
**Quality management systems —
Organizational change management
— Processes**

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

STANDARDSISO.COM : Click to view the full PDF of ISO/TS 10020:2022



STANDARDSISO.COM : Click to view the full PDF of ISO/TS 10020:2022



COPYRIGHT PROTECTED DOCUMENT

© ISO 2022

All rights reserved. Unless otherwise specified, or required in the context of its implementation, 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
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

Page

Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Organizational change management concepts	2
4.1 General	2
4.2 Organizations and interested parties	2
4.3 Conditions under which organizational change is likely to take place	2
4.4 OCM process perspective	3
4.5 Process model	3
5 Governance process	5
5.1 General	5
5.2 Process	6
5.3 Purpose	6
5.4 Outcomes	6
5.5 Developing OCM policy and strategy	6
5.6 Documented information	6
6 Management processes	7
6.1 General	7
6.2 Change scenario process	7
6.2.1 General	7
6.2.2 Purpose	7
6.2.3 Outcomes	7
6.2.4 Activities and tasks	8
6.2.5 Documented information	8
6.3 Interested party identification process	9
6.3.1 General	9
6.3.2 Purpose	9
6.3.3 Outcomes	9
6.3.4 Activities and tasks	9
6.3.5 Documented information	9
6.4 Intervention definition process	9
6.4.1 General	9
6.4.2 Purpose	10
6.4.3 Outcomes	10
6.4.4 Activities and tasks	10
6.4.5 Documented information	10
7 Implementation processes	11
7.1 General	11
7.2 Issue identification process	11
7.2.1 General	11
7.2.2 Purpose	11
7.2.3 Outcomes	11
7.2.4 Activities and tasks	11
7.2.5 Documented information	12
7.3 Affected interested party identification process	12
7.3.1 General	12
7.3.2 Purpose	12
7.3.3 Outcomes	12
7.3.4 Activities and tasks	13
7.3.5 Documented information	13

7.4	Affected interested party intervention process.....	13
7.4.1	General.....	13
7.4.2	Purpose.....	13
7.4.3	Outcomes.....	13
7.4.4	Activities and tasks.....	14
7.4.5	Documented information.....	14
7.5	Change management reporting process.....	14
7.5.1	General.....	14
7.5.2	Purpose.....	15
7.5.3	Outcomes.....	15
7.5.4	Activities and tasks.....	15
7.5.5	Documented information.....	15
8	Measuring affected interested party intervention progress on the change matrix.....	16
8.1	The change matrix.....	16
8.2	Rating the change matrix position.....	18
8.3	Aggregation of affected interested parties change matrix positions to higher levels.....	18
8.3.1	General.....	18
8.3.2	Change matrix cell aggregation problem.....	18
8.3.3	Change matrix cell aggregation models.....	19
Annex A (informative) Process documentation items.....		21
Annex B (informative) Generic sections definition.....		29
Annex C (informative) Comparison between this document and ISO 9001.....		31
Bibliography.....		41

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).

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).

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

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

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.

STANDARDSISO.COM : Click to view the full PDF of ISO/TS 10020:2022

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.

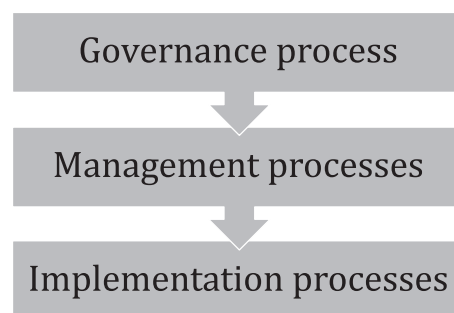


Figure 1 — Multi-layer process model

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 intervention process;
 - iv) change management reporting.

The layers of the OCM process model comprise varying numbers of OCM processes, as shown in [Figure 2](#).

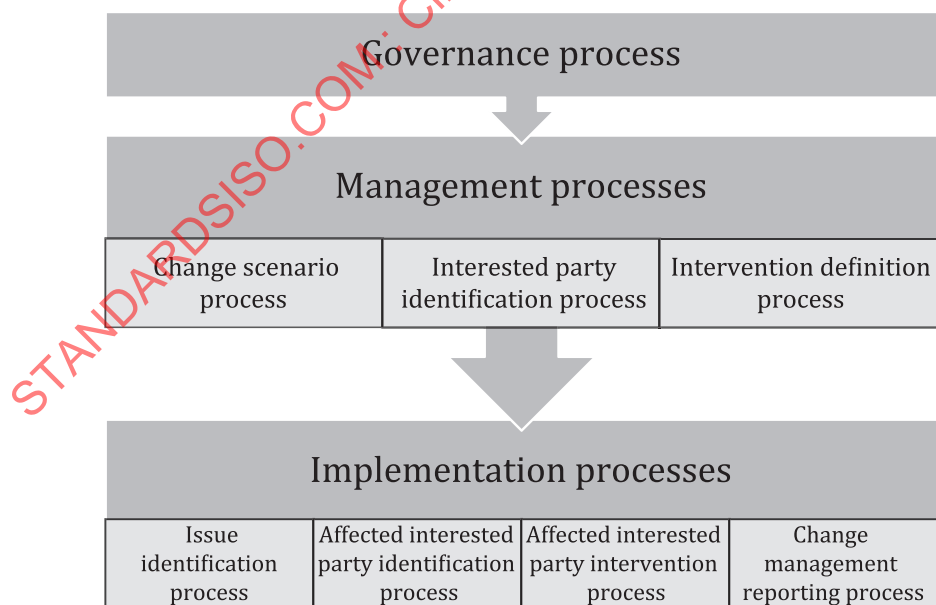


Figure 2 — Multi-layer model showing all OCM processes

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.

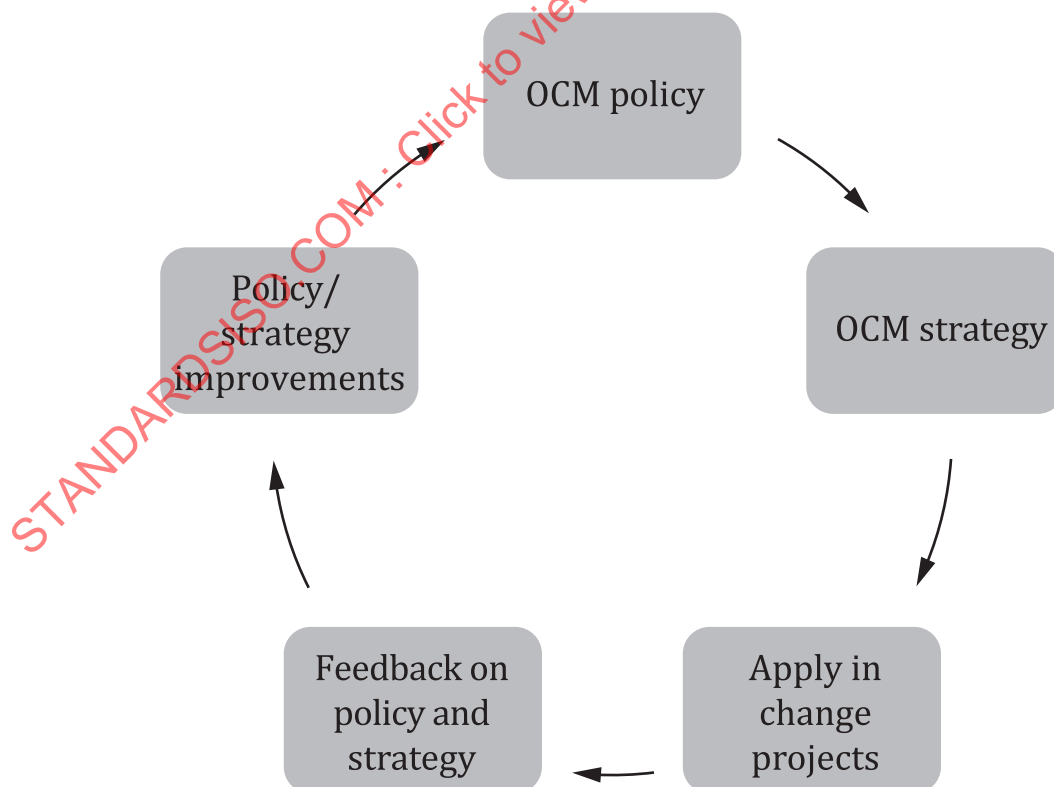


Figure 3 — Example OCM policy/strategy improvement

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.

6.2.4 Activities and tasks

6.2.4.1 General

The change scenario process should implement the activities given in [6.2.4.2](#) to [6.2.4.6](#) and tasks in accordance with applicable policy and strategy identified in the governance process, as appropriate.

6.2.4.2 Determine change scenario scope

This activity consists of the following tasks:

- the external and internal concerns that are relevant to the organization and their impacts are analysed;
- where such impacts are relevant to the organization, the scope of a proposed organizational change is identified.

6.2.4.3 Determine change scenario benefits

This activity consists of the following tasks:

- the benefits associated with the scope of a proposed change are identified;
- the benefits are quantified.

6.2.4.4 Determine change scenario risks and opportunities

This activity consists of the following tasks:

- 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.

6.2.4.5 Determine change scenario aggregation model

This activity consists of the following task:

- the aggregation model to be applied to the change scenario is identified.

6.2.4.6 Perform change scenario planning

This activity consists of the following tasks:

- budgets and initial cost estimates are determined;
- schedule implications are considered;
- authorities and responsibilities associated with the change sponsor are identified, together with those associated with the immediately affected process/service owner.

6.2.5 Documented information

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

- change objectives and strategy (see [A.3.2](#)).

6.3 Interested party identification process

6.3.1 General

The interested party identification process identifies interested parties that are relevant to the organization, including their needs and expectations.

6.3.2 Purpose

The purpose of the interested party identification process is to identify interested parties that are relevant to the organization, including their needs and expectations.

6.3.3 Outcomes

As a result of the successful implementation of the interested party identification process:

- interested parties relevant to the organization are identified;
- the needs and expectations associated with the interested parties are identified;
- appropriate contact with identified interested parties is established.

6.3.4 Activities and tasks

6.3.4.1 General

The interested party identification process should implement the activities and tasks given in [6.3.4.2](#) in accordance with applicable policy and strategy identified in the governance process.

6.3.4.2 Identify interested parties

This activity consists of the following tasks:

- interested parties relevant to the organization are identified;

NOTE Interested parties can also be those that are directly associated with a stakeholder. As an example, a caregiver who enables an employee (stakeholder) to reach work every day. The organization's impact on the interested party can directly affect the stakeholder.

- the needs and expectations associated with the interested parties are identified;
- appropriate contact with identified interested parties is established.

6.3.5 Documented information

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

- interested party profile (see [A.3.3](#));
- interested party communication record (see [A.3.4](#)).

6.4 Intervention definition process

6.4.1 General

The intervention definition process serves to identify a portfolio of interventions that will be applied selectively wherever and whenever OCM activities are conducted.

The portfolio can contain definitions of interventions that are applied commonly in change management activities. The scope of this process also covers intervention types that is specific to distinct organizational contexts.

6.4.2 Purpose

The purpose of the intervention definition process is to describe interventions that are applied generally and selectively in resolving organizational change scenarios.

6.4.3 Outcomes

As a result of the successful implementation of the intervention definition process:

- the scope and objectives of the intervention are described;
- the context of application of the intervention is identified;
- any constraints on the application of the intervention are identified.

6.4.4 Activities and tasks

6.4.4.1 General

The intervention definition process should implement the activities and tasks given in [6.4.4.2](#) to [6.4.4.4](#) in accordance with applicable policy and strategy identified in the governance process.

6.4.4.2 Determine intervention scope

This activity consists of the following task:

- the scope and objectives of the intervention are described.

6.4.4.3 Determine intervention application context

This activity consists of the following task:

- the context of application of the intervention is identified.

6.4.4.4 Determine intervention application constraints

This activity consists of the following task:

- any constraints on the application of the intervention are identified.

6.4.5 Documented information

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

- intervention specification (see [A.3.5](#)).

7 Implementation processes

7.1 General

The implementation processes describe how change management related issues are identified, how interested parties affected by the issue are identified, how interventions are applied to interested parties affected by the issue, and finally, how the change management reporting process provides various reports on the status of change scenarios (at the programme level) to the resolution of issues (at the project, or lower level).

There are four processes:

- issue identification (see [7.2](#));
- affected interested party identification (see [7.3](#));
- affected interested party intervention (see [7.4](#));
- change management reporting (see [7.5](#)).

7.2 Issue identification process

7.2.1 General

The issue identification process describes how issues that are important and relevant to the associated change scenario are identified.

7.2.2 Purpose

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

7.2.3 Outcomes

As a result of the successful implementation of the issue identification process:

- the scope and objectives of the issue are identified;
- benefits associated with the scope of a proposed change are identified;
- opportunities and benefits are quantified;
- risks and opportunities are identified, and analysed;
- risks and opportunities are evaluated against defined criteria;
- risks and opportunities are selected for treatment;
- the aggregation model is confirmed.

7.2.4 Activities and tasks

7.2.4.1 General

The issue identification process should implement the activities and tasks given in [7.2.4.2](#) to [7.2.4.5](#) in accordance with applicable policy and strategy identified in the governance process, as appropriate.

7.2.4.2 Determine identified issue scope

This activity consists of the following task:

- the scope and objectives of the issue are identified.

7.2.4.3 Determine identified issue benefits

This activity consists of the following tasks:

- benefits associated with the scope of a proposed change are identified;
- opportunities and benefits are quantified.

7.2.4.4 Determine identified issue risks and opportunities

This activity consists of the following tasks:

- risks and opportunities are identified and analysed;
- risks and opportunities are evaluated against defined criteria;
- risks and opportunities are selected for treatment.

7.2.4.5 Confirm identified issue aggregation model

This activity consists of the following tasks:

- the aggregation model is confirmed.

NOTE The default aggregation model for each issue is inherited from the aggregation model assigned in the change scenario process. A different value for the aggregation model can be assigned when circumstances indicate the need for this.

7.2.5 Documented information

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

- change plan (see [A.4.2](#)).

7.3 Affected interested party identification process

7.3.1 General

The affected interested party identification process describes how interested parties that are affected by an issue are then identified and associated with the issue.

7.3.2 Purpose

The purpose of the affected interested party identification process is to identify interested parties that are affected by an issue.

7.3.3 Outcomes

As a result of the successful implementation of the affected interested party identification process:

- the extent to which the interested party is impacted by the issue is identified;
- the readiness for change of the interested party is determined;
- the weighting of the interested party with respect to the change scenario is described;

- the initial position of the interested party on the change matrix is determined.

7.3.4 Activities and tasks

7.3.4.1 General

The affected interested party identification process should implement the activities and tasks given in [7.3.4.2](#) to [7.3.4.5](#) in accordance with applicable policy and strategy identified in the governance process.

7.3.4.2 Determine affected interested party impacts

This activity consists of the following task:

- the extent to which the interested party is impacted by the issue is identified.

7.3.4.3 Determine affected interested party change readiness

This activity consists of the following tasks:

- the readiness for change of the interested party is determined.

7.3.4.4 Determine affected interested party aggregation weighting

This activity consists of the following task:

- the weighting of the interested party with respect to the change scenario is described.

7.3.4.5 Determine affected interested party change matrix initial position

This activity consists of the following tasks:

- The initial position of the interested party on the change matrix is determined.

7.3.5 Documented information

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

- affected interested party profile (see [A.4.3](#)).

7.4 Affected interested party intervention process

7.4.1 General

The affected interested party intervention process describes how the issues that affect interested parties are linked to appropriate interventions, with a view to progressing the interested party further along the change matrix.

7.4.2 Purpose

The purpose of the affected interested party intervention process is to execute selected interventions that are linked to issues with affected interested parties.

7.4.3 Outcomes

As a result of the successful implementation of the affected interested party intervention process:

- the baseline position of the interested party on the change matrix is determined;
- the desired position on the change matrix, following the intervention is identified;

- the scheduled start and end dates for the execution of the intervention are determined;
- the current status of the execution of the intervention is known;
- at the conclusion of the intervention, the new position of the interested party on the change matrix is assessed.

7.4.4 Activities and tasks

7.4.4.1 General

The affected interested party intervention process should implement the activities and tasks given in [7.4.4.2](#) to [7.4.4.5](#) in accordance with applicable policy and strategy identified in the governance process.

7.4.4.2 Determine affected interested party intervention change matrix positions

This activity consists of the following tasks:

- the baseline position of the interested party on the change matrix is determined;
- the desired position on the change matrix, following the intervention, is determined.

7.4.4.3 Determine affected interested party intervention schedule dates

This activity consists of the following task:

- the scheduled start and end dates for the execution of the intervention is determined.

7.4.4.4 Determine affected interested party intervention status

This activity consists of the following task:

- the current status of the execution of the intervention is determined.

7.4.4.5 Determine affected interested party intervention final change matrix position

This activity consists of the following task:

- at the conclusion of the intervention, the final position of the interested party on the change matrix is determined.

7.4.5 Documented information

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

- affected interested party intervention plan (see [A.4.4](#));
- affected interested party intervention status (see [A.4.5](#));
- affected interested party intervention change matrix position (see [A.4.6](#)).

7.5 Change management reporting process

7.5.1 General

The change management reporting process describes how the reporting of organizational changes are managed and progressed.

7.5.2 Purpose

The purpose of the change management reporting process is to report on the progress of identified issues through to resolution.

7.5.3 Outcomes

As a result of the successful implementation of the change management reporting process:

- the status and progress of issues towards resolution is determined.
- reports are prepared that provide necessary and sufficient information to affected interested parties on the progress of issues towards resolution.

7.5.4 Activities and tasks

7.5.4.1 General

The change management reporting process should implement the activities and tasks given in [7.5.4.2](#) to [7.5.4.4](#) in accordance with applicable policy and strategy identified in the governance process.

7.5.4.2 Determine change management reporting status

This activity consists of the following task:

- the status and progress of issues towards resolution is determined.

7.5.4.3 Determine change management special reporting needs

This activity consists of the following task:

- reports are prepared that provide necessary and sufficient information to affected interested parties on the progress of issues towards resolution.

7.5.4.4 Provide change management special needs reports

This activity consists of the following task:

- reports that provide necessary and sufficient information to affected interested parties on the progress of issues towards resolution, are made available.

7.5.5 Documented information

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

- change scenario status report (see [A.4.7](#));
- change plan status report (see [A.4.8](#));
- change management special needs report (see [A.4.9](#)).

8 Measuring affected interested party intervention progress on the change matrix

8.1 The change matrix

The change matrix is a two-dimensional grid (see [Figure 4](#)) to illustrate the process of adaptation of an affected interested party to the organizational changes implied by an issue. This model is useful for visualizing the theory of change, although intermediate steps can be omitted in practice.

	Why	What	With	Who	When
Denial	1	5	9	13	17
Emotional	2	6	10	14	18
Acceptance /rejection	3	7	11	15	19
Commitment /opposition	4	8	12	16	20

Figure 4 — Layout of the change matrix

The horizontal dimension of the grid describes the change realization phases. The following phases are identified:

- Why: Implying a focus on the intention, or purpose, associated with the proposed change.
- What: What has to be done to realize the new/changed product service. Frequently this is described as the “process” that needs to be applied.
- With: This phase focuses on the nature of the resources that have to be identified and applied. Resources can include infrastructure elements (physical and virtual), financial resources and support from people.
- Who: Although people as a resource was identified in the previous phase, this phase is a focus upon the organizational and structural relationships involving people, notably the roles and capabilities that need to be applied to the proposed new/changed product/service.
- When: The major preoccupation in this phase is upon the timing relations of the deployed process. Typically, this phase has major operational implications.

The vertical dimension of the grid describes the organizational change phases. The following phases are identified:

- Denial: Key characteristic is a fear-inducing mindset. During this stage, people will begin rationalizing in a way that diminishes or negates the need for change.
- Emotional: Key characteristic is a problem-identifying mindset. Morale, competency and productivity decline during this stage. Emotional and defensive reactions increase.
- Rejection: Key characteristic is a dismissive or refusing mindset. A problem-identifying mindset turns into a dismissive or refusing mindset. Emotional and defensive reactions transition to repudiation of change possibilities. Change options are vetoed, dismissed or disallowed.
- Opposition: Key characteristic is a mindset characterized by resistance or dissent, expressed in action or argument. A dismissive or refusing mindset turns into a mindset characterized by overt hostility, resistance and conflict. Change options are actively resisted and obstructed.
- Acceptance: Key characteristic is a problem-solving mindset. A problem-identifying mindset turns into problem-solving mindset. Pessimism becomes cautious optimism. Morale and productivity increases. All interested parties share accountability for successful adoption of the change.
- Commitment: Key characteristic is an elation-producing mindset. An increase in morale and productivity. Morale, productivity and teamwork are high in this final stage. Relationships are deeper, stronger and more trusting.

[Figure 4](#) implies that an affected interested party moves through the cells of the change matrix in the linear order implied by the cell number sequence. In practice, the process is much more complex. In some instances, an affected interested party can move through the change matrix rapidly, apparently side-stepping several cells at a time.

EXAMPLE One affected interested party can spend no time whatever in the “Why” realization phase, bypassing the “Denial, Emotional, Acceptance” change phases, and move directly to the “Commitment” phase. On the other hand, a different affected interested party can become stuck indefinitely on the “Why” realization phase at the change phase of “Denial”.

The typical pattern of progress through the change matrix is illustrated in [Figure 5](#).

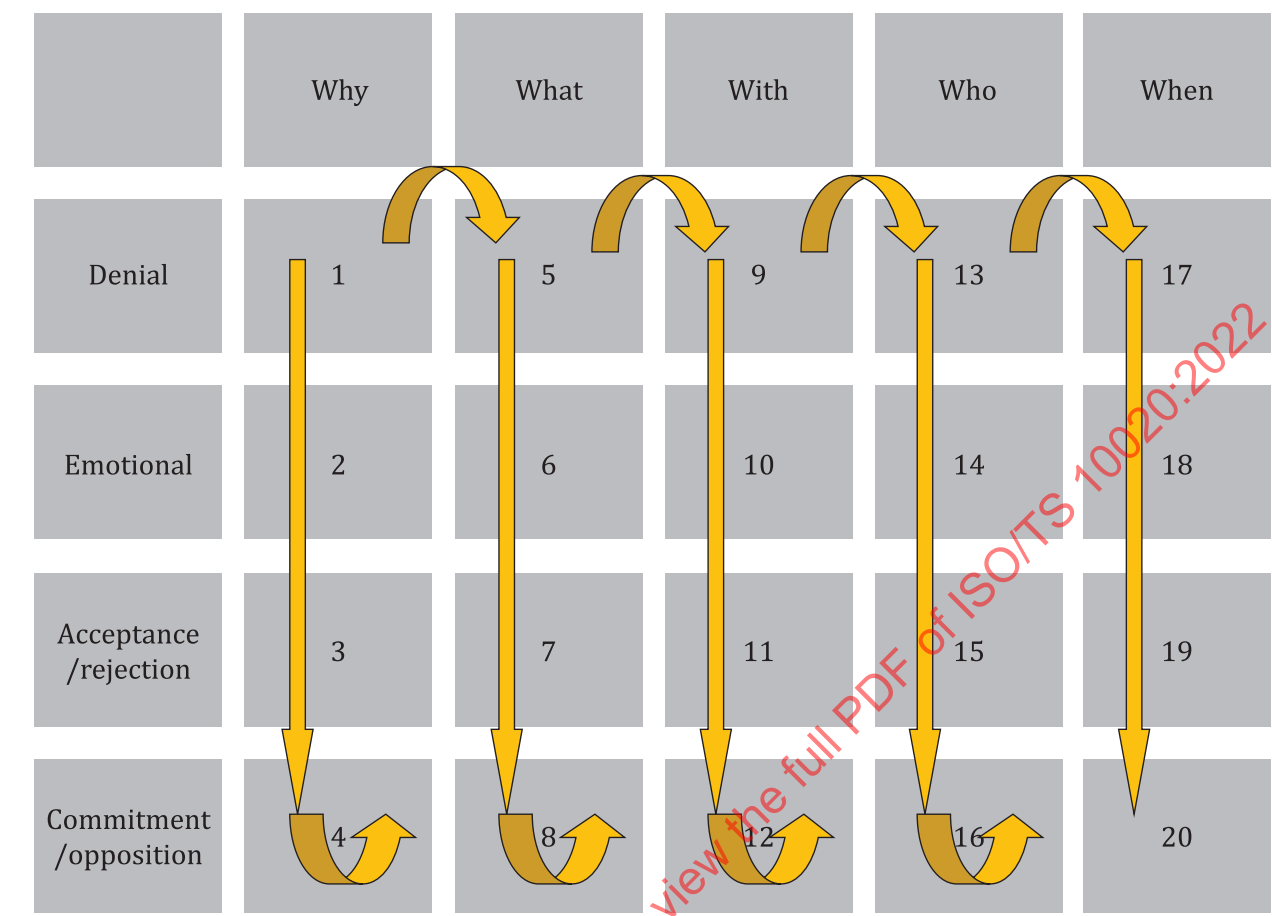


Figure 5 — Typical pattern of progress through the change matrix

8.2 Rating the change matrix position

The current change matrix cell position is identified simply as the selection of the applicable realization phase/change phase combination.

8.3 Aggregation of affected interested parties change matrix positions to higher levels

8.3.1 General

In order to monitor and track the progress of affected interested party interventions, it is important to be able to determine a composite view of this progress through the change matrix.

8.3.2 Change matrix cell aggregation problem

The nature of the change matrix aggregation problem is illustrated in [Figures 6, 7 and 8](#).

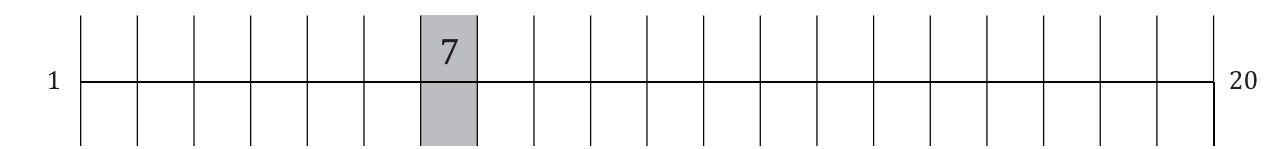


Figure 6 — Affected interested party 1 (achieved cell position)

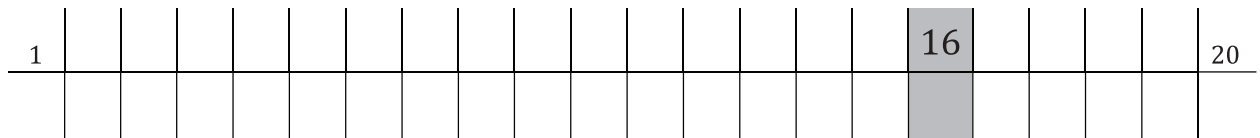


Figure 7 — Affected interested party n (achieved cell position)

By what process can an aggregate cell position be determined, so that the aggregated position is a faithful indicator of the various positions of the affected interested parties' progress along the change matrix?



Figure 8 — Aggregated cell position

Three possible approaches are identified in order to determine an aggregate cell position, given that there are two or more affected interested parties that need to be considered.

8.3.3 Change matrix cell aggregation models

8.3.3.1 General

The following aggregation model possibilities can be considered:

- majority vote: the numerical size of the interested party is the deciding factor;
- shareholder stake: the size of the financial resources available to the interested party is the deciding factor;
- consensus: all interested parties have equal vote.

NOTE Shareholder stake can also be interpreted in terms of organizational seniority.

8.3.3.2 Majority vote model

The aggregation rule is specified as follows:

- a weighing value is assigned in accordance with the numerical “size” of the affected interested party;
- using a list of all affected interested parties, begin:
 - sort the records of the affected interested parties by weighting (descending);
 - select the first (topmost) record and identify the change matrix position of the affected interested party;
- end.

EXAMPLE

1	2	3
Affected interested party	Weighting	Rated change matrix cell position
1	20	7
2	5	16
Aggregated cell position:		7

8.3.3.3 Shareholder stake model

The aggregation rule is specified as follows:

- a weighing value is assigned in accordance with the financial “muscle” of the affected interested party;
- using a list of all affected interested parties, begin:
 - sort the records of the affected interested parties by weighting (descending);
 - select the first (topmost) record and identify the change matrix cell position of the affected interested party.
- end.

EXAMPLE

1	2	3
Affected interested party	Weighting	Rated change matrix cell position
1	100	16
2	10	7
Aggregated cell position:		16

8.3.3.4 Consensus model

The aggregated cell position is the median value of all affected interested parties.

EXAMPLE

1	2	3
Affected interested party	Weighting	Rated change matrix cell position
1	1	7
2	1	16
Aggregated cell position:		12

NOTE In this context, rounding downwards will happen when the aggregate fractional value is between 0 and 0,49. Rounding up will happen when the aggregate fractional value is between 0,50 and 0,99.

Annex A (informative)

Process documentation items

A.1 General

This annex specifies OCM documentation templates and content that can be used by organizations, projects or smaller change management activities. The documentation describes the output of the processes specified in [Clauses 5](#) to [8](#).

This annex can be used by organizations when considering any form of change to the organization.

This annex is intended for, but not limited to, change managers, change agents and project managers, particularly those responsible for governing, managing and implementing OCM activities.

A.2 Governance process documentation

A.2.1 Overview

Outputs of this process include:

- OCM policy (see [A.2.2](#));
- OCM strategy (see [A.2.3](#)).

A.2.2 OCM policy

A.2.2.1 General

The OCM policy describes the objectives and principles of OCM within the organization. It describes what should be accomplished when such activities are undertaken, but not the circumstantially affected details as to how OCM is performed.

The policy provides a framework for establishing, reviewing and continually improving the OCM policy.

A.2.2.2 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.2.2.3 OCM policy statements

A.2.2.3.1 Objectives of OCM

Establish an organization's high-level intention and approach to achieve objectives for, and ensuring effective control of, the OCM process.

A.2.2.3.2 OCM process

Identifies the OCM processes that the organization will adopt.

A.2.2.3.3 OCM organization structure

Identifies the roles and structure of the OCM organization.

EXAMPLE A figure showing the OCM organization hierarchy can be used, or the information can be presented in a table.

A.2.2.3.4 OCM competence

Identifies the competencies of OCM practitioners working in the organization.

A.2.2.3.5 OCM ethics

Identifies the organizational ethics code to be upheld by OCM practitioners.

A.2.2.3.6 Standards

Identifies any standards, or recognized industry practices, that are applicable within the organization.

A.2.2.3.7 Other relevant policies

Identifies policies that impact the organization.

EXAMPLE OCM activities will be conducted in accordance with the quality policy.

A.2.2.3.8 OCM asset archiving and reuse

Identifies the organization's position on the archiving and reuse of OCM assets.

EXAMPLE The intervention definition process is likely to support a useful repository of reusable assets.

A.2.2.3.9 OCM process improvement

Identifies the method for improving the OCM process.

NOTE This is also applicable to Clause 10 in ISO Management System Standards.

A.2.3 OCM strategy

A.2.3.1 General

The OCM strategy describes in general terms how OCM activities are to be performed within the organization, i.e. how to achieve the goals and objectives stated in the OCM policy.

The OCM strategy is a generic document at an organizational level that provides guidelines within its scope, i.e. it is not project-specific.

For small or homogenous organizations, a single OCM strategy can cover all OCM activities. An organization can have more than one OCM strategy if the organization undertakes/performs/supplies a wide range of products/services.

The OCM strategy can incorporate the content of the OCM policy, if it is deemed convenient to do so.

A.2.3.2 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.2.3.3 Organization-wide OCM strategy statements

The strategy is described for the specified scope. This section includes statements that are appropriate for all OCM sub-processes to be performed in a given OCM activity within the scope of the strategy. These include:

- a) scope;
- b) responsibilities and authority, including the change sponsor and immediate process or service owner;
- c) interfaces among interested parties involved;
- d) approach to risks and opportunity identification, assessment and risk mitigation activities;
- e) budgets and cost estimates;
- f) quality assurance and performance measures;
- g) regulatory requirements;
- h) resources and their allocation, including human resources, technical resources (infrastructure) and tools;
- i) identification of tools, methods and techniques;
- j) training;
- k) approach for technical and management review and reporting;
- l) termination.

A.3 Management processes documentation

A.3.1 Overview

The documents developed in the management processes comprise the following types:

- change objectives and strategy (see [A.3.2](#));
- interested party profile (see [A.3.3](#));
- interested party communication record (see [A.3.4](#));
- intervention specification (see [A.3.5](#)).

A.3.2 Change objectives and strategy

A.3.2.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.3.2.2 Change objectives and strategy statements

Consider the following elements:

- a) the external and internal concerns that are relevant to the organization and analysis of their impacts;
- b) scope of this change scenario;
- c) benefits identification and analysis;

- d) approach to risks and opportunity identification, assessment and risk mitigation activities;
- e) schedules;
- f) budgets and cost estimates;
- g) responsibilities and authority, including the change sponsor and immediate process or service owner;
- h) identification of the aggregation model.

A.3.3 Interested party profile

A.3.3.1 Record-specific information

Include the generic items listed in [Clause B.2](#).

A.3.3.2 Interested party profile elements

The following elements are described:

- a) name of the interested party;
- b) description of the interested party;
- c) where appropriate, the hierarchical relationship to other interested parties.

A.3.4 Interested party communication record

A.3.4.1 Record-specific information

Include the generic items listed in [Clause B.2](#), and tailor the content as appropriate.

A.3.4.2 Interested party communication record elements

The following elements are described:

- a) an identifier for the interested party.

NOTE The identifier can be a string of characters or an integer.

A.3.5 Intervention specification

A.3.5.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.3.5.2 Intervention specification elements

The following elements are described:

- a) name;
- b) unique reference;
- c) application context;
- d) goal of the intervention;
- e) scope of the intervention;

- f) objectives of the intervention;
- g) pre-requisites to be satisfied before the intervention is applied.

The following elements should be described:

- physical space requirements (where applicable);
- equipment/infrastructure requirements;
- contact time;
- maximum number of participants;
- minimum number of participants.

A.4 Implementation processes documentation

A.4.1 Overview

The documents developed in the implementation processes comprise the following types:

- change plan (see [A.4.2](#));
- affected interested party profile (see [A.4.3](#));
- affected interested party intervention plan (see [A.4.4](#));
- affected interested party intervention status (see [A.4.5](#));
- affected interested party intervention change matrix position (see [A.4.6](#));
- change scenario status report (see [A.4.7](#));
- change plan status report (see [A.4.8](#));
- change management special needs report (see [A.4.9](#)).

A.4.2 Change plan

A.4.2.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.4.2.2 Change plan statements

The following elements are described:

- a) issue name;
- b) issue scope;
- c) issue objective(s);
- d) expected opportunities and/or benefits associated with the scope of a proposed change;
- e) any identified risks;
- f) an analysis of the identified risks, in terms of the risk likelihood and severity;
- g) if there are any identified risks, how the risks are to be mitigated/treated;
- h) the aggregation model applied to this issue is confirmed.

NOTE The initial value of the aggregation model is inherited from the value assigned in the change objectives and strategy information item. By default, this value will apply to all issues. If prevailing circumstances so indicate, a different value can be assigned to this issue.

A.4.3 Affected interested party profile

A.4.3.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.4.3.2 Affected interested party profile statements

The following elements are described:

- a) affected interested party identifier;
- b) the readiness for change of the affected interested party is determined;

NOTE 1 Readiness for change can be determined by applying the formula $D \times V \times F > R$.

Three factors should be present for meaningful organizational change to take place. These factors include:

- D = dissatisfaction with how things are now;
- V = vision of what is possible;
- F = initial, concrete steps that can be taken towards realizing the vision.

If the product of these three factors is greater than R = resistance, then change is feasible.

- c) the weighting of the affected interested party with respect to the change scenario is identified;

NOTE 2 Refer to [8.3.2](#) for the change matrix cell aggregation problem.

- d) the initial position of the affected interested party on the change matrix is determined.

NOTE 3 Refer to [8.3.3](#) for change matrix cell aggregation models.

A.4.4 Affected interested party intervention plan

A.4.4.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.4.4.2 Affected interested party intervention plan statements

The following elements are described:

- a) affected interested party identifier;
- b) linked intervention identifier;
- c) current change matrix position;
- d) desired change matrix position;
- e) achieved change matrix position;
- f) planned intervention start date;
- g) planned intervention end date;
- h) actual intervention start date;

- i) actual intervention end date.

A.4.5 Affected interested party intervention status

A.4.5.1 Record-specific information

Include the generic items listed in [Clause B.2](#), and tailor the content as appropriate.

A.4.5.2 Affected interested party intervention status statements

The following elements are described:

- a) affected interested party identifier;
- b) linked intervention identifier;
- c) intervention status.

NOTE The intervention status can have the following values:

- intervention planning not started;
- intervention planning started;
- intervention planning completed;
- intervention execution started;
- intervention execution completed;
- intervention execution cancelled;
- intervention objectives achieved;
- intervention objectives not achieved.

A.4.6 Affected interested party intervention change matrix position

A.4.6.1 Record-specific information

Include the generic items listed in [Clause B.2](#), and tailor the content as appropriate.

A.4.6.2 Affected interested party intervention change matrix position statements

The following elements are described:

- a) affected interested party identifier;
- b) linked intervention identifier;
- c) achieved change matrix position.

A.4.7 Change scenario status report

A.4.7.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.4.7.2 Change scenario status report statements

The following elements are described:

- a) change scenario identifier;
- b) selected aggregation model;
- c) issue identifier;
- d) aggregated change matrix position.

NOTE 1 The aggregation model described in [8.3](#) is applied.

NOTE 2 If there is more than a single issue associated with a change scenario, then c) and d) can be presented for each issue associated with a change scenario.

A.4.8 Change plan status report

A.4.8.1 Record-specific information

Include the generic items listed in [Clause B.2](#), and tailor the content as appropriate.

A.4.8.2 Change plan status report statements

The following elements are described:

- a) issue identifier;
- b) applicable aggregation model;
- c) aggregated change matrix position.

NOTE The aggregation model described in [8.3](#) is applied.

A.4.9 Change management special needs report

A.4.9.1 Document-specific information

Include the generic items listed in [Clause B.1](#), and tailor the content as appropriate.

A.4.9.2 Change management special needs report statements

Elements from the change scenario status report and from the change plan status report are selected as appropriate when preparing change management special needs reports.

Annex B

(informative)

Generic sections definition

B.1 Generic elements applicable to documents

B.1.1 Document-specific information

This information identifies the document and describes its origins and history. This can be located on an early page in the document, such as the cover page or the pages immediately following it. Alternatively, this information can appear at the end of the document.

B.1.2 Unique identification of document

Uniquely identifies a version of the item by its title and other specific information such as the date of issue, the version and/or the status (e.g. draft, reviewed, corrected, final).

B.1.3 Issuing organization

Specifies the organization responsible for preparing and releasing the item. It can also include the author(s).

B.1.4 Approval authority

Identifies the designated party(ies) having the responsibility for reviewing and approving the issue of the item. It can also include the reviewers and other pertinent role players.

B.1.5 Document change history

This can include a list including the present version of the item and any predecessor items containing the unique identification of each item, description of item changes with respect to the previous item in the list, reason for changes (e.g. audit comments, team review, system changes) and the name and role of the party(ies) making the changes (e.g. author, project manager, system owner).

B.1.6 Introduction

An explanatory section providing information about the context and structure of the item.

B.1.7 Scope

Identifies the extent of the coverage of the subject area by the item and describes any inclusions, exclusions, assumptions and/or limitations.

B.1.8 References

Lists all of the applicable references.

The references can be separated into external references that are imposed from outside the organization and internal references that are obligations that arise from within the organization.

B.1.9 Glossary

Provides a lexicon for the terms used in the item.

This section can be an annex, or it can refer to another item providing a general glossary.

B.2 Generic elements applicable to records

B.2.1 Record-specific information

This information identifies elements associated with temporal history and ownership information of the record.

B.2.2 Unique identification of record

Uniquely identifies the item.

NOTE A record is typically identified by a unique reference, which can be represented by a string of characters or by an integer value.

B.2.3 Creation date and time

The record creation date and time.

B.2.4 Created by

Defines the electronic owner/user who created the record.

STANDARDSISO.COM : Click to view the full PDF of ISO/TS 10020:2022

Annex C (informative)

Comparison between this document and ISO 9001

C.1 General

This annex provides a clause-level mapping of this document and ISO 9001. In addition, the associated information item is identified.

C.2 Associations between the clauses of this document and ISO 9001 clauses

[Table C.1](#) identifies the clauses of this document with the implied clauses from ISO 9001, and the implied information item.

Table C.1 — Clauses of this document mapped to ISO 9001 clauses

This document	Description	ISO 9001:2015	Description	Information item
Clause 5	Governance process			
5.4	Outcomes	4.3	Determining the scope of the quality management system	A.2.3 OCM strategy
		4.4.1		A.2.2 OCM policy
5.5	Developing OCM policy and strategy	4.2	Understanding the needs and expectations of interested parties	A.2.3 OCM strategy
		4.3	Determining the scope of the quality management system	A.2.3 OCM strategy
		4.4.1		A.2.2 OCM policy
		5.1.1	General	A.2.3 OCM strategy
		5.1.2	Customer focus	A.2.3 OCM strategy
		5.3	Organizational roles, responsibilities and authorities	A.2.3 OCM strategy
		7.2	Competence	A.2.2 OCM policy
		8.1	Operational planning and control	A.2.3 OCM strategy
		9.3.1	General	A.2.3 OCM strategy
		9.3.2	Management review inputs	A.2.3 OCM strategy
6.2	Change scenario process			
6.2.3	Outcomes	4.3	Determining the scope of the quality management system	A.3.2 Change objectives and strategy
		6.1.1		A.3.2 Change objectives and strategy
		6.2.2		A.3.2 Change objectives and strategy

Table C.1 (continued)

This document	Description	ISO 9001:2015	Description	Information item
		6.3	Planning of changes	A.3.2 Change objectives and strategy
6.2.4	Activities and tasks			
6.2.4.2	Determine change scenario scope	4.3	Determining the scope of the quality management system	A.3.2 Change objectives and strategy
		6.3	Planning of changes	A.3.2 Change objectives and strategy
6.2.4.3	Determine change scenario benefits	6.2.2		A.3.2 Change objectives and strategy
6.2.4.4	Determine change scenario risks and opportunities	6.1.1		A.3.2 Change objectives and strategy
6.2.4.5	Determine change scenario aggregation model	4.3	Determining the scope of the quality management system	A.3.2 Change objectives and strategy
6.2.4.6	Perform change scenario planning	6.2.2		A.3.2 Change objectives and strategy
		6.3	Planning of changes	A.3.2 Change objectives and strategy
6.3	Interested party identification process			
6.3.3	Outcomes	4.2	Understanding the needs and expectations of interested parties	A.3.3 Interested party profile
		5.2.2	Communicating the quality policy	A.3.4 Interested party communication record
		8.5.2	Identification and traceability	A.3.4 Interested party communication record
6.3.4	Activities and tasks			
6.3.4.2	Identify interested parties	4.2	Understanding the needs and expectations of interested parties	A.3.3 Interested party profile
6.4	Intervention definition process			
6.4.3	Outcomes	6.3	Planning of changes	A.3.2 Change objectives and strategy
6.4.4	Activities and tasks			
6.4.4.2	Determine intervention scope	6.3	Planning of changes	A.3.2 Change objectives and strategy
6.4.4.3	Determine intervention application context	6.3	Planning of changes	A.3.2 Change objectives and strategy
6.4.4.4	Determine intervention application constraints	6.3	Planning of changes	A.3.2 Change objectives and strategy
7.2	Issue identification process			
7.2.3	Outcomes	5.1.2	Customer focus	A.2.3 OCM strategy
		6.1.2		A.4.2 Change plan
		6.3	Planning of changes	A.3.2 Change objectives and strategy