BS ISO 44002:2019

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Collaborative business relationship management systems — Guidelines on the implementation of ISO 44001

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National foreword

This British Standard is the UK implementation of ISO 44002:2019. It supersedes BS 11000-2:2017, which is withdrawn.

The UK participation in its preparation was entrusted to Technical Committee SVS/1/4, Collaborative business relationships.

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Collaborative business relationship management systems — Guidelines on the implementation of ISO 44001

Systèmes de management collaboratif d'une relation d'affaire — Lignes directrices pour l'implementation de l'ISO 44001

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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).

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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 286, *Collaborative business relationship management*.

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.

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Introduction

0.1 General

This document provides guidance that supports the effective implementation of ISO 44001 in order to establish and improve collaborative business relationship management systems (CBRMSs) in organizations of all sizes. This document contains no additional requirements. It is aimed at readers who seek to gain in-depth knowledge and understanding about the requirements in ISO 44001, e.g. for the purpose of aiding an organization's implementation process.

The case for the significant business value and benefits to be derived from collaborative working was made in ISO 44001.

This document has been developed using pan-industry best practice, including early adopters of ISO 44001. It is intended to help organizations understand why each element of ISO 44001 is important, and to recommend approaches to be taken for practical implementation. How to meet the requirements has to be individually evaluated and applied in the context of each organization.

In ISO 44001, the multi-dimensional nature of collaborative relationships was specified. Many of these relationships have an outward focus, emphasizing the importance of collaboration in managing different goals, objectives, expectations, cultures and behaviours between organizations.

Collaboration can also be used to focus on internal interfaces to optimize existing activities, consolidate internal changes or to speed up the process of integration during acquisitions and mergers. In these circumstances, the guidance in this document is also relevant. In a collaborative relationship, effective operation relies on specific mutually agreed joint objectives, structures, resources, processes, roles and responsibilities and can require specific variations to established processes. The structure of this document has been developed to align with ISO 44001, using the high level structure (HLS) for management systems standards (MSS). In developing a standard for collaborative business relationships, the detailed specific requirements for establishing, developing and managing third-party relationships utilizing the eight-stage life cycle model (see Figure 1) have been addressed within Clause 8 (Operations). In a collaborative relationship, effective operation relies on specific mutually agreed joint interfaces, processes, roles and responsibilities and can require specific variations to established processes.

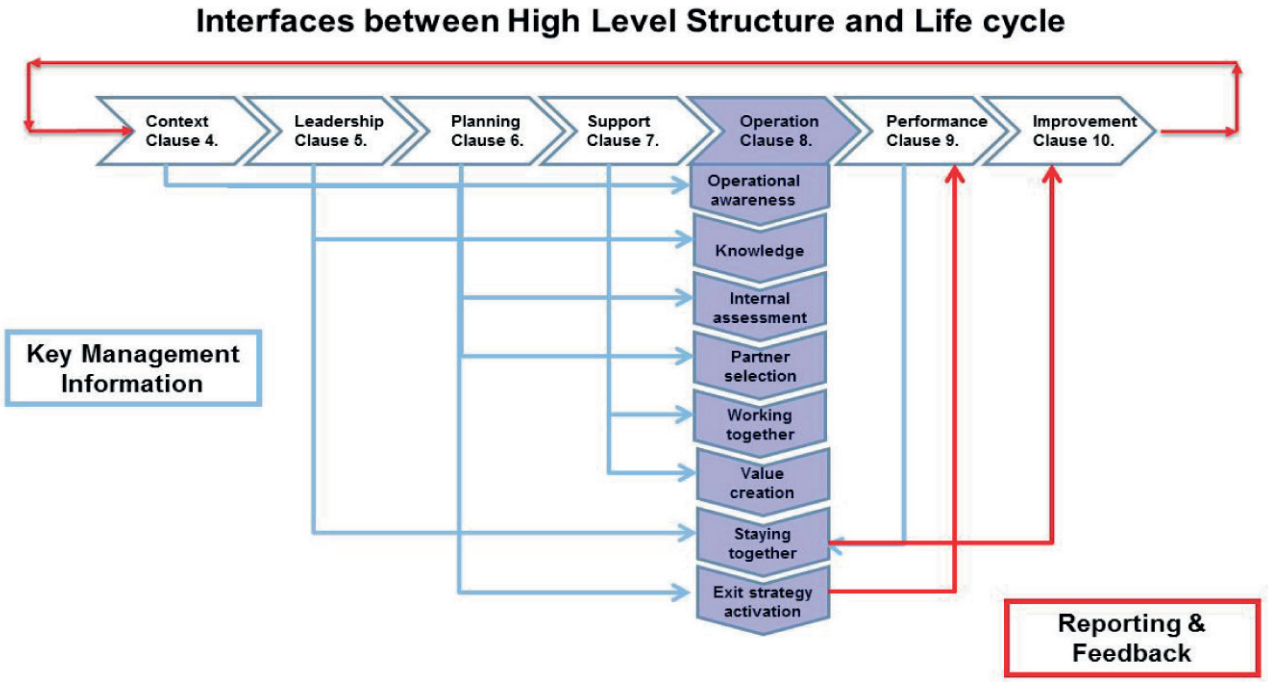

Figure 1 — Relationship between corporate and operational systems

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0.2 How to use this guidance

This document has been structured so that the clause numbering mirrors those used for the corresponding clauses in ISO 44001.

The stages described in Clause 8 are introduced by commentary that explains more about the purpose and aims of each stage. A flowchart is included to illustrate the path through the steps within each stage. Each box within the flowchart represents both the clauses contained in ISO 44001 and the supporting clauses in this document.

Each of the subclauses is structured in the same simple format as follows:

a) first, a summary of the intent of the corresponding clause in ISO 44001;

b) then, an explanation of the relevance and importance of supporting the development of effective collaborative working;

c) finally, guidance on how to implement the matching clause in ISO 44001, e.g. suggested approaches and areas for consideration.

Where appropriate, the clauses are supported by tables, figures and models and methods that can be used in implementation.

For clarity and increased understanding, it is recommended that ISO 44001 and this document are read together. Further useful information is provided in the annexes to ISO 44001.

It could appear that certain requirements in ISO 44001 are duplicated. However, in these cases they are a reflection of the evolution of processes throughout the relationship life cycle. The HLS describes those requirements that occur at an organizational level, while the subclauses in Clause 8 describe similar requirements that apply to a specific collaboration.

The guidance provided by this document enables the integration of the ISO 44001 framework into an organization's established operations, activities, processes and procedures to optimize the benefits of collaboration between organizations. In this context, the adoption of this collaborative approach enhances and does not detract from the obligations and responsibilities agreed between the parties and its application is commensurate to the size and complexity of the organizations involved.

The following additional considerations are included to support requirements and third-party engagements.

0.3 Common principles of relationship management

0.3.1 The life cycle framework

The life cycle framework addresses a number of themes that cascade from the high-level management system and vary within the context and maturity of a specific relationship life cycle. These evolving themes impact the behaviours and organizational culture of collaborating organizations to ensure they are effective, optimized and deliver enhanced benefit to the stakeholders through collaborative approaches (see Figure 2).

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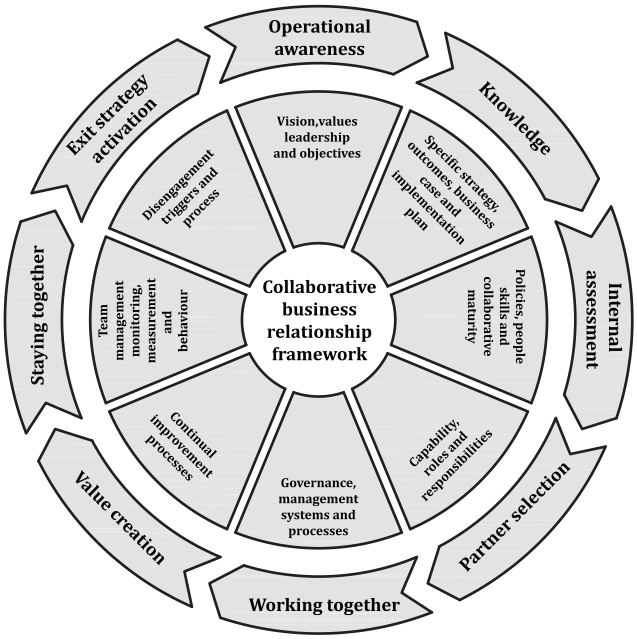

Figure 2 — Overview of the principal components of successful collaborative business relationships

In the context of collaborative relationships, the life cycle model outlines the key steps to an effective management process from concept adoption to disengagement. The eight stages are:

a) operational awareness: establishing the operation's propensity for collaboration;

b) knowledge: evaluating specific collaborative benefits and business case;

c) internal assessment: assessing the operation's capability to collaborate;

d) partner selection: establishing an appropriate selection process;

e) working together: establishing a joint governance model for collaboration;

f) value creation: establishing a joint process for continual improvement;

g) staying together: managing, monitoring and measuring the relationship over time;

h) exit strategy activation: establishing a joint approach to disengagement and/or future.

0.3.2 The sequence of stages

While Clause 8 follows an eight-stage process, it is recognized that the entry point for any specific collaborative relationship can vary.

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Collaborative business relationship management systems — Guidelines on the implementation of ISO 44001

1 Scope

This document gives guidelines for organizations on implementing ISO 44001 (see Figure 3) in order to achieve successful collaborative business relationships, as well as helping organizations use and implement the framework specification effectively.

This document explains what is intended by each requirement of ISO 44001, why each is important, and recommends approaches to take for their practical implementation. How to meet the requirements is individually evaluated and applied in the context of each organization.

This document is applicable to any organization.

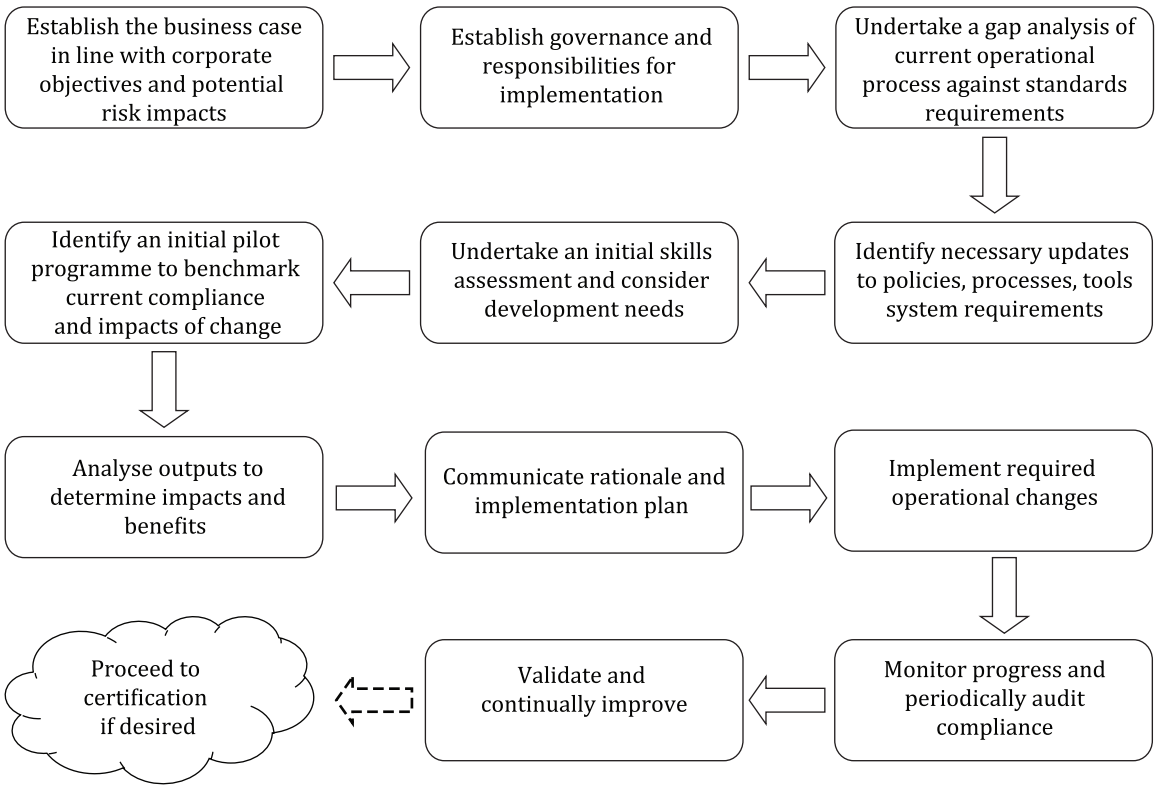

Figure 3 — High-level implementation flow for ISO 44001

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 44001:2017, *Collaborative business relationship management systems — Requirements and framework*

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3 Terms, definitions and abbreviated terms

3.1 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 44001 apply.

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

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

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

3.2 Abbreviated terms

CBRMS	collaborative business relationship management system
IPR	intellectual property right
KPI	key performance indicator
MAP	maturity assessment profile
OLA	operating level agreement
RMP	relationship management plan
SER	senior executive responsible
SLA	service level agreement

4 Context of the organization

4.1 Understanding the organization and its context

NOTE Further information on the context of the organization can be found in ISO/TS 9002:2016, Clause 4.

4.1.1 What: summary of the intent

The organization should clearly establish the linkage between the activities, intended outcomes of the organization and the potential role for collaboration in supporting those outcomes.

4.1.2 Why: explanation of relevance

Collaboration might not be appropriate for all business relationships and the focus should be directed to where it a collaborative relationship can add value. Organizations may find that working in a collaborative relationship could introduce challenges to existing operating structures. It is therefore essential that internal stakeholders see that collaborative working approaches overall are seen to be beneficial.

4.1.3 How: implementation guidance

In many organizations the adoption of collaborative working initiatives requires a strategic decision by top management to ensure that, when appropriate, it is effectively integrated and supported throughout its functions and teams.

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4.2 Understanding the needs and expectations of stakeholders

4.2.1 What: summary of the intent

The organization should identify its external stakeholders that can be affected by the adoption of collaborative working to ensure their needs and expectations are clearly understood.

4.2.2 Why: explanation of relevance

The successful adoption of collaborative approaches should be anchored in the ability of initiatives to deliver defined objectives and outcomes that are integrated with those of the organizations and stakeholders involved. These might not always be fully aligned but should be, as a minimum, complementary or neutral in terms of the key objectives. It is also important to ensure these objectives are reviewed at regular intervals to assess changes.

In some cases, a collaborative opportunity can be initiated by stakeholders or there can be a need to meet stakeholder requirements through specialized partners or suppliers. The stakeholder can be part of the collaboration. In fact, an important aspect in optimizing performance through collaboration is that partners can interact directly with stakeholders and develop better stakeholder relationships. It is also possible that the stakeholder's acceptance of collaboration or of specific collaborative partners can be a crucial factor in developing the right approach.

4.2.3 How: implementation guidance

The organization should identify all potential stakeholders, understand their needs and expectations and develop a plan to address them. Stakeholder mapping is an established tool used in many organizations, but this should extend beyond the traditional influencers and blockers to take into account all points of contact that can directly or indirectly influence collaborative initiatives and outcomes.

4.3 Determining the scope of the collaborative business relationship management system

4.3.1 What: summary of the intent

The organization should assess its strategic objectives and operational activities to identify where it is appropriate or beneficial to implement and deploy a systemic approach to collaborative working.

4.3.2 Why: explanation of relevance

An organization can have a wide variety of external relationships where the potential for harnessing the value of collaborative working can be determined in different ways. It may also require considerations related to the size and complexity of the organizations involved and outcomes.

4.3.3 How: implementation guidance

When considering a collaborative working approach, there has to be a balance between the required investment in time and resources together with the projected benefits to enhanced outcomes. Segmenting current operational approaches will help to ensure effective targeting of resources, while at the same time evaluating market drivers. Where possible, the aspects that could be influenced by the stakeholder should be identified. These can include:

a) the stakeholder's attitude to collaboration;

b) the stakeholder's preference for partners;

c) the risk of working with multiple organizations;

d) contracting processes and legal constraints;

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e) availability of suitable partners or suppliers;

f) timeline.

4.4 Collaborative business relationship management system

4.4.1 What: summary of the intent

The organization should ensure that a CBRMS is established to support and sustain the scope of the organization's collaborative requirements and is effectively communicated, fully documented and integrated with other management systems deployed by the organization.

4.4.2 Why: explanation of relevance

Where collaborative relationships have been identified as key factors in achieving business objectives, it is critical that the established collaborative management system and high-level processes are maintained within the organization's existing operating systems. The failure of potential beneficial external collaborations can be traced back to these activities conflicting within established policies, processes and practices.

4.4.3 How: implementation guidance

A defined and documented portfolio of collaborative systems and processes that are aligned with existing management systems within the organization should be established. The portfolio should be able to accommodate specific adaptations and changes when appropriate, including the ability to effectively accommodate third-party processes.

4.5 Creation of value

4.5.1 What: summary of the intent

The organization should assess where collaborative working can add value to ensure the appropriate focus for investment and deployment of resources to achieve maximum benefit. Collaborative working can involve additional or specialized resources to achieve the desired objectives and to ensure a clear focus on balancing investment and outcomes.

4.5.2 Why: explanation of relevance

There are many types of relationships and their potential to add value may be assessed in different ways depending on the desired outcomes, size and complexity of the organization. Value can also be defined in many different ways, as is frequently the case for potential collaborative partners. It is crucial that organizations are able to evaluate and articulate their projected value proposition and be able to align it with partners.

4.5.3 How: implementation guidance

As a starting point, the organization may consider assessing the expected value of all existing and potential relationships based on the overall organizational objectives and an assessment of where a collaborative approach is likely to deliver benefits (e.g. see Figure 4).

Value can be different in a number of similar cases or relationships. Identifying these ensures that collaborative initiatives are appropriately configured. These may include alternative priorities to improve competitiveness, for example:

— enhancing the capability to respond to market demands;

— accessing new markets;

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— building alternative enhanced value propositions;

— driving innovation;

— augmenting resources;

— driving speed to market;

— improving risk profiles;

— cost reduction.

There may be multiple or singular drivers for any potential relationship, but these should be understood so as to ensure that the engagement and management processes deployed remain focused on the strategic outcomes and are not deflected.

NOTE A range of relationships is explained in ISO 44001:2017, Annex F.

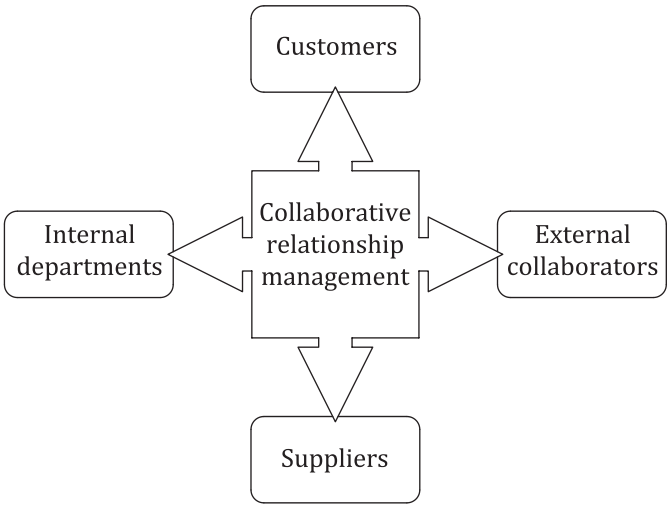

Figure 4 — Potential areas of collaboration and sources of potential value applications for collaboration

5 Leadership

5.1 Leadership and commitment

5.1.1 What: summary of the intent

The organization should ensure that there is clear and documented high-level support for the deployment of collaboration, when appropriate.

5.1.2 Why: explanation of relevance

The commitment, authority, influence and oversight of top management is essential for the overall success of collaborative working. Collaborative working can require additional resourcing or can affect current operational processes, responsibilities and stakeholder management.

5.1.3 How: implementation guidance

The organization should formally appoint a senior executive responsible (SER) for collaborative working, with top management authority to provide high-level oversight for all associated activities.

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5.2 Policy

5.2.1 What: summary of the intent

The organization should ensure the establishment of defined policies and processes to implement and manage collaborative working.

5.2.2 Why: explanation of relevance

Defining policy should establish and embed collaborative concepts, approaches and behaviours in the business relationship so that they are consistently applied and maintained across the organization. Defining policy underpins sustainable success to deliver defined outcomes.

An organization's policies and processes should support the strategic direction for collaboration and evaluate how they accommodate a different way of working. All policies and processes should align with the changing business environment and requirements. This starts with strategic direction and objectives flowing down through the organization's policies, processes and guidance, where appropriate, to ensure consistent implementation. Over time, behaviours should remain aligned to the agreed objectives and goals.

5.2.3 How: implementation guidance

The policy for collaborative working should address the contents listed in Table 1. The organization should review all other policies to ensure they do not conflict with a collaborative approach.

Table 1 — Policy development

Contents	Comment
— Align with existing policies	— Avoid contradictory policies
— Reflect the organization's visions and values	— Underpin the ethos of the organization
— Authorized by executive management	— Clearly demonstrate executive mandate
— Reflect the organization's environment	— Be appropriate for the business
— Use relevant language for the organization	— Use language common for the organization
— Be understandable for all stakeholders	— Be clear and concise
— Be linked to operational processes	— Reflect the operational processes
— Recognize internal development needs	— Address training and development needs

A holistic approach should be taken in order to take account of the business environment, people, performance and the specific requirements of the organization.

The organization should build on its existing policies and processes, which should be reviewed and enhanced as appropriate to support collaborative working. The following questions, as a minimum, should be asked to check whether new policies and processes are necessary.

a) Are the visions and values of the organization compatible with a collaborative approach?

b) Does the business plan include objectives to be achieved through collaborative working?

c) Does corporate governance support collaborative working?

d) Can a collaborative initiative be implemented within the existing management structure?

e) Does the resource development programme include collaborative working?

f) Does the current risk management process support collaborative working?

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g) Does the current knowledge management process support collaborative working?

h) Does the current issue resolution process support collaborative working?

i) Is the organization structure suitable and able to provide the flexibility for collaborative working?

5.3 Organization roles, responsibilities and authorities

5.3.1 Top management

5.3.1.1 What: summary of the intent

Top management should be visibly committed to the application of collaborative working when designated.

5.3.1.2 Why: explanation of relevance

Where two or more organizations become involved in collaborative working, there is likely to be a need for some re-alignment of activities and potential changes to operating practices, which could affect performance and behaviours. Top management's support and behaviour sets the tone for all staff.

5.3.1.3 How: implementation guidance

Top management should clearly designate responsible senior leaders with the appropriate competencies, behaviours and authorities.

5.3.2 Establishment of an organizational governance structure

5.3.2.1 What: summary of the intent

The organization should ensure that, in the case of collaborative working, there is a clearly defined operating and management structure that governs its application within the organization.

5.3.2.2 Why: explanation of relevance

The implementation of collaborative working can require changes or adaptation to established management structures and responsibilities.

5.3.2.3 How: implementation guidance

The governance structure established, and the processes implemented, should ensure effective leadership and management of the collaborative relationship(s) to achieve its (their) joint objectives within the framework of agreed values. The collaborative governance framework provides an outline of guidelines and processes that enables continual monitoring and management of collaborative relationships to sustain value delivery between the parties. The governance structure can be described as an appropriate formal decision-making framework to ensure alignment of the business activities and strategies of the parties involved.

In establishing the governance structure, it should be tailored to accommodate the business needs of the parties taking into account, for example:

a) organization, culture and behaviours;

b) complexity of the business activities;

c) business impact of the activities, e.g. strategic versus transactional;

d) geographical coverage;

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e) corporate management structure of the parties' organizations, e.g. divisions, business, units, regions;

f) business relationship between the parties;

g) decision-making processes within the organization.

The governance structure should:

— define the organization's values and culture for collaboration;

— recognize the desired scope of collaborative business relationships (see 4.4) and the systems that support them (see 4.5);

— clarify the organization's objectives and, where appropriate, establish objectives for collaboration (see 6.2, 8.2.4 and 8.3.2.2);

— provide resources for collaboration (see 7.1);

— define primary roles and responsibilities for collaboration (see 8.6.2.5);

— ensure that new roles and responsibilities for collaboration are compatible with general governance arrangements in the rest of the organization;

— ensure that the organization is sufficiently prepared for collaboration before committing to it (see 8.4.4);

— ensure the establishment of an appropriate joint governance structure (see 8.6.2), including the definition of joint objectives that are compatible with the organization's objectives for collaboration (see 8.6.2.3);

— ensure that value creation initiatives are appropriately targeted toward the achievement of joint objectives (see 8.8);

— provide oversight of the management of the joint relationship (see 8.8.2 and 8.8.3);

— ensure that the performance of the joint relationship is appropriately analysed and reported while extant (see 8.8.7) and following exit (see 8.9.4);

— ensure that audits are planned and provide objective information on the status of the CBRMS (see 9.2);

— ensure that management reviews are planned and take place, and take timely decisions to ensure that the CBRMS remains effective (see 9.3);

— ensure that arrangements for management reviews are integrated or compatible with arrangements for other business management systems.

5.3.3 Senior executive responsible

5.3.3.1 What: summary of the intent

For the effective performance of the CBRMS, the SER should have a clear mandate and authority from top management.

5.3.3.2 Why: explanation of relevance

Collaborative working can require internal changes to operating practices or resources and can cross internal functional boundaries where executive direction and support is required. In addition, collaborative systems need executive oversight to ensure their effectiveness and, on occasions, necessitate high-level issue resolution.

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5.3.3.3 How: implementation guidance

The appointment of an SER should, in most cases, not require an additional person within the organization. The role is generally assigned to a senior individual with executive support based on the existing management structure, as appropriate to the operational requirements. In larger organizations, the responsibilities of the SER can be formally delegated in part to operational management, while retaining overall responsibility for the collaborative management systems.

The primary responsibilities of the SER should include:

a) maintaining the operational effectiveness of the collaborative management system;

b) interfacing at a high level with external partners;

c) supporting the internal development of processes, systems and people;

d) allocating resources;

e) overseeing, monitoring and reviewing collaborative operations and performance;

f) resolving issues, as appropriate:

g) developing collaborative competencies.

6 Planning

6.1 Actions to address risks and opportunities

6.1.1 What: summary of the intent

The organization should review potential collaborative initiatives and identify both risks and opportunities.

6.1.2 Why: explanation of relevance

Adopting a collaborative approach can have far-reaching internal implications affecting systems, processes and people associated with delivering outcomes. Identifying risks and opportunities ensures there is a sound basis for implementation.

6.1.3 How: implementation guidance

The organization should undertake a robust review of all risks and opportunities that can result in impacts from a collaborative approach. It should document a business case before proceeding, so that those involved fully understand the requirement and objectives.

6.2 Collaborative business relationship objectives and planning to achieve them

6.2.1 What: summary of the intent

The organization should evaluate each potential collaborative relationship in the context of the overall business objectives.

6.2.2 Why: explanation of relevance

Before launching a collaborative programme, it should be ensured that the objectives of such an arrangement warrant the investment. At the same time, by defining the value to be derived from a collaborative relationship, the organization can validate its approach.

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6.2.3 How: implementation guidance

The organization should establish a process for undertaking these evaluations. This can involve a variety of considerations, including:

a) financial benefits and risk reduction;

b) improved performance and efficiency;

c) extending product or service capability;

d) product development and innovation;

e) improved performance through behavioural change.

6.3 Identification and prioritization of collaborative business relationships

6.3.1 General

6.3.1.1 What: summary of the intent

The organization should ensure there is an established process to identify those relationships where collaboration can deliver added value.

6.3.1.2 Why: explanation of relevance

Not all business arrangements necessarily require or benefit from a collaborative approach. Transactional relationships are typically:

— not long term;

— an exchange of values or assets;

— introduce minimal complexity.

While collaborative relationships are typically:

— longer term;

— value creating or asset integrating;

— introduce more complexity.

The relationship between transactional and collaborative relationships in shown in Figure 5.

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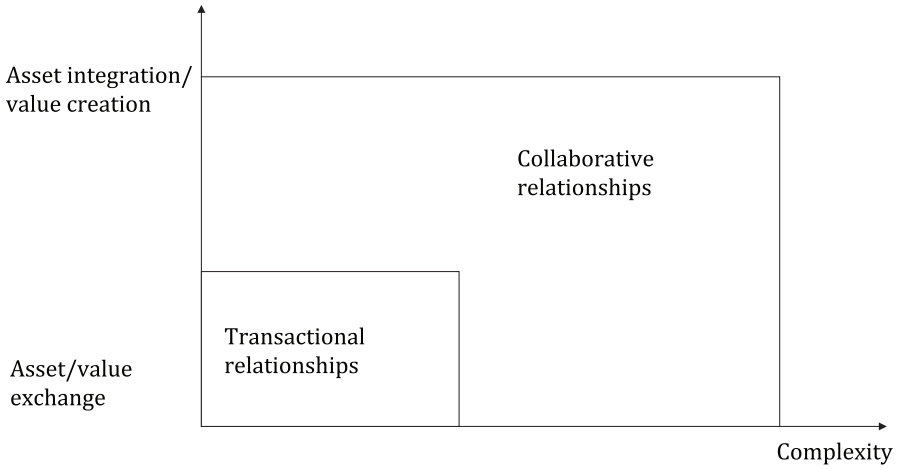

Figure 5 — Transactional versus collaborative relationships

6.3.1.3 How: implementation guidance

The organization should undertake an assessment of each relationship where collaboration is being considered (see Figure 6). Factors that influence whether a collaborative relationship is fitting often include, but are not limited to, cost, complexity, time, criticality, reputation and risk.

Opportunistic relationships (potentially collaborative) Largely one-off relationships where there is scope to exploit joint resources and information over the period of engagement, frequently driven by major contracts	**Strategic relationships (collaborative)** Relationships that are strategically critical to long-term development and require a level of interdependence where value and risk management can be enhanced through developing a close integrated operating approach
Transactional relationships (not collaborative) Relationships where there is limited scope to exploit joint resources or information based on standard products, commodities or services	**Development relationships (potentially collaborative)** Relationships where there is potential to build benefits through a longer term engagement, which could eventually migrate to the level of a strategic partnership

Figure 6 — Suggested approach to segmentation in business relationships

6.3.2 Identification of opportunities for collaboration

6.3.2.1 What: summary of the intent

The organization should establish a process for the identification of potential opportunities that can be derived from a collaborative approach.

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6.3.2.2 Why: explanation of relevance

The purpose is to ensure there is a sound basis on which to consider the circumstances and opportunities that would support the investment in a collaborative approach.

6.3.2.3 How: implementation guidance

The organization should consider the evolution of relationships and their relative value and potential enhancements. This can be derived from moving to a more collaborative approach by establishing an appropriate strategy for development of a specific relationship (see Figure 7).

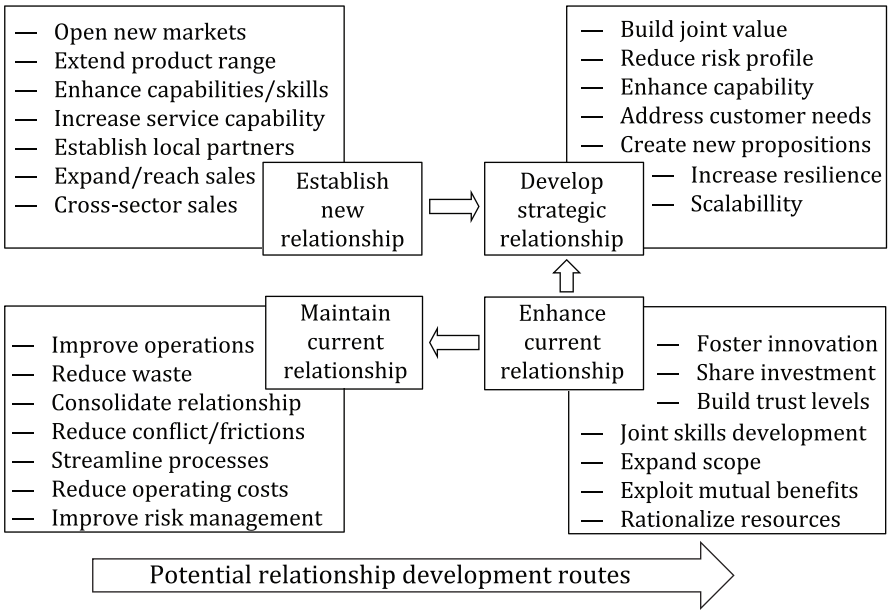

Figure 7 — Development of relationship

7 Support

7.1 Resources

7.1.1 What: summary of the intent

The organization should ensure that the CBRMS is sufficiently and appropriately resourced.

7.1.2 Why: explanation of relevance

The failure to provide sufficient and/or appropriate and timely resources is a significant cause of failure to achieve the management system objectives.

7.1.3 How: implementation guidance

Throughout the application of ISO 44001, when assessing the resources necessary to establish, implement, maintain and continually improve the CBRMS, the organization should consider the capabilities of both internal and external resources and the constraints upon them.

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In the context of a CBRMS, this can include:

a) knowledge, e.g. information about current markets, potential partners and current operations, to allow top management to understand and commit to collaboration on a sound basis;

b) finance, e.g. investment in the people, structures, processes and systems to support joint working;

c) operational management/staff, e.g. personnel with capacity and competence to undertake the additional tasks/processes required by a collaborative relationship;

d) administrative support, e.g. personnel or facilities to maintain documented information (see 7.5) or to manage the knowledge created (see 8.3.4 and 8.7.4);

e) cultural environment, e.g. a supportive social and psychological environment (see 8.4.2);

f) information and communications infrastructure, e.g. hardware and software to support the new joint operation;

g) physical infrastructure;

h) monitoring and measuring tools/techniques, e.g. performance indicators and systems for the measurement of performance against joint objectives (see 8.8.6) or for the monitoring of behaviours and trust (see 8.8.4);

i) audit support, e.g. auditors with business management knowledge or understanding of collaboration [see 7.2 and 9.2.2 c)].

7.2 Competence and behaviour

7.2.1 What: summary of the intent

The organization should ensure that the necessary competence and behaviours of person(s) doing work under its control that affects its collaborative business relationship management performance has been defined and fostered.

7.2.2 Why: explanation of relevance

Trust is a fundamental facet of any effective collaboration. Gaining trust across the parties is a combination of demonstrating competence and integrity through behaviours. Thus, policies, processes and governance should be continuously reinforced to ensure optimum performance and to maintain a sustainable and improving relationship. Operating in a collaborative environment and integrating with external parties requires competencies and skills in order to build and maintain an environment that promotes the appropriate behaviours that underpin the performance. Performance is crucial in any collaborative relationship in terms of maintaining optimized output and behaviours, such as meeting objectives and obligations at all stages of development and implementation.

7.2.3 How: implementation guidance

The organization should establish an assessment of the competencies and behavioural profile required to deliver the collaborative objectives. It should establish training and development processes that incorporate a focus on collaborative working. In establishing an initial baseline capability assessment, or re-assessing the capability to collaborate at a later stage in the relationship, it is important that a systematic and proven evidence-based approach is undertaken.

The organization should identify the specific challenges, risks and opportunities for a given relationship. It should establish the key competencies and behaviours that best serve the specific objectives and

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operating environment of the relationship. It can also be valuable to identify which parties are required to demonstrate those competencies.

NOTE 1 See ISO 44001:2017, 3.10, for the definition of "competence". ISO 44001:2017, Annex C, provides general guidance on competencies that could be relevant to a given collaborative relationship and many of the behaviours that underpin effective collaborative working and developing the trust of others.

NOTE 2 The ISO 10667 series undertakes an evidence-based approach to assessing and evaluating work place competencies and behaviours and has worldwide applicability for use with individuals, groups or organizations. ISO 10667-1 provides requirements for those initiating or commissioning an assessment and ISO 10667-2 provides requirements for those delivering an assessment of collaboration capabilities and behaviours.

7.3 Awareness

7.3.1 What: summary of the intent

The organization should ensure that the adoption of collaborative working policies and processes are fully communicated.

7.3.2 Why: explanation of relevance

Collaborative working can be a new approach in many organizations and, as such, all personnel need to be aware of the potential requirements, implications and advantages.

7.3.3 How: implementation guidance

The organization should undertake awareness information sessions and workshops.

7.4 Communication

7.4.1 What: summary of the intent

The organization should ensure there is a process for effective communication of collaborative working requirements.

7.4.2 Why: explanation of relevance

Effective collaboration relies on all personnel involved, either directly or indirectly, having an understanding of the requirements and their role in ensuring success. Organizational systems and individual perceptions and concerns can reduce the effectiveness of communications between:

a) individuals;

b) groups;

c) divisions of the organization;

d) collaborative partners, suppliers or customers.

7.4.3 How: implementation guidance

The organization should ensure individuals recognize the importance of collaborative working initiatives and how it is linked with the business objectives of the organization through:

a) formal and informal communications;

b) staff briefings;

c) newsletters;

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d) intranet;

e) social media;

f) shared working environments.

7.5 Documented information

7.5.1 General

7.5.1.1 What: summary of the intent

The organization should document its collaborative business relationship management system.

7.5.1.2 Why: explanation of relevance

Documented information should provide clarity, transparency and consistency across the organization. It should underpin collaborative working and complement existing business processes, where appropriate. Information should be available and suitable for use, where and when it is needed.

7.5.1.3 How: implementation guidance

Documentation should reflect the size and complexity of the organization. The organization should undertake a review to establish whether the existing processes are consistent with collaborative working or require modification. Those implementing ISO 44001 should incorporate documentation within existing policies, procedures and systems rather than create an additional level of documentation. The relationship management plan (RMP) can provide a mechanism for documenting any additional requirements or act as a signpost to the location of other documents relevant to collaboration.

7.5.2 Creating and updating

7.5.2.1 What: summary of the intent

The organization should ensure that procedures and processes are adequately documented and controlled, including identification and description. Documents should be regularly reviewed for suitability and adequacy.

7.5.2.2 Why: explanation of relevance

Where the organization has established procedures, these can require updating to include collaborative working and integrating into current practices.

7.5.2.3 How: implementation guidance

The organization should adopt a controlled approach to all documented processes and procedures, taking into consideration future format, storage and retention practices.

7.5.3 Control of documented information

7.5.3.1 What: summary of the intent

The organization should ensure a revision control process is in place, including security, access and retention.

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7.5.3.2 Why: explanation of relevance

Collaborative working can require multiple variations of documents over the lifetime of a relationship and these need to be maintained to ensure effective, long-term application and compliance of the collaborative requirements.

7.5.3.3 How: implementation guidance

Adopt a controlled approach to all processes and procedures, including review, change control, access and retrieval, updating where appropriate.

7.5.4 Record of collaborative competencies

7.5.4.1 What: summary of the intent

The organization should ensure there is a process for recording the competence and skills of those key individuals involved in collaborative initiatives.

7.5.4.2 Why: explanation of relevance

Collaborative working requires individuals to have the appropriate skills, competence and experience. Where collaborative working is a critical success factor, it is important to ensure that key individuals involved in collaborative initiatives have the appropriate competencies and skills to operate within a collaborative context. Processes and systems should be used to establish skills and competence frameworks to support ongoing and future collaborative learning and development programmes, including professional development requirements and other collaborative learning programmes.

7.5.4.3 How: implementation guidance

Existing human resource management systems can contain records of role requirements and job specifications, including role specific competence frameworks. Where appropriate, these should include the necessary skills and competencies for roles operating in a collaborative context and the achievement of collaborative performance levels. The organization should, where appropriate, embed collaborative skills and competencies into its existing processes, including recruitment and selection, induction, ongoing performance management and training programmes. These can be demonstrated by, among other means:

— professional qualification;

— professional certification;

— credentials;

— chartered status.

7.5.5 Corporate RMP

7.5.5.1 What: summary of the intent

The organization should establish a corporate RMP, see ISO 44001:2017, Annex B.

7.5.5.2 Why: explanation of relevance

The corporate RMP is the organization's default process for establishing collaborative business relationship management. Collaborative working can be integrated into all operating practices or only deployed in selected relationships. Where collaborative working is to be deployed, it is critical that there is an established approach which can be referenced when required.

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7.5.5.3 How: implementation guidance

The corporate RMP can be a specific document that references all operating and management requirements. It should, where appropriate, link to and not duplicate existing management processes that incorporate the necessary requirements. It can be a reference document that highlights those requirements that are fully integrated within overall management processes and procedures.

8 Operation

8.1 Operational planning and control

8.1.1 What: summary of the intent

The organization should ensure there is an operational process for the application of collaborative working.

8.1.2 Why: explanation of relevance

This ensures that there is a baseline process that can be adapted when it is appropriate or designated to adopt a collaborative working approach.

8.1.3 How: implementation guidance

This can be addressed through adaptations of the corporate RMP to align with specific sectors of industry, diverse locations, functions or divisions of an organization.

8.2 Operational awareness (Stage 1)

8.2.1 General

"Operational awareness" addresses the transition from overall strategic corporate policies and processes that can lead to incorporating collaborative working into specific business operations (see Figure 8). This recognized approach can be used to identify where value can be added. At this stage, the organization is advised to assess the appropriateness of adopting a collaborative approach and plan its integration of it, identifying the benefits and value along with the business impacts, and considering both internal and external constraints.

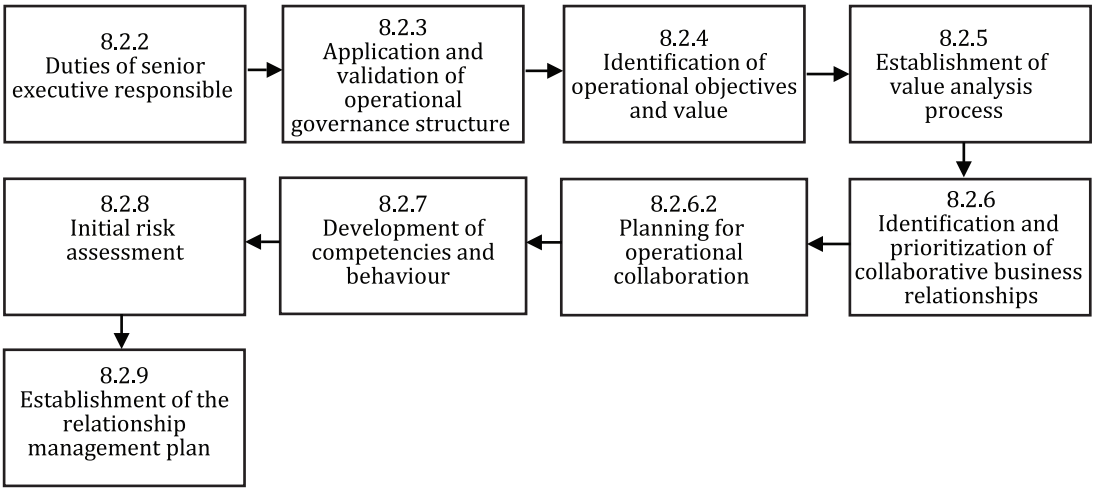

Figure 8 — Operational awareness (Stage 1)

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