# Teknisk rapport
# SIS-ISO/TR 56004:2019

**Bedömning av innovationsledningsförmåga – Vägledning (ISO/TR 56004:2019, IDT)**

**Innovation management – Assessment - Guidance (ISO/TR 56004:2019, IDT)**
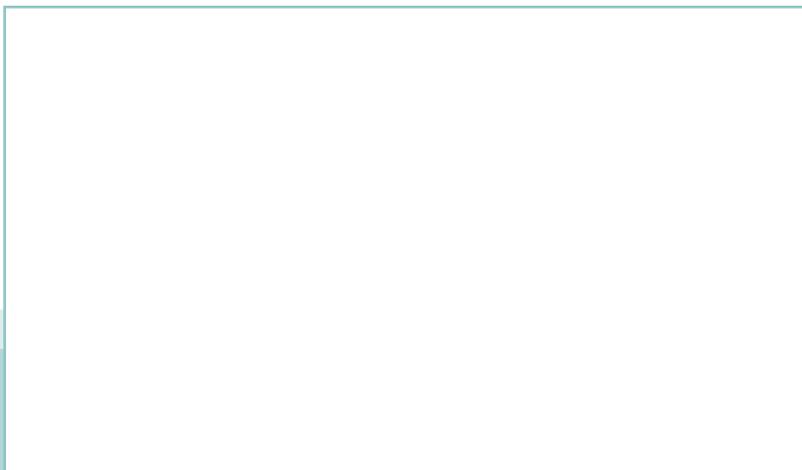
# Standarder får världen att fungera

*SIS (Swedish Standards Institute) är en fristående ideell förening med medlemmar från både privat och offentlig sektor. Vi är en del av det europeiska och globala nätverk som utarbetar internationella standarder. Standarder är dokumenterad kunskap utvecklad av framstående aktörer inom industri, näringsliv och samhälle och befrämjar handel över gränser, bidrar till att processer och produkter blir säkrare samt effektiviserar din verksamhet.*

**Delta och påverka**
Som medlem i SIS har du möjlighet att påverka framtida standarder inom ditt område på nationell, europeisk och global nivå. Du får samtidigt tillgång till tidig information om utvecklingen inom din bransch.

**Ta del av det färdiga arbetet**
Vi erbjuder våra kunder allt som rör standarder och deras tillämpning. Hos oss kan du köpa alla publikationer du behöver – allt från enskilda standarder, tekniska rapporter och standard-paket till handböcker och onlinetjänster. Genom vår webbtjänst e-nav får du tillgång till ett lättnavigerat bibliotek där alla standarder som är aktuella för ditt företag finns tillgängliga. Standarder och handböcker är källor till kunskap. Vi säljer dem.

**Utveckla din kompetens och lyckas bättre i ditt arbete**
Hos SIS kan du gå öppna eller företagsinterna utbildningar kring innehåll och tillämpning av standarder. Genom vår närhet till den internationella utvecklingen och ISO får du rätt kunskap i rätt tid, direkt från källan. Med vår kunskap om standarders möjligheter hjälper vi våra kunder att skapa verklig nytta och lönsamhet i sina verksamheter.

**Vill du veta mer om SIS eller hur standarder kan effektivisera din verksamhet är du välkommen in på www.sis.se eller ta kontakt med oss på tel 08-555 523 00.**
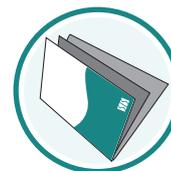
# Standards make the world go round

*SIS (Swedish Standards Institute) is an independent non-profit organisation with members from both the private and public sectors. We are part of the European and global network that draws up international standards. Standards consist of documented knowledge developed by prominent actors within the industry, business world and society. They promote cross-border trade, they help to make processes and products safer and they streamline your organisation.*

**Take part and have influence**
As a member of SIS you will have the possibility to participate in standardization activities on national, European and global level. The membership in SIS will give you the opportunity to influence future standards and gain access to early stage information about developments within your field.

**Get to know the finished work**
We offer our customers everything in connection with standards and their application. You can purchase all the publications you need from us - everything from individual standards, technical reports and standard packages through to manuals and online services. Our web service e-nav gives you access to an easy-to-navigate library where all standards that are relevant to your company are available. Standards and manuals are sources of knowledge. We sell them.

**Increase understanding and improve perception**
With SIS you can undergo either shared or in-house training in the content and application of standards. Thanks to our proximity to international development and ISO you receive the right knowledge at the right time, direct from the source. With our knowledge about the potential of standards, we assist our customers in creating tangible benefit and profitability in their organisations.

**If you want to know more about SIS, or how standards can streamline your organisation, please visit www.sis.se or contact us on phone +46 (0)8-555 523 00**

Denna tekniska rapport är inte en svensk standard. Detta dokument innehåller den engelska språkversionen av ISO/TR 56004:2019, utgåva 1.

This Technical Report is not a Swedish Standard. This document contains the English language version of ISO/TR 56004:2019, edition 1.

*Upplysningar om sakinnehållet i detta dokument lämnas av SIS, Swedish Standards Institute, telefon 08-555 520 00. Standarder kan beställas hos SIS som även lämnar allmänna upplysningar om nationell och internationell standard.*

*Information about the content of this document is available from the SIS, Swedish Standards Institute, telephone +46 8 555 520 00. Standards may be ordered from SIS, who can also provide general information about national and international standards.*

Dokumentet är framtaget av kommittén för Innovation Management, SIS/TK 532.

Har du synpunkter på innehållet i det här dokumentet, vill du delta i ett kommande revideringsarbete eller vara med och ta fram standarder inom området? Gå in på www.sis.se - där hittar du mer information.

# Contents

Page

**SIS-ISO/TR 56004:2019 (E)**

# Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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

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

This document was prepared by Technical Committee ISO/TC 279, *Innovation Management*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

# Introduction

Innovation is the key driver for organizations to create value from new products, services, processes, or business models. Therefore, innovation needs to be managed in a systematic manner. Many organizations have already established their innovation management (IM). This might build on key success factors such as the innovation strategy and objectives, the operations for innovation including the processes and organizational structures, and the innovation-enabling factors, the innovation support, including among others the innovation culture, tools and methods, competencies, human and financial resources. Managing innovation in a systematic manner creates value and secures the organization's future. As a consequence, organizations seek guidance on continuously developing their innovation management capabilities and performance. A pre-requisite is transparency of the organization's current performance of its IM. To achieve necessary transparency here, regular and effective assessments of the IM are essential. In this context, this document is designed to answer the following over-riding question: How can an Innovation Management Assessment (IMA) contribute to the future development of an organization and its IM?

This document provides guidance on why it is beneficial to implement an IMA, what you can expect from a good IMA, how to carry it out, and act upon the results of the IMA. More specifically, the document provides the fundamentals for considering an IMA and provides the foundation for carrying out such a process. It is intended to help the user to understand the:

— value and benefits of carrying out an IMA (reasons behind carrying out an IMA);

— different approaches for an IMA;

— IMA process, its steps and impact;

— improvement potential for the IM, the IMA and, as a result, for the assessed organization.

Before continuing further, the reader is encouraged to consult Annex A of this document, which outlines the key principles behind a good IMA.

Details of an Innovation Management System (IMS) can be found in ISO 56002[1] with particular reference to Clauses 9 and 10 which cover performance evaluation and improvement. For details on specific innovation and innovation management tools or techniques, consult ISO 56003 and following documents in the series. The common innovation management terminology can be found in ISO 56000[2], "*Fundamentals and Vocabulary*".

---

1) Under preparation. Stage at the time of publication: ISO/DIS 56002

2) Under preparation. Stage at the time of publication: ISO/CD 56000

# Innovation Management Assessment — Guidance

## 1 Scope

This document will help the user understand why it is beneficial to carry out an Innovation Management Assessment (IMA), what to assess, how to carry out the IMA, and thus maximize the resulting benefits, which are universally applicable to:

— organizations seeking sustained success in their innovation activities;

— organizations performing IMAs;

— users and other interested parties (e.g. customers, suppliers, partners, funding organizations, universities and public authorities) seeking confidence in an organization's ability to manage innovation effectively;

— interested parties seeking to improve communication through a common understanding of Innovation Management (IM), via an assessment;

— providers of training, assessment, or advice in IM;

— developers of related standards;

— academics interested in research related to IMA.

Further, this document is intended to be applicable to:

— all types of organizations, regardless of sector, age, size, or country;

— all approaches to IM regardless of their level of sophistication, and complexity;

— all modalities of managing innovation whether centralized or decentralized;

— all ways to innovate, e.g. internal, collaborative, open, user-, market- or technology-driven innovation;

— all types of innovation such as product, service, process, business model, organizational innovation from incremental to radical.

## 2 Normative references

There are no normative references in this document.

## 3 Terms and definitions

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

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

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

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

**SIS-ISO/TR 56004:2019 (E)**

**3.1**
**innovation**
new or changed entity, realizing or redistributing value

Note 1 to entry: Novelty and value are relative to, and determined by the perception of, the organization and interested parties.

Note 2 to entry: An innovation can be a product, service, process, model, method etc.

Note 3 to entry: Innovation is an outcome. The word "innovation" sometimes refers to activities or processes resulting in, or aiming for, innovation. When "innovation" is used in this sense, it should always be used with some form of qualifier, e.g. "innovation activities".

Note 4 to entry: For the purpose of statistical measurement, refer to the Oslo Manual (OECD/Eurostat 2018):'New or changed entity' corresponds to 'a new or improved product or process, or combination thereof, that differs significantly from the unit's previous products or processes'. 'Realizing or redistributing value' corresponds to 'and that has been made available to potential users or brought into use by the unit'.

[SOURCE: ISO 9000:2015, 3.6.15, modified by using the term "entity" instead of "object" and by adding notes]

**3.2**
**innovation management**
management with regard to *innovation* ([3.1](#))

Note 1 to entry: Innovation management can include establishing an innovation vision, innovation policy and innovation objectives, and innovation strategies, innovation processes, structures, roles and responsibilities and innovation support, to achieve those objectives through innovation planning, innovation operations, performance evaluation, improvement and other activities.

**3.3**
**innovation process**
process with regard to *innovation* ([3.1](#))

Note 1 to entry: Innovation processes are generally planned and carried out under controlled conditions to realize value.

Note 2 to entry: Innovation processes are designed to manage uncertainty with innovation as the intended result. Not all innovation processes are resulting in innovation.

Note 3 to entry: An innovation process consists of several innovation activities or process elements e.g. identification of insights and opportunities, ideation, prototyping , development, deployment

Note 4 to entry: Innovation processes can be implemented within an organization or across organizations in the case of e.g. collaborative innovation, innovation clusters, value networks or ecosystems.

## 4   Reasons for carrying out an Innovation Management Assessment

Before initiating an IMA, it is preferable that the organization gains a thorough understanding of the reasons for carrying out an IMA, and about its current IM performance. There may be the need for clarity on the IM and how it is performing, or there may be the need for change in the organization to perform better. In the first case, the IMA's objective is to provide insights into the current performance - both strengths, weaknesses and gaps to the desired value creation through better IM. This will be the basis for defining and implementing actions for improvement. In the second case, the IMA may yield a transformation roadmap including organizational changes to reach the level of a high-performing innovator. The following reasons may trigger an organization to initiate an IMA.

**Table 1 — Possible reasons for an organization to carry out an IMA**

| Gain a better understanding of IM | Determine the performance of the current IM |
|---|---|
| — Learn what the key success factors for effective IM are, and how to leverage them<br><br>— Better understand how the key success factors of IM are integrated within, and leveraged by the organization | — Discover the aspects of IM that lead to performance gaps, e.g. between value creation targets and actual results<br><br>— Evaluate the organization's position based on value creation from innovation<br><br>— Identify misalignment in the organization (activities, structures, processes, responsibilities, culture, HR, finance etc.) that impede IM results<br><br>— Compare the organization's performance with external points of reference: such as known innovation leaders/growth champions, competitors, or other external stakeholders and identify best practices in IM |
| **Meeting internal/external requirements** | **Improving the performance and increasing the value of the organization** |
| — Meeting strategic goals/objectives<br><br>— Comply with requirements for funding for innovation projects or qualification of the organization in the context of due diligence | — Structured input into a roadmap and the resources needed for enhancing the IM performance<br><br>— Fostering an innovation, learning and dynamic culture to support the evolution of the organization |

Note that the motivations in Table 1 are not exhaustive, nor are they intended to outline all possible benefits of performing an IMA. The reasons for initiating an IMA will guide its scope, strategic intent, required resources and – most important – the resulting level of change.

## 5 Choosing the Innovation Management Assessment approach

### 5.1 General

When choosing the most suitable IMA approach, the organization is expected to have a clear understanding of the:

— different IMA approaches;

— scope of the IMA;

— type and quality of the IMA output(s);

— formats of the IMA output.

These considerations may serve as selection criteria for the most suitable IMA approach.

### 5.2 Understanding different approaches to Innovation Management Assessment

Different IMA approaches include check-list assessments or benchmarking assessments. Check-lists provide a list of issues to be considered when assessing the IM and its deployment. Benchmarking assessments build on defined internal or external peer group's IM scores and provide transparency of the organization's IM performance and competitiveness.