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Collaborative business relationship management systems — Requirements and framework

bsi.

National foreword

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**Collaborative business relationship
management systems —
Requirements and framework**

*Systèmes de management collaboratif d'une relation d'affaire —
Exigences et cadre de travail*



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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).

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

For an explanation on the 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 the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Project Committee ISO/PC 286, *Collaborative business relationship management – Framework*.

Introduction

The aim of this document is to establish the requirements of a strategic lifecycle framework to improve collaborative business relationships in and between organizations of all sizes. Collaborative business relationships in the context of this document can be multidimensional (see [Figure 1](#)). They can be one-to-one relationships or networked relationships involving multiple parties.

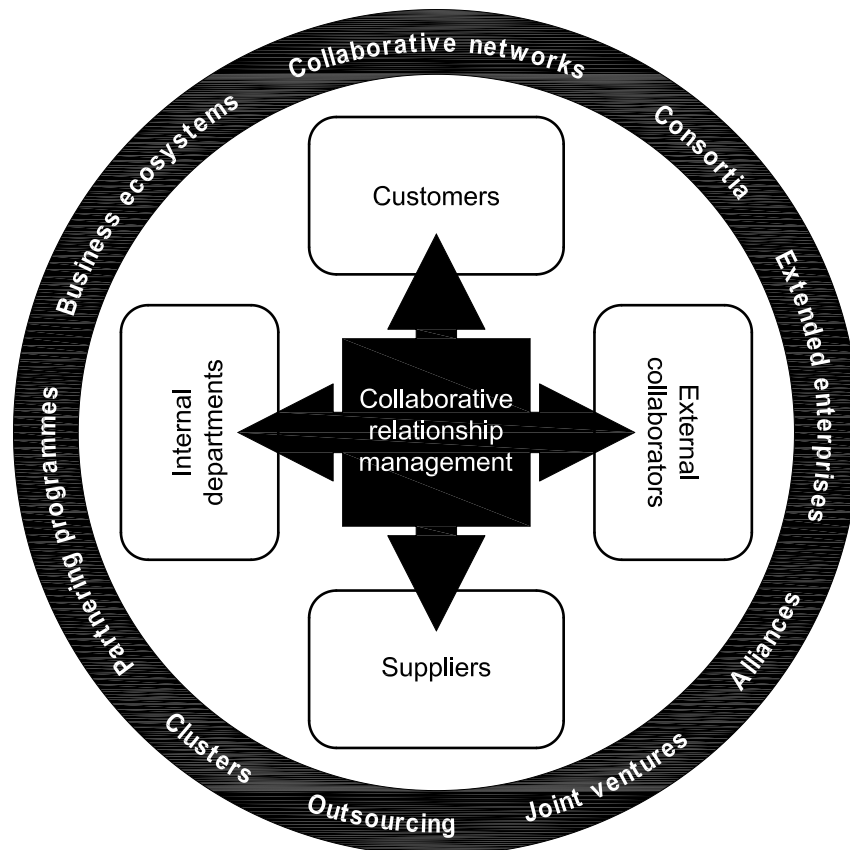


Figure 1 — Multidimensional relationships

While this document principally addresses the management system of an organization, it also recognizes that effective collaboration requires two or more organizations to engage together and that management systems need to accommodate the joint activities of the parties.

In addition to addressing the overall requirements to establish a management system, this document addresses operational process requirements for specific or individual organizational relationship engagement (see [Clause 8](#)). This document also contains a number of informative annexes to assist the user. [Annex A](#) provides a checklist to assist organizations to implement and meet the requirements of this document.

[Figure 2](#) illustrates the relationship between clauses of this document and the organization's systems and processes.

The framework addresses a number of themes that cascade from the high level management system and will vary within the context and maturity of a specific relationships lifecycle. These evolving themes impact the behaviour and organizational culture of collaborating organizations to ensure they are effective, optimized and deliver enhanced benefit to the stakeholders through collaborative approaches.

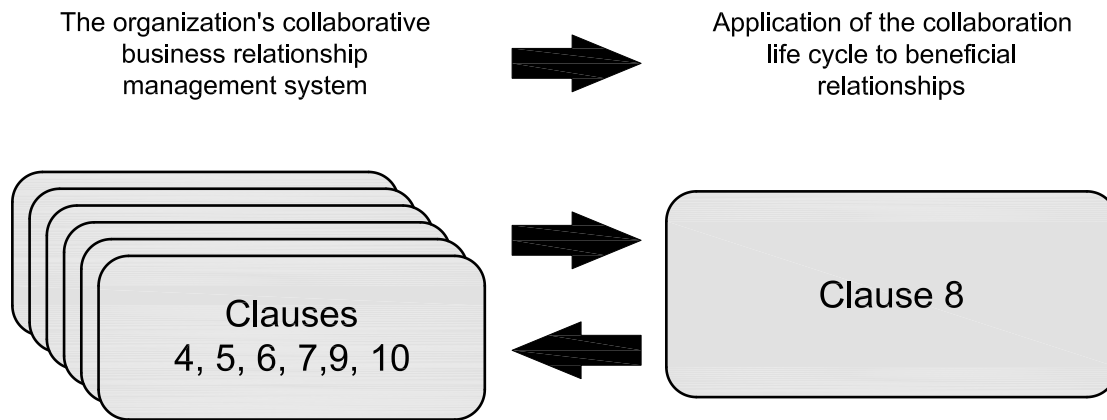


Figure 2 — Relationship between clauses of this document and the organization's systems and processes

Collaborative business relationship management systems — Requirements and framework

1 Scope

This document specifies requirements for the effective identification, development and management of collaborative business relationships within or between organizations.

This document is applicable to private and public organizations of all sizes, from large multinational corporations and government organizations, to non-profit organizations and micro/small businesses.

Application of this document can be on several different levels, e.g.

- a single application (including operating unit, operating division, single project or programme, mergers and acquisitions);
- an individual relationship (including one-to-one relationships, alliance, partnership, business customers, joint venture);
- multiple identified relationships (including multiple partner alliances, consortia, joint ventures, networks, extended enterprise arrangements and end-to-end supply chains);
- full application organization-wide for all identified relationship types.

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 terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

3.1

organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.8)

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

3.2

stakeholder interested party

person or *organization* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

3.3 requirement

need or expectation that is stated, generally implied or obligatory

Note 1 to entry: “Generally implied” means that it is custom or common practice for the *organization* (3.1) and *stakeholders* (3.2) that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in *documented information* (3.11).

3.4 management system

set of interrelated or interacting elements of an *organization* (3.1) to establish *policies* (3.7) and *objectives* (3.8) and *processes* (3.12) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The system elements include the organization’s structure, roles and responsibilities, planning and operation.

Note 3 to entry: The scope of a management system can include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

3.5 top management

person or group of people who directs and controls an *organization* (3.1) at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the *management system* (3.4) covers only part of an organization, then top management refers to those who direct and control that part of the organization.

3.6 effectiveness

extent to which planned activities are realized and planned results achieved

3.7 policy

intentions and direction of an *organization* (3.1) as formally expressed by its *top management* (3.5)

3.8 objective

result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product, and *process* (3.12)).

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as a collaborative business relationship objective or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of collaborative business relationship *management systems* (3.4), collaborative business relationship objectives are set initially by the *organization* (3.1), consistent with the collaborative business relationship *policy* (3.7), to achieve specific results. Once a *partner* (3.25) is selected, the collaborative business relationship objectives are incorporated into the joint objectives.

3.9
risk
effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected – positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009, 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence.

3.10
competence
ability to apply knowledge and skills to achieve intended results

3.11
documented information
information required to be controlled and maintained by an *organization* (3.1) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

- the *management system* (3.4), including related *processes* (3.12);
- information created in order for the organization to operate (documentation);
- evidence of results achieved (records).

Note 3 to entry: See *relationship management plan* (3.32).

3.12
process
set of interrelated or interacting activities which transforms inputs into outputs

3.13
performance
measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, *processes* (3.12), products (including services), systems or *organizations* (3.1).

3.14
outsource (verb)
make an arrangement where an external *organization* (3.1) performs part of an organization’s function or *process* (3.12)

Note 1 to entry: An external organization is outside the scope of the *management system* (3.4), although the outsourced function or process is within the scope.

3.15
monitoring
determining the status of a system, a *process* (3.12) or an activity

Note 1 to entry: To determine the status, there may be a need to check, supervise or critically observe.

3.16

measurement

process (3.12) to determine a value

3.17

audit

systematic, independent and documented *process* (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the *organization* (3.1) itself, or by an external party on its behalf.

Note 3 to entry: "Audit evidence" and "audit criteria" are defined in ISO 19011.

3.18

conformity

fulfilment of a *requirement* (3.3)

3.19

nonconformity

non-fulfilment of a *requirement* (3.3)

3.20

corrective action

action to eliminate the cause of a *nonconformity* (3.19) and to prevent recurrence

3.21

continual improvement

recurring activity to enhance *performance* (3.13)

3.22

extended enterprise

associated entities that collaborate directly, formally or informally, in the design, development, production and delivery of a product or service to the end user

Note 1 to entry: Associated entities include customers, employees, suppliers and distributors.

Note 2 to entry: See *supply chain* (3.28).

3.23

initiating organization

organization (3.1) initiating the potential relationship

3.24

joint management team

individuals or team agreed between the parties that has day-to-day management of the collaborative *process* (3.12) and its *performance* (3.13) to *objectives* (3.8) and outcomes

3.25

partner

organization (3.1), or internal group within an organization, participating in the collaborative business relationship

Note 1 to entry: A partner can be an external organization or an internal group within an organization.

3.26

partner selection criterion

key criterion required to evaluate a potential *partner's* (3.25) overall match to principal values and *objectives* (3.8) of the collaboration

3.27

senior executive responsible

SER

high level executive person within the *organization* (3.1), who has the overall responsibility for authorizing and supporting collaborative programmes and the development of capabilities, together with any other agreed executive participants with responsibility for the effective implementation and operation of the collaboration

3.28

supply chain

relationship of *organizations* (3.1), people, activities, logistics, information, technology and resources engaged in activities and creating value from point of origin to point of consumption, including transforming materials/components to products and services for end users

Note 1 to entry: See *extended enterprise* (3.22).

3.29

alignment

shared and complementary vision, *objectives* (3.8), strategies and operational *processes* (3.12) of the *partners* (3.25) and mutual interests of the *stakeholders* (3.2)

3.30

value proposition

promise of measurable benefits resulting from the collaboration

3.31

exit strategy

mutually agreed rules for controlled disengagement

3.32

relationship management plan

RMP

overview that defines the governance *processes* (3.12) or references to them that defines how a particular relationship is managed and controlled

4 Context of the organization

4.1 Understanding the organization and its context

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its collaborative business relationship management system.

Organizations shall assess where they are able to harness the benefits of collaborative working and shall develop their specific processes accordingly.

4.2 Understanding the needs and expectations of stakeholders

The organization shall determine:

- the stakeholders that are relevant to the collaborative business relationship management system;
- the requirements of these stakeholders.

4.3 Determining the scope of the collaborative business relationship management system

The organization shall determine the boundaries and applicability of the collaborative business relationship management system to establish its scope.

When determining this scope, the organization shall consider:

- the external and internal issues referred to in [4.1](#);
- the requirements referred to in [4.2](#).

The scope shall be available as documented information.

4.4 Collaborative business relationship management system

The organization shall establish, implement, maintain and continually improve a collaborative business relationship management system, including the processes needed and their interactions, in accordance with the requirements of this document, as appropriate to the size and complexity of the organization.

4.5 Creation of value

The organization(s) shall determine and define the value added opportunities that can be achieved by the organization(s) working collaboratively.

These value added opportunities shall be periodically reviewed as part of the organization's continual improvement programme. See [Clauses 9](#) and [10](#).

5 Leadership

5.1 Leadership and commitment

Top management shall demonstrate leadership, accountability and commitment with respect to the collaborative business relationship management system by:

- ensuring that the collaborative business relationship policy and collaborative business relationship objectives are established and are compatible with the strategic direction of the organization;
- ensuring the integration of the collaborative business relationship management system requirements into the organization's business processes;
- ensuring that the resources needed for the collaborative business relationship management system are available;
- communicating to relevant stakeholders the importance of effective collaborative business relationship management and where applicable of conforming to the collaborative business relationship management system requirements;
- ensuring that the collaborative business relationship management system achieves its intended outcome(s);
- directing and supporting persons within the participating organizations to contribute to the effectiveness of the collaborative business relationship management system;
- promoting continual improvement;
- supporting other relevant management roles within the participating organizations to demonstrate their leadership as it applies to their areas of responsibility.

NOTE Reference to "business" in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

5.2 Policy

Top management shall establish a collaborative business relationship policy that:

- a) is appropriate to the purpose of the organization;
- b) provides a framework for setting collaborative business relationship objectives;
- c) includes a commitment to satisfy applicable requirements;
- d) includes a commitment to continual improvement of the collaborative business relationship management system.

The collaborative business relationship policy shall:

- be available as documented information;
- be communicated within the organization;
- be available to stakeholders, as appropriate.

The senior executive responsible (SER) shall ensure that within the defined scope of its collaborative business relationship management system, the policy is applied.

5.3 Organization roles, responsibilities and authorities

5.3.1 Top management

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.

The organization shall appoint an SER for the development and implementation of the collaborative business relationship management process with defined responsibility, authority and accountability for ensuring that the policies, processes, culture and behaviour required are established, implemented and maintained.

Top management shall assign the responsibility and authority for:

- a) ensuring that the collaborative business relationship management system conforms to the requirements of this document;
- b) reporting on the performance of the collaborative business relationship management system to top management.

5.3.2 Establishment of an organizational governance structure

The organization shall establish and maintain arrangements that promote collaborative working and provide the authority under which the leaders are empowered to explore the potential value from collaboration, by ensuring that:

- the organization has a value analysis process that identifies the potential benefits that could be realized by collaborative working;
- the qualities or ethos of the relationships that are consistent with both the values and purpose of the organization are established;
- the leaders have a clear mandate within which to progress and develop prospective collaborative business relationships;
- the governance processes are sufficiently robust to demonstrate effective assurance and accountability within a collaborative arrangement;

- the governance processes are sufficiently agile and adaptable to ensure that the potential value could be realized from collaboration;
- there is a clear understanding of expected and acceptable attitudes and behaviour within the relationships that will foster the desired approach to openness, trust and mutual respect between the prospective collaborators and their stakeholder groups;
- there is accountability, fairness and transparency in the relationships with partners and sharing of responsibilities and rights.

5.3.3 Senior executive responsible

The senior executive responsible (SER) is responsible for ensuring performance evaluation and continual improvement in the activities covered by the collaborative business relationship management system (see [Clauses 9](#) and [10](#)).

The SER is also responsible for identifying and defining the key individuals and their roles involved in collaborative initiatives and ensuring they have the appropriate skills to support a collaborative approach (see [Annex C](#) for examples).

6 Planning

6.1 Actions to address risks and opportunities

When planning for the collaborative business relationship management system, the organization shall consider the issues referred to in [4.1](#) and the requirements referred to in [4.2](#) and determine the risks and opportunities that need to be addressed to:

- give assurance that the collaborative business relationship management system can achieve its intended outcome(s);
- prevent, or reduce, undesired effects;
- achieve continual improvement.

The organization shall have a defined process for the initial and on-going evaluation of risk. This process should include defined approaches for identification, analysis, mitigation, on-going management and review of risks.

The organization shall plan:

- a) actions to address these risks and opportunities;
- b) how to:
 - integrate and implement the actions into its collaborative business relationship management system processes and the corporate relationship management plan (RMP) (see [7.5.5](#));
 - evaluate the effectiveness of these actions.

6.2 Collaborative business relationship objectives and planning to achieve them

The organization shall identify its operational objectives and identify where these may be supported or enhanced through the adoption of collaborative working approaches, or where additional external partners may be required in order to achieve targeted outcomes.

The organization shall establish collaborative business relationship objectives at relevant functions and levels.

The collaborative business relationship objectives shall:

- a) be consistent with the collaborative business relationship policy;
- b) be measurable (if practicable);
- c) take into account applicable requirements;
- d) be monitored;
- e) be communicated effectively;
- f) be updated as appropriate.

The organization shall retain documented information on the collaborative business relationship objectives and this shall be integrated into the corporate RMP (see [7.5.5](#)).

When planning how to achieve its collaborative business relationship objectives, the organization shall determine:

- what will be done;
- what resources will be required;
- who will be responsible, including the role of collaborative partners;
- when it will be completed;
- how the results of the collaboration will be evaluated;
- how potential partners' objectives will be addressed;
- how the objectives will be evaluated to ensure they remain relevant.

6.3 Identification and prioritization of collaborative business relationships

6.3.1 General

The organization shall have defined processes for identifying its significant internal and external relationships.

The aims, drivers, objectives and benefits of each type of business relationship shall be clearly identified and confirmed as being consistent with the overall business objectives.

These relationships shall be prioritized to provide a clear focus for identifying when a collaborative relationship management process could offer a business benefit.

[Annex F](#) outlines different types of business relationship.

6.3.2 Identification of opportunities for collaboration

The organization shall, as appropriate, target areas where collaboration can open new strategic opportunities either from its existing partners or from the identification of potential new collaborative partners. These shall:

- clearly define the potential benefits that might be realized;
- ensure potential benefits are achievable through specific measurable objectives.

7 Support

7.1 Resources

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the collaborative business relationship management system.

7.2 Competence and behaviour

The organization shall:

- determine the necessary competence and behaviour of person(s) doing work under its control that affects its collaborative business relationship management performance;
- ensure that these persons are competent and demonstrate the appropriate behaviour to work collaboratively on the basis of appropriate education, training or experience;
- where applicable, take actions to acquire the necessary competence and encourage appropriate behaviour, and evaluate the effectiveness of the actions taken;
- retain appropriate documented information as evidence of competence and behaviour that support collaborative working;
- develop and maintain corporate culture and behaviour to support collaborative working;
- where applicable, demonstrate an awareness of diversity and cultural sensitivity.

These evaluations shall provide the foundations for, and the development of, competencies and behaviour as they evolve (see [Clause 8](#)).

NOTE 1 Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

NOTE 2 [Annex C](#) provides an initial guide to the competencies and behaviour that support collaborative working.

7.3 Awareness

Persons doing work under the organization's control shall be aware of:

- the collaborative business relationship policy;
- their contribution to the effectiveness of the collaborative business relationship management system, including the benefits of improved collaborative business relationship performance;
- the implications of not conforming with the collaborative business relationship management system requirements.

7.4 Communication

The organization shall determine the need for internal and external communications relevant to the collaborative business relationship management system, including:

- on what it will communicate;
- when to communicate;
- with whom to communicate;
- how to communicate.

7.5 Documented information

7.5.1 General

The organization's collaborative business relationship management system shall include:

- documented information required by this document;
- documented information determined by the organization as being necessary for the effectiveness of the collaborative business relationship management system.

NOTE The extent of documented information for a collaborative business relationship management system can differ from one organization to another due to:

- the size of the organization and its type of activities, processes, products and services;
- the complexity of processes and their interactions;
- the competence and behaviour of persons.

7.5.2 Creating and updating

When creating and updating documented information, the organization shall ensure appropriate:

- identification and description (e.g. a title, date, author, or reference number);
- format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- review and approval for suitability and adequacy.

7.5.3 Control of documented information

Documented information required by the collaborative business relationship management system and by this document shall be controlled to ensure:

- it is available and suitable for use, where and when it is needed;
- it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

For the control of documented information, the organization shall address the following activities, as applicable:

- distribution, access, retrieval and use;
- storage and preservation, including preservation of legibility;
- control of changes (e.g. version control);
- retention and disposition;
- agreement on how sensitive or protected information is handled.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the collaborative business relationship management system shall be identified as appropriate, and controlled.

NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

7.5.4 Record of collaborative competencies

The organization shall maintain a record of key individuals and their roles involved in collaborative initiatives and ensure they have the appropriate competencies to support a collaborative approach (see

[7.2](#)). This record shall be maintained and updated at regular intervals and when there is a change of personnel.

7.5.5 Corporate RMP

The organization shall develop a corporate RMP which captures, defines, is consistent with and links to the organization's other management and operational processes and procedures.

It shall:

- reference existing processes, procedures and systems or, where appropriate, incorporate the processes to be adopted in the case of collaborative programmes;
- form the basis for the development of a specific strategic relationship approach to address a business opportunity for a joint RMP agreed with partners;
- form the basis for the development of a joint RMP for each relationship that shall be maintained throughout the life of the relationship.

8 Operation

8.1 Operational planning and control

The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in [6.1](#), by:

- establishing criteria for the processes;
- implementing control of the processes in accordance with the criteria;
- keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

The organization shall ensure that outsourced processes are controlled.

[Annex G](#) provides additional application guidance to support the requirements in [8.2](#) to [8.9](#).

8.2 Operational awareness (Stage 1)

8.2.1 General

[Figure 3](#) illustrates Stage 1 of the lifecycle model in the collaborative business relationship framework.

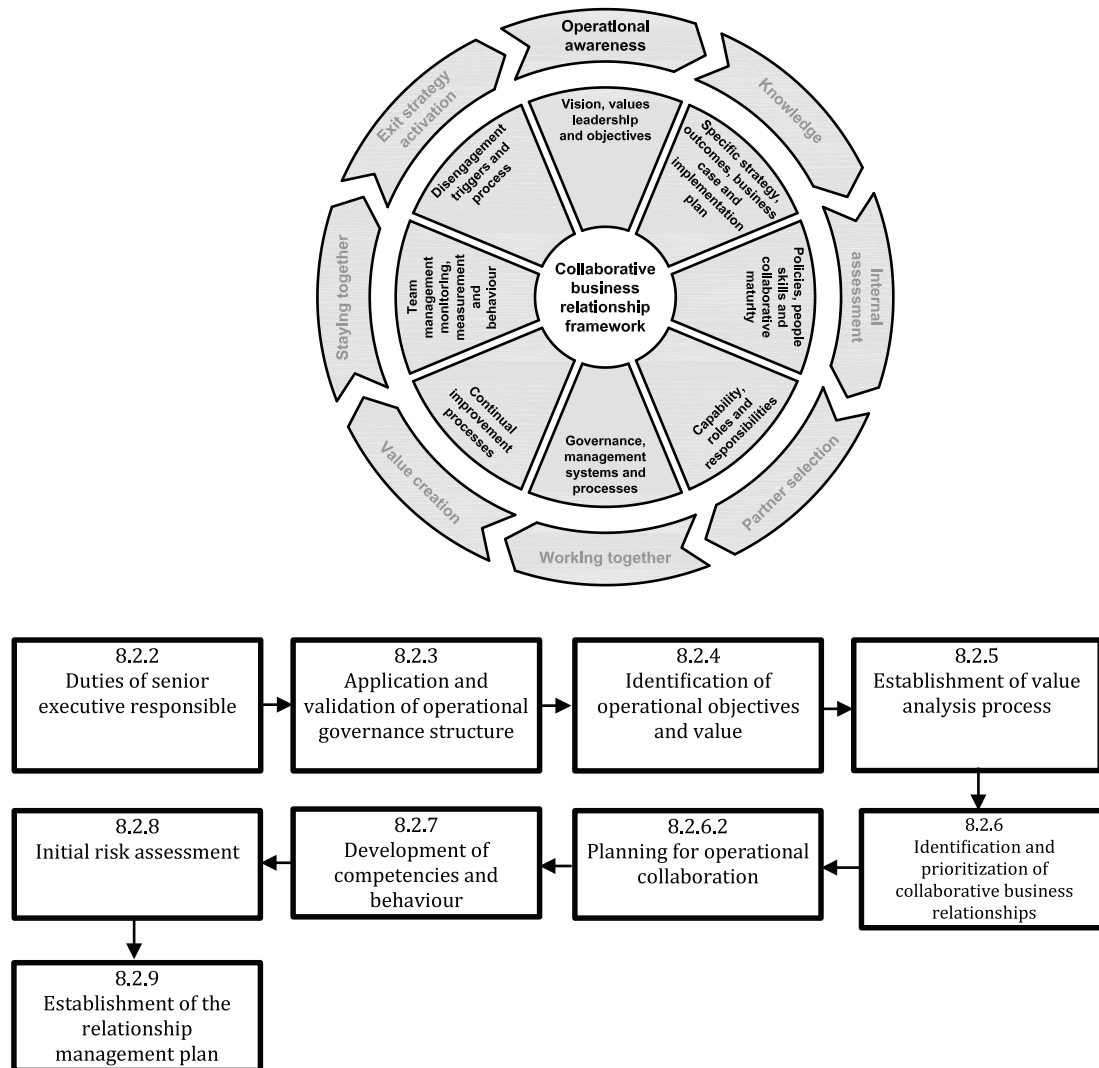


Figure 3 — Stage 1: Operational awareness

8.2.2 Duties of SER

The SER (see 5.3) shall provide executive leadership throughout the lifecycle of the collaboration and facilitate the effective deployment of the collaborative business relationship process. The SER may assign this responsibility through their management structure as appropriate to ensure effective deployment in the areas of operation.

8.2.3 Application and validation of operational governance structure

The SER shall ensure governance arrangements that promote collaborative working and provide the authority under which the leaders are empowered to explore the potential value from collaboration (see 5.3.1) and authorize any required changes.

8.2.4 Identification of operational objectives and value

The organization shall establish whether its operational objectives will be supported or enhanced through the adoption of a collaborative working approach, or if additional external partners may be required in order to achieve targeted outcomes. The organization shall ensure that the collaborative business relationship(s) are clearly aligned to and consistent with the organization's overall business objectives (see 6.2).

8.2.5 Establishment of value analysis process

The organization shall deploy the value analysis process established in [5.3.2](#) to identify the potential benefits that could be realized by a collaborative approach.

8.2.6 Identification and prioritization of collaborative business relationships

8.2.6.1 General

The organization shall verify that a collaborative approach is appropriate and in accordance with its process for identification and prioritization of relationships and identification of opportunities for collaboration as described in [6.3.1](#) and [6.3.2](#). This shall take into account relevant stakeholders.

8.2.6.2 Planning for operational collaboration

The organization shall produce a plan when considering a collaborative approach. This is in addition to normal operating or business planning and includes, as appropriate:

- objectives;
- potential benefits and opportunities;
- identified risks including those related to collaborative working;
- market analysis;
- key resource requirements;
- leadership and key personnel;
- exit strategy parameters.

8.2.7 Development of competencies and behaviour

The SER is responsible for identifying and defining the key individuals and their roles involved in the collaborative initiative(s) and ensuring they have the appropriate skills to support a collaborative approach (see [Annex C](#) for examples).

This record shall be maintained and updated at regular intervals and when there is a change of personnel.

Where individual development needs are identified, these shall be addressed in accordance with [7.2](#).

8.2.8 Initial risk assessment

The organization shall conduct an initial risk assessment to identify the specific risks associated with the potential collaborative business relationships and impacts of breakdowns in those relationships.

The initial risk assessment shall take into account competencies, skills and cultural aspects of the parties potentially involved in the collaborative business relationship. The assessment shall result in an evaluation of the risks identified and the potential actions to mitigate their effect balanced against the potential benefits of the collaboration.

8.2.9 Establishment of the RMP

If it is decided that the collaborative approach is appropriate, the organization shall establish an RMP which captures the desired business approach to collaboration as outlined in [7.5.5](#). See [Annex B](#) for examples of RMP guides.

8.3 Knowledge (Stage 2)

8.3.1 General

Figure 4 illustrates Stage 2 of the lifecycle model in the collaborative business relationship framework.

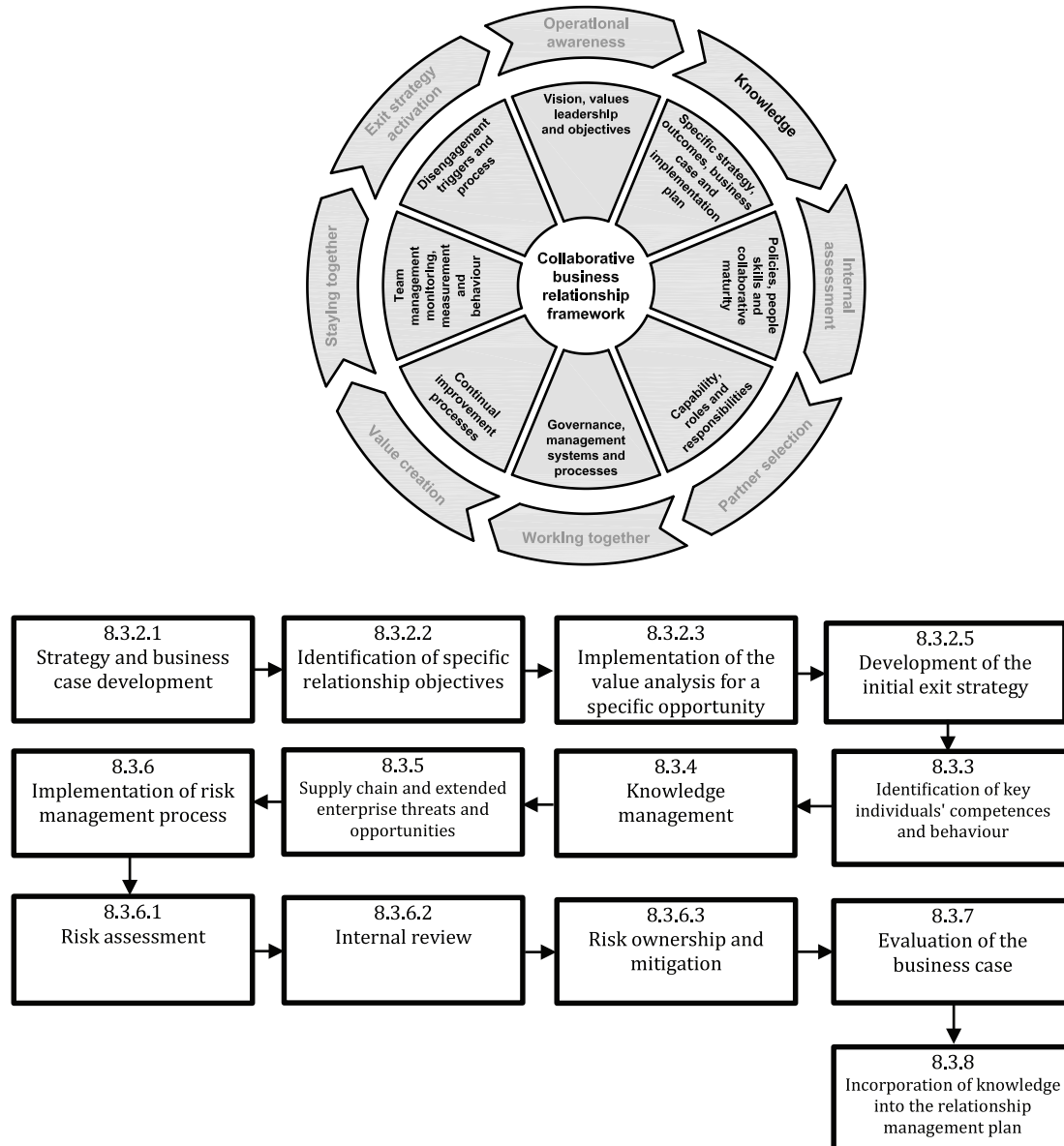


Figure 4 — Stage 2: Knowledge

8.3.2 Strategy and business case

8.3.2.1 Development

Organizations shall have a defined process for developing a strategy and business case for each collaborative opportunity. It shall include:

- identification of the SER and/or delegated authorities;
- roles and responsibilities;
- analysis of the direct implications of the collaborative approach;

- impacts on the market sector and customer base;
- needs and expectations of customers and other stakeholders;
- impact on the sustainability of the collaborative business relationship partners of external economies, competitors and market forces.

The strategy shall also be communicated within the organization to ensure common understanding.

8.3.2.2 Identification of specific relationship objectives

The objectives of each specific collaborative business relationship shall be identified as documented information and shall be compatible with the policy, value proposition, visions and values and overall strategic objectives of the organization. The organization shall establish measurable objectives and consistent with the organization's policy and processes.

8.3.2.3 Implementation of the value analysis for a specific opportunity

The potential value of the collaborative business relationship shall be evaluated for each opportunity and demonstrated in the context of the overall business objectives to ensure that the resource investment validates the adoption of collaborative concepts. This evaluation shall be undertaken at planned intervals.

8.3.2.4 Identification of potential collaborative partner organizations

An organization seeking to develop existing or new relationships can identify potential new collaborative partner organizations against the specific opportunities (see [8.2.6.2](#)). Assessment criteria can include, but are not limited to:

- strategic fit;
- operational fit;
- relationship/cultural fit;
- impact on other relationships.

8.3.2.5 Development of the initial exit strategy

An initial exit strategy shall be developed (see [8.9](#) for the complete exit strategy development).

The initial exit strategy shall include, but is not limited to:

- establishing the boundaries of the potential relationship;
- establishing the scope of the intended engagement;
- exit triggers;
- impact on customers and other key stakeholders;
- financial arrangements, potential obligations and other implications;
- assets and intellectual property;
- business continuity;
- implications for resources and people.

These issues shall be considered in the context of an eventual mutual agreement.

8.3.3 Identification of key individuals' competence and behaviour

The organization shall identify the key individuals and their roles involved in supporting each particular collaborative opportunity. These shall include all persons whose competence and collaborative behaviour have been determined to have a significant impact upon the effectiveness of collaborative working. Records of individuals and roles shall be maintained as documented information.

Where such competence and behaviour have not been fully assessed and any development remains to be addressed, the organization shall initiate and maintain any necessary further development. See [Annex C](#) for examples of competence and behaviour.

8.3.4 Knowledge management

The organization shall ensure a defined process and clear guidelines are in place to capture and manage knowledge creation and sharing between organizations within collaborative business relationships (including existing knowledge and lessons learned from both internal and external sources). This shall include, where appropriate, designating areas which are to be protected from unintended knowledge transfer to collaborative partners.

8.3.5 Supply chain and extended enterprise risks and opportunities

During the evaluation of collaborative business opportunities, organizations shall consider the risks and opportunities which result either directly or through supply chains or extended enterprises associated with potential collaborative working partners.

These can include:

- supply chain and/or extended enterprise performance;
- existing supply chain collaborations;
- combined procurement opportunities;
- relationship interdependencies;
- appropriate capabilities;
- sustainability and vulnerability;
- reputational risks;
- business continuity impacts;
- management of potential conflicts between supply chains;
- equitable collaborative terms.

8.3.6 Implementation of risk management process

8.3.6.1 Risk assessment

The organization shall identify and evaluate risks using defined processes and ensure these are addressed within the development of individual relationships (see [6.1](#)).

Risk management in respect to relationship management shall be integrated into the overall risk management processes.

The risk management processes shall have appropriate resources allocated with relevant skills and experience.

8.3.6.2 Internal review

Organizations shall identify and assess internal issues which could result in significant risks to performance. The risks shall be prioritized and the resulting actions related to these identified. This shall include those risks which may have an effect upon the establishment of a joint risk profile with a potential collaborative partner. These shall include, but are not limited to:

- internal practices and culture;
- potential impacts on the organization's visions and values;
- corporate social responsibility and business continuity processes.

8.3.6.3 Risk ownership and mitigation

The organization shall ensure that each identified risk is appropriately assigned for resolution or mitigation. The organization's risk management process shall be applied to record all identified risks and appropriate resolutions or mitigation, which shall include identification of risks that need to be raised with collaborative partners to ensure the most effective approach is adopted.

A risk register shall be maintained as documented information and shall be part of the joint risk management process with the collaborative partner.

8.3.7 Evaluation of the business case

Each new collaborative opportunity shall be evaluated and defined to determine specific objectives and key drivers to evaluate if collaboration is appropriate in accordance with [8.3.2](#).

Each specific business case shall address the following items, as appropriate:

- a) key objectives;
- b) potential benefits and opportunities;
- c) identified risks;
- d) key resource requirements;
- e) identification of collaborative business relationship team leader;
- f) exit strategy parameters;
- g) estimated lifecycle/length of relationship.

8.3.8 Incorporation of knowledge into the RMP

On completion of the strategy development process, the RMP and any associated documentation shall be reviewed and updated.

For every collaborative business relationship, the responsibilities, actions, associated time frames and interdependencies shall be maintained as documented information. The RMP shall be reviewed at defined intervals to ensure as a minimum that the SER can identify which outcomes/deliverables are being targeted prior to implementation.

Where no specific RMP has been established, this shall be completed. In either case, the required approvals to proceed shall be obtained and the contents communicated as appropriate across the organization.

8.4 Internal assessment (Stage 3)

8.4.1 General

Figure 5 illustrates Stage 3 of the lifecycle model in the collaborative business relationship framework.

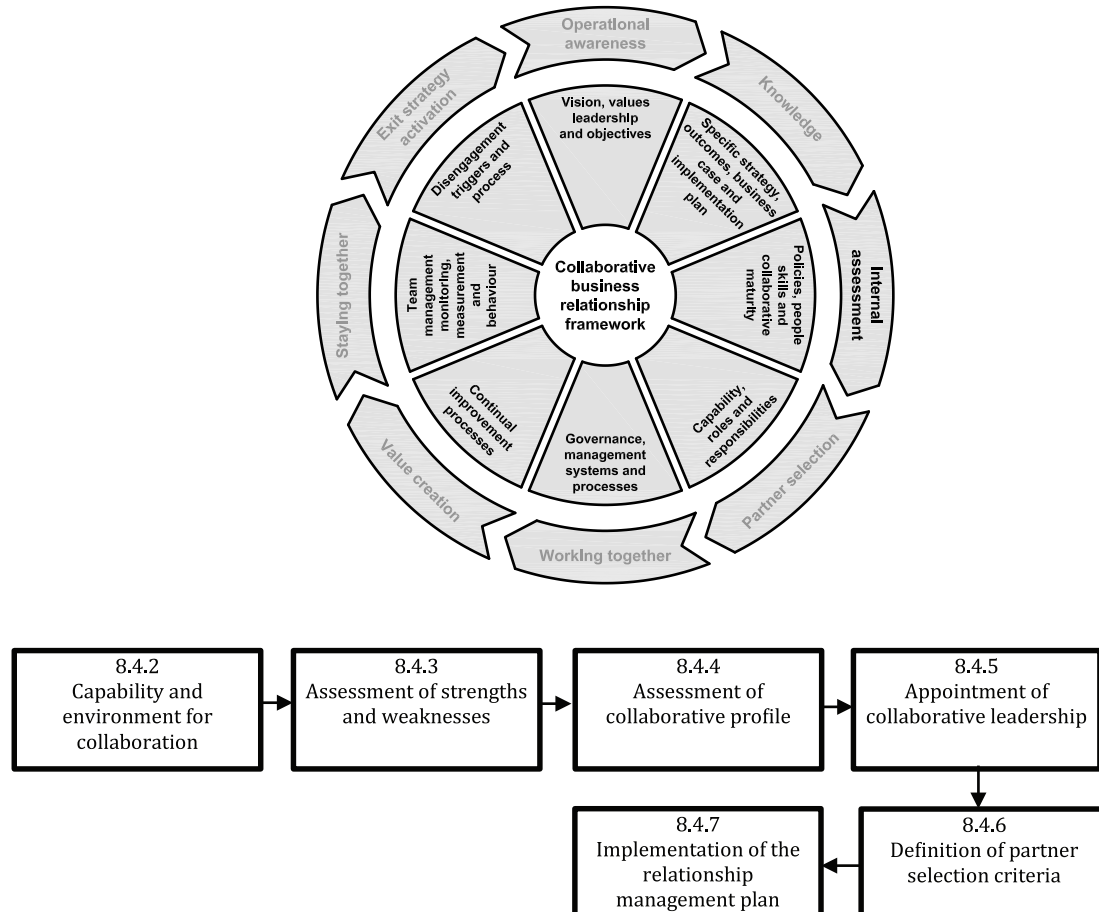


Figure 5 — Stage 3: Internal assessment

8.4.2 Capability and environment for collaboration

The policies and processes established to create the capability and environment to collaborate effectively shall be implemented and appropriately reviewed and updated as required.

8.4.3 Assessment of strengths and weaknesses

An internal assessment of the organization shall be undertaken to highlight strengths and weaknesses. The internal assessment shall be reviewed at defined intervals and shall, as a minimum, include the following:

- organizational structure;
- previous collaboration experiences of the organization;
- experience and capabilities of individuals;
- validation of internal processes;
- behavioural and cultural competencies.

Assessment shall start at the SER level to ensure that support can be effectively cascaded through the organization. In order to build on the strengths of the organization, the level of knowledge and skills that exist within the organization shall be identified and any shortfalls shall be addressed by suitable staff development or recruitment.

8.4.4 Assessment of collaborative profile

An internal assessment shall be carried out to identify whether the principal characteristics (see [Annex C](#) and [Annex D](#)) required for an effective collaborative profile are present. The organization shall have a defined process to assess the effectiveness of its operations in the context of collaborative business relationships.

8.4.5 Appointment of collaborative leadership

For each collaborative business relationship for which a strategy has been developed in accordance with [8.3.2](#), leadership with the appropriate competencies shall be appointed with the responsibility and delegated authority for taking the strategy forward.

As individuals change, competencies and skills shall be periodically reassessed. See [Annex C](#) for a typical competency profile.

8.4.6 Definition of partner selection criteria

Before partner selection, the organization shall establish the required criteria for assessment of the collaborative partner. This shall include the organization's internal collaborative capability and also the relationship management approach.

The partner evaluation shall be developed by the collaborative business relationship team and assess potential collaborative partners based on, but not limited to:

- collaborative profile and experience;
- cultural compatibility;
- customer relationship management;
- supplier relationship management;
- stakeholder implications.

In addition to initiating the organization's considerations, the following issues shall be evaluated with respect to the partner organization's perspective:

- objectives;
- requirements;
- expectations;
- risks and risk management approach.

8.4.7 Implementation of the RMP

If collaboration has been validated as the strategic way forward, the organization shall update the RMP with the output of the internal assessment. Specific responsibilities shall be assigned with target dates, establishing who does what, by when.

8.5 Partner selection (Stage 4)

8.5.1 General

Figure 6 illustrates Stage 4 of the lifecycle model in the collaborative business relationship framework.

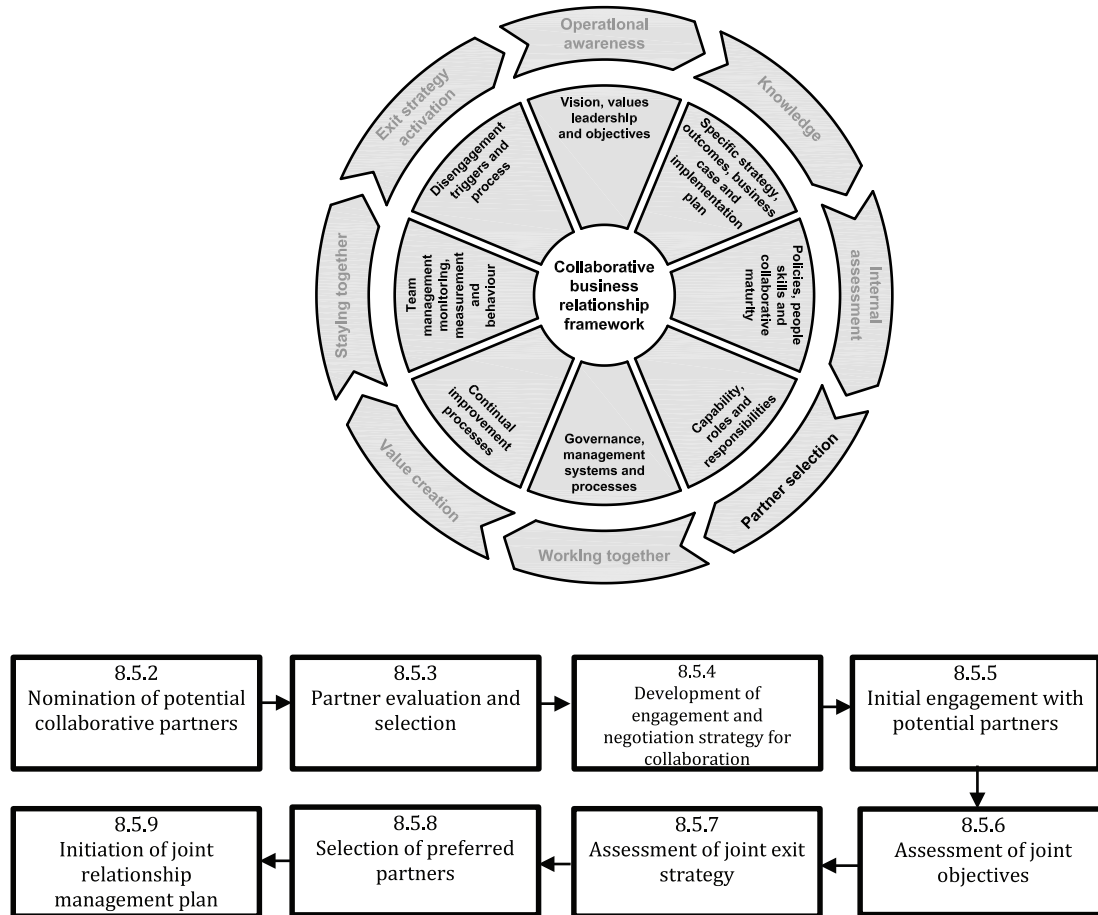


Figure 6 — Stage 4: Partner selection

8.5.2 Nomination of potential collaborative partners

The organization shall nominate potential collaborative partners and obtain internal agreement for the collaborative approach to begin.

A collaborative profile of the potential collaborative partners shall be determined in accordance with 8.4.6 and the partners' profiles shall be evaluated against the organization's internal assessment to identify the organizational fit.

8.5.3 Partner evaluation and selection

Partner evaluation and selection shall be conducted in accordance with a defined process and using the determined partner selection criteria (see 8.3.2.4 and 8.4.6), even in the case of single source or nominated partners.

The partner evaluation shall identify areas for improvement, risks and opportunities, including issues that result from the partner selection criteria.

8.5.4 Development of engagement and negotiation strategy for collaboration

The organization shall internally establish an agreed negotiation strategy to facilitate value-creating collaboration. This shall be based on business strategy, objectives, partner evaluation and intended principles for working together. The approach to negotiation shall take into account the longer term stability of the relationships and not focus solely on short-term opportunism.

8.5.5 Initial engagement with potential partners

The organization shall:

- encourage the potential partner organizations to adopt the principles of collaborative working within their own organizations;
- establish a joint assessment on their objectives and requirements for a collaborative relationship;
- identify and evaluate risks and opportunities.

8.5.6 Assessment of joint objectives

The organization shall provide a structured appraisal of the mutual objectives of the potential collaboration. This shall be based on the objectives of the initiating organization established in [8.3.2.2](#) and on the perspective and requirements of potential collaborative partner(s) to ensure that individual and common objectives are compatible to satisfy the drivers for each party. Collaborative initiatives should be focused on the premise of significant strategic benefits.

Appropriate measurements and key performance indicators shall be established to address and monitor outcomes.

8.5.7 Assessment of joint exit strategy

A joint exit strategy and rules of disengagement based on the initial exit strategy (see [8.3.2.5](#)) shall be carried out together with potential partners.

NOTE Establishing potential triggers and rules of disengagement, possible transition and future development during the partner selection and contracting stage builds confidence between the parties.

8.5.8 Selection of preferred partners

The organization shall select the collaborative partner or partners, based upon the overall evaluation, including the partner selection criteria, mutually agreed objectives and the outcomes of negotiations.

8.5.9 Initiation of joint RMP

At this stage, the partner organizations shall confirm the principles upon which the joint RMP and formal arrangements shall be based.

8.6 Working together (Stage 5)

8.6.1 General

[Figure 7](#) illustrates Stage 5 of the lifecycle model in the collaborative business relationship framework.

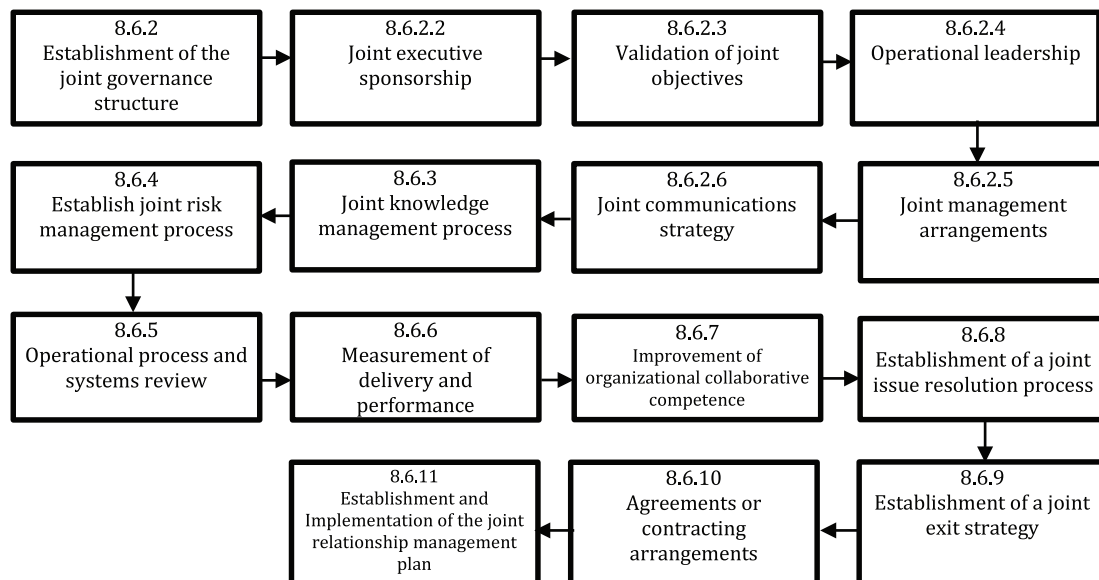
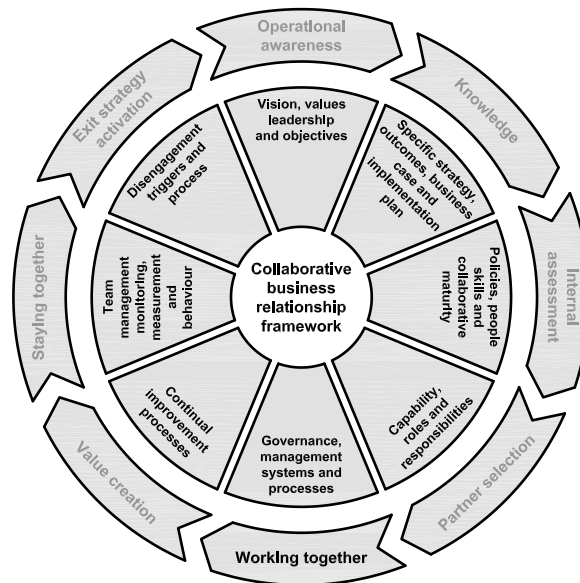


Figure 7 — Stage 5: Working together

8.6.2 Establishment of the joint governance structure

8.6.2.1 General

The partners shall establish and agree a formal foundation for joint working, including contractual frameworks or agreements, roles, responsibilities and ethical principles. This shall be maintained as documented information.

8.6.2.2 Joint executive sponsorship

Each organization shall identify its SERs or nominated delegate(s) and ensure there is a mutual agreement to support the joint approach, with a clear definition of management systems, authorities, performance and expectations.

The SERs shall together define the operating environment to be used to develop and maintain the ethos of collaboration. This shall include, but is not limited to:

- behavioural principles;
- performance expectations;
- outline authorities and responsibilities;
- management systems;
- frequencies of review.

8.6.2.3 Validation of joint objectives

The SERs shall validate the key objectives of the collaboration and establish the core principles which are to govern the development and implementation of the collaboration.

Joint objectives shall encompass the specific needs and drivers of the individual organizations.

8.6.2.4 Operational leadership

The organization's SERs shall assess and appoint competent senior operational leaders (see [8.3.3](#)) to deliver the desired outcomes. The assessment should cover not only the capabilities of key individuals, but also the interaction between the managers of each organization. As a minimum, the assessment should include the following:

- collaborative capability and experience;
- individual appreciation of collaborative approaches and aptitude for collaboration;
- commitment to collaborative working;
- identification of appropriate training and development needs;
- collaborative behaviour;
- behavioural competence.

8.6.2.5 Joint management arrangements

A joint management team shall be established from the initiating organization and its collaborative partner. This structure shall clearly define the operational roles, lines of authority and communication. This shall be consistent with the governance arrangements, contractual responsibilities and agreements under which the collaborative business relationship is to be formally recognized.

The joint management team in line with the mutually agreed objectives shall:

- review the joint objectives, including continual value creation;
- establish effective measurements that are monitored openly and made visible through an agreed reporting process;
- identify any additional objectives that could mutually benefit the operation of the collaboration;
- define the primary roles and responsibilities for the team members involved in operations and delivery;
- identify what information is required to meet the objectives together with any known interdependencies;

- identify what resources, equipment, property and assets will be used from each organization for the collaborative arrangement;
- establish the internal and external context for the business relationship taking the human and cultural factors into account.

8.6.2.6 Joint communications strategy

The joint management team (see 7.4) shall establish maintain and actively manage an effective communication process, including the messages for the key stakeholders (including all collaborative parties), the vision, the objectives behind the collaboration and how concerns will be managed.

8.6.3 Joint knowledge management process

The joint management team shall establish and maintain a defined process which identifies the information that is required to meet the objectives together with any known systems and process interdependencies. The team shall also define the information which may not be shared without executive approval (e.g. intellectual property rights, proprietary data.)

8.6.4 Establish joint risk management process

The joint management team shall establish and record the process to be used for risk management within the relationship, recognizing the links into each organization's existing risk management processes. This shall be approved by the SER.

This shall include:

- the appointment of a competent person to manage risk which shall be jointly agreed between the partners or joint accountability between assigned risk managers;
- jointly agreeing, defining and documenting the role and responsibilities;
- the establishment of a joint risk register incorporating issues previously identified on an individual organizational basis and those resulting from any interdependency.

The joint risk register shall be reviewed at planned intervals as defined under the governance structure and appropriate actions addressed.

It is likely that the collaborating organizations will have their own approaches to risk management; it should therefore be established and agreed what approach will be used within the relationship.

It is important to have defined responsibility for managing the execution of the risk management process within the relationship. This person can come from either organization. The risk manager should manage the agreed joint risk management process. The term "joint" implies that each partner makes a contribution to all of the risk management activities.

Responsibility for each risk shall be assigned to an identified owner for effective management, whether from the organization that raised it or not.

The joint risk register is a key factor in integrating one or more organization. It should capture both joint risks associated with meeting the objectives of the collaboration and those of the individual organizations. An effective collaboration is one where the parties share responsibility as far as is practical in supporting the individual risk of the partners.

8.6.5 Operational process and systems review

The joint management team shall undertake a joint business and quality process review and shall assess the potential impact of collaboration for both organizations. The joint management team shall use this assessment to ensure:

- optimization of the collaboration approach is compatible with, or complements, existing operations;
- identification of areas of the current operations that can be improved or could create additional enhancements to increase performance;
- establishment of priority areas for immediate actions to implement the collaborative approach;
- management of change to enable collaborative working;
- management of continual improvement processes;
- that an agreed information exchange system is in place.

8.6.6 Measurement of delivery and performance

The collaborative partners shall agree on plans for delivery and performance based on the objectives. The joint management shall:

- monitor delivery against mutually agreed plans and performance criteria;
- regularly review performance at both executive and operation levels;
- where appropriate, take corrective action to ensure performance is maintained;
- establish, implement and maintain procedures for monitoring and measuring the effectiveness of its collaborative business relationship arrangement;
- establish a process of continual improvement to enhance the effectiveness of its collaborative business relationship arrangement.

8.6.7 Improvement of organizational collaborative competence

The joint management team and SERs shall, at appropriate intervals, evaluate its on-going ability to collaborate (see also [Clause 10](#)). This evaluation shall include the on-going collaborative competencies and behaviour.

The frequency of this evaluation should be increased during periods of change.

8.6.8 Establishment of a joint issue resolution process

The joint management team shall define, establish and maintain a process for an issue resolution that:

- defines a decision making hierarchy;
- identifies and resolve issues at the earliest practicable opportunity;
- assigns importance, priority and/or timeframe, and responsibility for resolution at the optimum level;
- tracks the status of the issue; e.g. open, investigating, escalated, resolved;
- aligns with any agreement and/or contracting approach and integrated with lessons learned.

8.6.9 Establishment of a joint exit strategy

8.6.9.1 General

The joint management team shall establish an exit strategy (see [Annex E](#)) which addresses the considerations of all parties involved. Where appropriate, the exit strategy should support the maintenance of the relationship beyond the closing of operations.

The boundaries of the relationship shall be established. Potential areas of conflict shall be identified.

The joint management team shall define a process for initiating the exit strategy and disengaging from the relationship. The process shall include the separate and joint responsibilities and authorities of the parties.

The joint management team shall incorporate as part of their joint exit strategy consideration for maintaining business continuity in the event of premature exit being necessary and where appropriate, the transition to another partner.

In the case of collaborative arrangements that have a fixed completion point or performance term, such as outsourcing arrangements, effective arrangements shall be defined for continuity of service and efficient transfer to another party.

When developing an exit strategy, the parties of the business relationship shall consider the reputations of all parties.

8.6.9.2 Stakeholder impacts

The joint management team shall incorporate and address potential impacts on both external and internal stakeholders. The exit strategy shall include an assessment of how the collaborative partners will progress once the business relationship has ceased.

8.6.9.3 Assets and commercial implications

The joint management team shall ensure that the joint exit strategy satisfies the requirements of the collaborative arrangement. These shall include, but are not limited to:

- financial and commercial settlements;
- disposition of assets, property and equipment;
- intellectual property issues.

8.6.9.4 Management of staff

The joint management team shall ensure that the exit strategy addresses the implications for those staff assigned to the relationship ensuring that effective support remains in place during the demobilization process and support those activities which continue after the collaborative relationship has ended.

8.6.10 Agreements or contracting arrangements

The organizations shall ascertain whether the collaborative business relationship is to be covered by a formal or informal agreement and/or contract.

Where applicable, the process for approving agreements shall be in accordance with defined processes and shall include the framework or policy covering governance structures, roles, responsibilities authorities, equipment, property and assets, to agree and approve agreements and contracting arrangements. Contract terms shall be reviewed to determine clarity of purpose, encourage appropriate behaviour and identify the potential impacts on or conflict with the aims of collaborative working.

All performance requirements and measurement methods should be mutually agreed to ensure clarity. Risk and reward models, issue management, exit strategy, knowledge transfer and sustainability should be considered when developing an agreement.

A joint RMP may be established and annexed to agreements or contractual arrangements to formalize the overall management of the collaborative business relationship and encompass the principles of collaborative behaviour. This approach may also be used to establish a common understanding across multiple agreements or contracts.

8.6.11 Establishment and Implementation of the joint RMP

The joint RMP shall incorporate or make reference to the agreed governance structure, operational structure, agreements and contracting arrangements. The joint management team shall prioritize all actions necessary to implement the collaborative process to align with the joint objectives.

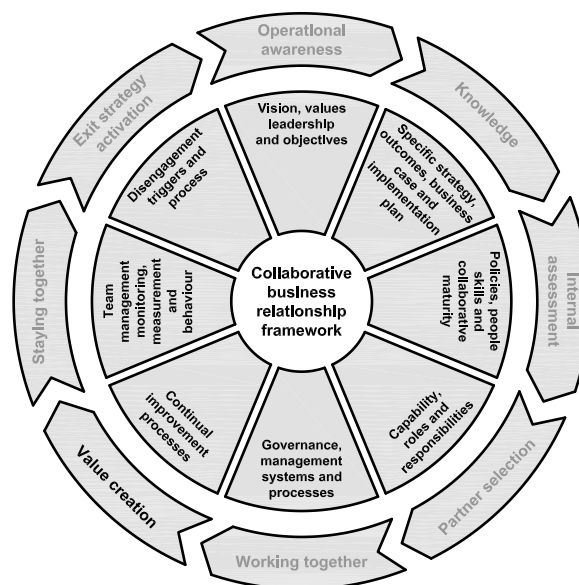
The joint management team shall include in the joint RMP, as a minimum, the following:

- joint objectives;
- governance structure;
- roles and responsibilities;
- business process changes;
- performance measures;
- issue resolution process;
- joint exit strategy (see 8.6.9);
- minimum review cycles.

8.7 Value creation (Stage 6)

8.7.1 General

Figure 8 illustrates Stage 6 of the lifecycle model in the collaborative business relationship framework.



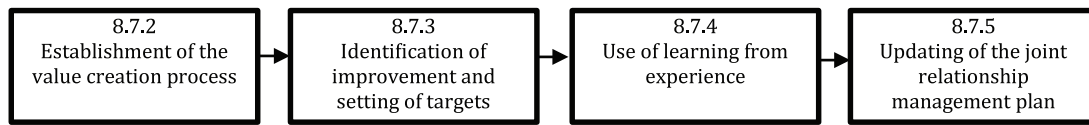


Figure 8 — Stage 6: Value creation

8.7.2 Establishment of the value creation process

The joint management team with the support of the executive management shall establish a value creation process. As a minimum, the process shall:

- define what ‘value’ means to the collaborative partners;
- provide a mechanism for the capture of innovation and ideas for improvement;
- provide a method for performing analysis and evaluation of ideas and innovations against relevant criteria with a view to selecting candidates on which to base value creation initiatives;
- establish a method for reviewing the success or failure of value creation initiatives and record lessons learned for future use.

8.7.3 Identification of improvement and setting of targets

The joint management team shall ensure that issues, risks and opportunities and areas of improvement identified are supported by an impact analysis to support implementation across organizational boundaries and that target options shall be recorded and reported. The joint management team shall assign appropriate resources and ensure that all activities are measurable and are linked to mutually agreed performance indicators to ensure that progress can be effectively monitored.

8.7.4 Use of learning from experience

The joint management team shall research previous initiatives and determine where learning can be applied. Organizations should use learning to refine and improve their internal and joint processes. In addition to learning from experience, the management team should incorporate new research and information from collaborative thought leaders and established experts.

8.7.5 Updating of the joint RMP

The RMP shall be updated to incorporate value creation initiatives which after evaluation and development, as required, are to be incorporated into the operations.

8.8 Staying together (Stage 7)

8.8.1 General

[Figure 9](#) illustrates Stage 7 of the lifecycle model in the collaborative business relationship framework.

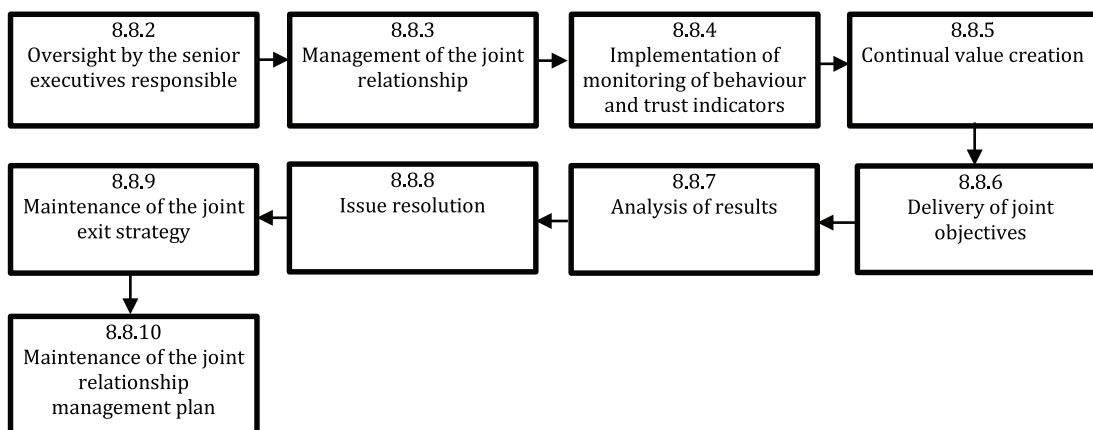
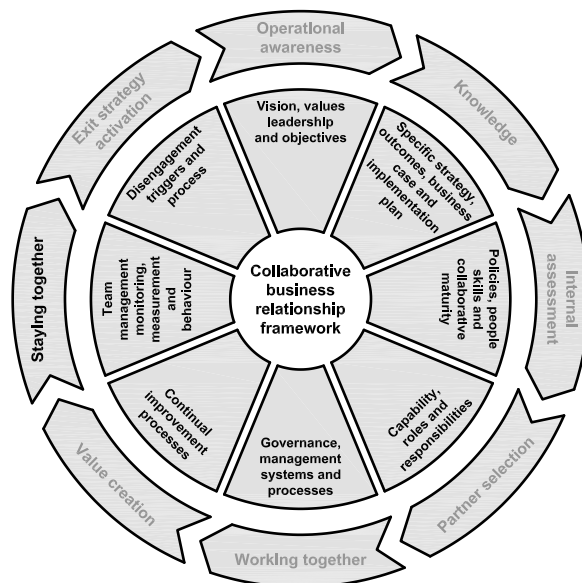


Figure 9 — Stage 7: Staying together

8.8.2 Oversight by the SERs

The SERs shall oversee the joint management team, undertake regular reviews, provide overall support to successful delivery, overcome potential internal barriers, manage challenges within the collaboration as they arise and promote overall collaborative behaviour and trust.

8.8.3 Management of the joint relationship

The joint management team shall ensure that each organization operates their part of the agreed governance process, including but not limited to:

- participation in joint bodies;
- joint risk management;
- management systems needed for delivery;
- maintaining the appropriate operating environment;
- maintaining the defined behavioural principles.

8.8.4 Implementation of monitoring of behaviour and trust indicators

The joint management team, with the support of the SERs, shall implement a defined process for the on-going monitoring of behaviour and trust indicators within the collaboration.

The joint management team shall ensure that appropriate methods of measurement (including process and behavioural models) are implemented, maintained, recorded and assessed together with the SERs at defined intervals, to ensure the overall integrity and focus of the relationship. Where appropriate, corrective actions shall be agreed and implemented.

The joint management team shall demonstrate that key aspects of the relationship's performance include:

- delivery performance and outputs;
- improved risk profile;
- continued alignment of objectives;
- behaviour and trust;
- enhanced collaborative profile/skills;
- additional value created;
- issue management.

8.8.5 Continual value creation

Continual value creation (see [8.7](#)) shall be regularly monitored and reviewed by both the joint management team and the SERs. The joint management team shall ensure that as the relationship matures, it regularly challenges the existing state of affairs to generate fresh ideas and revitalize the relationship.

8.8.6 Delivery of joint objectives

The joint management team shall ensure that measurable objectives are established that align with and demonstrate achievement of or towards the overall objectives of the collaboration.

A defined process shall be implemented and maintained to measure and evaluate progress towards and validation of the achievement of these objectives and to ensure that they remain relevant throughout the lifecycle of the collaboration.

Records of the results of these evaluations shall be maintained.

8.8.7 Analysis of results

The SERs shall ensure that the results of the monitoring, measurements and evaluations are reviewed at the most appropriate level of management in order to take any required corrective actions or to facilitate identified improvements, with the aim of ensuring the realization of benefits to all parties and the on-going successful collaboration.

The results and conclusions of these reviews shall be recorded.

8.8.8 Issue resolution

The joint management team shall implement the process for issue resolution (see [8.6.8](#)), which identifies, addresses and resolves issues at the earliest opportunity and at the appropriate level and provides an escalation procedure, where appropriate.

The SER should empower and encourage personnel to resolve issues at the appropriate level.

8.8.9 Maintenance of the joint exit strategy

The joint exit strategy (see [Annex E](#)) shall be periodically reviewed to ensure its relevance to current and future activities.

The joint management team shall regularly evaluate changes in the organization, business environment, personnel, performance and market to assess their impact on the business relationship and update the joint exit strategy as necessary.

The joint management team shall assess current operations and potential developments in key areas and whether these should lead to the controlled disengagement of the relationship.

8.8.10 Maintenance of the joint RMP

The joint RMP shall be maintained by the joint management team throughout the relationship and periodically reviewed with the SERs to ensure it reflects current and future developments.

8.9 Exit strategy activation (Stage 8)

8.9.1 General

[Figure 10](#) illustrates Stage 8 of the lifecycle model in the collaborative business relationship framework.

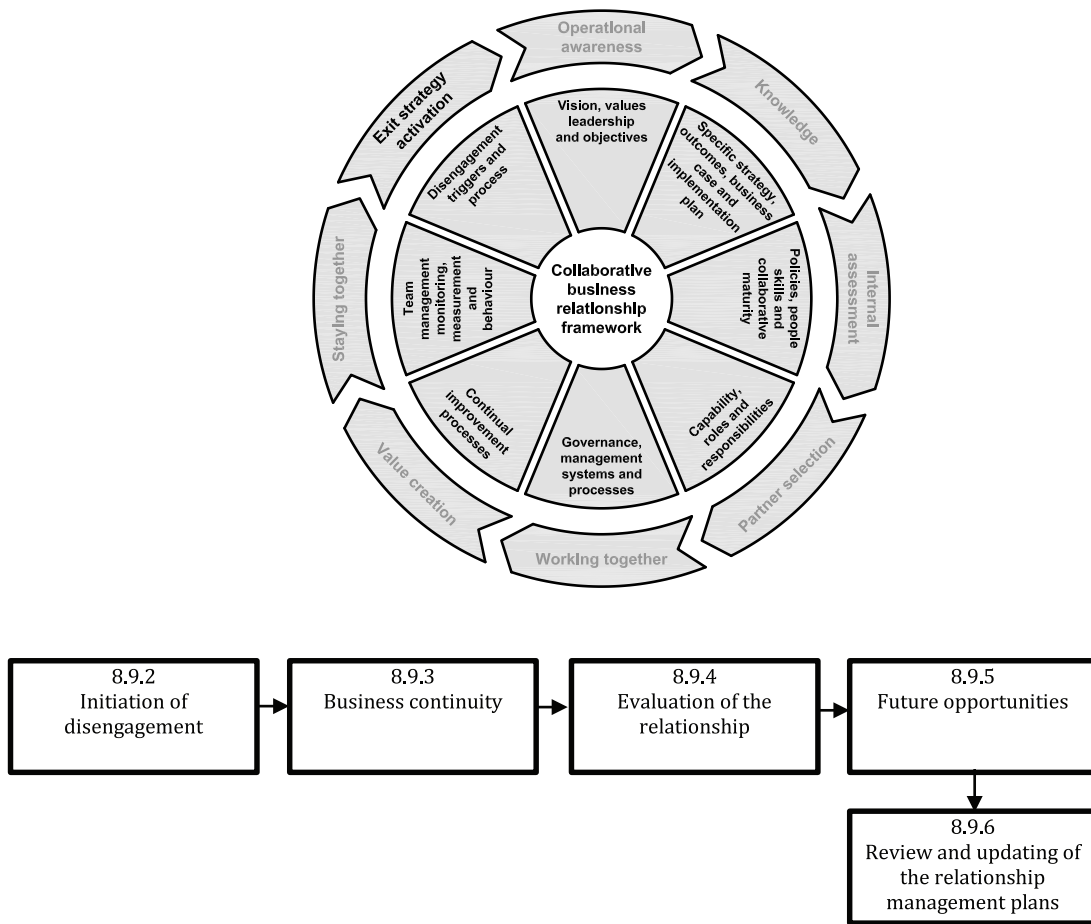


Figure 10 — Stage 8: Exit strategy activation

8.9.2 Initiation of disengagement

If the joint management team agrees that the controlled disengagement process is to commence, the joint exit strategy shall be deployed.

The process shall include the responsibilities and authorities necessary to ensure that:

- commercial considerations have been met;
- the boundaries and accountabilities of the relationship have been satisfied;
- the scope of the relationships has been delivered;
- the exit triggers have been recorded;
- all resource issues have been addressed, including people implications;
- financial arrangements or implications have been resolved;
- re-allocation of any individual or joint assets and intellectual property has been addressed;
- business continuity considerations have been addressed, including impact on customers and other key stakeholders.

8.9.3 Business continuity

During the process of disengagement, the joint management team shall maintain the collaboration to ensure that the process is efficient for both parties.

8.9.4 Evaluation of the relationship

The partners shall evaluate the relationship and document lessons learned both internally in the organization and in the joint relationship (see [9.1.2](#)). These lessons shall be reported to the respective organizations.

8.9.5 Future opportunities

The partners shall jointly consider future opportunities based on their experience of the collaboration.

8.9.6 Review and updating of the RMPs

The organizations shall update their respective RMPs with lessons learned from the exit strategy.

9 Performance evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

The organization shall determine:

- what needs to be monitored and measured;
- the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- when the monitoring and measuring shall be performed;
- when the results from monitoring and measurement shall be analysed and evaluated.

The organization shall retain appropriate documented information as evidence of the results.

The organization shall evaluate the collaborative business relationship performance and the effectiveness of the collaborative business relationship management system.

9.1.2 Exit evaluation

As a result of the controlled disengagement of the relationship, an analysis shall be carried out to evaluate the lessons learned. The outcome of this analysis shall be reported to the SER and lessons learned incorporated into the partners' respective RMPs and future collaborative business relationships.

The analysis shall include, but is not limited to:

- quality of communication;
- quality of the relationship;
- added value of the collaboration;
- tangible results, likely to be related to cost, time and quality outcome of the relationship.

9.2 Internal audit

9.2.1 The organization shall conduct internal audits at planned intervals to provide information on whether the collaborative business relationship management system:

- a) conforms to:
 - the organization's own requirements for its collaborative business relationship management system;
 - the requirements of this document;
- b) is effectively implemented and maintained.

9.2.2 The organization shall:

- a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;
- b) define the audit criteria and scope for each audit;
- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant management;
- e) retain documented information as evidence of the implementation of the audit programme and the audit results;
- f) consider joint audit programmes with collaborative partner organizations.

9.3 Management review

Top management shall review the organization's collaborative business relationship management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

The management review shall include consideration of:

- a) the status of actions from previous management reviews;

- b) changes in external and internal issues that are relevant to the collaborative business relationship management system;
- c) information on the collaborative business relationship performance, including trends in:
 - nonconformities and corrective actions;
 - monitoring and measurement results;
 - audit results;
- d) adequacy of resources;
- e) the effectiveness of actions taken to address risks and opportunities (see [6.1](#));
- f) opportunities for continual improvement.

The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the collaborative business relationship management system.

The organization shall retain documented information as evidence of the results of management reviews.

10 Improvement

10.1 Nonconformity and corrective action

When nonconformity occurs, the organization shall:

- a) react to the nonconformity and, as applicable:
 - take action to control and correct it;
 - deal with the consequences;
- b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:
 - reviewing the nonconformity;
 - determining the causes of the nonconformity;
 - determining if similar nonconformities exist, or could potentially occur;
- c) implement any action needed;
- d) review the effectiveness of any corrective action taken;
- e) make changes to the collaborative business relationship management system, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

The organization shall retain documented information as evidence of:

- the nature of the nonconformities and any subsequent actions taken;
- the results of any corrective action.

10.2 Continual improvement

The organization shall continually improve the suitability, adequacy and effectiveness of the collaborative business relationship management system.

Annex A (informative)

Assessment checklist

Table A.1 provides a checklist to assist organizations to implement and meet the requirements of this document.

Table A.1 — Assessment checklist

Clause	Requirement	Complete?
Clause 4	Context of the organization	
4.1	Understand the organization and its context	
4.2	Understanding the needs and expectation of stakeholders	
4.3	Determining the scope of the collaborative business relationship management systems	
4.4	Collaborative business relationship management system	
4.5	Creation of value	
Clause 5	Leadership	
5.1	Top management leadership and commitment	
5.2	Define policy for collaborative working	
5.3	Organization roles, responsibilities and authorities	
5.3.1	Appoint an SER	
5.3.2	Establishment of operational governance structure	
5.3.3	Senior executive responsible	
Clause 6	Planning	
6.1	Actions to address risks and opportunities	
6.2	Objectives and planning to achieve them	
6.3	Identification and prioritization of collaborative business relationships	
6.3.1	Identify strategic business aims, drivers, objectives and benefits	
6.3.2	Identification of opportunities for collaboration	
Clause 7	Support	
7.1	Determine and provide resources	
7.2	Determine competence and behaviour for collaborative working	
7.3	Personnel awareness	
7.4	Determine need for internal and external communications	
7.5	Documented information	
7.5.1	Required documentation	
7.5.2	Creating and updating information	
7.5.3	Control of documented information	
7.5.4	Record of collaborative competencies	
7.5.5	Corporate RMP	
Clause 8	Operation	
8.1	Operational planning and control	
8.2	Operational awareness (Stage 1)	
8.2.1	General	

Table A.1 (continued)

Clause	Requirement	Complete?
8.2.2	Duties of SER	
8.2.3	Application and validation of operational governance structure	
8.2.4	Identification of operational objectives	
8.2.5	Establishment of value analysis process	
8.2.6	Identification and prioritization of collaborative business relationships	
8.2.6.1	Verification of collaborative approach	
8.2.6.2	Planning for operational collaboration	
8.2.7	Development of competencies and behaviour	
8.2.8	Initial risk assessment	
8.2.9	Establish RMP	
8.3	Knowledge (Stage 2)	
8.3.1	General	
8.3.2	Strategy and business case	
8.3.2.1	Define process for developing strategy and business case	
8.3.2.2	Identification of specific relationship objectives	
8.3.2.3	Implementation of the value analysis for a specific opportunity	
8.3.2.4	Identification of potential collaborative partner organizations	
8.3.2.5	Development of initial exit strategy	
8.3.3	Identification of key individuals' competence and behaviour	
8.3.4	Knowledge management	
8.3.5	Supply chain and extended enterprise risks and opportunities	
8.3.6	Implementation of risk management process	
8.3.6.1	Risk assessment	
8.3.6.2	Internal review	
8.3.6.3	Risk ownership and mitigation	
8.3.7	Evaluation of the business case	
8.3.8	Incorporation of knowledge into the RMP	
8.4	Internal assessment (Stage 3)	
8.4.1	General	
8.4.2	Capability and environment for collaboration	
8.4.3	Assessment of strengths and weaknesses	
8.4.4	Assessment of collaborative profile	
8.4.5	Appointment of collaborative leadership	
8.4.6	Definition of partner selection criteria	
8.4.7	Implementation of the RMP	
8.5	Partner selection (Stage 4)	
8.5.1	General	
8.5.2	Nomination of potential collaborative partners	
8.5.3	Partner evaluation and selection	
8.5.4	Development of engagement and negotiation strategy for collaboration	
8.5.5	Initial engagement with potential partners	
8.5.6	Assessment of joint objectives	
8.5.7	Assessment of joint exit strategy	
8.5.8	Selection of preferred partners	

Table A.1 (continued)

Clause	Requirement	Complete?
8.5.9	Initiation of joint RMP	
8.6	Working together (Stage 5)	
8.6.1	General	
8.6.2	Establishment of the joint governance structure	
8.6.2.1	General	
8.6.2.2	Joint executive sponsorship	
8.6.2.3	Validation of joint objectives	
8.6.2.4	Operational leadership	
8.6.2.5	Joint management arrangements	
8.6.2.6	Joint communications strategy	
8.6.3	Joint knowledge management process	
8.6.4	Establish joint risk management process	
8.6.5	Operational process and systems review	
8.6.6	Measurement of delivery and performance	
8.6.7	Improvement of organizational collaborative competence	
8.6.8	Establishment of a joint issue resolution process	
8.6.9	Establishment of a joint exit strategy	
8.6.9.1	Establish joint exit strategy boundaries and key issues	
8.6.9.2	Stakeholder impacts	
8.6.9.3	Assets and commercial implications	
8.6.9.4	Management of staff	
8.6.10	Agreement or contracting arrangements	
8.6.11	Establish and implementation of joint RMP	
8.7	Value creation (Stage 6)	
8.7.1	General	
8.7.2	Establishment of the value creation process	
8.7.3	Identification of improvement and setting of targets	
8.7.4	Use of learning from experience	
8.7.5	Updating of the joint RMP	
8.8	Staying together (Stage 7)	
8.8.1	General	
8.8.2	Oversight by the SERs	
8.8.3	Management of the joint relationship	
8.8.4	Implementation of monitoring of behaviour and trust indicators	
8.8.5	Continual value creation	
8.8.6	Delivery of joint objectives	
8.8.7	Analysis of results	
8.8.8	Issue resolution	
8.8.9	Maintenance of joint exit strategy	
8.8.10	Maintenance of the joint RMP	
8.9	Exit strategy activation (Stage 8)	
8.9.1	General	
8.9.2	Initiation of disengagement	
8.9.3	Business continuity	

Table A.1 (continued)

Clause	Requirement	Complete?
8.9.4	Evaluation of the relationship	
8.9.5	Future opportunities	
8.9.6	Review and updating of the RMP	
Clause 9	Performance evaluation	
9.1	Monitoring, measurement, analysis and evaluation	
9.1.1	General	
9.1.2	Exit evaluation	
9.2.	Internal audit	
9.2.1	General	
9.2.2	Audit programmes	
9.3	Management review	
Clause 10	Improvement	
10.1	Nonconformity and corrective action	
10.2	Continual improvement	

Annex B (informative)

Relationship management plan

The relationship management plan (RMP) identifies how collaborative business relationship management will be applied within each organization. It should capture how operating practices, including existing processes such as customer–relationship management, project management, contract management and supplier relationship management, support collaboration. Organizations should aim where possible to embed this document in their existing management systems and use the RMP to signpost existing or modified process and policies. The RMP document content should always be proportional to the level of complexity of the relationship management task and be kept to the minimum necessary to be effective and efficient.

The RMP functions at two levels of the organization, as shown in [Figure B.1](#).

- As a corporate model, it establishes the business objectives and key processes to be adopted by the organization to develop, establish and set up collaborative ventures and opportunities, including governance models, management roles and responsibilities, risk management and partner selection strategy.
- As a separate document for any specific relationship, programme, project or contract, where it is intended to evolve over the lifetime of the collaborative venture. Specific RMPs provide a record of the pre-engagement development and background information for operating team members and establishes a working platform for joint relationship management through the life of the collaboration. The RMP at this level ensures that relationship management is effectively communicated and understood at all levels of the organization, is aligned to the corporate and business objectives, and is integrated into execution and delivery for all stakeholders.

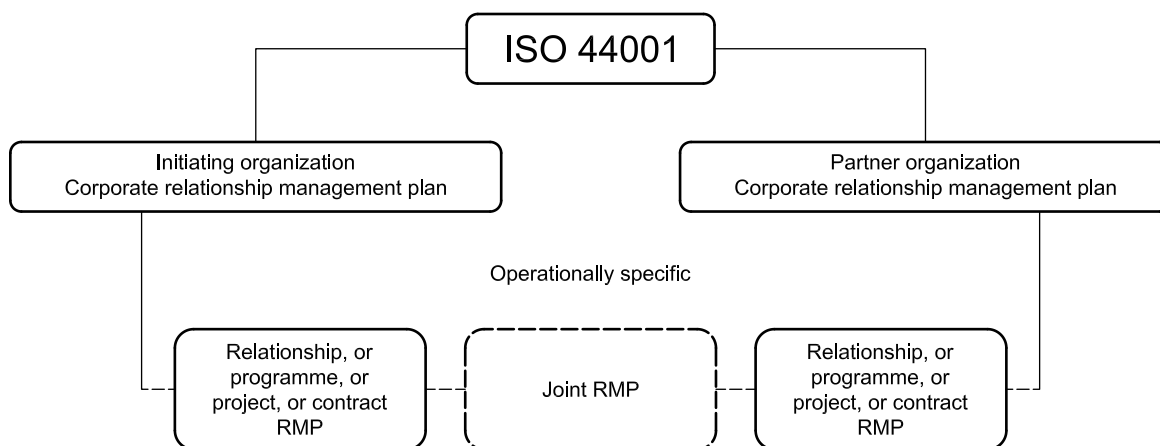


Figure B.1 — RMP hierarchy

NOTE The RMP can be a single document or a set of documents that identify how collaborative business relationship management is applied within each organization.

The guidelines shown in [Table B.1](#) provide a framework for partnering teams with their partners to establish a tailored RMP to suit the specific needs and requirements of individual programmes. These guidelines can be used for all RMPs.

Table B.1 — RMP: general contents guide

Relationship stage	RMP contents
General	<ul style="list-style-type: none"> — Overview of relationship programme — Business objectives (update to joint objectives when partner selected) — Roles and responsibilities (update when partner selected) — Outline of management/governance structure (when agreed with partner selected) — Summary of contract arrangements (if applicable after selection) — Identify principles for visions, values and behaviour (possible team charter)
Awareness	<ul style="list-style-type: none"> — Identify SER — Identify business objectives and drivers — Incorporate benefits analysis — Identify implementation processes or links to existing procedures and processes — Identify constraints and initial risks — Identify resources and skills development requirements
Knowledge	<ul style="list-style-type: none"> — Identify operating models, measurement and practices to be used — Identify performance objectives the relationship is expected to deliver — Establish levels of authority — Identify high level risks including business continuity issues — Identify potential partners — Identify communication plan to ensure stakeholder management internal assessment
Internal assessment	<ul style="list-style-type: none"> — Identify strengths and weaknesses within the organization (update when partner selected) — Incorporate areas for development/action (update when partner selected) — Establish the partner selection criteria to be used in the partner selection — Identify appropriate development programmes to be used in the “Working together” stage
Partner selection	<ul style="list-style-type: none"> — Incorporate assessment of potential partners — Incorporate methodology for evaluating the collaborative capabilities and culture — Incorporate evaluation of selected partner
Working together	<ul style="list-style-type: none"> — Identify key areas of concern or constraint for each organization — Identify joint process to manage knowledge and information flows across the relationship — Establish a joint programme to assess and develop skills across the relationship — Incorporate change or improvement programmes — Establish joint risk and opportunity management — Identify potential triggers for disengagement
Value creation	<ul style="list-style-type: none"> — Incorporate value creation and innovation processes — Incorporate continual improvement programme — Establish a process for monitoring value, creating initiatives and assessing outcomes
Staying together	<ul style="list-style-type: none"> — Incorporate a joint programme for reviews, performance measurement and reporting — Incorporate a process for issue resolution at the appropriate levels — Incorporate measures to monitor and maintain appropriate behaviour
Exit strategy	<ul style="list-style-type: none"> — Deploy joint exit strategy

The RMP supports organizations entering into collaborative partnerships to establish effective engagement of stakeholders, particularly useful where there are numerous participants and where

there are likely to be any changes of personnel during the operational phase. It is vital for a successful programme because, as the common thread, it facilitates the engagement process and acts as a way to build trust. The RMP supports trust building by detailing the goals and responsibilities of each party and how they can add value through collaboration. Coupled with open communication, an essential part of the trust-building process includes defining at the start the company-specific information and knowledge that is available to fellow collaborators and what is not to be shared.

Annex C (informative)

Competencies and collaborative behaviour

[Table C.1](#) has been included to provide an initial guide to the competencies and collaborative behaviour of individuals that support collaborative working. The right business environment to support collaborative business relationships needs to encourage openness, honesty, responsiveness, commitment, performance, fairness, information sharing, giving early warnings and doing more than just the minimum required to achieve objectives. This can be achieved by developing the appropriate competencies and skills, leveraging key enablers and encouraging appropriate behaviour. In the dynamic operating environment, on-going learning from academic and business research can be used to maintain and improve collaborative business relationships.

Table C.1 — Business competencies, collaborative competencies and organizational competencies

Business competencies	Collaborative competencies	Organizational competencies
Business skills required in the management of collaborative programmes	Key competencies specific to the role of developing and managing collaborative programmes	Key cultural aspects that enable collaborative working and underpin operational practices
Collaborative leadership	Leadership through influence	Leadership commitment
Business planning	Coaching and mentoring	Joint governance structures
Communications skills	Stakeholder management	Shared goals/objectives
Team management	Cultural awareness	Cultural alignment
Negotiation skills	Creating strategic alignment	Joint business planning
Conflict resolution	Value proposition development	Defined and appropriate measurement
Commercial and financial management	Collaborative negotiation	Strategic alignment
Change management	Partner selection	Collaborative ethos
Project and programme management	Governance development	Clearly defined roles and responsibilities
Contract management	Measurements and metrics setting	Supportive processes and infrastructure
Risk management	Collaborative working	Clearly defined issue resolution mechanisms
Knowledge management	Joint business planning	Risk and reward sharing
Business process development	Organizational alignment	Clear autonomy and accountability
Strategic thinking	Relationship management	Adequate resources
Networking across organizational boundaries	Transition management	Effective stakeholder communications
	Problem solving and decision making	Competency development
	Fostering collaborative culture	Delegation of authority
	Managing collaborations with competitors	Aligned incentive programmes

Examples of collaborative behaviour include the following:

- information sharing, constructive questioning, open and honest feedback;

- listen effectively, respecting opinions of others;
- communicate effectively, consistently, openly, honestly and in a responsive manner;
- recognize the objectives of all parties and seek ways to help maximize their achievement;
- negotiate with the joint objectives in mind;
- appreciate and respect differences in cultures; be proactive to resolve potential difficulties and overcome barriers;
- learn from and share experience;
- understand and support others in the achievement of their own goals;
- establish joint needs and outcomes and deliver against objectives; act in the best interests of the joint effort;
- balance risk and reward when considering innovative thinking and future possibilities;
- consider the possible future implications of current issues;
- address short-term imperatives without losing sight of long-term objectives; learn from experience and to embrace changes;
- constructive and flexible attitude to change; facilitate creativity in others by encouraging challenge and new ideas;
- accommodate needs of all stakeholders in order to deliver shared goals;
- demonstrate respect and consideration for all partners and consider the impact of actions upon others;
- aim to create mutual understanding but hold people accountable for unacceptable behaviour.

Annex D (informative)

Relationship maturity matrix

[Table D.1](#) outlines the structure for the collaborative business relationship management development maturity matrix. Organizations can determine their current position in their maturity matrix by identifying the most applicable key attributes for each stage of the collaborative business relationship process. This process will produce a maturity profile. Particular attention should then be given to areas which the organization has identified as weaknesses or potential development areas, which may be supported by information from external sources. The matrix should be kept up to date to reflect changing circumstances.

Table D.1 — Outline structure for collaborative business relationship management development maturity matrix

Clause	Maturity category			
	D	C	B	A
	Limited application	Low level of maturity	Medium level of maturity	High level of maturity
	An organization where collaborative working has not yet been used but is being considered for the future	An organization where collaborative working is understood but is operated only in isolated cases	An organization where collaborative working is understood but not fully integrated	An advanced organization where collaborative working is fully integrated into policy and operational practices
4. Context of the organization	The organization has recognized the potential value of collaborative working but not established it within their management systems	The organization has started to implement collaborative working in isolated operations but it is not embedded in their existing management systems	The organization has incorporated collaborative working as part of selected operations and is in the process of embedding it in their management systems	The organization has strategically recognized the potential value of collaborative working and has a fully defined business strategy which is embedded in their management systems
5. Leadership	Top management has no clear strategy to use collaborative working and is in the process of evaluating the benefits and requirements	The organization's top management has identified clear strategy and commitment to adopt collaborative working and is in the process of defining policies and processes for isolated opportunities	The organization has appointed an SER to oversee collaborative working for specific opportunities but as yet not integrated the requirements within its management systems	The organization's top management has a clear strategy and commitment to use collaborative working and has well defined policies, roles, responsibilities, authorities and governance structures in place through their appointed SER
6. Planning	The organization has no defined processes for implementing collaborative working	The organization has a reactive approach to implementing collaborative working but has no top level authority or structured processes	The organization is through its SER managing isolated collaborative working opportunities and is developing the integration of processes and management systems	The organization through its SER has fully defined processes for implementing collaborative working opportunities, including objectives, risks, prioritization of relationships

Table D.1 (continued)

Clause	Maturity category			
	D	C	B	A
	Limited application	Low level of maturity	Medium level of maturity	High level of maturity
	An organization where collaborative working has not yet been used but is being considered for the future	An organization where collaborative working is understood but is operated only in isolated cases	An organization where collaborative working is understood but not fully integrated	An advanced organization where collaborative working is fully integrated into policy and operational practices
7. Support	The organization has no defined processes to identify or develop resources with the appropriate competence and behaviour to support collaborative working including communications	The organization has no defined processes to identify or develop resources with the appropriate competence and behaviour to support collaborative working including communications	The organization's SER has developed processes to identify resources with the appropriate competence and behaviour to support isolated collaborative working opportunities but these are as yet not embedded in their management systems	The organization's SER has fully defined and documented processes to identify and develop resources with the appropriate competence and behaviour to support collaborative working including communications
8. Operational lifecycle				
8.2 Operational awareness	Collaborative working is recognized but not effectively deployed as yet	Collaborative working has been adopted on an exception basis, often customer driven	Collaborative working has been extensively adopted but not fully integrated across the organization	Collaborative working is fully endorsed at the executive level and integrated across the organization
8.3 Knowledge	Standard operating practices used	Standard operating practices modified as required	Processes for implementing collaborative working programmes developed on an individual basis	Fully established processes for developing and implementing collaborative working programmes
8.4 Internal assessment	Operations are mainly functional	Collaborative teams reactive to market requirements	Collaborative teams established and developed as required	Fully integrated processes for maintaining focus on internal collaborative capability
8.5 Partner selection	Selection processes do not currently recognize the impacts of collaborative working	No specific operational processes to identify and select potential collaborative partners	Established operational processes to identify and select potential partners	Established operational processes to identify and select potential partners
8.6 Working together	External interfaces are controlled purely through formal contracts	No established collaborative operating and contracting models	Operating and contracting models for specific collaborative programmes	Establish operating and contracting models for collaborative programmes
8.7 Value creation	No focus on value creation other than internal continual improvement programmes	Limited specific approaches to promote value creation and innovation	Programme-specific approaches to promote value creation and innovation	Fully integrated processes to promote value creation and innovation
8.8 Staying together	Internal operational management processes	Fully established internal operational management processes	Fully established operational management processes	Fully established operational management processes

Table D.1 (continued)

Clause	Maturity category			
	D	C	B	A
	Limited application	Low level of maturity	Medium level of maturity	High level of maturity
	An organization where collaborative working has not yet been used but is being considered for the future	An organization where collaborative working is understood but is operated only in isolated cases	An organization where collaborative working is understood but not fully integrated	An advanced organization where collaborative working is fully integrated into policy and operational practices
8.9 Exit strategy activation	Internal exit strategy process	Internal exit strategy process	Established joint exit strategy process	Fully established exit strategy process
9. Performance evaluation	The organization has no performance monitoring and measurement and evaluation of collaborative working in its internal audit processes and management reviews	The organization has recognized the need to consider aspects of collaborative working performance monitoring and measurement in its internal audit processes and management reviews	The organization's SER has limited performance monitoring and measurement and evaluation of collaborative working integrated into its internal audit processes and management reviews	The organization has performance monitoring and measurement and evaluation of collaborative working integrated into its internal audit processes and management reviews
10. Improvement	The organization has an identified approach to continuous improvement but this does not include aspects of collaborative working	The organization has an ad hoc and reactive approach to collaborative working which does not capture continual improvement practices	The organization's SER has established clear focus on continual improvement but this is not integrated into their management systems	The organization has a fully established approach to continuous improvement including its approach to collaborative working

Annex E **(informative)**

Exit strategy

E.1 Overview

The purpose of this annex is to highlight the evolution of an exit strategy through the lifecycle of developing and managing a collaborative relationship.

The theme of an exit strategy runs throughout the lifecycle of a relationship from establishing a policy to consider adoption of collaborative working through engagement and controlled disengagement. It should not be confused with contractual termination requirements. It should also not be viewed as presuming the potential failure of a relationship, though this is a consideration, whether activated by completion of activities, performance issues or external influences. Some collaborations are concluded because they have successfully achieved their joint objectives.

The initial aim of an exit strategy is to ensure that the implications of fostering an integrated collaborative business relationship are assessed and fully evaluated in terms of performance, risk and business continuity. It will also clarify the rules of disengagement which will underpin more effective engagement through the life of the relationship, by ensuring that knowledge sharing is not constrained by lack of clarity. By clearly defining the rules of disengagement, organizations can help to engender a culture of openness and honesty, which recognizes changing market dynamics over time. At the end of any specific collaborative arrangement it ensures disengagement is mutually respectful and considers potential future re-engagement where appropriate.

E.2 Operational awareness

In assessing the potential benefits of strategically adopting collaborative business models, organizations should consider the high level exit strategy implications arising from the transfer or loss of resources, knowledge transfer, customer support and business continuity.

E.3 Knowledge

In developing a particular business case around specific relationships, the implications associated with having to exit the relationship early for whatever reason should be assessed. This will identify potential risks, which should be taken into account and issues, which will need to be addressed during the engagement process. It will also identify those actions or deliverables that will be required on completion of the activity and the implications for potential investment by partners. It may also prompt consideration of issues related to the particular business environment, which may introduce external influences on the relationship, such as geographic, cultural or political impacts.

E.4 Internal assessment

In assessing the internal implications of a potential collaborative business relationship, consideration should be given to the exit strategy in relation to issues such as resource reallocation, loss of skills, staff transfers, knowledge management and future support of customers.

E.5 Partner selection

During the evaluation, negotiation and selection process, the scope of the relationship should be defined, as well as the implications of the exit strategy for the partners. Setting the boundaries of the activity and addressing the specific concerns of the parties provides a robust basis for engagement in the relationship.

E.6 Working together

In the process of establishing the joint governance structure and, where appropriate, the commercial arrangement, the creation of a joint exit strategy will bring together considerations from all parties. These considerations, where applicable, may be embraced within any contracting agreement ensuring that rules of engagement, performance measures and responsibilities are clearly defined. This should also assist in ensuring clarity for those involved in the delivery process.

E.7 Value creation

A key aspect of collaborative working is a joint focus on identifying and delivering added value and innovation. This may result in the creation of new knowledge, product enhancements and performance improvements. To ensure that lack of clarity does not suppress ideas and involvement, consideration should be given, in the context of an exit strategy, to identify how the ownership and benefits of these innovations will be handled on completion of the primary activities and objectives.

E.8 Staying together

The exit strategy should be reviewed jointly at appropriate intervals to ensure provisions are in place to take into account any internal or external influences that may trigger its activation. At the same time, the exit strategy and disengagement process should be updated where necessary to take account of any operational changes that may have occurred. This may include extensions of the scope and duration of the arrangement. The joint management team need to regularly evaluate changes in the organization, business environment, personnel, performance and market to assess their impact on exiting the business relationship.

E.9 Exit strategy activation

This stage of the lifecycle model involves the joint management team activating the exit strategy, ensuring that the responsibilities and considerations of all parties involved have been met and that the relationship is maintained beyond the closing of operations.

The joint management team should assess current operations and potential developments in key areas and whether these should lead to the controlled disengagement of the business relationship. The joint management team should consider how to maintain business continuity in the event of premature exit being necessary and where appropriate, the effective and efficient transition to another partner. The parties should consider future opportunities where they might over time create, dissolve and reconfigure the relationship to their mutual benefit.

The corporate RMPs should be updated to reflect the key issues associated with the exit strategy and maintained as appropriate.

Annex F (informative)

Description of business relationship types

[Table F.1](#) provides a short description of different business relationship types referenced in this document. It is beneficial to recognize the different types of business relationships as this document is applied differently depending on the business relationship type.

NOTE The descriptions are considered to be still evolving. Efforts have been made for the short definition to include the most common usage of the terms in business and academia.

Table F.1 — Different types of business relationships

Business relationship types	Description
Collaborative network	An over-arching term describing a multi-party collaboration which may or may not have a focal company. Organizations in collaborative networks collaborate towards common or compatible goals or vision. Collaborative networks use multi-lateral, possibly open-ended agreements which can be based on template agreements, which ensure entities' preparedness for joint activities.
Consortium	<p>Associated entities (organizations such as companies, financiers, research institutes and other stakeholders) that are directly co-operating in a project organization or an organization with multiple ongoing projects, in which joint activities relating to engagement and management are formally defined in a contract (i.e. goals, tasks, responsibilities and benefits from viewpoint of all participants).</p> <p>A consortium is an organization with fixed timeline project(s) which are based on project agreement(s) and joint project plan(s). There are different levels of knowledge sharing and joint working within the consortia (described in project plan). Large consortia may also have joint centralized governance and decision making models such as a general assembly.</p>
Extended enterprise	<p>Associated entities (customers, employees, suppliers, distributors) that directly and formally or informally, collaborate in the design, development, production and delivery of a product or service to the end user.</p> <p>In relation to the network-oriented relationships, management of extended enterprises is based on a focal company view.</p>
Alliance	Direct and formal relationships between two or more entities that share assets, expertise, risks, rewards and control to create greater value for the customers and for their own organizations than could be efficiently accomplished independently. Alliances are characterized by open ended or incomplete contracts.
Joint venture	<p>A legal entity created by two or more autonomous entities, which invest resources such time, money, people and effort to collaborate for a formally agreed purpose. The joint venture executives make their own operative decisions whereas the creating entities need to jointly agree on decisions regarding the joint venture.</p> <p>The joint venture benefit and cost sharing between parties is formally agreed. In addition to private companies, government agencies might be included to parties. National laws and regulations have different definitions for joint-venture. Joint ventures have different ownership structures; such as equity or non-equity and franchising models. Non-equity joint ventures (known as cooperative agreements) are typically used to provide access for the participants into foreign markets through technical service arrangements, franchise and brand use agreements, management contracts or rental agreements, or one-time contracts. Equity type joint ventures are more formal as the focus is on monetary investments, the arrangements involve two sides (while there can be more than two parties): ones that provide the capital and ones that receive it.</p>

Table F.1 (continued)

Business relationship types	Description
Cluster	<p>A geographic concentration of organizations (firms, customers, suppliers, distributors) and institutions (regulators, financing institutions) in a particular field which form direct and indirect and formal or informal open-ended connections.</p> <p>Clusters focus on geographic boundaries, especially to the expected synergies of the close geographic proximity. Given this, clusters are a particularly important concept in national and regional policy making and analysis. Typically clusters are used as a holistic concept: they are rarely broken down to a participant-organization perspective of a cluster member.</p>
Partnering programme	<p>A direct and formal agreement between one organization and multiple partner organizations to co-operate to accomplish clear business objectives with shared risks and profits. Partnering programmes are managed from a focal company perspective. The partnering programme contract defines the objectives of the programme, responsibilities and agreed areas of co-operation, resource usage and sharing as well as timeframes for activities.</p> <p>For example, partnering programmes can be used for delivery of products through value-added resellers, or developing products through innovation programmes.</p>
Business ecosystem	<p>Cross-industrial, co-evolving network of individuals (consumers, stakeholders), organizations (core organizations, customers, suppliers, distributors, associated entities) and institutions (e.g. regulators, media and financing institutions) which form direct or indirect and formal or informal relationships, concurrently competing and collaborating on design, development, production and delivery of products. The survival and prosperity of business ecosystem members is tied to a set of shared resources governed by formal or informal practices, based on the shared values of the members. Members providing the shared resources (such as platforms) tend to exert a greater influence on the ecosystem compared to others.</p>
Outsourcing	<p>A contractual arrangement between two or more organizations for the provision of specific services for a fixed period of time, where one organization is the client for those services and the other organization is the provider (see ISO 37500).</p> <p>Outsourcing includes defining an outsourcing strategy as part of sourcing, selecting a provider or providers, transitioning and continuation of service by service provider to deliver value. The delivery is managed through governance, while value creation is improved through innovation activities and transformation (i.e. extensive modification of) activities. Collaboration is often tied to the developing and maintaining joint objectives through a strong relationship between outsourcer and service provider (see ISO 37500).</p>

Annex G (informative)

Application guidance

G.1 General

In developing this document, the detailed specific requirements for establishing, developing and managing third party relationships using the eight-stage lifecycle model have been addressed within [Clause 8](#). In a collaborative relationship, effective operation relies on specific mutually agreed joint interfaces, processes, roles and responsibilities, which can require specific variations to in-house processes. In reading this document, it can appear that certain requirements are duplicated. Efforts have been made to distinguish between an organization's processes and those requirements that are specific to the development and implementation a specific joint relationship.

This document provides a framework that can be integrated into an organization's established operations, activities, processes and procedures, to optimize the benefits of collaboration between organizations. The adoption of this collaborative approach supports the obligations and responsibilities agreed between the parties and application can be adapted to the size and complexity of the organizations involved.

It is recognized that organizations may also be implementing other standards, so a consistent approach is necessary to avoid possible conflict.

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

G.2 Common themes of relationship management

There are a number of common themes throughout the framework which are fundamental to the success of any collaborative venture. These are repeated throughout the lifecycle as their profile changes at various stages in the relationship development from internal considerations to a joint focus. These include:

- alignment with the visions and values of the organization, business objectives and desired outcomes, both internal and those agreed with external partners;
- agreement, governance and alignment of common operations and activities;
- the creation of value and delivery of mutual benefits;
- effective integration of appropriate risk management, competencies, knowledge management and exit strategy;
- adoption and development of collaborative competencies and behaviour.

G.3 Planning

Collaborative working may provide an effective basis for reducing risk but increasing interdependence may introduce additional risk that had not previously been identified.

The defined processes for risk management should include particular reference to the impacts of collaborative working. Most organizations with mature processes are likely to have a defined approach

to risk management. Therefore, the focus for adoption of collaborative working would be to develop and enhance the process to facilitate a joint approach to be taken to the risk management activities.

G.4 Competence and behaviour

Openness and trust are key facets of any effective collaboration and thus policies, processes and governance should be continuously reinforced to ensure optimum performance and a sustainable relationship. Operating in a collaborative environment and integrating with external parties requires mutually agreed collaborative competencies and skills, in addition to technical competence, in order to build and maintain an environment that will promote the appropriate behaviour that will underpin the performance. [Annex C](#) provides an initial guide to the competencies and behaviour that support collaborative working.

G.5 Lifecycle framework

G.5.1 Overview

The framework addresses a number of themes that cascade from the high level management system and will vary within the context and maturity of a specific relationships lifecycle. These evolving themes impact the behaviour and organizational culture of collaborating organizations to ensure they are effective, optimized and deliver enhanced benefit to the stakeholders through collaborative approaches. [Figure G.1](#) provides an overview of the principal components of successful collaborative business relationships.



Figure G.1 — Overview of the principal components of successful collaborative business relationships

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

- operational awareness - establishing the organization’s propensity for collaboration;
- knowledge - evaluating specific collaborative benefits and business case;
- internal assessment - assessing the organization’s capability to collaborate;
- partner selection - establishing an appropriate selection process;
- working together - establishing a joint governance model for collaboration;
- value creation - establishing a joint process for continual improvement;
- staying together - managing, monitoring and measuring the relationship over time;
- exit strategy activation - establishing a joint approach to disengagement and/or future.

G.5.2 Operational awareness (Stage 1)

The initial stage of the collaborative business relationship lifecycle focuses on the executives within the initiating organization and the establishment of policies for collaborative approaches when appropriate. This ensures that the rationale for adoption is clearly defined and consistent with the operation's overall business objectives while raising internal awareness to the benefits collaborative working can offer. This may require additional investment for the development and implementation, including allocation and focusing of available resources to provide maximum benefit and outcomes, or where additional external partners may be required in order to achieve targeted outcomes.

The organization may also recognize that in some cases, the adoption of collaborative approaches might not be necessary to achieve business objectives or it may not be appropriate. Organizations may consider whether it is appropriate to proceed with the investment of resources.

To ensure that collaborative business relationships are successful they should be clearly aligned to and consistent with the organization's business objectives.

G.5.3 Knowledge (Stage 2)

G.5.3.1 General

During this second stage, the organization establishes a body of knowledge on which to develop specific strategies and approaches to address any identified collaborative opportunities. The aim of this stage is to fully explore the opportunities for collaboration within the context of a business case where investment and risk can be balanced against beneficial outcomes. This business case evaluation may include issues which could influence the overall strategy related to competencies, training and development, knowledge management, risk management, value analysis and initial exit strategy conditions. At this point, organizations might decide that a collaborative approach is not appropriate for the opportunity being considered.

G.5.3.2 Competence and behaviour

It is expected that each organization will have its own established competency frameworks. However, in many cases these do not embrace the skills and experience for working in a collaborative environment. Working in an integrated collaborative environment with external parties requires additional competencies that might not be part of existing experience. It is unlikely that everyone will have these skills and thus individual or group development might be necessary. See [Annex C](#) for examples.

G.5.3.3 Capture, creation and sharing of knowledge

Effective collaborative relationships help organizations, both internally and externally, to create environments that encourage the sharing of knowledge and the creation of new thinking for mutual benefit.

G.5.3.4 Risk assessment

Risk management in respect to relationship management should be integrated into the overall risk management processes. The advantage that can be derived from a collaborative relationship is that many risks occur at the interfaces between organizations and once subjected to a joint assessment; the risk profile can often be optimized. The risk management processes should have appropriate resources allocated with relevant skills and experience.

G.5.3.5 Internal review

A benefit of an open collaborative approach is that the partners can share their views of risk and jointly assess which areas should be addressed.

The selection of collaborative partners might be influenced by business continuity and sustainability considerations, because an integrated relationship could transfer roles and responsibilities to third parties and impact overall compliance with values and standards.

G.5.3.6 Risk ownership and mitigation

In complex ventures, risks are often found at the interfaces between various operations, whether these are internal processes or across boundaries with external organizations. The greater the number of interdependent operations involved, the more difficult it tends to be to manage the risk profile. Risk profiling is a multi-layered activity and should be analysed from every practical viewpoint by the organization before taking action. In order to establish an effective risk strategy, the identification and evaluation should be completed prior to establishing an agreement.

G.5.3.7 Evaluations of the business case

The drivers for adopting collaboration will vary by organization and opportunity but should be linked to optimizing performance to deliver business objectives. Implementing collaborative programmes can impact operational practices and challenge individuals within the organization. It is therefore important to have clear focus on the rationale and benefits. The output of this strategy development stage should be incorporated into the specific business case and, where appropriate, the RMP should be adjusted to incorporate the specific issues relating to each opportunity.

The purpose is to provide a structured framework for the strategic development process. Areas which should be considered where appropriate include market propositions, sectors of the business activity, customer types (e.g. public or private) and geographic segments. Each specific business case should address the following items, as appropriate:

G.5.3.8 Incorporation into the RMP

Where no specific RMP has been established, this should be completed. In either case, the required approvals to proceed should be obtained and the contents communicated as appropriate across the organization.

G.5.4 Internal assessment (Stage 3)

G.5.4.1 General

This third stage is focused on the organization evaluating its readiness to support a collaborative approach. In developing any collaborative relationship, it is important to understand internal capabilities before defining the expectation of any external party. Acknowledging internal strengths and weaknesses ensures that the collaboration is not established with a bias towards the performance of the external partner and recognizes the mutuality of joint performance in delivering objectives.

G.5.4.2 Assessment of strengths and weaknesses

Assessment should start at the SER level to ensure that support can be effectively cascaded through the organization. In order to build on the strengths of the organization, the level of knowledge and skills that exist within the organization need to be identified and any shortfalls need to be addressed by suitable staff development or recruitment.

Assessing whether an organization is ready for collaboration is crucial to ensuring success by determining complementary partner capabilities and internal development requirements. [Annex C](#) can be used as a guide to the issues to be considered by the organization.

Operating within a collaborative environment might not be within the experience of staff. It is important to understand the required competencies and skills in the context of the organization and its objectives and ensure that development programmes are available.

G.5.4.3 Assessment of collaborative profile

The collaborative profile can be defined as addressing the attributes, ability and attitude of the organization. This enables an organization to assess its internal development needs and present its capabilities to prospective collaborative partners.

The reputation of an organization can be significantly impacted by its approach to its supply chain and can be an influence when existing suppliers are to be considered as part of the proposed collaboration.

G.5.4.4 Appointment of collaborative leadership

Effective leadership is important to every venture. In the context of managing a collaborative relationship, the role of the collaborative leader(s) is vital. This is particularly crucial when key individuals move on or where circumstances may cause approaches to change as such competencies and skills should be periodically reassessed. See [Annex C](#) for examples of a competency profile.

G.5.5 Partner selection (Stage 4)

G.5.5.1 General

This stage addresses the initiating organization's processes for identifying and selecting appropriate collaborative partners or developing, more traditional, relationships. It can apply to external organizations or to internal groups within an organization which want to work more effectively together, i.e. not seeking external collaborative partners. It not only assesses the performance aspects of each collaborative partner, but also evaluates the way in which two or more organizations can work together with a more integrated approach for mutual benefit including meeting the objectives of each party. The organization may encourage the potential partner organizations to adopt the principles of collaborative working within their own organizations, particularly where the requirements of the framework have been identified through market engagement process. It is important to recognize during this process the need to align with and satisfy national and/or international regulations and legislation.

G.5.5.2 Development of negotiation strategy for collaboration

The nature and style of negotiation between organizations can have a lasting impact on their ability to build an open and trusting relationship. The approach to negotiation should take into account the longer term stability of the relationships and not focus solely on short-term opportunism.

G.5.6 Working together (Stage 5)

G.5.6.1 General

From this stage onwards the aim is to establish a governance structure that with the selected or potential partner(s), provides a transparent management approach which will deliver the desired outcomes and foster an environment that will sustain the collaboration and drive the appropriate culture and behaviour. The success of a collaborative programme is built on the ability of two or more organizations to develop a robust joint approach where each party accepts the collective responsibility for managing an integrated delivery process and harnesses the capabilities of the partners to achieve mutually agreed objectives. A crucial aspect of this stage is the clear commitment from the leadership on all sides that will underpin the behaviour of their own people and their individual organizations in the way the partners will work together, while ensuring that any contractual arrangements are compatible with the desired approach and joint objectives. It is an integral part of the relationship that each accepts the need to support the other's objectives.

G.5.6.2 Joint communication strategy

This should include the messages for the key stakeholders (including all collaborative parties), the vision, the objectives behind the collaboration, performance, progress and how concerns will be addressed.

G.5.6.3 Joint knowledge management process

Effective sharing of information and transparency will support appropriate collaborative behaviour (including approved access to intellectual property rights, proprietary data) and the process of sharing knowledge may be used as a monitor of collaborative performance.

G.5.6.4 Establish joint risk management process

It is likely that the collaborating organizations will have their own approaches to risk management; it should therefore be established and agreed what approach will be used within the relationship.

It is important to have defined responsibility for managing the execution of the risk management process within the relationship. This person can come from either organization. The risk manager should manage the agreed joint risk management process. The term “joint” implies that each partner makes a contribution to all of the risk management activities.

The joint risk register is a key factor in integrating one or more organizations. It should capture both joint risks associated with meeting the objectives of the collaboration and those of the individual organizations. An effective collaboration is one where the parties share responsibility as far as is practical in supporting the individual risk of the partners.

The process in mitigating risks and enabling opportunities may be used as a monitor of collaborative performance.

G.5.6.5 Agreements or contracting arrangements

A joint RMP may be established and annexed to contractual arrangements to formalize the overall management of the collaborative relationship and encompass the principles of collaborative behaviour. This approach may also be used to establish a common understanding across multiple contracts.

G.5.7 Value creation (Stage 6)

This stage addresses the need to establish processes for creating additional value through collaboration and enhanced alignment between organizations. The importance of continual improvement and innovation is established within all collaborative relationships. This is achieved by building an environment where those involved are encouraged to contribute new ideas enabling the organizations to harness the full potential of their relationship. At the same time these activities underpin a focus for working together for mutual benefit and providing one of the key indicators that measures the strength, maturity and value of the relationship.

G.5.8 Staying together (Stage 7)

G.5.8.1 General

This stage is focused on ensuring that the sustainability and value of the relationship is effectively maintained through the joint management of activities and performance, with critical attention to a culture of building trust through managing the behaviour of the participants. Joint management is achieved through mutually agreed measures to monitor the relationship, and appropriate action is taken to maximize effectiveness, including performance measurement, risk management, operational changes, continual improvement and, where necessary, effective use of issue resolution processes. The progress in resolving issues may be used as a monitor of collaborative performance. The progress in resolving issues can be used as a monitor of collaborative performance.

G.5.8.2 Continual value creation

The joint management team should ensure that as the relationship matures, it regularly challenges the existing state of affairs to generate fresh ideas and revitalize the relationship.

G.5.9 Exit strategy activation (Stage 8)

The application of joint exit strategy has helped to define the parameters of engagement and the performance measures required to meet the objectives of the parties in the collaboration. During the life of the relationship, it has ensured that knowledge sharing is not constrained by lack of clarity. By clearly defining the rules of disengagement, organizations have helped to engender a culture of openness and honesty, which recognizes changing market dynamics over time. At the end of any specific collaborative arrangement, the joint exit strategy ensures disengagement is mutually respectful and considers potential future development re-engagement where appropriate.

The joint exit strategy is a living document that is maintained throughout the collaboration. The last step in the lifecycle of a collaborative relationship is the activation of the joint exit strategy.

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- [2] ISO 37500, *Guidance on outsourcing*
- [3] ISO Guide 73:2009, *Risk management — Vocabulary*

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