TECHNICAL SPECIFICATION

ISO/TS 10020

First edition

Quality management systems — Organizational change management — Processes

Systèmes de management de la qualité — Gestion du changement organisationnel — Processus

PROOF/ÉPREUVE

iTeh STANDARD PREVIEW
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ISO/PRF TS 10020
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Foreword

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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).

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This document was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

The purpose of this document is to describe processes for organizational change management (OCM) that can be used by organizations when undertaking any form of OCM. It comprises process descriptions that elaborate the OCM processes.

Since OCM is a key approach to risk-mitigation in organizational development, this document follows a risk-based approach. Risk-based change management is a best-practice approach to strategizing and managing organizational change, as it allows changes to be prioritized and focused on the most important needs and opportunities.

Each process is described using the generic process template provided in ISO/IEC/IEEE 24774:2021, and covers the purpose, outcomes, activities, tasks and information items of each process.

Documentation items to be produced by the OCM processes are provided in Annexes A and B.

Annex C provides a high-level cross-reference between the clauses of this document and the clauses of ISO 9001.

This document aims to provide OCM practitioners with the information required to manage and perform OCM in organizations.

PROOF/ÉPREUVE

Quality management systems — Organizational change management — Processes

1 Scope

This document specifies processes that can be used to govern, manage and implement organizational change management (OCM) for organizations, projects or smaller activities. It comprises generic process descriptions that describe the OCM processes. Supporting diagrams describing the processes are also provided.

This document is applicable, but not limited, to change sponsors, change agents, change team members and project managers, particularly those responsible for governing, managing and implementing organizational change.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at https://www.electropedia.org/

3.1
aggregation model
combined view of the current state of organizational change

Note 1 to entry: The combined view presents the positions of *interested parties* (3.3) on the *change matrix* (3.2).

3.2
change matrix
two-dimensional array showing the relationship between product or service realization stages and organizational change stages

Note 1 to entry: The product or service realization stages are presented on the x-axis and organizational change stages on the y-axis.

3.3
interested party
stakeholder
person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity

EXAMPLE   Customers, owners, people in an organization, providers, bankers, regulators, unions, partners or society that can include competitors or opposing pressure groups.

[SOURCE: ISO 9000:2015, 3.2.3]

3.4
intervention
process through which the behaviour of an organization is changed

3.5
organizational change management
OCM
organizational change processes by which organizations implement their organizational change strategy to adapt to the environment and improve business performance

Note 1 to entry: Organizational change is a process that allows organizations to adapt to the environment and improve business performance and thus contribute to the implementation of the organizational change strategy.

Note 2 to entry: The important elements that distinguish organizational change are:

a) it focuses on the human and social aspect of the organization in conjunction with the technological and structural elements;

b) it focuses on the culture of the organization;

c) it encourages collaboration between the organization's leaders and members.

4 Organizational change management concepts

4.1 General

Any change or transition from one state to another state can result in risks and opportunities to the organization.

The activities associated with OCM can be implemented with or without the support of a documented management system. Where a management system is based on an ISO Management System Standard, there is likely to be an established process for implementing changes in a planned manner. This should assist in managing risks and opportunities associated with OCM.

4.2 Organizations and interested parties

For understanding the needs and expectations of interested parties, the organization determines the following, in accordance with its applicable policy and strategy identified in the governance process, as appropriate:

a) the interested parties that are relevant;

b) the needs and expectations of these interested parties;

c) which of these needs and expectations become obligations.

4.3 Conditions under which organizational change is likely to take place

The following model can be useful for identifying situations in which organizational change is likely to take place, although other driving forces can also be applicable.

The factors in this conceptual model are as follows:

— D = There is dissatisfaction when there is a situation that people want to change.

— V = People share a reasonably clear vision of a future situation that is both better and achievable.

— F = The action plan to achieve the vision is acceptable and sets out the first steps to be taken.

— R = The combined strength of the three factors above (i.e. $D \times V \times F$) is greater than the existing resistance to change.

If the first three factors are present and the result of multiplying these three factors exceeds the resistance to change, then meaningful organizational change is likely to take place.[5]

Because D, V and F are multiplied, if any value is absent (zero) or low, then the product will be zero or low and therefore not capable of overcoming the resistance.

The key factors, D, V, F and R are evaluated for impact in the context of each identified interested party, in the first instance, and secondly in terms of the specific concern (i.e. issue) that is under consideration.

In most situations, the relationship between interested parties and issues is likely to be complex, and requires a detailed analysis in order to properly identify these relationships.

4.4 OCM process perspective

A management system comprises processes. For example, ISO 9001:2015 describes the expectations of how processes are to be supported in the context of the quality management.

In this document, ISO/IEC/IEEE 24774 is used to support the description of each OCM process.

Processes are described in terms of:

— process title;

— process purpose;

— process outcomes;

— process activities;

— process tasks;

— process controls and constraints;

— process documented information (expected outputs of the process).

4.5 Process model

This document groups the OCM activities into three process groups, as shown in Figure 1. Each of the processes within those groups is described in terms of its purpose and desired outcomes, and lists activities and tasks which need to be performed.
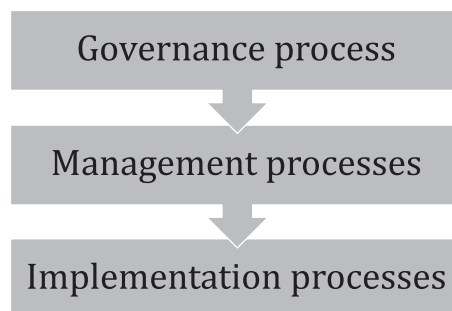

Figure 1 — Multi-layer process model

The aim of each layer is as follows:

a) Governance process (see Clause 5):

1) the aim of this layer is to describe a process for the creation and maintenance of the OCM governance framework, including, for example, such documentation items defining the need for OCM policies, strategies, processes, procedures and other process assets.

b) Management processes (see Clause 6):

1) the aim of this layer is to describe processes that cover the management of organizational change for an entire change scenario, or change project;

2) this layer comprises the following processes:

i) change scenario process;

ii) interested party identification process;

iii) intervention definition process.

c) Implementation processes (see Clause 7):

1) the aim of this layer is to describe generic processes for performing OCM implementation;

2) the implementation processes include:

i) issue identification process;

ii) affected interested party identification process;

iii) affected interested party identification process;

iv) change management reporting.

The layers of the OCM process model comprise varying numbers of OCM processes, as shown in Figure 2.

Governance process			

Management processes			
Change scenario process	Interested party identification process	Intervention definition process	

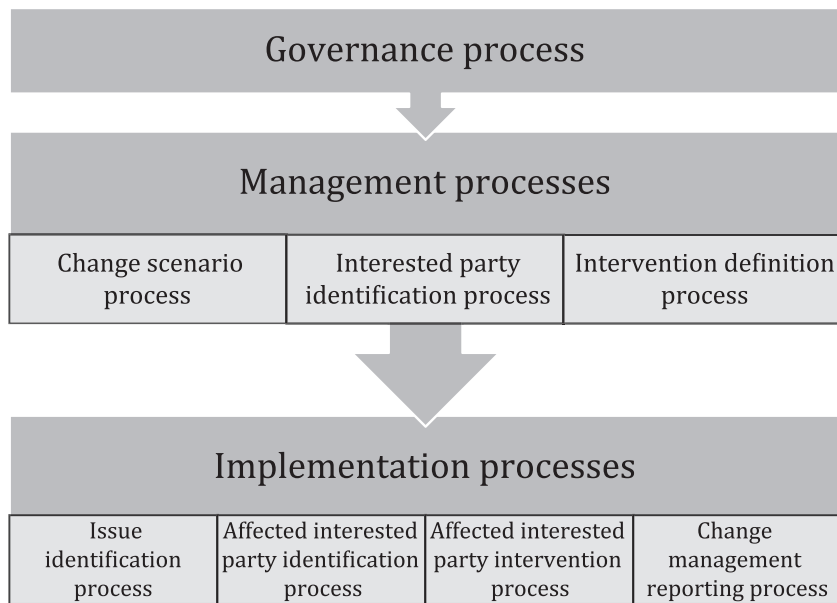| Implementation processes			
Issue identification process	Affected interested party identification process	Affected interested party intervention process	Change management reporting process

Figure 2 — Multi-layer model showing all OCM processes

5 Governance process

5.1 General

The governance process is used to develop and manage organizational changes.

The governance process typically applies to the OCM activities across the whole organization (i.e. they are not project based).

An OCM policy and OCM strategy are examples of documented information supporting this process.

The governance process is generic and can be used to develop and manage other non-project specific documents, such as a programme OCM strategy that applies to a number of related projects.

The OCM policy can be used to describe the purpose, goals and overall scope of OCM within the organization. It establishes OCM practices and provides a framework for establishing, reviewing and continually improving the governance process.

The OCM strategy describes how the change management is performed within the organization. It is generic documented information that provides guidelines for a number of change projects in the organization and is not specific to any change project.

Figure 3 shows the governance process in a typical situation where it has been applied to create and maintain both an organization's OCM policy and OCM strategy. As Figure 3 illustrates, the two activities continually interact with each other. The OCM strategy needs to align with the OCM policy. Feedback from this activity is provided back to the OCM policy for possible improvement. Similarly, the management processes being used on each of the change projects within the organization need to align with the OCM strategy (and policy), and feedback from the management of these change projects is used to improve the OCM strategy and policy.
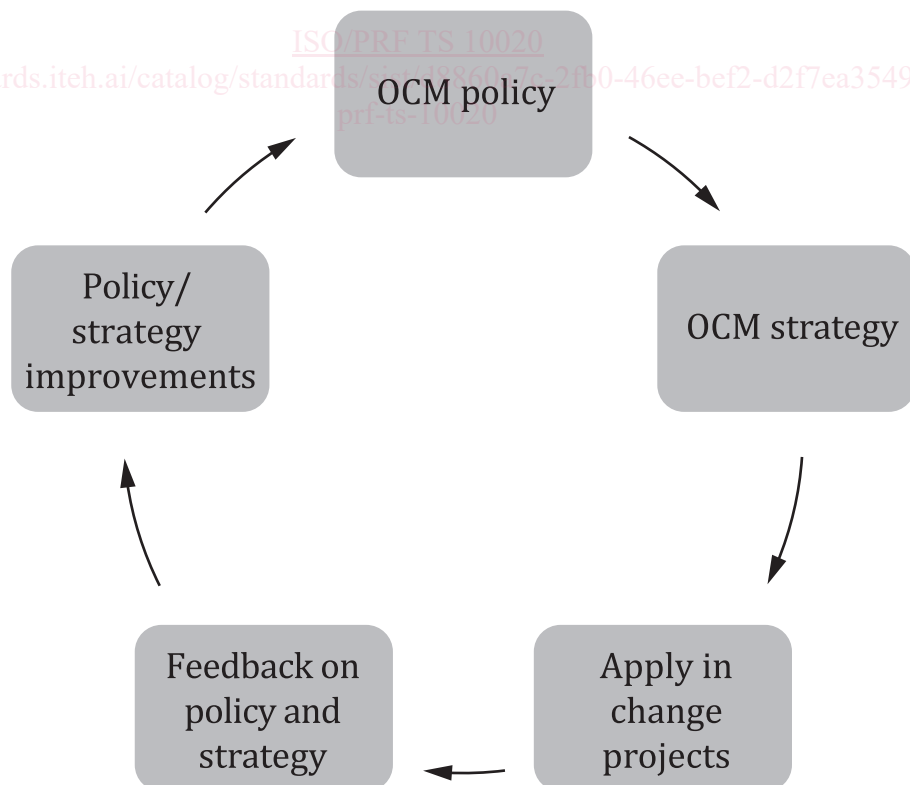

Figure 3 — Example OCM policy/strategy improvement

5.2 Process

The governance process comprises activities for the creation, review and maintenance of OCM policy and strategy, and related documentation items.

5.3 Purpose

The purpose of the governance process is to direct the organization in the achievement of its vision, mission, strategy and goals related to OCM, through assuring the definition of related objectives, policy and strategy.

5.4 Outcomes

As a result of the successful implementation of the governance process:

— the context of the organization, including the expectations of its relevant interested parties, with respect to OCM are understood and analysed;

— the scope of OCM system activities are described, taking the context of the organization into consideration;

— the OCM system policy and objectives are described;

— the OCM system and operational process strategy is determined;

— commitment and leadership in regard to establishing, maintaining and improving this process is demonstrated.

5.5 Developing OCM policy and strategy

The following activities and tasks should be implemented in accordance with applicable organization policies and procedures with respect to the governance process, as appropriate.

The development of OCM policy and strategy consists of the following tasks:

— top management demonstrates leadership and commitment by ensuring that the OCM policy and objectives are established and are compatible with the context and strategic direction of the organization;

— obligations to support the objectives of the organizational change policy and strategy are identified within the organization and interested parties;

— the OCM system and operational process strategy are determined;

— commitment and leadership in regard to establishing, maintaining and improving this process strategy is demonstrated.

5.6 Documented information

As a result of performing this process, the following documented information is produced:

— OCM policy (see A.2.2);

— OCM strategy (see A.2.3).

6 Management processes

6.1 General

There are three management processes:

— change scenario (see 6.2);

— interested party identification (see 6.3);

— intervention definition (see 6.4).

The management processes need to align with the directives of the governance process, including the OCM policy and strategy. Based on their practical implementation, they may produce feedback to the governance process.

6.2 Change scenario process

6.2.1 General

The change scenario process is used to identify a programme-wide change initiative. Depending on where in the organization this process is implemented, this can support a programme-wide or project-wide change plan. If the scope of the proposed change is localized, then the change plan can be limited in scope within the issues identification process.

6.2.2 Purpose

The purpose of the change scenario process is to identify the scope, approach, benefits, risks and opportunities that will be taken to address an organizational change initiative.

6.2.3 Outcomes

As a result of the successful implementation of the change scenario process:

— the external and internal concerns that are relevant to the organization are determined and their impacts are analysed;

— where such impacts are relevant to the organization, the scope of a proposed organizational change is identified;

— benefits associated with the scope of a proposed change are identified;

— risks and opportunities are identified;

— identified risks and opportunities are analysed;

— risks and opportunities are evaluated against defined criteria;

— risks and opportunities are selected for treatment;

— benefits are quantified;

— the aggregation model to be applied to the change scenario is identified;

— change scenario planning is performed.