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Quality ~~Management Systems~~ management systems — Organizational ~~Change Management~~ change management — Processes

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

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Foreword

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~~ISO/TS 10020~~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.

~~Supporting informative diagrams describing the processes are provided.~~

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 ~~focussed~~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 ~~*Quality management systems — Requirements*~~.

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

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 ~~informative~~ diagrams describing the processes are also provided.

This document is ~~intended for~~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

~~The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.~~

~~ISO 9000:2015 *Quality management systems — Fundamentals and vocabulary*~~

~~ISO 9001:2015 *Quality management systems — Requirements*~~

~~ISO/IEC/IEEE 24774:2021 *Systems and software engineering — Life cycle management — Specification for process description*~~

There are no normative references in this document.

3 Terms and ~~Definitions~~definitions

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

ISO and IEC maintain ~~terminological~~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~~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 ~~realisation~~realization stages and organizational change stages

~~NOTE~~Note 1 to entry: The product or service ~~realisation~~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) ~~Focuses~~it focuses on the human and social aspect of the organization in conjunction with the technological and structural elements~~.~~;

b) ~~Focuses~~it focuses on the culture of the organization~~.~~;

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

~~**3.6**~~
~~**OCM**~~
~~organizational change management system for managing organizational change~~

~~7~~4 Organizational ~~Change Management~~ change management concepts

~~7.1 Introduction~~

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.

~~7.2~~4.2 Organizations and ~~stakeholders (~~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*~~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.

~~7.3~~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 ~~may~~ 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* × *V* × *F*) is greater than the existing resistance to change.

If the ~~following~~first three factors are present and the result of multiplying ~~the~~these three factors exceeds the resistance to change, then meaningful organizational change is likely to take place.[~~25~~]

~~The factors in this conceptual model are:~~

~~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 x V x F) is greater than the existing resistance to change.~~

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* ~~and,~~ *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 ~~indentify~~identify these relationships.

~~7.4~~4.4 OCM process~~Process~~ perspective

A management system ~~is comprised of~~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).

~~7.5~~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.

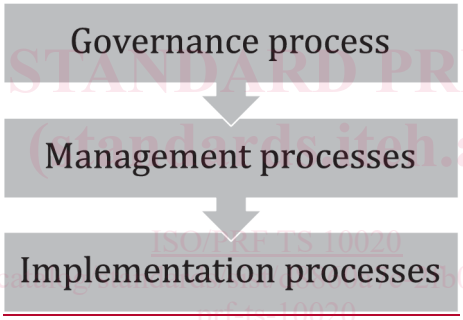


Figure 1 — Multi-layer process model

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~~ this layer comprises the following processes:

      i) ~~Change Scenario~~change scenario process;

      ii) ~~Interested Party Identification~~interested party identification process;

      iii) ~~Intervention Definition~~intervention definition process.

c) Implementation processes~~;~~ (see Clause 7):

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

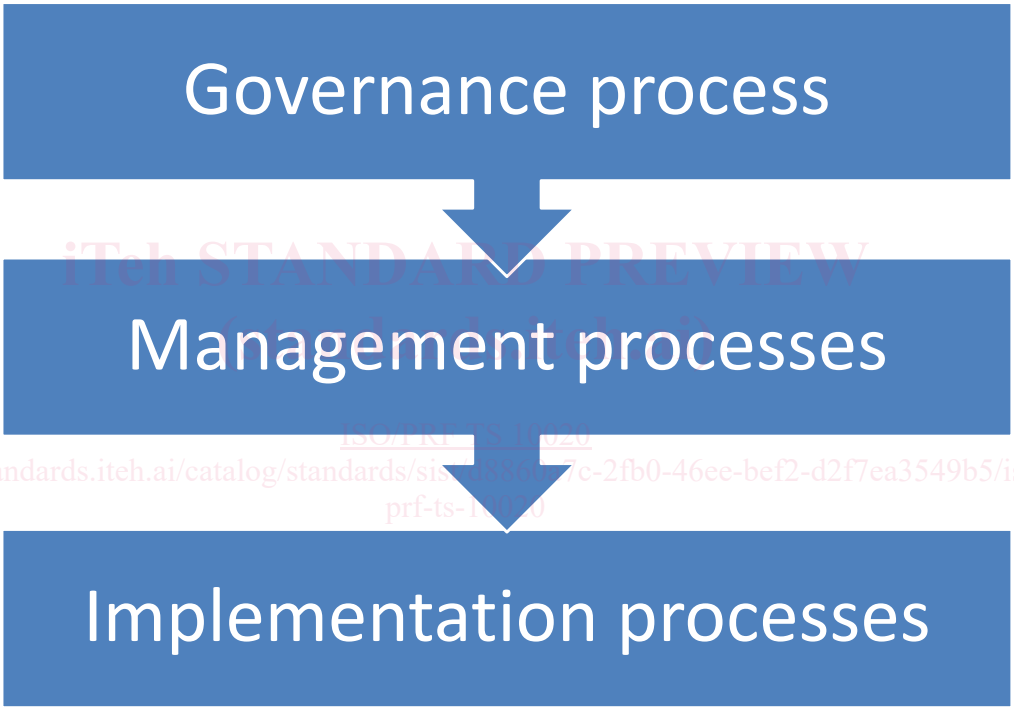
2) ~~The Implementation~~the implementation processes include:

i) ~~Issue Identification~~issue identification process;

ii) ~~Affected Interested Party Identification~~affected interested party identification process;

iii) ~~Affected Interested Party Intervention~~affected interested party identification process;

iv) ~~Change Management Reporting.~~change management reporting.



~~Figure The multi-layer process model~~

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

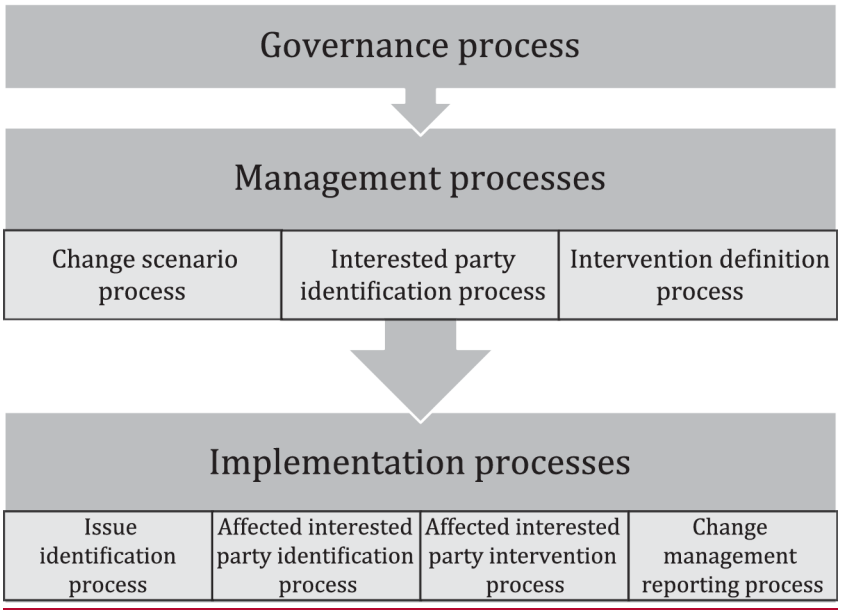


Figure 2 — ~~The multi~~Multi-layer model showing all OCM processes

~~8~~5 Governance process

~~8.1~~5.1 General

~~8.2 Introduction~~

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

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

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

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

The OCM ~~Policy~~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~~governance process.

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