

This is a preview of "ISO/TR 31004:2013". [Click here to purchase the full version from the ANSI store.](#)

First edition  
2013-10-15

---

---

## **Risk management — Guidance for the implementation of ISO 31000**

*Management du risque — Lignes directrices pour l'implémentation de l'ISO 31000*



Reference number  
ISO/TR 31004:2013(E)

© ISO 2013

This is a preview of "ISO/TR 31004:2013". [Click here to purchase the full version from the ANSI store.](#)



**COPYRIGHT PROTECTED DOCUMENT**

© ISO 2013

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from 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](mailto:copyright@iso.org)  
Web [www.iso.org](http://www.iso.org)

Published in Switzerland

This is a preview of "ISO/TR 31004:2013". [Click here to purchase the full version from the ANSI store.](#)

## Contents

	Page
<b>Foreword</b> .....	<b>iv</b>
<b>Introduction</b> .....	<b>v</b>
<b>1 Scope</b> .....	<b>1</b>
<b>2 Normative references</b> .....	<b>1</b>
<b>3 Implementing ISO 31000</b> .....	<b>1</b>
3.1 General.....	1
3.2 How to implement ISO 31000.....	2
3.3 Integration of ISO 31000 into the organization's management processes.....	3
3.4 Continual improvement.....	6
<b>Annex A (informative) Underlying concepts and principles</b> .....	<b>7</b>
<b>Annex B (informative) Application of ISO 31000 principles</b> .....	<b>10</b>
<b>Annex C (informative) How to express mandate and commitment</b> .....	<b>21</b>
<b>Annex D (informative) Monitoring and review</b> .....	<b>25</b>
<b>Annex E (informative) Integrating risk management within a management system</b> .....	<b>34</b>
<b>Bibliography</b> .....	<b>37</b>

## Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

The committee responsible for this document is Technical Committee ISO/TC 262, *Risk management*.

This is a preview of "ISO/TR 31004:2013". [Click here to purchase the full version from the ANSI store.](#)

## Introduction

### 0.1 General

Organizations use various methods to manage the effect of uncertainty on their objectives, i.e. to manage risk, by detecting and understanding risk, and modifying it where necessary.

This Technical Report is intended to assist organizations to enhance the effectiveness of their risk management efforts by aligning them with ISO 31000:2009. ISO 31000 provides a generic risk management approach that can be applied to all organizations to help achieve their objectives.

This Technical Report is intended to be used by those within organizations who make decisions that impact on achieving its objectives, including those responsible for governance and those who provide organizations with risk management advice and support services. This Technical Report is also intended to be used by anyone interested in risk and its management, including teachers, students, legislators and regulators.

This Technical Report is intended to be read in conjunction with ISO 31000 and is applicable to all types and sizes of organization. The core concepts and definitions that are central to understanding ISO 31000 are explained in [Annex A](#).

[Clause 3](#) provides a generic methodology to help organizations transition existing risk management arrangements to align with ISO 31000, in a planned and structured way. It also provides for dynamic adjustment as changes occur in the internal and external environment of the organization.

Additional annexes provide advice, examples and explanation regarding the implementation of selected aspects of ISO 31000, in order to assist readers according to their individual expertise and needs.

Examples provided in this Technical Report might or might not be directly applicable to particular situations or organizations, and are for illustrative purposes only.

### 0.2 Underlying concepts and principles

Certain words and concepts are fundamental to understanding both ISO 31000 and this Technical Report, and they are explained in ISO 31000:2009, Clause 2, and in [Annex A](#).

ISO 31000 lists eleven principles for effective risk management. The role of the principles is to inform and guide all aspects of the organization's approach to risk management. Principles describe the characteristics of effective risk management. Rather than simply implementing the principles, it is important that the organization reflects them in all aspects of management. They serve as indicators of risk management performance and reinforce the value to the organization of managing risk effectively. They also influence all elements of the transition process described in this Technical Report, and the technical issues that are the subject of its annexes. Further advice is given in [Annex B](#).

In this Technical Report, the expressions "top management" and "oversight body" are both used: "top management" refers to the person or group of people that directs and controls an organization at the highest level, whereas "oversight body" refers to the person or group of people that governs an organization, sets directions, and holds top management to account.

**NOTE** In many organizations, the oversight body could be called a board of directors, a board of trustees, a supervisory board, etc.