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PAS 99:2012

Specification of common management system requirements as a framework for integration



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Foreword

The development of this PAS was facilitated by BSI Standards Limited and published under license from The British Standards Institution. It came into effect on 28 September 2012.

Acknowledgement is given to the following that were involved in the development of this PAS as members of the Steering Group.

- ABCB (Association of British Certification Bodies)
- CBA (Chemical Business Association)
- IIOC (Independent International Organisation for Certification)
- IMS Risk Solutions
- LRQA (Lloyds Register Quality Assurance)
- NEN (Netherlands Standardization Institute)
- UCL (University College London)
- Co-opted

Wider comments from other interested parties were invited by BSI. The expert contributions made by the organizations and individuals consulted in the development of this PAS are gratefully acknowledged.

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Organizations should use this PAS in conjunction with the specific requirements of management system standards e.g. BS EN ISO 9001, BS EN ISO 14001, BS ISO/IEC 27001, BS EN ISO 22000, BS ISO/IEC 20000, BS ISO 22301 and BS OHSAS 18001 or specifications to which the organization subscribes. This PAS is not intended for certification purposes as a stand alone document.

Adherence to this PAS does not ensure conformity with any management system standard.

Presentational conventions

The provisions of this PAS are presented in roman (i.e. upright) type. Its requirements are expressed in sentences in which the principal auxiliary verb is "shall".

Commentary, explanation and general informative material is presented in smaller italic type, and does not constitute a normative element.

Contractual and legal considerations

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This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

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Introduction

Many organizations have adopted or are adopting formal management system standards (MSSs), such as BS EN ISO 9001, BS EN ISO 14001, BS ISO/IEC 27001, BS EN ISO 22000, BS ISO/IEC 20000, BS ISO 22301 and BS OHSAS 18001.

Frequently these are operated as independent systems. In all management systems, however, there are certain common elements which can be managed in an integrated way; the essential unity of all these systems within the overall management system of the organization can then be recognized and used to best advantage. Therefore organizations are questioning the approach of having separate systems.

PAS 99:2006 was produced to enable organizations to integrate common management system (MS) requirements into one framework. Since the initial publication of PAS 99:2006 there have been many developments in international standards and PAS 99:2012 has been revised to take account of these changes and, in particular, of the introduction of a new ISO guidance, recently published and now contained in the Consolidated ISO Supplement to the ISO Directives, Part 1 (Procedures specific to ISO), *Annex SL (normative) Proposals for Management System Standards, SL.8 Guidance on the development process and structure of an MSS plus Appendices 2-4* (hereafter referred to as "Annex SL").

NOTE During its drafting this Annex SL guidance was known as ISO draft Guide 83, High level structure, identical core text and common terms and core definitions for use in Management Systems Standards.

PAS 99:2012 is primarily meant to be used by those organizations who are implementing the requirements of two or more Management Systems Standards (MSSs). The adoption of this PAS is intended to simplify the implementation of multiple system standards and any associated conformity assessment together with introducing some of the newer principles of management systems outlined in ISO Annex SL which will need to be satisfied in the longer term.

Organizations using this PAS should include as input, the specific requirements of the MSSs to which they subscribe, e.g. BS EN ISO 9001, BS EN ISO 14001, BS ISO/IEC 27001, BS EN ISO 22000, BS ISO/IEC 20000 and BS OHSAS 18001. This may well necessitate specialist input on the technical aspects of the individual disciplines.

Compliance with this PAS does not in itself ensure conformity with any other MSSs. The particular requirements of each MSS will still need to be addressed and satisfied. This is particularly the case where certification is sought.

This PAS has been produced to help organizations to achieve benefits from consolidating the common requirements in all MSSs and from managing these requirements effectively. The benefits may include:

- a) improved business focus;
- b) a more holistic approach to managing business risks;
- c) less conflict between individual management systems;
- d) reduced duplication and bureaucracy;
- e) more effective and efficient audits both internally and externally;
- f) easier facilitation of the requirements of any new MSS that the organization wishes to adopt.

Although Annex SL is intended for those writing international standards, it provides a template which further develops the framework and text that was used in the original PAS 99:2006.

There have also been changes made to some MSSs referenced in PAS 99:2006 since it was published and where these changes provide improvements to the integration process, they have been accommodated within the new version.

This revised PAS 99 is therefore based upon the structure provided in Annex SL and incorporates its text where appropriate to provide a future proof approach for accommodating new MSSs as they are produced. Users of BS EN ISO 9001 and BS EN ISO 14001, which are unlikely to appear in the new format in the near future, may find particular benefit in using PAS 99:2012 to enable them to develop their current integrated approaches. The subsequent revisions of BS EN ISO 9001 and BS EN ISO 14001 should then have minimal impact on existing internal management system operations when these revised standards appear. Many current standards under review or being drafted are likely to appear in this format from 2012 onwards and this PAS should help organizations accommodate common requirements in a format that is likely to be the future pattern for MSSs.

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Many of the elements and clauses used in the PAS structure will be recognized by users of MSSs. The framework however, has been extended to formally include elements which have not necessarily been a feature of MSSs in the past, although they are important to the success of the organization. The new structure is shown below and, for those familiar with the Plan Do Check Act approach, the correlation between the management system process in Annex SL and PDCA is indicated:

- | | | |
|--------------------------------|---|------|
| a) Context of the organization | } | Plan |
| b) Leadership | | |
| c) Planning | | |
| d) Support | | |
| e) Operation | } | Do |
| f) Performance evaluation | | |
| g) Improvement | } | Act |
| | | |

This revision of PAS 99 has incorporated:

- 1) Annex SL definitions plus a definition of integrated management system as applied in this PAS;
- 2) Annex SL core text, incorporating minor modifications to reflect this PAS shown in italics. These core requirements are given in a text box at the beginning of each clause from Clause 4 onwards;
- 3) requirements that were present in PAS 99:2006 and not included in Annex SL and which continue to add value;

- 4) requirements that are seen as being common to more than one standard which will help with integration;
- 5) explanatory information on the intent of a clause – where this is not evident in MSSs in current use – e.g. context and leadership.

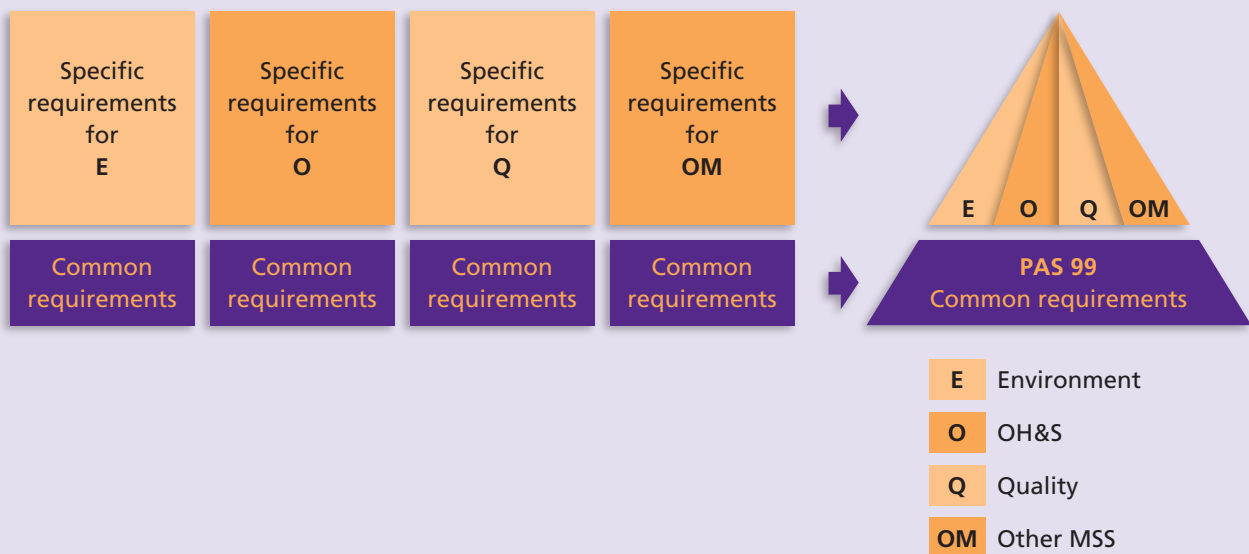
Extra guidance has been provided on the “new” elements such as context and leadership to help organizations implement these requirements.

This PAS uses the same categorization as Annex SL framework for the common management system requirements and each subject will be considered in more detail in the course of this PAS where it is felt additional requirements or guidance are required. In addition, Annex A provides further guidance information on implementing the PAS, particularly for those standards not yet published in the new format.

Many of the requirements in standards are common and these can be practically accommodated under one generic management system as shown in Figure 1. It follows that the reduction in duplication by combining two or more systems in this way has the potential to significantly reduce the overall size of the management system and improve system efficiency and effectiveness.

Figure 1 shows that as the various management system requirements can be aligned in a single structure it is possible to integrate the common requirements. This should be done in a manner that is most appropriate to the organization.

Figure 1 – Illustration of how the common requirements of multiple management system standards can be integrated into one common system



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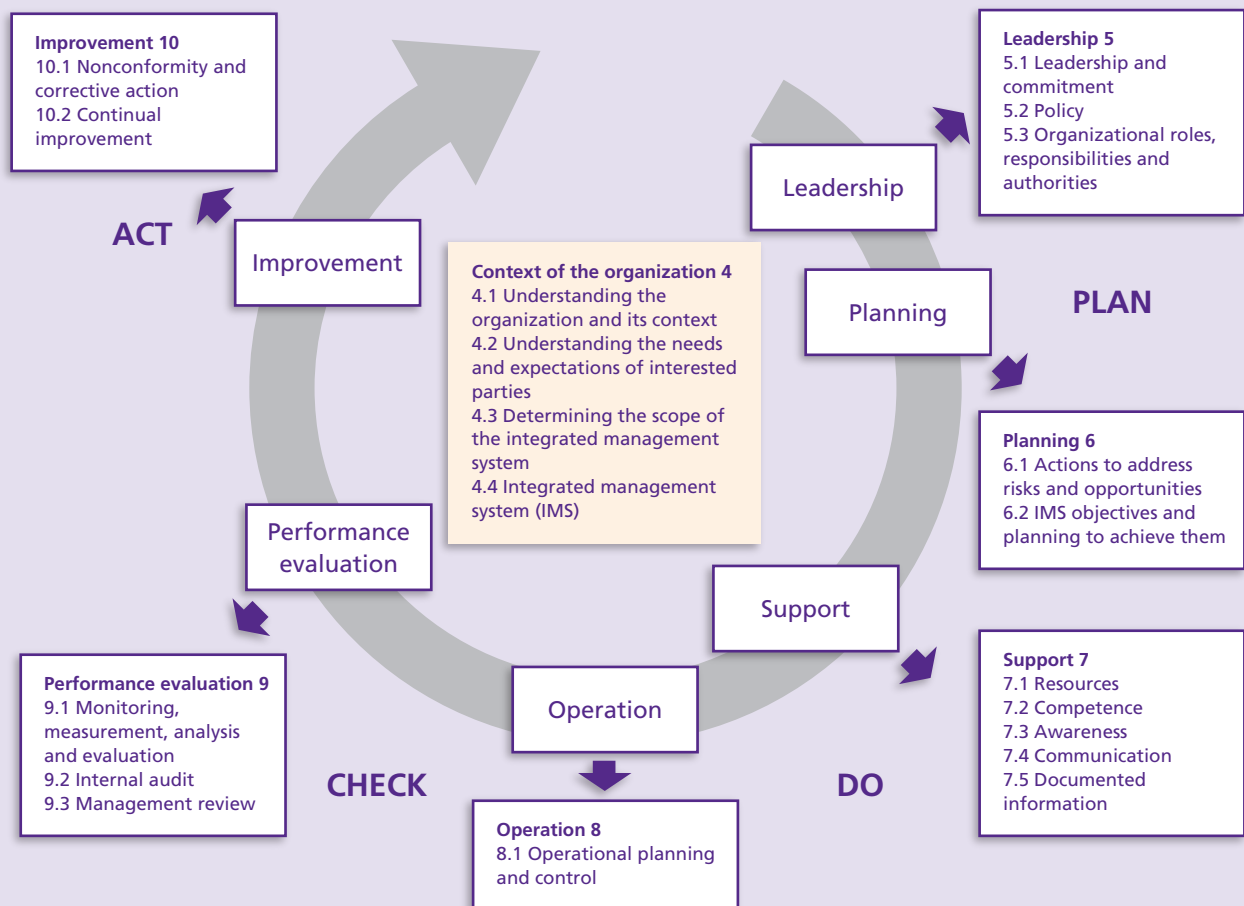
In large or complex organizations, it may be appropriate to allocate all the management systems between two or more integrated systems that align well with organizational functions rather than force them into a single scheme. Nonetheless, by aligning the structures of MSSs, as described in this PAS, an organization should be able to ensure a commonality of approach.

Integration should be planned and implemented in a structured way. Many businesses have adopted MSSs as a result of outside pressures such as customers demanding the implementation of a quality standard or an external requirement to install an occupational health and safety system. This does not apply to integration, which will be done purely for the benefit of the business. The first step should therefore be to identify the business needs. If a business does not see benefits from integration, then it should not do it, although it is difficult to imagine an organization that would not experience benefits from integration.

To meet the requirements of a specific MSS it will be necessary to carry out an analysis of each of the requirements in detail and compare them with those that have already been incorporated in the integrated system. Even elements which are considered common can have subtle differences within the context of the individual standard.

Annex SL does not specify use of either the process approach or of the Plan Do Check Act (PDCA) and either can be accommodated within the high level structure provided. For simplicity, a diagram is provided in Figure 2 to show the cyclical process and the interaction of the clauses. Figure A.1 shows how the Annex SL approach fits into the process approach model.

Figure 2 – Framework of management system requirements



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1 Scope

This Publicly Available Specification (PAS) specifies common management system (MS) requirements and is intended to be used as a framework for implementing two or more management system standards (MSSs) in an integrated way. It draws together the common requirements in MSSs based on the new guidance provided by ISO to standards writers (Annex SL). Annex SL and its appendices provide a high level structure and common text which will be utilized in new MSSs and in revisions to existing standards.

Although PAS 99 is primarily intended to be used in combination with MSSs such as BS EN ISO 9001, BS EN ISO 14001, BS ISO/IEC 27001, BS EN ISO 22000, BS ISO/IEC 20000, BS ISO 22301 and BS OHSAS 18001 it can also be used with other national and international MSSs.

It applies to all sizes and types of organization.

It is not intended for organizations that have based their MS upon a single standard except as preparation for the adoption of additional systems or standards.

Compliance with this PAS does not ensure compliance with any other MSSs.

2 Normative references

Only the standards that the organization subscribes to and that it wants to use in combination with this PAS should be used as normative references. Those listed below are examples of some of the major standards in use in organizations.

For dated documents, only the edition cited applies. For undated documents, the most recent edition of the document (including any amendments) applies.

BS EN ISO 9001:2008, *Quality management systems – Requirements*

BS EN ISO 14001:2004, *Environmental management systems – Requirements with guidance for use*

BS EN ISO 22000:2005, *Food safety management systems – Requirements for any organization in the food chain*

BS ISO 22301:2012, *Societal security – Business continuity management systems – Requirements*

BS ISO/IEC 20000-1:2011, *Information technology – Service management – Part 1: Service management system requirements*

BS ISO/IEC 27001:2005, *Information technology – Security techniques – Information security management systems – Requirements*

BS OHSAS 18001:2007, *Occupational health and safety management systems – Specifications*