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## Anexo 1 - Instrumento de pesquisa *survey*

***Normalização internacional e aprendizagem organizacional em sistemas adaptativos complexos: caso da Norma de Responsabilidade Social ISO 26000***

Esta pesquisa *survey* é parte integrante de uma dissertação de mestrado do Programa de Pós-graduação em Metrologia para Qualidade e Inovação (PósMQI) da Pontifícia Universidade Católica do Rio de Janeiro. Seu objetivo geral é analisar a dinâmica de aprendizagem organizacional relativa ao processo de elaboração da Norma Internacional de Responsabilidade Social – ISO 26000, segundo a perspectiva da complexidade social. Busca também identificar os fatores que facilitaram a aprendizagem organizacional no âmbito do ISO/TMB/WG SR.

Define-se, para fins desta pesquisa, **aprendizagem organizacional** como o modo como os indivíduos, os grupos e as organizações adquirem novos conhecimentos, desenvolvem competências e mudam o comportamento. Três dimensões-chave refletem a complexidade social deste processo, como base para captar a dinâmica de aprendizagem ocorrida: (i) engajamento em poder e política; (ii) multiplicidade de níveis de aprendizagem; e (iii) interconectividade entre forças internas e externas.

Este instrumento de pesquisa é organizado em **quatro partes**. As **três primeiras** referem-se **diretamente** às **três dimensões** acima e a **quarta focaliza os fatores facilitadores** da aprendizagem organizacional em sistemas complexos adaptativos.

**Parte I - Engajamento em poder e política:** engajamento em política reflete as dinâmicas que são criadas durante as negociações entre os agentes com interesses diferentes. Engajamento em poder é o meio pelo qual as tensões e conflitos de interesses são resolvidos, sendo também uma fonte para reforçar os valores, crenças e escolhas dos agentes durante o processo de interação.

[illegible]

| Construto                                                                                                                    | Questão                                                                                                                                                                                                                                                                                                                                             | Concordo plenamente |   |   |   |   |   |   | Discordo totalmente |   |   | Sem Opinião |
|------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---|---|---|---|---|---|---------------------|---|---|-------------|
|                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                     | 10                  | 9 | 8 | 7 | 6 | 5 | 4 | 3                   | 2 | 1 | S.O.        |
| 1.1 Representatividade e legitimidade das partes interessadas (cont.)                                                        | 1.1.5. No processo <i>multi-stakeholder</i> adotado para o desenvolvimento da ISO 26000 houve suficiente grau de legitimidade dos grupos de <i>stakeholders</i> envolvidos.                                                                                                                                                                         |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.1.6. O Grupo Consultivo do Chair (CAG) teve em sua composição dois representantes de cada um dos grupos de <i>stakeholders</i> , os quais foram selecionados segundo critérios estabelecidos pelos próprios grupos. Esse mecanismo foi efetivo no sentido de cada grupo de <i>stakeholder</i> estivesse adequadamente representado no CAG.        |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.1.7. As organizações internacionais ( <i>D-liaison</i> ) não tinham direito a voto em relação aos <i>drafts</i> nas diferentes fases de elaboração da ISO 26000. Esse fato não impediu que tais organizações tivessem suas opiniões ouvidas e consideradas durante o processo.                                                                    |                     |   |   |   |   |   |   |                     |   |   |             |
| 1.2 Equacionamento de conflitos e tensões entre prioridades e interesses dos diversos atores e grupos de <i>stakeholders</i> | 1.2.1 A participação de categorias de <i>stakeholders</i> em número maior do que o usual em outros comitês da ISO fez emergir tensões e conflitos importantes para que o resultado final da norma contemplasse um maior número de perspectivas pertinentes.                                                                                         |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.2.2 No CAG, o equilíbrio quanto à representação dos diferentes grupos de <i>stakeholders</i> foi importante para o equacionamento de questões estratégicas e críticas no âmbito do WG SR.                                                                                                                                                         |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.2.3 No CAG, o equilíbrio quanto à representação de países desenvolvidos e em desenvolvimento foi importante para o equacionamento de questões estratégicas e críticas no âmbito do WG SR.                                                                                                                                                         |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.2.4 O CAG contribuiu para o equacionamento de questões polêmicas ou conflitantes em relação a prioridades e interesses dos diversos atores e grupos de <i>stakeholders</i> .                                                                                                                                                                      |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.2.5 O <i>Liaison Task Force</i> (LTF) foi criado face à necessidade de haver uma coordenação entre os trabalhos dos três subgrupos voltados para a elaboração dos capítulos da ISO 26000 (TGs 4, 5, 6). A criação do LTF foi importante para o equacionamento de questões polêmicas ou conflitantes entre os especialistas que atuaram nos 3 TGs. |                     |   |   |   |   |   |   |                     |   |   |             |
| 1.3 Diferentes perspectivas e motivações subjacentes à aprendizagem e criação de conhecimento                                | 1.3.1 Durante o desenvolvimento da ISO 26000, houve um contínuo e, pode-se dizer, bem sucedido esforço de manter o equilíbrio no que se refere à participação de homens e mulheres nas discussões e na geração de conhecimento compartilhado.                                                                                                       |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.3.2 Durante o desenvolvimento da ISO 26000, houve um contínuo e, pode-se dizer, bem sucedido, esforço de manter o equilíbrio no que se refere à participação de países desenvolvidos e em desenvolvimento nas discussões e na geração de conhecimento compartilhado.                                                                              |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                                              | 1.3.3 Apesar de alguns países não terem enviado especialistas de todas as categorias de <i>stakeholders</i> para as plenárias do WG SR, ainda assim esses países puderam expressar suas opiniões de modo satisfatório nessas ocasiões.                                                                                                              |                     |   |   |   |   |   |   |                     |   |   |             |

**Notas:**

(1) indique com “x” seu grau de concordância na escala de 10 a 1, na qual: **10 = concordo plenamente**; e **1 = discordo totalmente**.

(2) Caso não tenha opinião sobre determinada questão, indique com “x” na coluna “S.O.” à direita

| Construto                                                                                                | Questão                                                                                                                                                                                                                                                                                                                                                                  | Concordo plenamente |   |   |   |   |   |   | Discordo totalmente |   |   | Sem Opinião |
|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---|---|---|---|---|---|---------------------|---|---|-------------|
|                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                          | 10                  | 9 | 8 | 7 | 6 | 5 | 4 | 3                   | 2 | 1 | S.O.        |
| 1.3<br>Diferentes perspectivas e motivações subjacentes à aprendizagem e criação de conhecimento (Cont.) | 1.3.4 A participação das organizações internacionais ( <i>D-liaison</i> ) nos trabalhos do WG SR propiciou que perspectivas de diferentes grupos internacionais fossem consideradas durante a elaboração da ISO 26000. Esse foi um importante mecanismo de inclusão para a efetiva aprendizagem no WG SR.                                                                |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                          | 1.3.5 A <i>Integrated Drafting Task Force</i> (IDTF) foi criada em estágio mais avançado da elaboração da Norma ISO 26000, em substituição ao LTF e aos TGs 4, 5, 6, com o objetivo de revisar o texto da ISO 26000 de forma integrada. A criação do IDTF foi fundamental para a consolidação do conhecimento gerado nos 3 TGs, harmonizando o texto final da ISO 26000. |                     |   |   |   |   |   |   |                     |   |   |             |
| 1.4<br>Liderança do processo                                                                             | 1.4.1 A liderança compartilhada ( <i>twinning</i> ) no WG SR contribuiu para o equilíbrio de forças entre os interesses de países desenvolvidos e em desenvolvimento.                                                                                                                                                                                                    |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                          | 1.4.2 A liderança compartilhada no nível dos subgrupos do WG SR contribuiu para o equilíbrio de forças entre os interesses de países desenvolvidos e em desenvolvimento.                                                                                                                                                                                                 |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                          | 1.4.3 Durante o desenvolvimento da ISO 26000, houve suficiente grau de transparência nas ações das lideranças do WG SR.                                                                                                                                                                                                                                                  |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                          | 1.4.4 Durante o desenvolvimento da ISO 26000, houve suficiente grau de transparência nas ações das lideranças dos subgrupos do WG SR.                                                                                                                                                                                                                                    |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                          | 1.4.5 O equilíbrio de gênero nas lideranças do WG SR e de seus subgrupos foi relevante para o processo de elaboração da ISO 26000.                                                                                                                                                                                                                                       |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                                                          | 1.4.6 A ISO 26000 foi desenvolvida em um Grupo de Trabalho sob a responsabilidade direta do <i>Technical Management Board</i> (ISO/TMB), órgão máximo de governança técnica da ISO, o que acarretou maior interação entre as lideranças do WG SR e a alta governança da ISO. Essa interação contribuiu significativamente para o sucesso dos trabalhos do WG SR.         |                     |   |   |   |   |   |   |                     |   |   |             |

**Notas:**

(1) indique com “x” seu grau de concordância na escala de 10 a 1, na qual: **10 = concordo plenamente**; e **1 = discordo totalmente**.

(2) Caso não tenha opinião sobre determinada questão, indique com “x” na coluna “S.O.” à direita

**Parte II - Multiplicidade de níveis de aprendizagem:** refere-se aos vários níveis de aprendizagem, desde o individual, passando pela aprendizagem dos diversos grupos que participaram do processo de desenvolvimento da Norma ISO 26000, até o nível do WG SR como um todo. Considera forças como identidade, linguagem, crenças, valores, poder e política.

| Construto                                             | Questão                                                                                                                                                                                                                                                                                       | Concordo plenamente |   |   |   |   | Discordo totalmente |   |   |   |   | Sem Opinião |
|-------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---|---|---|---|---------------------|---|---|---|---|-------------|
|                                                       |                                                                                                                                                                                                                                                                                               | 10                  | 9 | 8 | 7 | 6 | 5                   | 4 | 3 | 2 | 1 | S.O.        |
| 2.1<br>Aprendizagem individual                        | 2.1.1 O esforço para a obtenção de consenso no âmbito do WG SR promoveu um aprendizado no nível dos indivíduos.                                                                                                                                                                               |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.1.2 O esforço para a obtenção de consenso no âmbito dos Comitês Espelho promoveu um aprendizado no nível dos indivíduos.                                                                                                                                                                    |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.1.3 A idéia de se ter um WG ao invés de um Comitê Técnico (TC) no processo da ISO 26000 permitiu que especialistas individuais expressassem suas próprias opiniões com liberdade no WG SR, sem obrigação de ter que defender posições do consenso nacional.                                 |                     |   |   |   |   |                     |   |   |   |   |             |
| 2.2<br>Aprendizagem coletiva                          | 2.2.1 O processo de elaboração da ISO 26000 pelo WG SR envolveu negociações complexas e um rico aprendizado devido à participação de um maior número de pessoas e grupos com diferentes perspectivas e visões.                                                                                |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.2.2 O esforço para a obtenção de consenso no âmbito do WG SR promoveu uma ativa colaboração e aprendizagem no nível do próprio WG SR.                                                                                                                                                       |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.2.3 Os Comitês Espelho Nacionais foram concebidos para proporcionar perspectivas nacionais como inputs para os especialistas que atuaram no WG SR. Pode-se considerar que esse mecanismo de construção de consenso foi eficaz.                                                              |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.2.4 O esforço para a obtenção de consenso no âmbito de cada Comitê Espelho Nacional promoveu uma ativa colaboração e aprendizagem no nível do próprio Comitê Espelho.                                                                                                                       |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.2.5 Os resultados das discussões nos Comitês Espelho Nacionais, envolvendo as diferentes categorias de <i>stakeholders</i> , facilitaram as negociações para a construção de consenso no âmbito do WG SR.                                                                                   |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.2.6. A participação dos observadores nos Comitês Espelho contribuiu para o processo de aprendizagem coletiva no âmbito de cada Comitê.                                                                                                                                                      |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.2.7. A participação de observadores no WG SR influiu fortemente no resultado final da ISO 26000.                                                                                                                                                                                            |                     |   |   |   |   |                     |   |   |   |   |             |
| 2.3<br>Aprendizagem nos diversos estágios do processo | 2.3.1 O processo de desenvolvimento da ISO 26000 envolvendo múltiplos níveis de discussão (plenárias; subgrupos para elaboração da norma, comitês espelho nacionais, grupos de tradução) foi fundamental para a construção de consenso nos diversos estágios de desenvolvimento da ISO 26000. |                     |   |   |   |   |                     |   |   |   |   |             |
|                                                       | 2.3.2 No estágio NWIP ( <i>New Work Item Proposal</i> ), definiu-se o escopo, os temas e a abrangência da Norma, bem como os grupos que deveriam participar do seu processo de elaboração. Essas definições foram fundamentais para orientar os trabalhos de elaboração da ISO 26000.         |                     |   |   |   |   |                     |   |   |   |   |             |

**Notas:**

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(2) Caso não tenha opinião sobre determinada questão, indique com “x” na coluna “S.O.” à direita

| Construto                                                                                                               | Questão                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Concordo plenamente |   |   |   |   |   |   |   |   |   | Discordo totalmente | Sem Opinião |
|-------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---|---|---|---|---|---|---|---|---|---------------------|-------------|
|                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 10                  | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | S.O.                |             |
| 2.3<br>Aprendizagem nos diversos estágios do processo (Cont.)                                                           | 2.3.3 No estágio de WD ( <i>Working Draft</i> ), observou-se uma curva ascendente de comentários emitidos, cujo ápice foi atingido em novembro de 2007 (7250 comentários), com posterior redução nas fases de CD ( <i>Committee Draft</i> ), DIS ( <i>Draft International Standard</i> ), até a aprovação final da Norma. Esses dados indicam que os conflitos e tensões de prioridades e interesses entre os diferentes grupos foram gradativamente equacionados até a obtenção de consenso final. |                     |   |   |   |   |   |   |   |   |   |                     |             |
|                                                                                                                         | 2.3.4 No processo da ISO 26000, a realização do estágio de CD foi importante para verificar em que extensão o consenso obtido entre os especialistas no WG SR estaria convergente com as posições nacionais.                                                                                                                                                                                                                                                                                        |                     |   |   |   |   |   |   |   |   |   |                     |             |
|                                                                                                                         | 2.3.5 Nos estágios que envolveram votação (CD e DIS), as <i>D-liaisons</i> tinham o direito de submeter comentários em relação ao documento. Isto foi relevante para que o texto final da norma refletisse os interesses e necessidades dos diferentes segmentos da sociedade.                                                                                                                                                                                                                      |                     |   |   |   |   |   |   |   |   |   |                     |             |
| 2.4<br>Idioma oficial e existência de grupos lingüísticos como apoio à transparência e aprendizagem nos diversos níveis | 2.4.1 A existência de diversos “Grupos de Trabalho Lingüísticos”, voltados para a tradução e discussão de aspectos lingüísticos da Norma, contribuiu de forma significativa para uma maior participação dos especialistas nas discussões da ISO 26000.                                                                                                                                                                                                                                              |                     |   |   |   |   |   |   |   |   |   |                     |             |
|                                                                                                                         | 2.4.2 O mecanismo dos “Grupos de Trabalho Lingüísticos” deveria ter incluído mais idiomas, no sentido de facilitar a comunicação e a aprendizagem entre os diversos atores.                                                                                                                                                                                                                                                                                                                         |                     |   |   |   |   |   |   |   |   |   |                     |             |
|                                                                                                                         | 2.4.3 A existência de diversos “Grupos de Trabalho Lingüísticos”, voltados para a tradução e discussão de aspectos lingüísticos da Norma, contribuiu para acomodar a diversidade em relação aos esquemas predominantes.                                                                                                                                                                                                                                                                             |                     |   |   |   |   |   |   |   |   |   |                     |             |
|                                                                                                                         | 2.4.4 Apesar do esforço do WG SR de promover uma participação equilibrada e ativa de todos os seus membros durante a elaboração da norma, o fato de um grande número de especialistas não dominar a língua inglesa dificultou que esse equilíbrio de fato ocorresse.                                                                                                                                                                                                                                |                     |   |   |   |   |   |   |   |   |   |                     |             |

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**Parte III - Interconectividade entre forças internas e externas:** compreende os processos não-lineares de aprendizagem coletiva, construídos a partir de interações entre os indivíduos em um determinado grupo, entre os grupos e entre os indivíduos e grupos e seus respectivos ambientes externos.

| Construto                                                             | Questão                                                                                                                                                                                                                                                   | Concordo plenamente |   |   |   |   |   |   | Discordo totalmente |   |   | Sem Opinião |
|-----------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---|---|---|---|---|---|---------------------|---|---|-------------|
|                                                                       |                                                                                                                                                                                                                                                           | 10                  | 9 | 8 | 7 | 6 | 5 | 4 | 3                   | 2 | 1 | S.O.        |
| 3.1 Interações entre indivíduos de um determinado grupo               | 3.1.1 As relações entre os atores individuais no ambiente interno do WG SR contribuíram para moldar as forças que influenciaram o processo complexo de obtenção de consenso.                                                                              |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.1.2 A existência de um subgrupo voltado para a promoção da comunicação dentro e fora do WG SR contribuiu efetivamente para a construção de confiança entre os especialistas do WG SR.                                                                   |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.1.3 As relações entre os atores individuais nos ambientes internos dos Comitês Espelho Nacionais contribuíram para moldar as forças que influenciaram o processo complexo de obtenção de consenso.                                                      |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.1.4 As relações entre os atores individuais das respectivas categorias de <i>stakeholders</i> em reuniões prévias às reuniões do WG SR contribuíram para moldar as forças que influenciaram o processo complexo de obtenção de consenso.                |                     |   |   |   |   |   |   |                     |   |   |             |
| 3.2 Interações entre os diversos grupos                               | 3.2.1 As múltiplas interações entre os diversos grupos de <i>stakeholders</i> foi fundamental para a criação de conhecimento compartilhado e aprendizagem durante o processo ISO 26000.                                                                   |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.2.2 O processo de construção de consenso envolvendo Comitês Espelho Nacionais contribuiu para o equilíbrio entre os interesses nacionais e as diferentes categorias de <i>stakeholders</i> no âmbito do WG SR.                                          |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.2.3 A participação das diversas categorias de <i>stakeholders</i> na geração de conhecimento compartilhado durante o processo da ISO 26000 levou a um documento final que refletiu as opiniões e necessidades dos diferentes segmentos da sociedade     |                     |   |   |   |   |   |   |                     |   |   |             |
| 3.3 Interações entre indivíduos e seus respectivos ambientes externos | 3.3.1 As interações entre os membros individuais do WG SR com seus respectivos ambientes de atuação (externos ao WG SR) contribuíram para moldar as forças que influenciaram o processo complexo de obtenção de consenso.                                 |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.3.2 O processo de construção de consenso envolvendo Comitês Espelho Nacionais contribuiu para que fossem manifestadas as necessidades e expectativas dos países membros do WG SR.                                                                       |                     |   |   |   |   |   |   |                     |   |   |             |
|                                                                       | 3.3.3 As interações entre os membros individuais em cada Comitê Espelho Nacional com seus respectivos ambientes de atuação (externos ao Comitê Espelho) contribuíram para moldar as forças que influenciaram o processo complexo de obtenção de consenso. |                     |   |   |   |   |   |   |                     |   |   |             |

**Notas:**

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(2) Caso não tenha opinião sobre determinada questão, indique com “x” na coluna “S.O.” à direita

| Construto                                                                     | Questão                                                                                                                                                                                                                                                       | Concordo plenamente |   |   |   |   |   |   |   |   |   | Discordo totalmente |  | Sem Opinião |
|-------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---|---|---|---|---|---|---|---|---|---------------------|--|-------------|
|                                                                               |                                                                                                                                                                                                                                                               | 10                  | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | S.O.                |  |             |
| 3.3 Interações entre indivíduos e seus respectivos ambientes externos (Cont.) | 3.3.4 A participação das organizações <i>D-liaison</i> mostrou-se relevante para que o resultado final da norma melhor refletisse a diversidade de interesses da sociedade em relação à Responsabilidade Social.                                              |                     |   |   |   |   |   |   |   |   |   |                     |  |             |
|                                                                               | 3.3.5 A transparência decorrente da promoção da comunicação dentro e fora do WG SR contribuiu significativamente para a construção de confiança da sociedade em relação ao desenvolvimento da ISO 26000.                                                      |                     |   |   |   |   |   |   |   |   |   |                     |  |             |
| 3.4 Auto-regulação                                                            | 3.4.1 As dinâmicas de trabalho adotadas durante as sessões plenárias do WG SR facilitaram a negociação e a colaboração entre os especialistas nos estágios de construção de consenso para a elaboração da ISO 26000.                                          |                     |   |   |   |   |   |   |   |   |   |                     |  |             |
|                                                                               | 3.4.2 As dinâmicas de trabalho adotadas no âmbito de cada Comitê Espelho facilitaram a negociação e a colaboração entre os especialistas nos estágios de construção de consenso para a elaboração da ISO 26000.                                               |                     |   |   |   |   |   |   |   |   |   |                     |  |             |
|                                                                               | 3.4.3 As dinâmicas de trabalho adotadas pelos grupos de <i>stakeholders</i> facilitaram a negociação e a colaboração entre os especialistas nos estágios de construção de consenso para a elaboração da ISO 26000.                                            |                     |   |   |   |   |   |   |   |   |   |                     |  |             |
|                                                                               | 3.4.4 Face à complexidade dos trabalhos do WG SR, a existência de um subgrupo voltado para a criação e adoção de procedimentos mais flexíveis em complemento aos procedimentos convencionais da ISO foi importante para o sucesso de elaboração do ISO 26000. |                     |   |   |   |   |   |   |   |   |   |                     |  |             |
|                                                                               | 3.4.5 O fato de todos os documentos do WG SR terem sido disponibilizados publicamente em seu <i>web site</i> foi fundamental para a transparência dos trabalhos.                                                                                              |                     |   |   |   |   |   |   |   |   |   |                     |  |             |

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**Parte IV – Fatores facilitadores da aprendizagem em sistemas adaptativos complexos:** indicação da importância de cada fator para a aprendizagem em normalização internacional *versus* a contribuição efetiva desses fatores para a aprendizagem durante o processo de elaboração da Norma Internacional ISO 26000.

| Fator facilitador                                                                                             | Grau de importância do fator para a aprendizagem em normalização internacional (1) |   |   |   |   |   |   |   |   |   |                  | Contribuição efetiva do fator para a aprendizagem no processo da Norma ISO 26000 (2) |                   |   |   |   |   |   |   |   |                    |             |
|---------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|---|---|---|---|---|---|---|---|---|------------------|--------------------------------------------------------------------------------------|-------------------|---|---|---|---|---|---|---|--------------------|-------------|
|                                                                                                               | Muito importante                                                                   |   |   |   |   |   |   |   |   |   | Pouco importante | Sem Opinião                                                                          | Alta contribuição |   |   |   |   |   |   |   | Baixa contribuição | Sem Opinião |
|                                                                                                               | 10                                                                                 | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | S.O.             | 10                                                                                   | 9                 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1                  | S.O.        |
| Modelo <i>multi-stakeholder</i> inclusivo                                                                     |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Interações entre indivíduos nos diversos grupos                                                               |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Interações entre os diversos grupos                                                                           |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Interações entre indivíduos e seus respectivos ambientes de atuação (externos aos grupos em que participaram) |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Fluxo de informação e facilidade de acesso                                                                    |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Transparência e confiança                                                                                     |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Existência de grupos lingüísticos como apoio à transparência e aprendizado nos diversos níveis                |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Liderança compartilhada entre um país desenvolvido e um país em desenvolvimento                               |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Dinâmicas de trabalho adotadas pelos diferentes grupos                                                        |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Estrutura organizacional para elaboração da norma                                                             |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |
| Outros (indique)                                                                                              |                                                                                    |   |   |   |   |   |   |   |   |   |                  |                                                                                      |                   |   |   |   |   |   |   |   |                    |             |

**Notas:**

(1) indique com “x” o grau de importância de cada fator em normalização internacional, independente de sua contribuição no processo ISO 26000, segundo a escala de 10 a 1, na qual: **10 =muita importância e 1 = pouca ou nenhuma importância.**

(2) indique com “x” o grau de contribuição efetiva para a aprendizagem durante o processo ISO 26000, segundo a escala de 10 a 1, na qual: **10 =alta efetividade e 1 = pouca ou nenhuma efetividade.**



| Construct                                                                                                             | Question                                                                                                                                                                                                                                                                                                                                               | Totally Agree |   |   |   |   |   |   |   |   |   | Totally Disagree |  | No Opinion |
|-----------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---|---|---|---|---|---|---|---|---|------------------|--|------------|
|                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                        | 10            | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N.O.             |  | N.O.       |
| 1.1 Stakeholders' Representativeness and legitimacy (Cont.)                                                           | 1.1.1 There was a sufficient degree of legitimacy of stakeholder groups involved in the multi-stakeholder process adopted for the development of ISO 26000.                                                                                                                                                                                            |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.1.2 The Chair's Advisory Group (CAG) had in its composition two representatives from each of the stakeholder groups, which were selected according to a selection process managed by each stakeholder group itself. This mechanism was effective in the sense that each stakeholder group was adequately represented on the CAG.                     |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.1.3 International organizations (D-liaison) were not entitled to vote on the drafts at different stages of development of ISO 26000. This fact did not prevent these organizations from having their opinions heard and considered during the process.                                                                                               |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 1.2 Solving of conflicts and tensions between the priorities and interests of different actors and stakeholder groups | 1.2.1 In the WG SR, the participation of stakeholder categories was in greater number than usual in other ISO technical committees. That diversity enriched the discussions, and the resulting tensions and conflicts that emerged were very important for embracing a greater number of relevant perspectives into the ISO 26000 standard.            |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.2.2 The balance among stakeholder groups representatives in the CAG was important for addressing strategic and critical issues within the WG SR.                                                                                                                                                                                                     |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.2.3 The balance between developed and developing countries representatives in the CAG was important for addressing strategic and critical issues within the WG SR.                                                                                                                                                                                   |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.2.4 The CAG has contributed to addressing controversial or conflicting issues related to priorities and interests of the different actors and stakeholder groups.                                                                                                                                                                                    |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.2.5 The Liaison Task Force (LTF) was created in view of the need for coordination between the work of the three subgroups focused on the preparation of sessions of the ISO 26000 (TG 4, 5, 6). The creation of LTF was important for solving conflicting or controversial issues among the experts who worked in the three Technical Groups. (TGs). |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 1.3 Different perspectives and motivations underlying the learning and knowledge creation                             | 1.3.1 During the development of ISO 26000, there was a continued and, it could be said, a successful effort to maintain a reasonable balance with regard to the participation of men and women in the discussions and in the generation of shared knowledge.                                                                                           |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.3.2 During the development of ISO 26000, there was a continued and, it could be said, a successful effort to maintain a reasonable balance with regard to the participation of developed and developing countries in the discussions and in the generation of shared knowledge.                                                                      |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                       | 1.3.3 Even though some countries did not send experts from all stakeholder categories to the WG SR plenary meetings, these countries were able to express their opinions in a satisfactory manner on these occasions.                                                                                                                                  |               |   |   |   |   |   |   |   |   |   |                  |  |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of "no opinion" or "don't know", please indicate with (x) on the rightmost column **N.O – No opinion.**

| Construct                                                                                            | Question                                                                                                                                                                                                                                                                                                                                                                        | Totally Agree |   |   |   |   |   |   |   |   |   | Totally Disagree | No Opinion |
|------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---|---|---|---|---|---|---|---|---|------------------|------------|
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                 | 10            | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N.O.             |            |
| 1.3<br>Different perspectives and motivations underlying the learning and knowledge creation (Cont.) | 1.3.4 The participation of international organizations (D-liaison) in the WG SR contributed for the perspectives of different groups to be considered during the drafting of ISO 26000. This was an important mechanism of inclusion for an effective learning in the WG SR.                                                                                                    |               |   |   |   |   |   |   |   |   |   |                  |            |
|                                                                                                      | 1.3.5 The Integrated Drafting Task Force (IDTF) was created in a more advanced stage of development of ISO 26000, replacing the LTF and the TGs 4, 5, 6, in order to revise the text of ISO 26000 in an integrated manner. The creation of the IDTF was fundamental for the consolidation of the knowledge generated in the three TGs, harmonizing the final text of ISO 26000. |               |   |   |   |   |   |   |   |   |   |                  |            |
| 1.4<br>Leadership of the process                                                                     | 1.4.1 The shared leadership (twinning) of WG SR contributed to the balance of power between the interests of developed and developing countries.                                                                                                                                                                                                                                |               |   |   |   |   |   |   |   |   |   |                  |            |
|                                                                                                      | 1.4.2 The shared leadership at the level of the WG SR subgroups contributed to the balance of power between the interests of developed and developing countries.                                                                                                                                                                                                                |               |   |   |   |   |   |   |   |   |   |                  |            |
|                                                                                                      | 1.4.3 During the development of ISO 26000, there was a sufficient degree of transparency in the actions of the WG SR leadership.                                                                                                                                                                                                                                                |               |   |   |   |   |   |   |   |   |   |                  |            |
|                                                                                                      | 1.4.4 During the development of ISO 26000, there was a sufficient degree of transparency in the actions of the leaders of the WG SR subgroups.                                                                                                                                                                                                                                  |               |   |   |   |   |   |   |   |   |   |                  |            |
|                                                                                                      | 1.4.5 The gender balance in the leaderships of the WG SR and its subgroups was relevant to the process of drafting the ISO 26000.                                                                                                                                                                                                                                               |               |   |   |   |   |   |   |   |   |   |                  |            |
|                                                                                                      | 1.4.6 The ISO 26000 was developed in a working group under the direct responsibility of the Technical Management Board (ISO/TMB), leading to a greater interaction between the WG SR leadership and the high governance of ISO. This interaction contributed significantly to the success of the work of the WG SR.                                                             |               |   |   |   |   |   |   |   |   |   |                  |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of “no opinion” or “don’t know”, please indicate with (x) on the rightmost column **N.O – No opinion.**

**Section II - Multiple levels of learning:** it refers to the various levels of learning, beginning at the individual level, passing through the learning of the various groups who participated in the development process of ISO 26000, and reaching the level of the WG SR as a whole. It considers forces like identity, language, beliefs, values, power and politics.

| Construct                                          | Question                                                                                                                                                                                                                                                                        | Totally Agree |   |   |   |   |   |   |   |   |   | Totally Disagree |  | No Opinion |
|----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---|---|---|---|---|---|---|---|---|------------------|--|------------|
|                                                    |                                                                                                                                                                                                                                                                                 | 10            | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 |                  |  | N.O.       |
| 2.1<br>Individual learning                         | 2.1.1 The effort to reach consensus within the WG SR enhanced learning at the level of individuals (individual level).                                                                                                                                                          |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.1.2 The effort to reach consensus within the Mirror Committees enhanced learning at the level of individuals (individual level).                                                                                                                                              |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.1.3 The idea of having a WG instead of a Technical Committee (TC) in the process of ISO 26000 has enabled individual experts to express their opinions freely in the WG SR, without having to represent the national consensus position.                                      |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 2.2<br>Collective learning                         | 2.2.1 The process of preparation of ISO 26000 by the WG SR involved complex negotiations and a rich learning experience due to the participation of a greater number of people and groups with different perspectives and views.                                                |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.2.2 The effort to reach consensus within the WG SR enhanced an active cooperation and learning at the WG SR level itself.                                                                                                                                                     |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.2.3 The National Mirror Committees were intended to provide national perspectives as inputs to the experts who worked in the WG SR. This mechanism of consensus building could be considered as having been effective.                                                        |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.2.4 The effort to reach consensus within each National Mirror Committee enhanced an active cooperation and learning at the level of the Mirror Committee itself.                                                                                                              |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.2.5 The results of the discussions within the National Mirror Committees, involving the different stakeholder categories, contributed to facilitate negotiations for consensus building within the WG SR.                                                                     |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.2.6. The participation of observers in the Mirror Committees contributed to the process of collective learning within each Mirror Committee.                                                                                                                                  |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.2.7. The participation of observers in the WG SR strongly influenced the final result of ISO 26000.                                                                                                                                                                           |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 2.3<br>Learning at different stages of the process | 2.3.1 The development process of ISO 26000 involving multiple levels of discussion (plenary sessions, subgroups for standard setting, National Mirror Committees, translation groups) was fundamental for consensus building in the various stages of development of ISO 26000. |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                    | 2.3.2 In the NP (New Work Item Proposal) stage, the scope, contents, and application of the Standard were defined, as well as the groups that should participate in the drafting process. These delineations were essential to guide the drafting of ISO 26000.                 |               |   |   |   |   |   |   |   |   |   |                  |  |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of “no opinion” or “don’t know”, please indicate with (x) on the rightmost column **N.O – No opinion.**

| Construct                                                                                                              | Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Totally Agree |   |   |   |   |   |   |   |   |   | Totally Disagree |  | No Opinion |
|------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---|---|---|---|---|---|---|---|---|------------------|--|------------|
|                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 10            | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N.O.             |  |            |
| 2.3<br>Learning at different stages of the process (Cont.)                                                             | 2.3.3 During the WD (Working Draft) stage, there was a rising curve of comments issued, whose apex was reached in November 2007 (7250 comments). After this, in the CD (Committee Draft) and DIS (Draft International Standard) stages, the amount of comments were progressively diminishing until the final approval of the Standard. These data indicate that conflicts and tensions of priorities and interests among the different groups were gradually solved until reaching final consensus. |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                        | 2.3.4 In the ISO 26000 process, the CD stage was important to determine to which extent the consensus among the WG SR experts was converging with the national positions.                                                                                                                                                                                                                                                                                                                            |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                        | 2.3.5 In the stages involving voting (CD and DIS), the D-liaisons had the right to submit comments on the document. . This was a relevant factor for having a final draft of the Standard that would reflect (or that reflected) the interests and necessities of the different segments of society.                                                                                                                                                                                                 |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 2.4<br>Official language and existence of language groups as a support for transparency and learning at various levels | 2.4.1 The existence of several 'language groups', which were focused on the translation and discussion of linguistic aspects of the Standard, contributed significantly to a greater participation of experts in the discussions of ISO 26000.                                                                                                                                                                                                                                                       |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                        | 2.4.2 The mechanism of 'language groups' should have included more languages to facilitate communication and learning between different actors.                                                                                                                                                                                                                                                                                                                                                      |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                        | 2.4.3 The existence of several "language groups" contributed to accommodate the diversity in relation to predominant schemes.                                                                                                                                                                                                                                                                                                                                                                        |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                                                                        | 2.4.4 Despite the efforts of the WG SR to promote a balanced and active participation of all its members during the standard drafting, the fact that a large number of experts do not properly dominate the English language made it difficult for this balance to actually occur.                                                                                                                                                                                                                   |               |   |   |   |   |   |   |   |   |   |                  |  |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of “no opinion” or “don’t know”, please indicate with (x) on the rightmost column **N.O – No opinion.**



**Section III - Interconnectivity between internal and external forces:** comprises the non-linear processes of collective learning, built from interactions among individuals in a particular group, between groups and between individuals and groups and their external environments.

| Construct                                                               | Question                                                                                                                                                                                                                                          | Totally Agree |   |   |   |   |   |   |   |   |   | Totally Disagree |  | No Opinion |
|-------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---|---|---|---|---|---|---|---|---|------------------|--|------------|
|                                                                         |                                                                                                                                                                                                                                                   | 10            | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N.O.             |  |            |
| 3.1<br>Interactions among individuals within a group                    | 3.1.1 The relationship between individual actors in the internal environment of the WG SR contributed to shape the forces influencing the complex process of consensus building.                                                                  |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.1.2 The existence of a subgroup devoted to promoting communication within and outside the WG SR effectively contributed to building confidence among the experts of the WG SR.                                                                  |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.1.3 The relationship between individual actors in the internal environments of the National Mirror Committees contributed to shape the forces influencing the complex process of consensus building.                                            |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.1.4 The relationship between individual actors of the respective of stakeholder categories in meetings prior to the WG SR meetings contributed to shape the forces influencing the complex process of consensus building.                       |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 3.2<br>Interactions among the various groups                            | 3.2.1 The multiple interactions between the various stakeholder groups were fundamental for the creation of shared knowledge and learning during the ISO 26000 process.                                                                           |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.2.2 The process of consensus building involving National Mirror Committees contributed to the balance between the national interests and the different stakeholder categories within the WG SR.                                                 |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.2.3 The participation of the various categories of stakeholders in the generation of shared knowledge during the ISO 26000 process has led to a final document reflecting the views and needs of the different segments of society.             |               |   |   |   |   |   |   |   |   |   |                  |  |            |
| 3.3<br>Interactions between individuals and their external environments | 3.3.1 The interactions between individual members of the WG SR with their respective external environments (outside the WG SR) helped to shape the forces that influenced the complex process of consensus building.                              |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.3.2 The process of consensus building involving National Mirror Committees contributed to the manifestation of the necessities and expectations of the member countries in the WG SR.                                                           |               |   |   |   |   |   |   |   |   |   |                  |  |            |
|                                                                         | 3.3.3 The interactions between individual members in each National Mirror Committee with their respective external environments (outside the Mirror Committee) helped shape the forces that influenced the complex process of consensus building. |               |   |   |   |   |   |   |   |   |   |                  |  |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of “no opinion” or “don’t know”, please indicate with (x) on the rightmost column **N.O – No opinion.**

| Construct                                                                       | Question                                                                                                                                                                                                                                                 | Totally Agree |   |   |   |   |   |   |   |   | Totally Disagree |      | No Opinion |
|---------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|---|---|---|---|---|---|---|---|------------------|------|------------|
|                                                                                 |                                                                                                                                                                                                                                                          | 10            | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1                | N.O. |            |
| 3.3<br>Interactions between individuals and their external environments (Cont.) | 3.3.4 The participation of D-liaisons was relevant for having the outcome of the standard better reflect the diversity of interests of the society in relation to Social Responsibility.                                                                 |               |   |   |   |   |   |   |   |   |                  |      |            |
|                                                                                 | 3.3.5 The transparency resulting from the promotion of communication within and outside the WG SR contributed significantly to build the trust of the society concerning the development of ISO 26000.                                                   |               |   |   |   |   |   |   |   |   |                  |      |            |
| 3.4<br>Self-organization                                                        | 3.4.1 The work dynamics adopted during the plenary sessions of the WG SR facilitated the negotiation and cooperation between experts in the stages of consensus building for the development of ISO 26000.                                               |               |   |   |   |   |   |   |   |   |                  |      |            |
|                                                                                 | 3.4.2 The work dynamics adopted within each National Mirror Committee facilitated the negotiation and cooperation between the experts in the stages of consensus building for the development of ISO 26000.                                              |               |   |   |   |   |   |   |   |   |                  |      |            |
|                                                                                 | 3.4.3 The work dynamics adopted by the different stakeholder groups facilitated the negotiation and cooperation between the experts in the stages of consensus building for the development of ISO 26000.                                                |               |   |   |   |   |   |   |   |   |                  |      |            |
|                                                                                 | 3.4.4 Given the complexity of the WG SR works, the existence of a subgroup focused on the creation and adoption of more flexible procedures in addition to the conventional procedures of ISO was important for the successful development of ISO 26000. |               |   |   |   |   |   |   |   |   |                  |      |            |
|                                                                                 | 3.4.5 The fact that all documents of the WG SR had been made publicly available on its Web site was important to the transparency of the works.                                                                                                          |               |   |   |   |   |   |   |   |   |                  |      |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of “no opinion” or “don’t know”, please indicate with (x) on the rightmost column **N.O – No opinion.**

**Part IV: Factors facilitating learning in complex adaptive systems:** indication of the importance of each factor for learning in international standardization versus the effective contribution of these factors for learning during the process of preparation of the International Standard ISO 26000.

| Facilitating Factor                                                                                               | Importance of the factor for learning in international standardization (1) |   |   |   |   |   |   |   |   |   |               | Effective contribution of the factor for learning in the process of ISO 26000 (2) |                   |   |   |   |   |   |   |   |                  |   |            |
|-------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|---|---|---|---|---|---|---|---|---|---------------|-----------------------------------------------------------------------------------|-------------------|---|---|---|---|---|---|---|------------------|---|------------|
|                                                                                                                   | Very important                                                             |   |   |   |   |   |   |   |   |   | Not important | No Opinion                                                                        | High contribution |   |   |   |   |   |   |   | Low contribution |   | No Opinion |
|                                                                                                                   | 10                                                                         | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2 | 1 | N.O.          |                                                                                   | 10                | 9 | 8 | 7 | 6 | 5 | 4 | 3 | 2                | 1 | N.O.       |
| Inclusive multi-stakeholder model                                                                                 |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Interactions among individuals in different groups                                                                |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Interactions among the various groups                                                                             |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Interactions between individuals and their external environments (external to the groups where they participated) |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Flow of information and accessibility to information                                                              |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Transparency and trust                                                                                            |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Existence of language groups as support for transparency and learning at the various levels                       |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Shared leadership between a developed country and a developing country                                            |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Work dynamics adopted by the different groups                                                                     |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Organizational structure for the standard's development                                                           |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |
| Other (please, enter factor)                                                                                      |                                                                            |   |   |   |   |   |   |   |   |   |               |                                                                                   |                   |   |   |   |   |   |   |   |                  |   |            |

**Notes:**

(1) please indicate with (x) the degree of concordance with the question, using the scale from 10 to 1, where: **10 =totally agree; and 1=totally disagree.**

(2) In the cases of “no opinion” or “don’t know”, please indicate with (x) on the rightmost column **N.O – No opinion.**

### **Anexo 3 – Artigo publicado em *Proceedings of GBATA 2011***

#### **INTERNATIONAL STANDARDIZATION ON SOCIAL RESPONSIBILITY: UNDERSTANDING LEARNING DYNAMICS THROUGH SOCIAL COMPLEXITY PERSPECTIVE**

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#### **ABSTRACT**

The social complexity perspective of Organizational Learning is a conceptual approach that integrates cognitive and social perspective conceptions by drawing on two sets of principles of Complexity Theory, particularly those associated to the dynamics of Social Complex Adaptive Systems. Through the social complexity perspective lens, learning emerges as a space where different possibilities can be contained and it is also a process and product of the multiplicity of connections. This approach is particularly relevant for analyzing the process of international standardization on social responsibility, where double level of consensus – amongst stakeholders and across countries – was successfully achieved. The purpose of this paper is to present a new theoretical approach for investigating ISO 26000 standard development as a social, complex learning process. It was assumed that the social complexity perspective of Organizational Learning can improve the understanding of the role of learning as a source of institutional sustainability in the light of the strategic challenges faced by ISO within the global governance arena.

#### **INTRODUCTION**

The expansion of the scope of the International Organization for Standardization (ISO) regarding the societal aspects which ISO standards increasingly address – such as impact on the environment and energy consumption, consumer and worker protection, health, food safety and ethics – requires that the representatives of the corresponding interested stakeholders be properly involved. By way of illustration, the scope and membership of the ISO committee on consumer policy (ISO/COPOLCO), have been systematically reviewed to consider broader participation of the interests associated to the impact of consumer products and services on these societal aspects and the potential contribution of international standards to clarify the corresponding claims (ISO, 2009).

The need for ISO to work on a social responsibility (SR) global standard was first assessed in 2001 by COPOLCO. In 2003, the multi-stakeholder ISO Ad Hoc Group on SR, which had been set up by ISO's Technical Management Board (TMB), completed an extensive overview of SR initiatives and issues worldwide. In 2004, ISO held an international, multi-stakeholder conference to further help to determine whether or not it should launch a SR standard. The positive

recommendation of this conference led to the establishment in late 2004 of the ISO Working Group on Social Responsibility (ISO/TMB/WG SR) to develop an international standard on Social Responsibility, which was published in late 2010 as ISO 26000 - Guidance on social Responsibility (ISO, 2010).

The international standard ISO 26000 aims at implementing and accelerating the development, realization, and improvement of influential factors for social responsibility in organizations. ISO 26000 was developed for all kinds of organizations in any country of the world, including countries with emerging markets and developing countries. As the ISO standard was designed as a guidance document, providing meaningful guidance to all kinds of organizations on social responsibility issues, the standard is neither intended for third-party certification nor describes a management system.

Regarding the membership of the ISO/TMB/WG SR, it was the largest and the most broadly based in terms of stakeholder representation of any other single group formed to develop an ISO standard. Six main stakeholder groups were represented: industry; government; labour; consumers; non-governmental organizations (NGO); 'service, support, research and others' (SSRO), as well as a geographical and gender-based balance of participants (ISO, 2011).

Under the joint leadership of the ISO members for Brazil (ABNT) and Sweden (SIS), it was made up of experts nominated by ISO members (national standards bodies – NSBs) and from international or broadly-based regional organizations. ISO/TMB/WG SR concluded its work in late 2010 with 450 participating experts and 210 observers from 99 ISO member countries and 42 D-liaison organizations. ISO 26000's learning process will be treated in the present work as a process that involves individual cognition and collective activities of multi-stakeholders that are bounded by common goals and commitment to organizational actions of the ISO/TMB/WG SR.

This paper presents partial results of an ongoing MSc. research project which aims to: (i) show, through the social complexity perspective, empirical evidences on the learning dynamics and the specific learning mechanisms experimented by the several groups during the development process of ISO 26000 standard; and (ii) identify the facilitating and constraining factors for organizational learning in two social complex evolving systems - the ISO/TMB/WG SR and one of its national mirror committees - the Brazilian ISO/TMB/WG SR Mirror Committee.

The research methodology of this ongoing MSc. project comprises: (i) bibliographical and documental review on international standardization; social complex adaptive systems; organizational, with special attention to integrative approaches; (ii) review of the development process of ISO 26000 standard; (iii) design of a conceptual model that integrates the international standardization and organizational learning, through the lens of the social complexity perspective; (iv) development and application of a survey questionnaire in two levels - ISO/TMB/WG SR and its Brazilian Mirror Committee; and (v) description of ISO26000 study case, bringing empirical evidences of organization learning in an international, multi-stakeholder environment.

The main contribution of this research project is to introduce a new theoretical approach, as presented here, for investigating ISO 26000 standard development as a social, complex learning process. This can be especially useful as it can improve the understanding of the role of learning in a double level of consensus – amongst stakeholders and across countries – in the light of the strategic challenges faced by ISO within the global governance arena. From the ISO 26000's case study, it can be revealed the best mechanisms that facilitated the process of learning and also the main barriers observed in such an international, multi-stakeholders' environment. For future international standards developments, the case study can also bring some recommendations that ISO could adopt in near future to meet needs and expectations of all stakeholders' categories, particularly different groups other than those that classically took part in ISO standardization processes.

#### THE ISO 26000 STANDARD DEVELOPMENT: A COMPLEX LEARNING PROCESS

For reviewing the development process of ISO 26000 standard and reinforcing its organizational complexity, a reference source of information provided by ISO was accessed via the online ISO Livelink area (ISO, 2011). This database comprises an extensive empirical material on its development process, including circa of 1,700 documents as a whole. By way of illustration, different drafts of ISO 26000, minutes of the working group meetings, working documents, resolutions, comments or results of ballots could be accessed and reviewed.

The ISO 26000 development process introduced innovative and flexible organizational procedures, which can be summarized as follows: (i) adoption of a multi-stakeholder approach; (ii) implementation of twinning principle to a greater extent than had yet been carried out in any ISO standards development group; (iii) configuration of a basic organizational framework including subgroups devoted to: adopting new flexible procedures, in addition to the usual ISO rules; looking for funding under-funded groups; and enhancing communication within and outside ISO/TMB/WG SR; and (iv) implementation of an inclusive decision-making process, which encompassed national mirror committees from 99 countries, having in their composition experts from the above mentioned stakeholders' categories.

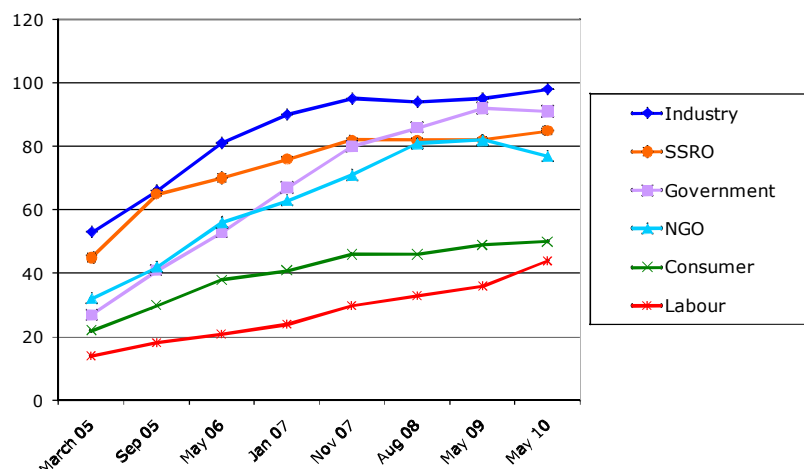
One of the most prominent characteristics of this process was the adoption of a multi-stakeholder approach. The experts of ISO/TMB/WG SR were nominated by the ISO members and included experts representing six main stakeholders' categories. In addition, interested international and broadly based regional organizations were also able to appoint a maximum of two experts each. The six stakeholders' categories were: (i) industry; (ii) government; (iii) consumer; (iv) labour; (v) non-governmental organizations (NGO); and (vi) 'service, support, research and others' (SSRO). The stakeholders' categories were first defined by ISO/TMB in a document titled "New work item proposal - Social responsibility" (ISO, 2004). Later on, the ISO/TMB/WG SR agreed that the 'Other' category should be re-named "Service, support, research and others (ISO, 2005).

ISO member bodies (MBs), i.e. those national bodies that represent their country within the ISO organization, were allowed to nominate up to six persons, one for each of the six stakeholders' categories. These nominees hold an "expert status",

which includes the right to participate actively at the different drafting stages. Their individual views had to be considered during the development process (ISO, 2004; ISO, 2009). International or broadly based regional organizations could additionally acquire a so-called "D-liaison status", which offered the right to nominate up to two experts with the same status as other nominated experts (ISO, 2004).

In May 2010, the ISO/TMB/WG SR consisted of 450 experts from 99 countries and 42 D-liaison organizations. (ISO 2010). Experts representing "Industry" accounted for approx. 22% of the WG experts, followed by the categories "Government" (approx. 21%), "SSRO" (approx. 19%), and "NGO" (approx. 19%). The two smallest groups were "Consumers" (approx. 11%) and "Labour" (approx. 8%), as showed in Figure 1.

Figure 1: Balance of stakeholder representativeness



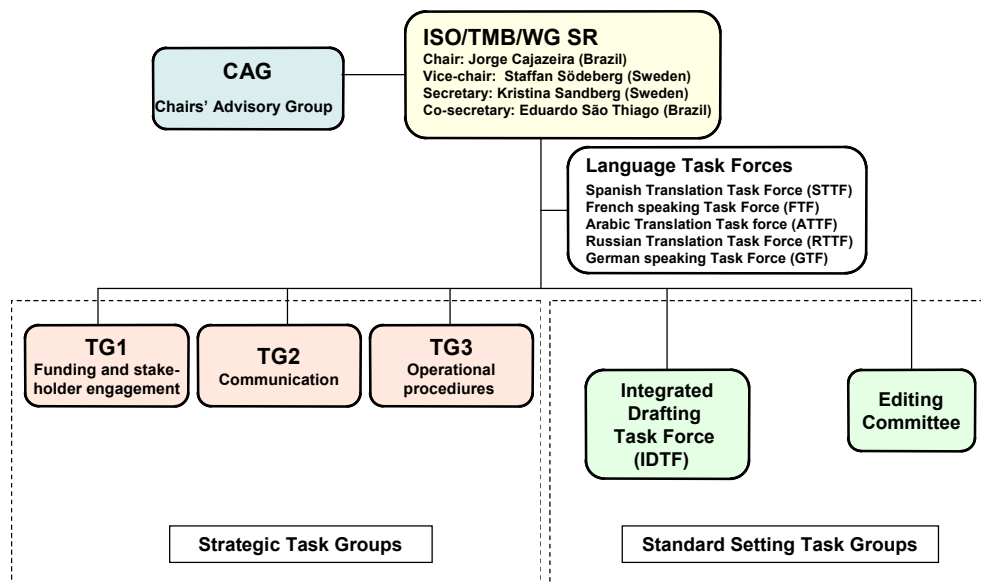
The development process of ISO 26000 was special in a number of respects, particularly with regard to the efforts made to ensure the participation of developing countries. Within this perspective, ISO implemented the principle of twinning (twin leadership between a developed and developing country) in the ISO/TMB/WG SR largely than had yet been carried out in any ISO standards development group. The ISO/TMB/WG SR was jointly led by two National Standards Bodies: one from a developing country and the other from a developed country, respectively the Brazilian Association of Technical Standards (ABNT), and the Swedish Standards Institute (SIS). Besides this twin leadership between Brazil and Sweden, there were efforts in the sense that any subgroup that was established should have in their leadership representatives from developing and developed countries on an equitable basis.

Figure 2 shows the organizational structure of the ISO/TMB/WG SR, which was created in 2005 by the group at the very beginning of its operations (ISO, 2005). A Chairs' Advisory Group was established to provide strategic advice to the Chair and to the Vice Chair. A Task Group (TG1) was created to find ways of ensuring balanced participation across regions and stakeholder groups, in particular through fundraising efforts. TG2 was created and charged with developing external

communication and dissemination tools, and a third Task Group (TG3) was established to devise internal guidance on special procedures for the WG SR to complement those existing ISO procedures (ISO, 2008). And three additional Task Groups (TG4 to TG6) were initially established to take forward drafting of different parts of the standard.

As reported by ISO (2007), the WG SR organizational structure evolved along the course of the ISO 26000 development. The three additional task groups (TG4 to TG6) were disbanded and their leaders took part of a new subgroup titled 'Integrated Drafting Task Force' (IDTF) established in November 2007 at the Vienna WG SR Meeting. The IDTF was specifically charged with the duty to review and revise the ISO 26000 drafts as a whole. As showed in Figure 2, an Editing Committee was also established. Besides, Language Task Forces (which were not formally part of the WG SR) worked to translate key documents into languages other than English in order to ease participation from non-English speaking countries.

Figure 2: Organizational structure of the ISO/TMB/WG SR

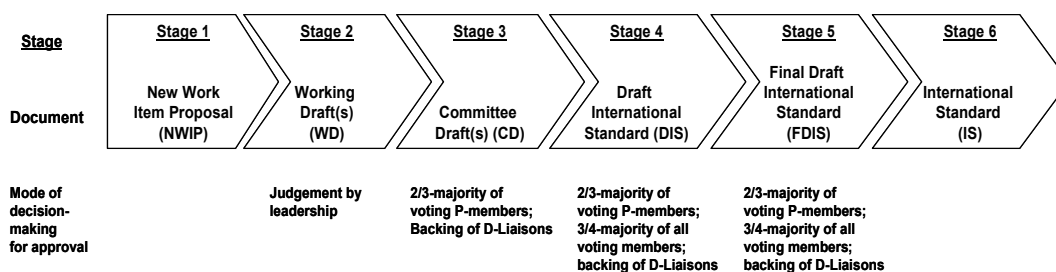


As far as the implementation of an inclusive decision-making process is concerned, National Mirror Committees from the member countries were established, having in their composition experts from the six stakeholder categories. This organizational mechanism was designed to provide national perspectives as input to the experts acting in the ISO/TMB/WG SR, in addition to those from 42 international and broadly based regional organizations (D-liaison organizations).

In accordance with the ISO/IEC Directives, Part 1 (ISO, 2008), the development process of ISO 26000 was performed in several successive stages. Figure 3 shows the stages and modalities of decision-making in the ISO 26000 standard development.

Figure 3: Project Stages and Decision-Making in the ISO 26000 Standard Development





For new ISO projects (Stage 1), the proposer of the initiative shall indicate the range of organizations/stakeholder groups supporting the initiative, as well as those that, according to their interests and identified needs should as a minimum be involved in its development in order to facilitate the arrangements of national consensus building (ISO, 2010). Liaison organizations should be committed to informing and seeking input from a broad range of their relevant stakeholders on any new ISO projects once the ISO member bodies approve them (ISO, 2010).

In order to complete one stage and enter the next, a continuously improved draft version of the guidance standard has to be approved. These different drafts could be considered as milestones of the development project. The main draft versions, representing the pre-stages of the official ISO 26000 document, are namely the Working Draft(s) (WD), followed by the Committee Draft(s) (CD), a Draft International Standard (DIS) and a Final Draft International Standard (FDIS) (ISO, 2008). The aim of such a development project is to build consistent draft documents for each stage for subsequent approval through a consensus-based process among all experts, and consequently the publication of a new standard as an official ISO document (Figure 3).

The overall proceeding principle within the ISO 26000 development was founded in the idea of finding a consensus among the participants (ISO, 2005). ISO defines consensus as a "general agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments" (ISO, 2008).

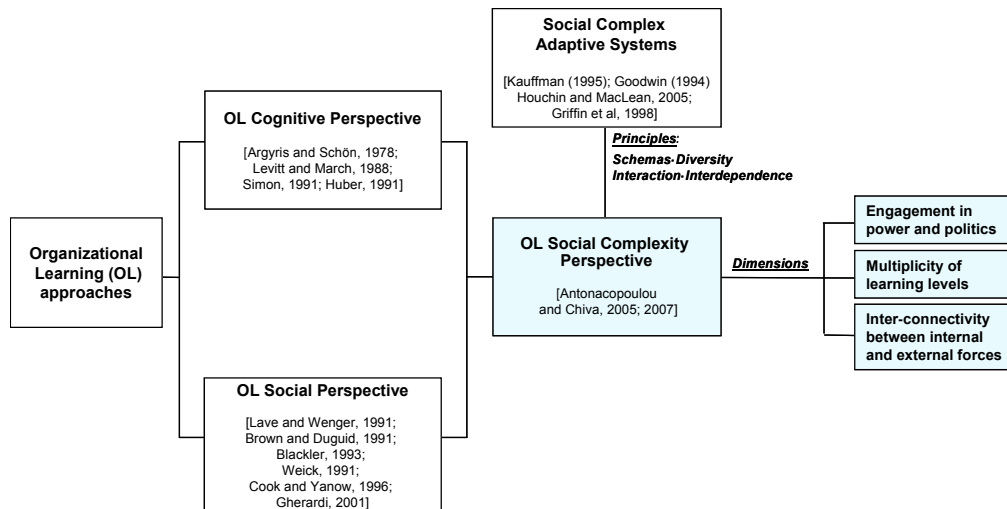
The role of learning in a double level of consensus – amongst stakeholders and across countries – will be the object of the MSc. Research, by applying the new conceptual approach presented in next section. The motivation for this exploratory, conceptual paper was that the organizational learning approaches used so far are mainly focused on how local learning and best practices are shared and transferred across individuals and network of institutions without addressing the dynamics and learning mechanisms employed (Gherardi, 2001; Easterby-Smith et al, 1999; Elkjaer, 2005; Antonacopoulou and Chiva, 2005; 2007).

## THE SOCIAL COMPLEXITY PERSPECTIVE OF ORGANIZATIONAL LEARNING

The social complexity perspective of Organizational Learning (OL) is a conceptual approach proposed by Antonacopoulou and Chiva (2005; 2007) that integrates cognitive and social perspective conceptions by drawing on principles of Complexity Theory, particularly those associated to the dynamics of Social

Complex Adaptive Systems (Kauffman, 1995; Goodwin, 1994; Houchin and MacLean, 2005; Griffin et al, 1998). Figure 4 represents schematically the theoretical background concerning the social complexity perspective of OL.

Figure 4: Theoretical Background Schema concerning the Social Complexity Perspective of Organizational Learning



Antonacopoulou and Chiva (2005; 2007) focused on the radical perspective of Complex Adaptive Systems (CAS) approach (Kauffman, 1995; Goodwin, 1994; Houchin and Mac Lean, 2005; Griffin et al, 1998), but also considered concepts like schemas or rules, as they refer to micro-dynamics in relation to knowing and doing that are central to organizing.

The complexity principles they focused on are schemas–diversity and interaction–interdependence. These two sets of principles were chosen both because they reflect the most significant dimensions that explain the nature of CAS, and also because they correspond to the two main streams in OL research: (i) cognitive perspective (Argyris and Schön, 1978; Levitt and March, 1988; and Huber, 1991); and (ii) social perspective (Lave and Wenger, 1991; Brown and Duguid, 1991; Blackler, 1993; Weick, 1991; Cook and Yanow, 1996; and Gherardi, 2001). A key element of the cognitive perspective is Schema Theory (Gnyawali and Stewart, 2003), which considers learning as the process of transforming, creating, refining or validating schemas. On the other hand, the social perspective considers learning as the product of social interactions (Gherardi, 2001).

Based on schemas-diversity and interaction-interdependence principles, Antonacopoulou and Chiva proposed an integrated conceptual view of OL that explores the interactions between learning actors at different levels and the wider environment and identifies the conditions that support the interdependencies between them. For capturing the dynamics of learning and organizing structures, they identified three dimensions as key for explaining the social complexity of OL. They are: (i) engagement in power and politics; (ii) multiplicity of learning levels; and (iii) inter-connectivity between internal and external forces. These dimensions will be discussed in the next section, focusing on the ISO 26000 standard development process.

## AN ATTEMPT TO UNDERSTAND LEARNING DYNAMICS OF ISO 26000 STANDARD DEVELOPMENT

The choice of the social complexity approach for analyzing the learning process of ISO 26000 development was mainly due to its strength in treating organizations as social evolving complex systems, reinforcing the role of learning as a source of institutional sustainability. One of the basic assumptions of this research is that both internal (endogenous) and external (exogenous) interactions are essential to learning within an international and multi-stakeholders' organizational environment – such as ISO 26000 standard development. As different social actors were involved, they can be identified as learning entities that interacted and negotiated through various boundary objects.

As mentioned before, the three dimensions concerning the social complexity approach are discussed here with an attempt to design, in the second phase of this research, a conceptual model that integrates international standardization and organizational learning processes, through the lens of the social complexity perspective, as conceived by Antonacopoulou and Chiva (2005; 2007).

The first dimension– engagement in power and politics by individual agents – can help to explain how the members of the ISO/TMB/WG SR and one of the its Mirror Committees - the Brazilian Mirror Committee- contributed through their actions to either the stability or renewal of the whole social complex system, by following or breaking the rules as they had learned. In both groups, engagement by individual agents can be considered as an active and intense process of collaboration. For the research purposes, it was assumed that the relationships between individual actors within the ISO/TMB/WG SR's and the Brazilian Mirror Committee's internal environments contributed to shape the forces that influenced the complex learning process that took place. Another assumption was that the interactions between the members of these two groups and their respective external environments also influenced the whole learning process.

Concerning the second dimension – multiplicity of learning levels – the analysis of multiple connections and interdependencies between the diverse stakeholders involved in the ISO 26000 development (and their social structures) should consider forces such as identity, language, power and politics as key conditions shaping how double level of consensus in relation to the emerging SR schemas was successfully achieved. In fact, understanding which conditions made connections across levels of analysis possible and how they were formed are key points to be taken into account during the development of ISO 26000's case study.

Finally, in relation to the interconnectivity between internal and external forces it should be explored the mutually adaptive relationship between the ISO/TMB/WG SR's and the Brazilian Mirror Committee's organizations and their environments. Since the internal and external environments are dynamic and permeable, the social complexity of OL emphasizes interconnectivity by drawing attention to inter-relationships as key to understanding the fluid, emergent and self-organizing nature of learning in organizations.

This new conceptual approach can provide a basis for better capturing the conditions that make organizational learning possible in the ISO 26000's

development process. It offers a robust and consistent framework for a deep organizational analysis focusing on the following issues:

- a critical view concerning the political forces that influenced the experts acting in the ISO/TMB/WG SR, and the mechanisms that allowed knowledge to be created and shared and collective learning to emerge;
- an analysis of the negotiations that governed the interaction between the members within the ISO/TMB/WG SR and also within the National Mirror Committees, so that the respective power of individuals could better explain their actions when they sought to protect their perspectives;
- an identification of the conditions that corroborated the interconnections between the ISO/TMB/WG SR and its multiple external environments (countries and stakeholders categories) and also an analysis of the interdependencies between endogenous and exogenous forces defining what was learned and how learning was played by individual agents and groups;
- a better understanding of the facilitating and constraining factors for inter-organizational learning and self-organizing concerning two social complex evolving systems (the ISO/TMB/WG SR and the Brazilian Mirror Committee of WGSR);
- an analysis of the governing assumptions that defined what was learned within ISO/TMB/WG SR's and the Brazilian Mirror Committee's contexts, revealing the tensions and ex-tensions from which learning emerged.

## CONCLUSIONS

From the perspective of an international standardization context, the social complexity approach of Organizational Learning suggested that the actions and interactions of diverse stakeholders can generate learning as a possibility and determine the approaches by which they seek to learn. These features indicate that the learning in such context is a non-linear process that creates the possibility for learning and maximizes the possibilities from learning. In this sense, organizational learning can be considered as the emergent product of multiple connections and this aspect is particularly relevant for analyzing the ISO 26000's process, where double level of consensus – amongst stakeholders and across countries – was successfully achieved.

From the authors' perspective, we strongly believe that the ISO 26000's case study – illustrating the application of the social complexity perspective of OL – can reinforce the role of organizational learning as a source of institutional sustainability in the light of the strategic challenges faced by ISO within the global governance arena. For future international standards developments, this case study can also bring some recommendations that ISO could adopt in near future to meet needs and expectations of all stakeholders' categories, particularly different groups other than those that classically took part in ISO standardization processes.

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