HLS] 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. | |
| [HS] 9.3.3 | Management review results | Documented information shall be available as evidence of the results of management reviews. | Typically minutes of meetings, but management review could consist of other mechanisms, in addition to, or even instead of, meetings. |
| [HLS] 9.3 | Management review | The organization shall retain documented information as evidence of the results of management reviews. | |
| [HS] 10.2 | Nonconformity and corrective action | Documented information shall be available 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 (see [HS] 9.2.2 or [HLS] 9.2 above) and unrelated to audits. |
| [HLS] 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. | |

Desirable Documentation

| Clause | Title | Documentation |
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| 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) PESTLE Analysis (Political, Economic, Social, Technological, Legal, Environmental). (b) STEEPLE Analysis [PESTLE Analysis + Ethics] (Social, Technological, Economic, Environmental, Political, Legal, Ethical); (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 | Typical 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. |