

Extensive Guide for ISO 56000 Assessments for TIMS

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1. Innovation Management Assessment Preparation



1.1. Select the processes to be assessed

Look at all processes from the model and select the processes that will be assessed. This can be only a small selection of the existing processes (e.g. Leadership, Idea Management Process). In the appendix of this document you will find a list of the processes with short descriptions of each process. From these processes choose the processes that you will assess with your assessment team.

1.2. Align with Stakeholders

Ask who will be involved in the assessment and how they will be involved in the assessment process. Also, clarify if an entire organization will be assessed or only certain departments/units. Communicate with stakeholders what the outcome of such an assessment will be (summarized report, detailed report, benchmarks, see chapter 3.2.) and how they will be involved (Interview plan, see chapter 1.3.).

Relevant stakeholders could be:

- Sponsors (who will pay for the assessment)
- Organisation / Department
- Suppliers
- Partners and Collaborators
- Stakeholders to whom the results will be presented
- The Assessment Team
- Etc.

IMPORTANT: Ensure Management Commitment

Ensure that all stakeholders have a common understanding of the trigger and objective for the IMA:

- Why the organization initiates the assessment
- What the strategic intent of the assessment is

Define also what is NOT in the scope of the assessment!

1.3. Select the Assessment Team

Part of the assessment team are the:

- **Assessment Coordinator:** Important if the assessors are external
- **Assessors:** internal or external assessors, ensure the resources (budget) for external assessors
- **Lead Assessor:** Leading the assessment with co-assessors
- **Project team members:** to be interviewed

Kick-Off

First:

Explain to the project team members and corporate management

- the purpose,
- scope,
- constraints and
- model
- assessment approach (interviews, data collection etc.)

to be used in the assessment.

Then:

- Introduce the assessors
- Identify and document potential risks in executing the assessment successfully as well as appropriate risk mitigation strategies.
- Prepare the interview plan (see example below)
- Ensure the availability of the project team members
- Based on the scope define the duration and effort for the assessment
- Invite project team members to the assessment based on their roles in the project

- Define how the assessment data will be collected and recorded (e.g. assessment tool to be used)

ASPICE Assessment Schedule						
Schedule Version 1.8						
Assessment Team				Reference Assessment Model		
Lead Assessor (LA): Expert in Innovation assessment				ISO 56004 - TBM Model		
Co-Assessors: Internal/External Consultants				Assessment Language		
Local Coordinator: Organisation Contact				English		
				Assessment Location		
				Onsite		
Date	Agenda Item	CET Times Parallel A/UE	Start (USA East Coast)	Name of Participants	Participating roles	Meeting Room
Day 1						
	Assessment Overview		08.00-08.30		All Participants	
	Organisation Introduction		08.30-09.00		All Participants	
	RMS 1 Leadership		09.15-12.15			
	Lunch/Driver		12.15-13.00			
	RMS 2 Planning (non Management)		13.00-15.00			
	Break		15.00-15.15			
	RMS 3 Support		15.15-17.15			
Day 1 date	Consolidation		17.15-18.00		Assessor Team	
Day 2						
	RMS 4 Operation		09.00-11.00			
	Break		11.00-11.15			
	RMS 5 Performance Evaluation		11.15-12.15			
	Lunch/Driver		12.15-13.00			
	RMS 6 Improvement		13.00-14.00			
	Break		14.00-14.15			
	Table 1 Innovation Partnership Framework		14.15-16.15			
Day 2 date	Consolidation		16.15-18.00		Assessor Team	
Day 3						

1.4. Select an Assessment Tool

Requirements for the Assessment Tool:

- ISO56000 Model support
- possibility to rate and document findings
- Generate Assessment Report
- Allow multiple assessor to work on the assessment in the same time (web based solution)
- Supporting consolidation of results
- <https://iso56000.eurospi.net/>

1.5. Self-Assessment vs. Assessment with Coaching

- Case 1 – Self Assessment without Coaching**
 - Self assessor plans time per process to rate and answer
 - Internal interview plan
 - Self Assessor rating
 - Process attribute rating
 - Capability profile
 - Derived action plan
- Case 2 – Coaching Assessment**

- Self Assessor rating
- Coaching Interviews
- Rating by Coaching assessor
- Comparing the rating and conclusions
 - Comparing attribute profile
 - Comparing capability profile
 - Deriving action plan in cooperation with coach
 - Re-assessment with coach after implementation of actions
- Interview plan required (see previous slide)
- Self Assessments have one assessor
- Team assessments have more than one assessor who agree the findings and ratings

Please click one of the following units from the list below to display the assessment details:

Auto-Refresh
Edit Report Assessment

ASM.1 Assessment Process

ASM.1.BP1 Definition of a Continuous Assessment Process		
P	Oladiu Odeleye	(+) There are assessment processes which are internally used. (-) DHS process used are not defined based on international norms. (o) Innovation capability of the organization should be done based on international norms.
L	Tunde Salami	(+) The organization has a defined set of processes that can evaluate the innovation of capability of the organization. (-) The processes are not fully documented though it is noted and innovative staff in the organization are fully appraised of the processes. (o) The organization is advised to fully document all the processes and make it available to all the relevant departments in the organization.
ASM.1.BP2 The intent of the IMA is based on a continuous assessment and an improvement cycle is defined.		
P	Oladiu Odeleye	(+) There is IMA based on a continuous assessment but the improvement cycle is not well defined. (-) a continuous improvement cycle should be defined and applied.
L	Tunde Salami	(+) The organization has a procedure for continuous assessment and improvement cycle is documented, it has a form that is designed for the purpose and is reviewed regularly. (-) There is no tracking device for the cycle. (o) The organization should institute a tracking processes to monitor the improvement cycle implementation.
ASM.1.BP3 The process to identify and maintain improvements is established.		
P	Oladiu Odeleye	(+) The process to identify and maintain improvement is established. (-) there is no defined tool to track status of action plans and results.
L	Tunde Salami	(+) There is an improvement action plan for the innovation process and it is documented. (-) It needs to improve on the usage of tools to track the progress of the action plan.

ASM.2 Perform Assessments
 ASM.3 Benchmark and Improve
 DHS.0 Introduction
 DHS.1 Leadership
 DHS.2 Planning
 DHS.3 Resource Management
 DHS.4 Competence Management
 DHS.5 Innovation and Promotion

- Self Assessments have one assessor
- Team assessments have more than one assessor who agree the findings and ratings

Report to: Calculator

CALCULATION

Capability Level Attributes for Turner Wright Limited

Processes	Assessors	Attributes	1	2.1	2.2	3.1	3.2	4.1	4.2	5.1	5.2
ADP.1 Assessment Process	Tunde Salami Olasu Odofin	100%									
ADP.2 Perform Assessments	Tunde Salami Olasu Odofin	100%									
ADP.3 Benchmark and Improve	Tunde Salami Olasu Odofin	100%									
DHS.1 Introduction	Tunde Salami Olasu Odofin	100%									
DHS.1 Leadership	Tunde Salami Olasu Odofin	100%									
DHS.2 Planning	Tunde Salami Olasu Odofin	100%									
DHS.3 Resource Management	Tunde Salami Olasu Odofin	100%									
DHS.4 Compliance Management	Tunde Salami Olasu Odofin	100%									
DHS.5 DHS Implementation and Operation	Tunde Salami Olasu Odofin	100%									

Assessor Team Consolidation if more than one rating apart e.g. N-L, P-F, etc.

2. Innovation Management Assessment Process

2.1. ISO/TR 56004 Innovation Management Assessment Process

What is the Objective of an Assessment?

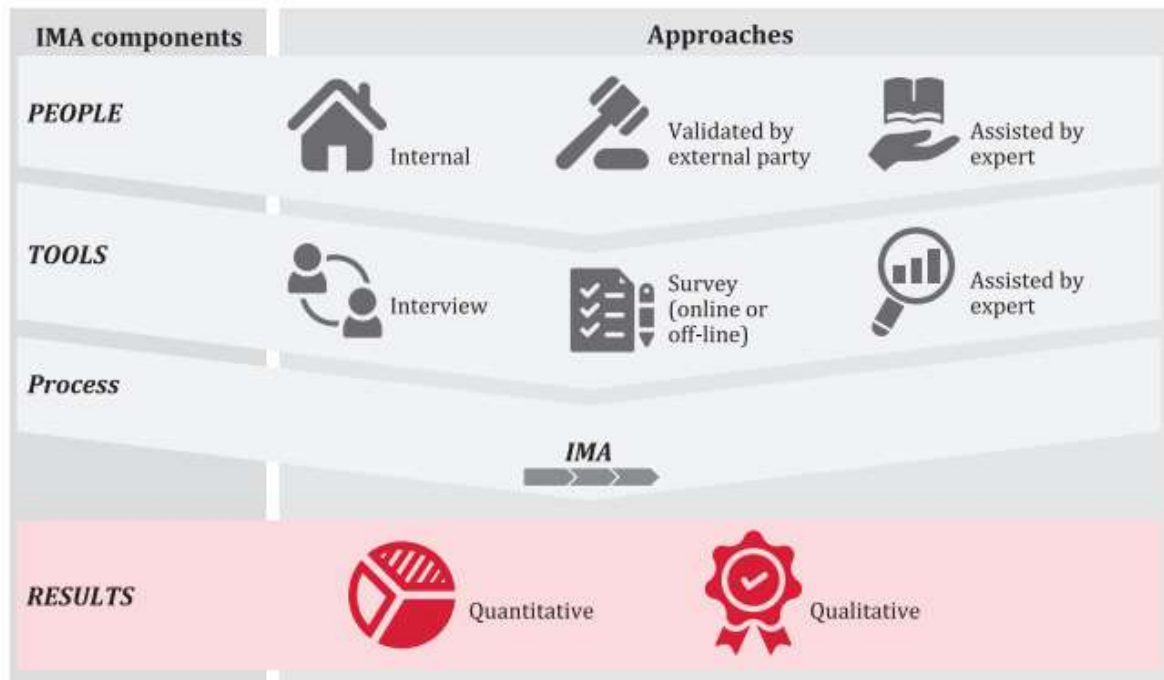
- Gain a better **understanding** of the Innovation Management Processes in the Organization
- Identify **strengths/weaknesses** and determine the performance of the current Innovation Management Processes
- Meet internal or external requirements (e.g. certain Innovation Management Maturity)
- **Improve** the performance and increasing the value of the organization → to reach the level of a high-performing innovator.
- **Benchmark** with other organisations

Requirements from the ISO/TR 56004

- No clear **requirements** or process how to conduct an Innovation Management Assessment (IMA)
- It can be a very **simple** high-level scan, based on only a few questions or very detailed investigation, based on qualitative and/or quantitative questions.

- It can be performed **internally** by a dedicated team or **external** assessors/experts
- A combination of interviews, surveys and desk research can be used to produce assessment results.

Key components of, and approaches to, Innovation Management Assessment



BENCHMARKING?

- To compare assessment results, the same approach has to be used
- The assessment shall be conducted based on an agreed set of questions/expected outcomes
- A rating scale shall be unified
- The process capability/maturity must be measured
- Same level of understanding and expectations for Innovation Management Process outcomes has to be ensured

ISO Standards for Process Assessment

Any ISO Standards for Process Assessment to Support the IMA Assessment ?

ISO/IEC 330XX: Series of
standards for Process
assessments

INTERNATIONAL
STANDARD

ISO/IEC
33020

Second edition
2019-11

**Information technology — Process
assessment — Process measurement
framework for assessment of process
capability**

*Technologies de l'information — Évaluation du processus — Cadre de
mesure du processus pour évaluer la capacité du processus*

ISO 33020

- Defines a **process measurement framework** for the process quality characteristic of process capability.
- The process measurement framework in the ISO 33020 conforms to the requirements of ISO/IEC 33003 and is applicable to any **domain**.
- The process measurement framework defined in the ISO 33020 forms a structure which
 - facilitates self-assessment,
 - provides a basis for use in process improvement and process quality determination,
 - is applicable across all application domains and sizes of organization,
 - produces a set of process (capability) attribute ratings (process profile), and
 - derives a process capability level

2.2. Process Assessments based on ISO 33020

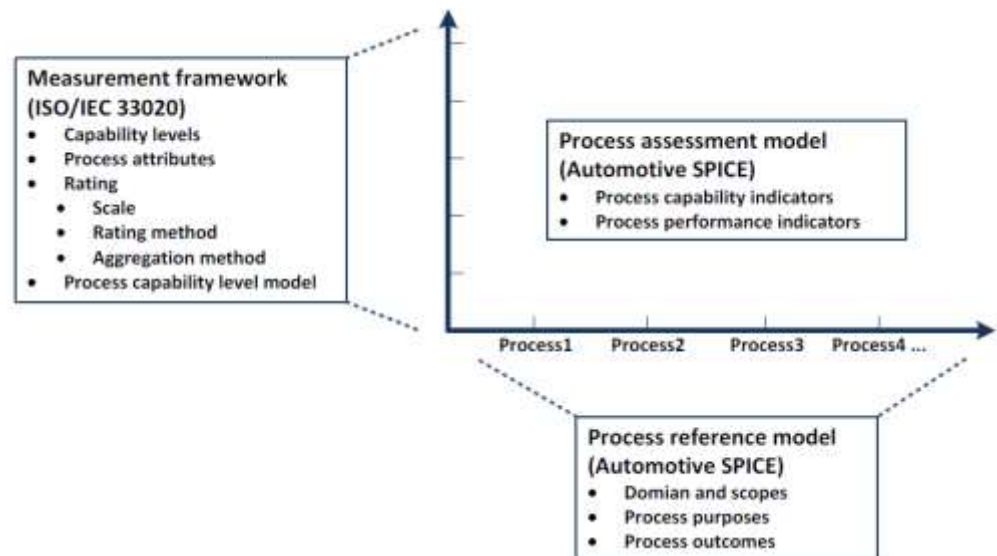
Overall Rating Concept 1/2

Y-axis:

Every process is rated on a capability level scale of 0-5 (ISO/IEC 33020)

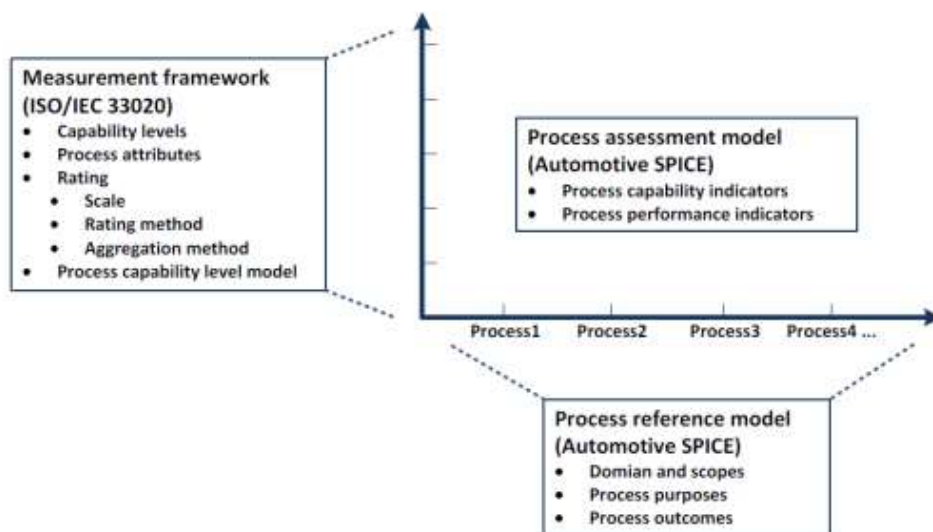
X-axis:

Every process is described with purpose, practices, and work products (ISO/IEC 33004)



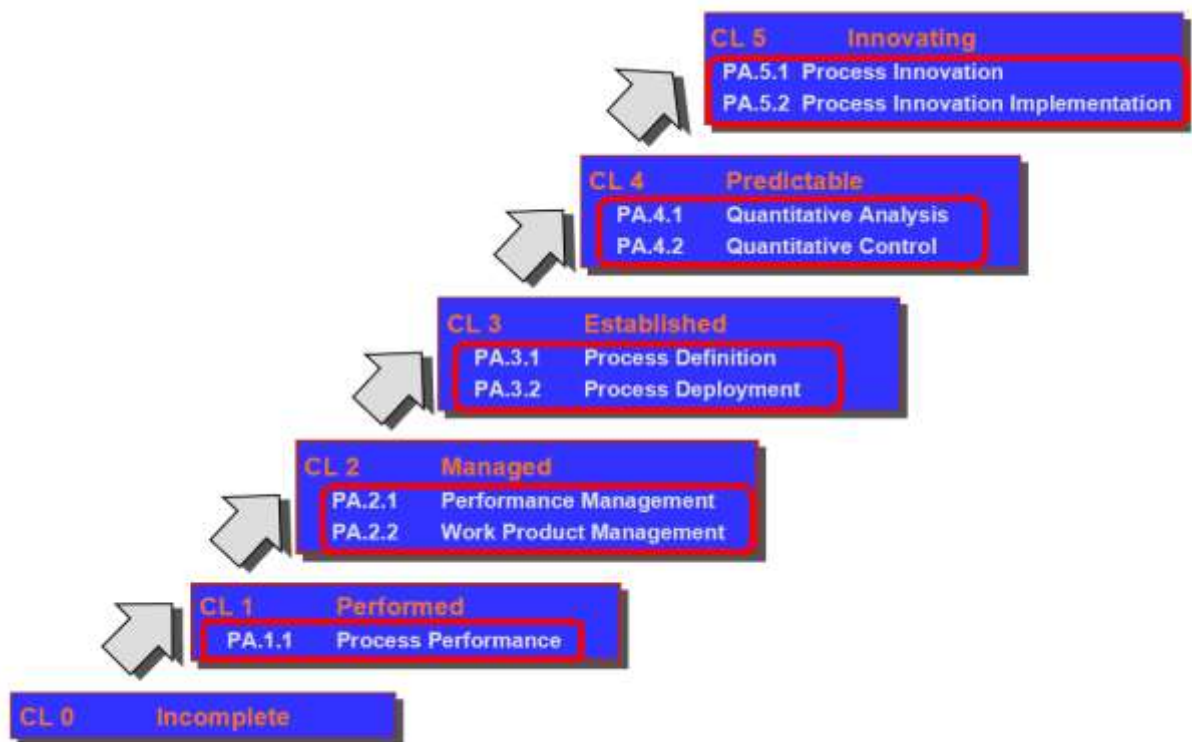
Overall Rating Concept 2/2

- Capability level Profile:
- Every process has a capability level and in total a process profile is presented



Firstly: what

Every process for level 1 needs to fulfil so called base practices (doing) and on level 2 – 5 efficiency and effectiveness of the doing is rated.



Secondly: What rating can be given to a Process Attribute

Not achieved 0% to 15 %

“There is little or no evidence of achievement of the defined attribute in the assessed process.”

Partially achieved > 15 % to 50 %

“There is some evidence of an approach to, and some achievement of, the defined attribute in the assessed process. Some aspects of achievement of the attribute may be unpredictable.”

Largely achieved > 50 % to 85 %

“There is evidence of a systematic approach to, and significant achievement of, the defined attribute in the assessed process. Some weakness related to this attribute may exist in the assessed process.”

Fully achieved > 85 % to 100 %

“There is evidence of a complete and systematic approach to, and full achievement of, the defined attribute in the assessed process. No significant weaknesses related to this attribute exist in the assessed process.”

Rating Interpretation in Practice

Not achieved 0% to 15 %

Outcome/achievement not existent, or content judged unacceptable

Partially achieved > 15 % to 50 %

Some outcomes/achievements implemented, but projects/OUs still incapable of reaching quality, time, or budget goals & targets

Largely achieved > 50 % to 85 %

Outcome/achievement implies a significant likelihood, however no certainty, of reaching quality, time, and budget goals & targets

Fully achieved > 85 % to 100 %

No process risk with respect to quality, time, budget goals & targets identified, even in presence of imperfections

Rating Example

- Rating Not
 - Only 10% of the collected innovation ideas have been reviewed so far.
 - Only 10% of the planned innovation tasks have been planned so far.
- Rating partially
 - One third of the collected innovation ideas have been reviewed so far.
 - One third of the planned innovation tasks have been planned so far.
- Rating largely
 - Two thirds of the collected innovation ideas have been reviewed so far.
 - Two thirds of the planned innovation tasks have been planned so far.
- Rating fully
 - More than 85% of the collected innovation ideas have been reviewed so far.
 - More than 85% of the planned innovation tasks have been planned so far.

Process Definition

- Identifier
- Name
- Purpose Statement
- Outcome List
- Base Practices

Process Definition Example – Ams.1 Assessment process 1/3 (ISO/IEC 33004)

- Identifier: ASM.1

- Process name: Assessment Process
- Purpose Statement: The purpose of this process is to establish and define a continuous innovation management assessment and improvement cycle.

Process Definition Example – Ams.1 Assessment process 2/3

- Outcomes of ASM.1
 - 1. An innovation management assessment process is defined based on international norms that allow innovation assessment benchmarking
 - 2. A continuous improvement cycle of innovation assessments and improvements is defined / established
 - 3. Improvement action plans are established and tracked.

Process Definition Example – Ams.1 Assessment process 2/3

- Base Practices
- **AMS.1.BP1 Definition of a Continuous Assessment Process.** There is a defined set of areas/processes which are assessed to evaluate the innovation capability of the organisation. (relates to Outcome 1)
- **AMS.1.BP2 The intent of the IMA is based on a continuous assessment and improvement cycle is defined.** The innovation management system assessments are planned, continuously repeated in cycles and improvement action plans for the IMS are derived and tracked. (relates to Outcome 2)
- **AMS.1.BP3 The process to identify and maintain improvements is established.** The assessment results include a report of strengths and weaknesses and for the weaknesses actions are defined, and tracked, and solved. Solved issues are being re-evaluated in the next assessment. (relates to Outcome 3)

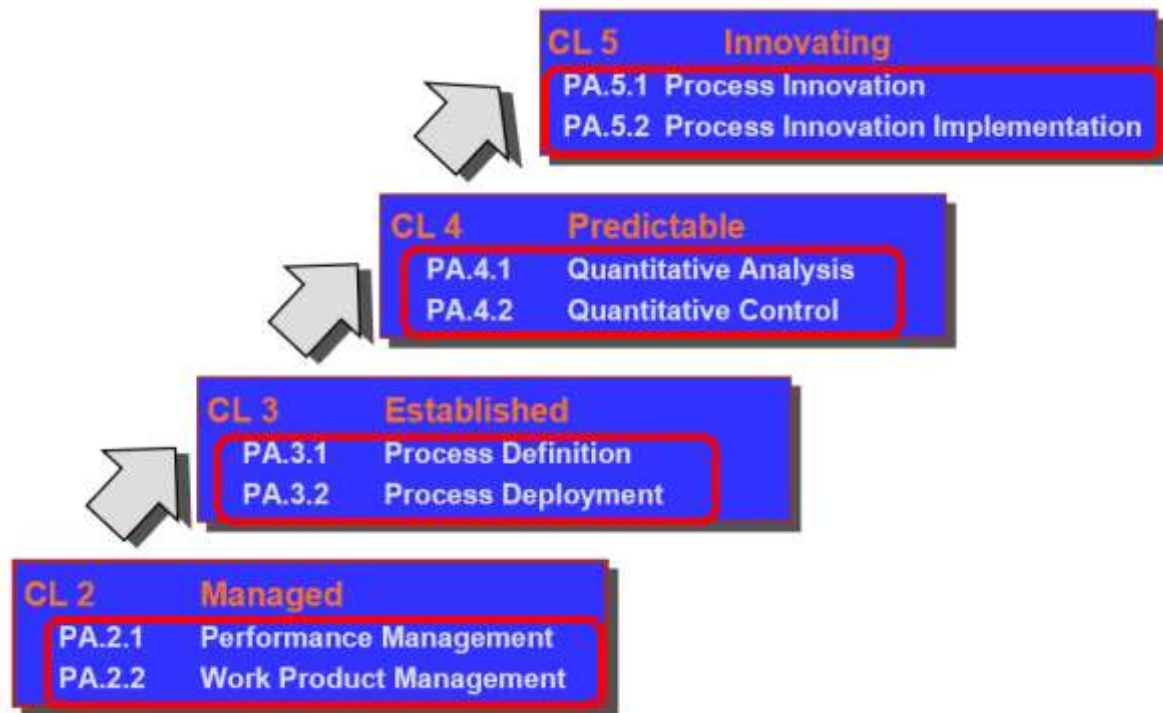
Rating Level 1 – example for process “ASM.1”

- Rating Level 1 means rating of base practices with N/P/L/F
- Rating the process attribute PA 1.1 (see Capability Levels) means to aggregate all N/P/L/F ratings and map them to a N/P/L/F percentage scale for the process on level 1
- E.g. average algorithm for values N = 0, P = 0.33, L = 0.66, F = 1.
- Note: The assessor community allows for experienced assessors to overrule this average based percentage algorithm.

Indicator		Rating	
BP 1	Definition of a Continuous Assessment Process	L	} PA 1.1 = F
BP 2	Continuous assessment & improvement cycle.	F	
BP 3	Review technical development...	F	

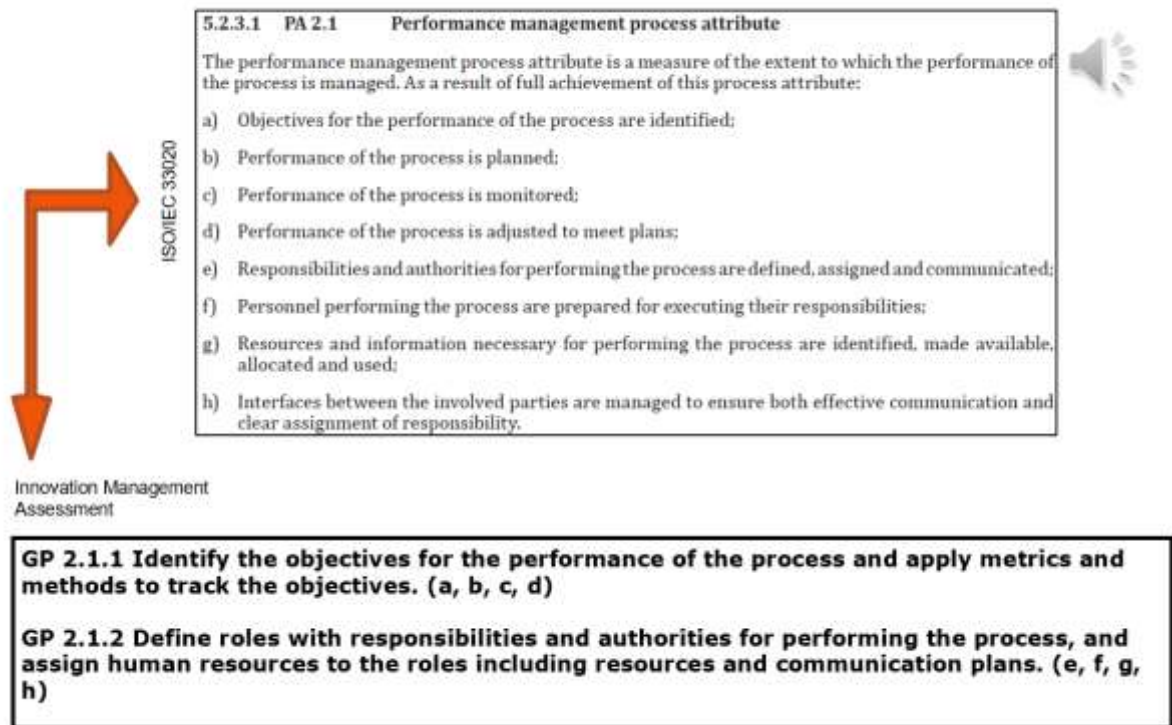
Rating at Higher Levels

- Each PA (Process Attribute) has generic efficiency and effectiveness practices.
- They are called GPs (Generic Practices) since they are asked generically for each process separately.
- Also GPs are rated with the N/P/L/F scale.



PA 2.1 GP 2.1.x are derived from the corresponding 'PA achievements' defined in ISO/IEC 33020

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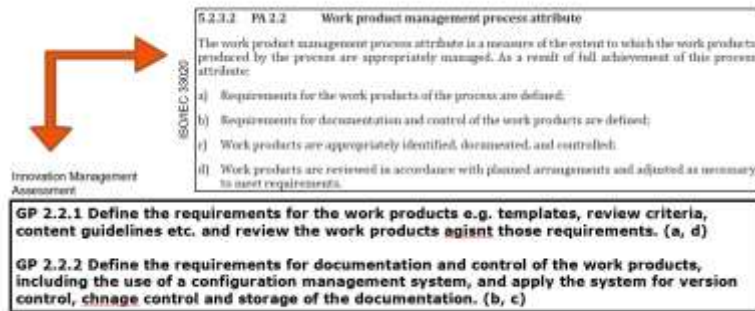


Rating level 2 to 5 = Rating Generic Practices based on the ISO 33020 Measurement Framework

Interpretation Example ASM.1 for PA 2.1 Performance Management

- GP 2.1.1
 - #of assessments planned, e.g. 1 per year per product or service domain
 - Gantt plan / schedule showing the assessment and improvement milestones and activities.
 - Monthly status report about improvement actions derived from assessments
 - Escalation of action items which are overdue more than 4 weeks.
- GP 2.1.2
 - the role of assessors, and assessment coordinator are assigned.
 - Resources for assessments and improvements are available as a budget.
 - The assessment results and improvement actions are reported in regular meetings.

PA 2.2 GPs 2.2.x are derived from the corresponding 'PA achievements' defined in ISO/IEC 33020



Rating level 2 to 5 = Rating GEneric Practices based on the ISO 33020 measurement Framework

Interpretation Example ASM.1 for PA 2.2 Work Product Management

- GP 2.2.1
 - There are templates for assessment reports, templates for planning the assessments, standard fields to be used in tracking actions
 - The IM team applied these tools and results are stored as planned.
- GP 2.2.2
 - There is a plan where the documents and assessment results are stored and which tracking system is to be used.
 - The assessment reports and the actions are regularly reviewed and review feedback is considered.

Rating e.g. Level 2 – example for process “ASM.1”

Indicator		Rating	
BP 1	Definition of a Continuous Assessment Process	L	PA 1.1 = F
BP 2	Continuous assessment & improvement cycle.	F	
BP 3	Review technical development...	F	
GP 2.1.1	Identify and plan objectives and monitor and adjust performance	L	PA 2.1 = L
GP 2.1.2	Define responsibilities, identify, prepare resources... And manage interfaces	L	
		P	
		P	
		L	
		F	
		F	
GP 2.2.1	Define requirements and Review/adjust WP	L	PA 2.2 = F
GP 2.2.2	Define req. for doc/control and Identify/document/control WP	F	
		F	
		F	

Process Attribute Profile

- Each process area shown with a rating per process

CALCULATION

Capability Level Attributes for Demo ISO 56000 Assessment

Processes	Assessors	Attributes									
		1	2.1	2.2	3.1	3.2	4.1	4.2	5.1	5.2	
ASM.1 Assessment Process	Richard Messnarz	F	L	F	P	P					
IMS.0 Introduction	Richard Messnarz	L	L	F	L	L					
		1	2.1	2.2	3.1	3.2	4.1	4.2	5.1	5.2	

Process Capability Profile

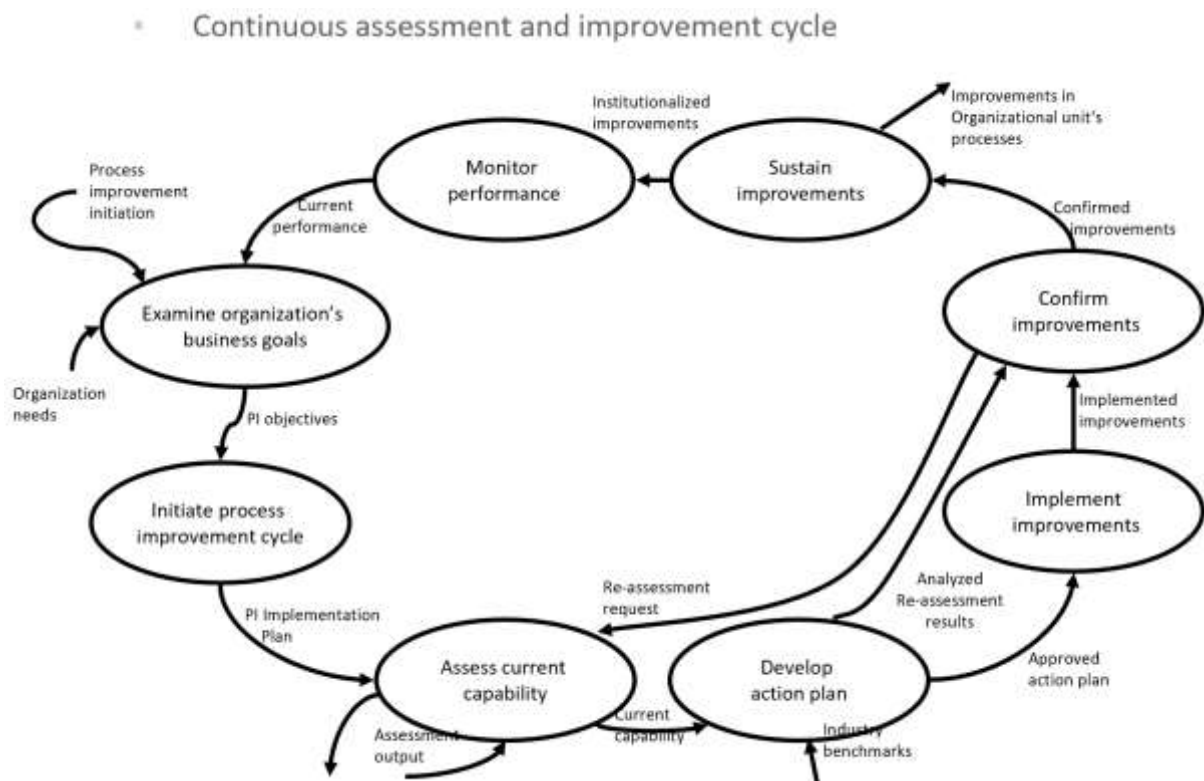
- Each process area shown with a capability level, the capability level calculation is standardised by ISO 33020.

Capability Level Attributes for Demo ISO 56000 Assessment

PROCESSES	ASSESSORS	CAPABILITY LEVEL				
		1	2	3	4	5
ASM.1 Assessment Process	Richard Messnarz	2				
IMS.0 Introduction	Richard Messnarz	1				
		1	2	3	4	5

process _A	F	F	F	L/F	L/F	→ Capability Level 3
process _B	F	L/F	L/F			→ Capability Level 2
process _C	L/F					→ Capability Level 1
	PA 1.1	PA 2.1	PA 2.2	PA 3.1	PA 3.2	

A capability level X is reached if its PAs are at least "L",
and all lower PAs are "F"



3. Performing an Innovation Management Assessment

Part 1: Conduct an Innovation Management Assessment

Part 2: Example of conducting an assessment

Part 3: Conclude an Innovation Management Assessment

Part 4: Start an Improvement Program

3.1. Assessment Setup, Basic Terms and Examples

Requirements from the ISO/TR 56004

- A successful IMA is likely to be performed in the following sequence:
 - set-up of the tool(s);
 - quantitative and qualitative data collection;
 - data analysis;
 - identification and development of recommendations for IM and IMA improvement.

- Ensure that the Assessment is created for the processes in scope in the selected tool
→ <https://iso56000.eurospi.net/>
- Ensure that all co-assessors have access to the tool
- Ensure that all co-assessors are familiar with the tool → e.g. provide coaching or send them guidelines or instructions how to use the tool



Access to Portal

<https://iso56000.eurospi.net>

- Web based assessment portal
- ISO 56000 and ISO 33020 combined



Access to Portal

<https://iso56000.eurospi.net>

- LOGIN – TIMS REGISTRATION
- Register once and remember your userid and password.
- Next time do NOT register again, just LOGIN as an Assessor.

The screenshot shows the homepage of the Capability Adviser web application. At the top, there is a navigation bar with links: About, Software Process Assessment, Process Assessment Model, Browse Domains, Login, and Help. Below the navigation bar, the main content area is divided into several sections. On the left, there is a section titled 'THE GOALS' with a green header, followed by a pyramid diagram with five levels labeled 1 to 5. In the center, there is a welcome message: 'Welcome to the Capability Adviser Web Assessment for ISO56000 Benchmarking!'. To the right of the welcome message, there is a list of improvements in Version 9.0, including improved security, stability, and speed, as well as new features like assessment schedule overview and rating overview window. Below the list, there is a note that the application is now using PHP 8. At the bottom of the page, there is a footer with the text 'EURO SPY Certificates & Services GmbH' and logos for the European Union and TIMS.

Capability Adviser

Navigation: About | Software Process Assessment | Process Assessment Model | Browse Domains | Login | Help

THE GOALS

Establish plans for improvements
Benchmark with international standards
Increase the competitiveness on the market

Welcome to the Capability Adviser Web Assessment for ISO56000 Benchmarking!

In Version 9.0 we:

- improved security *
- improved stability *
- improved speed *
- added an assessment schedule overview
- added a rating overview window
- added support for multiple word templates
- added assessor notepad to track ToDos, etc.
- added styling options for PPT exports
- improved filtering options in the benchmarking view
- improved filtering options for excel exports
- fixed some minor bugs

* this is made possible because we are now using PHP 8.

The Capability Adviser is a web based team assessment tool, supporting an ISO56000 Assessment Model. Joint innovation assessments and creating assessment reports has never been easier.

Visit the Capability Adviser product page at: www.capability-adviser.com

The adaptation and configuration of the Capability Adviser assessment system has been supported by the EU project TIMS (Agreement Number: 2021-1-LV01-KA220-VET-000033201, ISO 56000 Innovation/Management Norm; Training in Innovation/Management System for Sustainable SPIs). In this case the publications (assessment model) reflect the views only of the author(s), and the Commission cannot be held responsible for any use which may be made of the information contained therein.

Co-funded by the Erasmus+ Programme of the European Union

EURO SPY Certificates & Services GmbH

TIMS

- LOGIN – TIMS REGISTRATION
- Register once and remember your userid and password.
- Next time do NOT register again, just LOGIN as an Assessor.

THE GOALS

Establish plans for improvements
 Benchmark with international standards
 Increase the competitiveness on the market



Sign up for a TIMS Account

Company Profile

Company (Project) Name

Assessing Organisation

Select an organisation

Account Information

Username

Password

Retype Password

The adaptation and configuration of the Capability Adviser assessment system has been supported by the EU project TIMS (Agreement Number: 2021-3-LV01-KA220-VET-000033281, ISO 56000 InnovationManagement Norm: Training in InnovationManagement System for Sustainable SMEs). In this case the publications (assessment model) reflect the views only of the author(s), and the Commission cannot be held responsible for any use which may be made of the information contained therein.

Co-funded by the
 Erasmus+ Programme
 of the European Union



EURO SPN Certificates & Services GmbH

- LOGIN – TIMS REGISTRATION
- Register once and remember your userid and password.
- Next time do NOT register again, just LOGIN as an Assessor.

Please select one of the following assessments:

– Test Company Athens 2

» Test Company Athens 2 ISO 56000 Assessment

Select the company

Data Collection

- Collect data prior/for to the assessment (if possible) such as:
 - Innovation vision, strategy
 - Innovation and organization and culture
 - Organization structure

- Results of innovation
- Be aware! Not all data can be collected before or for the assessment, especially if the assessment is performed on an external organisation!
- Typically some data is collected before but most of the data is collected during the assessments in interview sessions.
- Data which is collected for the assessment and used to rate the process is called **evidence**.

Evidences

- Evidences are data which is collected and used to rate the process!
- This could be:
 - Documents, Procedures
 - Results of Innovation Management Projects
 - Reports, Records, Measurements, Minutes, E-Mails
 - Results documents in Tools
 - Demonstrations of a system

Data analysis

- The data analysis step is focused on the interpretation of data and gap identification! (see ISO 56004 Part 8.3.1)
- The results shall lead to the understanding of the root causes of the Innovation Management strengths and weaknesses that have been identified.
- Typically in an Assessment the data collection and data analysis steps are often combined.
- Interview sessions are used to assess the process with the performer(s) of the process
- During the interview notes are taken by the assessors and evidences documented which were provided.
- Based on the interview statements and evidences the process is being rated.

Access to Portal

- Tree of Processes
- Level 1 (Base Practices) per process – WHAT IS DONE
- Levels 2 to 5 (Generic Practices) - How efficient it is done (ISO 33020)

Capability  Adviser

Please select one of the following assessments:

- ISO56000 Trial TIMS
 - » TIMS Integrated ISO56000 Assessment

Select the assessment

- Tree of Processes
- Level 1 (Base Practices) per process – WHAT IS DONE
- Levels 2 to 5 (Generic Practices) - How efficient it is done (ISO 33020)

Select a process in the process list

Capability Adviser

All Assessments Evidences Export Rating Settings Raspberry Help

TIMS Integrated ISO56000 Assessment

All Units

- + ASM.1 Assessment Process
- + ASM.2 Perform Assessments
- + ASM.3 Benchmark and Improve
- + IMS.0 Introduction
- + IMS.1 Leadership
- + IMS.2 Planning
- + IMS.3 Resources Management
- + IMS.4 Competence Management
- + IMS.5 IMS Implementation and Operation
- + IMS.6 Performance Evaluation
- + IPM.1 IPM Framework
- + IPM.2 IP Strategy
- + IPM.3 IP Management in Innovation Process
- + SIM.1 Strategic Intelligence Management Setup
- + SIM.2 Strategic Intelligence Cycle
- + SIM.3 Intelligence Communication
- + TAM.1 Innovation Partnership Framework
- + TAM.2 Entering an Innovation Partnership
- + TAM.3 Partner Selection
- + TAM.4 Partner Alignment
- + TAM.5 Interaction between Partners
- + TIM.1 Preparing for Idea Management
- + TIM.2 People and Organisation
- + TIM.3 Idea Management Process and Activities

WHAT IS DONE

- Levels 2 to 5 (Generic Practices) - How efficient it is done (ISO 33020)

Capability Adviser

All Assessments Evidences Export Rating Settings Raspberry Help

TIMS Integrated ISO56000 Assessment

All Units

- + ASM.1 Assessment Process
- + ASM.2 Perform Assessments
- + ASM.3 Benchmark and Improve
- + IMS.0 Introduction
- IMS.1 Leadership
 - » IMS.1.1
 - » IMS.1.2
 - » IMS.1.3
 - » IMS.1.4
 - » IMS.1.5
- + IMS.2 Planning
- + IMS.3 Resources Management
- + IMS.4 Competence Management
- + IMS.5 IMS Implementation and Operation
- + IMS.6 Performance Evaluation
- + IPM.1 IPM Framework
- + IPM.2 IP Strategy
- + IPM.3 IP Management in Innovation Process
- + SIM.1 Strategic Intelligence Management Setup
- + SIM.2 Strategic Intelligence Cycle
- + SIM.3 Intelligence Communication
- + TAM.1 Innovation Partnership Framework
- + TAM.2 Entering an Innovation Partnership
- + TAM.3 Partner Selection

Select level 1 to see the base practices (what needs to be done)

- Per Process on Level 1 the Base Practices
- Base practices rated with N(ot)/P(artially)/L(argely)/F(ully)
- Commenting is possible – Strengths/Weaknesses

Capability Adviser

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 - » IMS.1.5
- + IMS.2 Planning
- + IMS.3 Resources Management
- + IMS.4 Competence Management
- + IMS.5 IMS Implementation and

Leadership

IMS.1.1: Summary Notes Save All Evidences Recommendations Rules

IMS.1.BP1 Top management should demonstrate leadership and commitment with respect to the innovation management system by being accountable for the effectiveness and efficiency of the innovation management system. This is done by:

- a) establishing the innovation vision, strategy, policy, and objectives
- b) fostering a culture supporting innovation activities;
- c) integrating the organization's innovation management system requirements into the organization's existing structures and business processes, as appropriate;
- d) creating awareness and communicating the importance of effective innovation management and supporting persons to contribute to the effectiveness of the innovation management system; (learning from both successes and failures)
- e) ensuring that the innovation management system achieves its intended outcomes and promoting performance evaluation at planned intervals for continuous improvement

[Outcome 1]

N P L F Not App Note

Base Practices with rating scale

- Per Process on Level 1 the Base Practices
- Outcomes are mapped by numbering e.g. Outcome 1

Click Base Practice Text to see the Outcomes

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- e) ensuring that the innovation management system achieves its intended outcomes and promoting performance evaluation at planned intervals for continuous improvement

[Outcome 1]

N P L F Not App Note

Outcomes:

1. Top management demonstrating leadership.
2. The establishment of an innovation process with phases idea creation, selection, implementation and exploitation.
3. An established innovation vision.
4. A documented innovation strategy.

- Per Process on Level 1 the Base Practices
- Related norm chapters can be displayed

Capability Adviser

EURO SPY

All Assessments Evidences Export Rating Settings Raspberry Help Logout

TIMS Integrated ISO56000 Assessment

All Units

- + ASM.1 Assessment Process
- + ASM.2 Perform Assessments
- + ASM.3 Benchmark and Improve
- + IMS.0 Introduction
- **IMS.1 Leadership**
 - » IMS.1.1
 - » IMS.1.2
 - » IMS.1.3
 - » IMS.1.4
 - » IMS.1.5
- + IMS.2 Planning
- + IMS.3 Resources Management
- + IMS.4 Competence Management
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- + TAM.1 Innovation Partnership

Leadership

IMS.1.1: Summary Notes Save All Evidences Recommendations Rules

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- ensuring that the innovation management system achieves its intended outcomes and promoting performance evaluation at planned intervals for continuous improvement

[Outcome 1]

N ☐ P ☐ L ☐ F ☐ Not App. ☒ Note

Relates to ISO 56002 Clause 5.1

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

Rating Guidance:

N(ot) - the related outcomes do not exist,
P(artly) - the BP related content in the referenced outcomes exists as a draft and is incomplete,
L(argely) - the BP related content in the referenced outcomes exists and is agreed among the innovation team and released BUT misses still some topics to be complete,

Click Base Practice ID to get the underlying norm mapping

- Per practice the rating can be commented
- Strengths, Weaknesses, Comments in general

IMS.1.1: Summary Notes Save All Evidences Recommendations Rules

☒ **IMS.1.BP1** **Top management should demonstrate leadership and commitment with respect to the innovation management system by being accountable for the effectiveness and efficiency of the innovation management system.** This is done by:

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- ensuring that the innovation management system achieves its intended outcomes and promoting performance evaluation at planned intervals for continuous improvement

[Outcome 1]

N ☐ P ☐ L ☒ F ☐ Not App. ☐ Note

Strengths:

Vision statement in the intranet
Lessons learned cycles from projects

Weaknesses:

Open innovation is part of the vision statement but connecting internal experts to teams to outside partners not supported so far

Comments/Suggestions:

Extra innovation agent role defined and assigned at top management level

Save Clear Other Notes Copy Weaknesses

Open Comment Windows with Menu Item Notes, Open Comment Windows with Menu Item Notes

Best practices for performing Interviews

- Use sequences of open/probing/closed questions to control the information flow efficiently.
- Ask your questions in a way that the coverage of the model is not accidental but well-managed
- When it comes to weaknesses doublecheck with the interviewees that you are on the same page
- The interviewee usually doesn't understand the model and its terminology, and you have to translate your question accordingly.
- You might need to do some tutoring and give examples to get the interviewees ready for your question.

Example on how an assessment is performed

3.1.1. Step 1: Align the scope

- Contact the assessment sponsor and align on the processes to be assessed e.g. **Innovation Management System**
- Align the interview plan with the sponsor/coordinator

Date	Process	Start Time	End Time	Interview	Support
15.06.2023	Opening Meeting / Company Presentation	08:30	08:45	Innovation Team	
	IMS.1 Leadership	08:45	09:45	D. Smith - Project Manager	J. Jones Department Manager
	Break	09:45	10:00		
	IMS.2 Planning	10:00	11:15	D. Smith - Project Manager	J. Jones Department Manager
	Break	11:15	11:30		
	IMS.3 Resources Management	11:30	12:30	D. Smith - Project Manager	J. Jones Department Manager
	Lunch	12:30	13:30		
	IMS.4 Competence Management	13:30	13:30	K. Williams (HR)	D. Smith - Project Manager

3.1.2. Step 2: Collect data

- Collect Data before the Interview
- For Competence Management this could be:
 - Competence Matrix
 - Roles and Responsibilities in the Organisation
 - Training Plan
 - Evidences of Trainings Performed
 - List of External Staff

- Typically this kind of documentation is considered as sensitive data, the organization can also send only templates or examples without any actual data in order that the assessor prepares before the interviews

3.1.3. Step 3: Start Assessment

- Login to the Assessment Tool and select the process to be assessed:

Competence Management

IMS.4.1: Summary Issues Base All Evidence Recommendations Rules

☐ **IMS.4.BP1** **Establish competence management.** The organization establishes an approach for the development and management of competencies (e.g., competence matrix and annual assessment; learning activities).
The organization:
1. determines the necessary competencies and ensures that involved persons are competent;
2. identifies competency gaps and takes actions to acquire and continuously evaluate, improve, and renew the necessary competence, and evaluate the effectiveness of the actions taken;
3. considers the need for outsourced competence; and establishes the necessary connections and collaborations between people with different competencies;
4. considers the need for aligning internal competencies with relevant external interested parties;
5. retains appropriate documented information as evidence of competence.
[Outcomes 1, 2]

N ☐ P ☐ L ☐ F ☐ Not App. ☒ Note

☐ **IMS.4.BP2** **Communicate innovation strategy, vision and results to stakeholders.** The organization ensures the awareness of all relevant persons (e.g., management, employees, customers, suppliers, partners, etc.) of the innovation vision, strategy, policy, and objectives, the importance of innovation, their contribution and benefits of innovation, the consequences, and the available support.
[Outcome 3]

N ☐ P ☐ L ☐ F ☐ Not App. ☒ Note

☐ **IMS.4.BP3** **Involve internal and external stakeholders.** The organization determines the internal and external communication relevant to innovation management (e.g., communication plan; authorities and responsibilities; meeting minutes). It should consider on what, why, when, with whom to, how to, and who will contribute.
[Outcome 4]

N ☐ P ☐ L ☐ F ☐ Not App. ☒ Note

3.1.4. Step 4: Perform Interview

Check for Outcomes

- Go through the Outcomes from the Process and check for existing of the outcomes.

☒ **IMS.4.BP1** **Establish competence management.** The organization establishes an approach for the development and management of competencies (e.g., competence matrix and annual assessment; learning activities).
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4. considers the need for aligning internal competencies with relevant external interested parties;
5. retains appropriate documented information as evidence of competence.
[Outcomes 1, 2]

N ☐ P ☐ L ☒ F ☐ Not App. ☐ Note

Outcomes:
1. A Skills Gap Analysis.
2. A Competence Matrix (who provides which competence to the team and are all required competences covered).
3. A communication plan.

- Ask the Interview to show you the Skill Gap Analysis and the Competence Matrix (only Outcomes 1 and 2 are relevant to this BP)

3.1.5. Step 5: Rate the Outcomes and Document the Strengths/Weaknesses

After the interviewed person explained and showed you the competence matrix, you need to document what was presented to you as an evidence and perform a rating

✓ **IMS.4.BP1** **Establish competence management.** The organization establishes an approach for the development and management of competencies (e.g., competence matrix and annual assessment; learning activities).
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5. retains appropriate documented information as evidence of competence.
[Outcomes 1, 2]

N ☐ P ☒ L ☐ F ☐ Not App. ☐ Note ☒

Strengths:
The HR has a tool called Competence Center, where the competence matrix is documented, where competences were defined by using the National Qualification Framework and organization related needs for the role.

Weaknesses:
Missing skill gap analysis

3.1.6. Step 6: Document Evidences

Document which evidences have been presented by the interviewed person.

It must be evident on what basis the rating has been performed and what evidences were presented.

IMS.4 1: ☒ Summary ☒ Notes ☒ Save All ☒ Evidences ☒ Recommendations ☒ Rules

Title	Description	
<input checked="" type="checkbox"/> Competence Center	Competence Management System	<input checked="" type="checkbox"/> Edit <input type="checkbox"/>
<input checked="" type="checkbox"/> Innovation Management Role Description		<input checked="" type="checkbox"/> Edit <input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/> +

3.1.7. Step 7: Continue with the next Base Practice

- Perform the interviews for the next Base Practice

✕ **IMS.4.BP1 Establish competence management.** The organization establishes an approach for the development and management of competencies (e.g., competence matrix and annual assessment; learning activities).
The organization
1. determines the necessary competencies and ensures that involved persons are competent;
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5. retains appropriate documented information as evidence of competence.
[Outcomes 1, 2]
N ☐ P ☐ L ☒ F ☐ Not App. ☐ Note ☐

➡ **IMS.4.BP2 Communicate innovation strategy, vision and results to stakeholders.** The organization ensures the awareness of all relevant persons doing work under the organization control (e.g., perceptual survey results; stakeholders meeting minutes). The stakeholders are aware of the innovation vision, strategy, policy, and objectives, the importance of innovation, their contribution and benefits of innovation, the consequences, and the available support.
[Outcome 3]
N ☐ P ☐ L ☐ F ☐ Not App. ☐ Note ☒

Rating Scale

- ISO 56004 is not defining any rating scale, therefore as a best practice the rating scale from the ISO/IEC 33020 has been reused!

Access to Portal

- Per assessment the rating of all processes can be seen based on ISO 33020 profiles

Capability Adviser

All Assessments Evidences Export Rating Settings

TIMS Integrated ISO56000 Assessment

All Units
+ ASM.1 Assessment Process
+ ASM.2 Perform Assessments

Overview
Consolidation
Calculation
Consistency
Copy to ISCN Report

Rating Calculation

- Per assessment the rating of all processes can be seen based on ISO 33020 profiles

Each process per level shown with an aggregated N/P/L/F rating

Export to Calculate		
CALCULATION		
Capability Level Attributes for TIMS Integrated ISO56000 Assessment		
Processes	Assessors	Attributes 1 2.1
IMS.1 Leadership	Richard Messnarz	L
IMS.2 Planning	Richard Messnarz	F
IMS.3 Resources Management	Richard Messnarz	P
IMS.4 Competence Management	Richard Messnarz	F
IMS.5 IMS Implementation and Operation	Richard Messnarz	L
IMS.6 Performance Evaluation	Richard Messnarz	F
IPM.1 IPM Framework	Richard Messnarz	P
IPM.2 IP Strategy	Richard Messnarz	P
IPM.3 IP Management in Innovation Process	Richard Messnarz	P
SIM.1 Strategic Intelligence Management Setup	Richard Messnarz	L
SIM.2 Strategic Intelligence Cycle	Richard Messnarz	L

Per assessment the rating of all processes can be seen based on ISO 33020 profiles

Export to

Calculate

Excel

PDF

Capability Level Attributes for TIMS Integrated ISO56000 Assessment

Processes

Assessors

Attributes

12.12.23.13.24.14.25.15.2

IMS.1 Leadership

Richard Messnarz

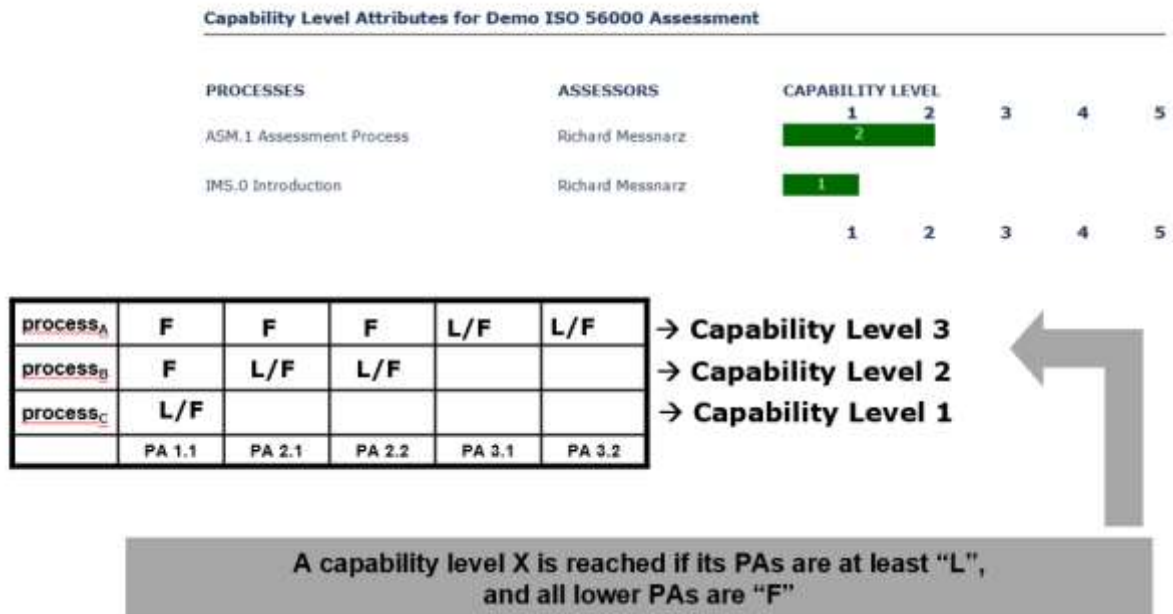
L

UNIT	1	2.1	2.2	3.1	3.2	4.1	4.2	5.1	5.2
IMS.1	L								
IMS.2	F								
IMS.3	P								
IMS.4	F								
IMS.5	L								
IMS.6	F								
IPM.1	P								
IPM.2	P								
IPM.3	P								
SIM.1	L								
SIM.2	L								
SIM.3	L								
TIM.1	L								

PDF file – profile exported

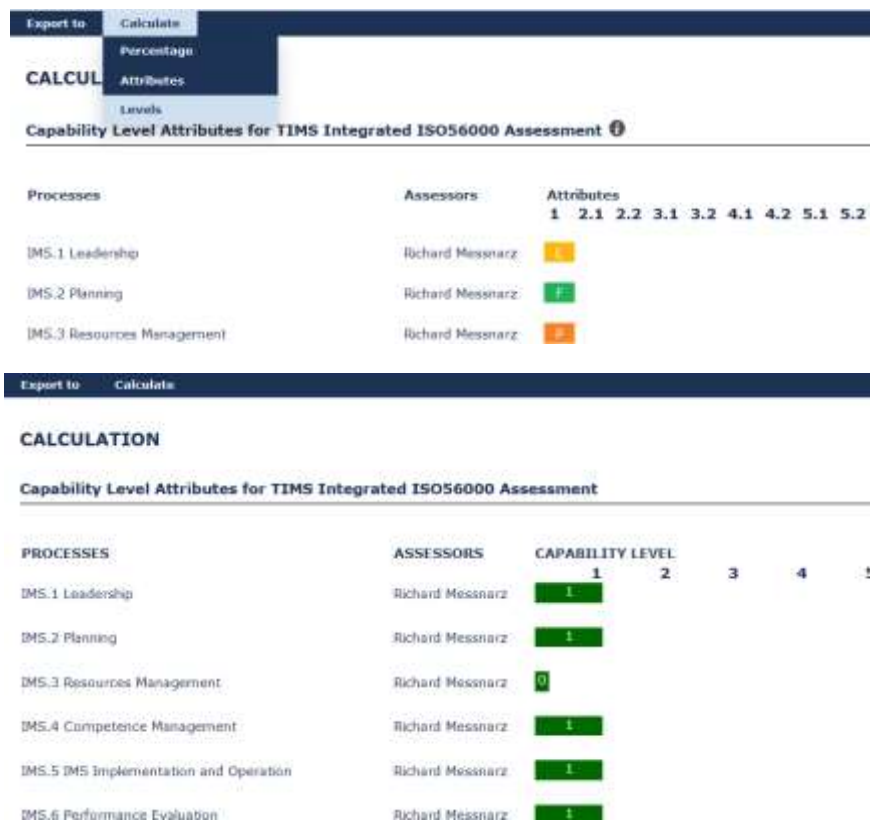
- Each process area shown with a capability level

- Each process area shown with a capability level



Co-funded by the
Erasmus+ Programme
of the European Union

- Per assessment the rating of all processes can be seen based on ISO 33020 profiles



3.2. Reporting: Conclude the Innovation Management Assessment

Document findings

- Findings from the assessment must be documented in order to derive an action plan.
- The action plan shall provide an overview of all measures and their expected benefits
- The assessors can support the organization to derive an action plan, or an internal improvement team creates from the findings the appropriate measures
- Typically assessment results are documented in detail in an Assessment Report

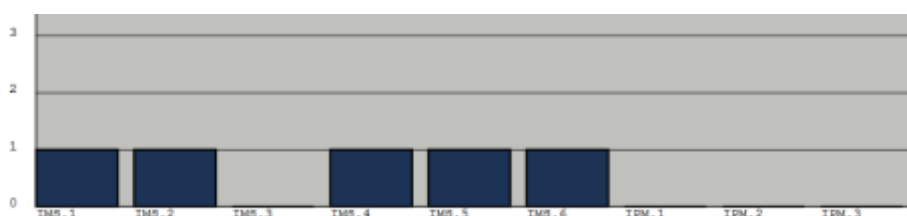
Assessment Report

- The ISO 56004 provides an example for the structure of an assessment report:

Section	Description
Management Summary	Brief description of the IMA trigger, procedure and its outcomes and actions for improvement
Instructions	An explanation on how to read the report.
Overview	Description of the main results and proposed actions arising from the IMA, suitable for a non-specialist audience
Performance for each assessment area	Description of the scores obtained from the data, ideally framed in positive terms, showing strengths, weaknesses, and gaps indicating the results of the assessment.
Detailed evaluation of each criterion/section	Comparison and interpretation of data, and any caveats.
IM improvement recommendations	Recommendations, actionable roadmap and action plan for improvement. A set of prioritized recommendations for improving the IM performance, based on the key findings of the analysis above. Recommendations may also include identifying areas that require more detailed analysis.
Glossary	List and definition of key terms used in the document, ideally with links to more detailed publications on relevant topics.
Annexes	For example, a detailed description of the data that was collected, ideally represented graphically.

- Per assessment the rating of all processes can be seen based on ISO 33020 profiles

Export to		Calculate
Excel		
PDF		
Capability Level Attributes for TIMS Integrated ISO56000 Assessment		
PROCESSES	ASSESSORS	CAPABILITY LEVEL
		1 2 3 4 5
TMS.1 Leadership	Richard Messnarz	1
TMS.2 Planning	Richard Messnarz	1



Export - PDF

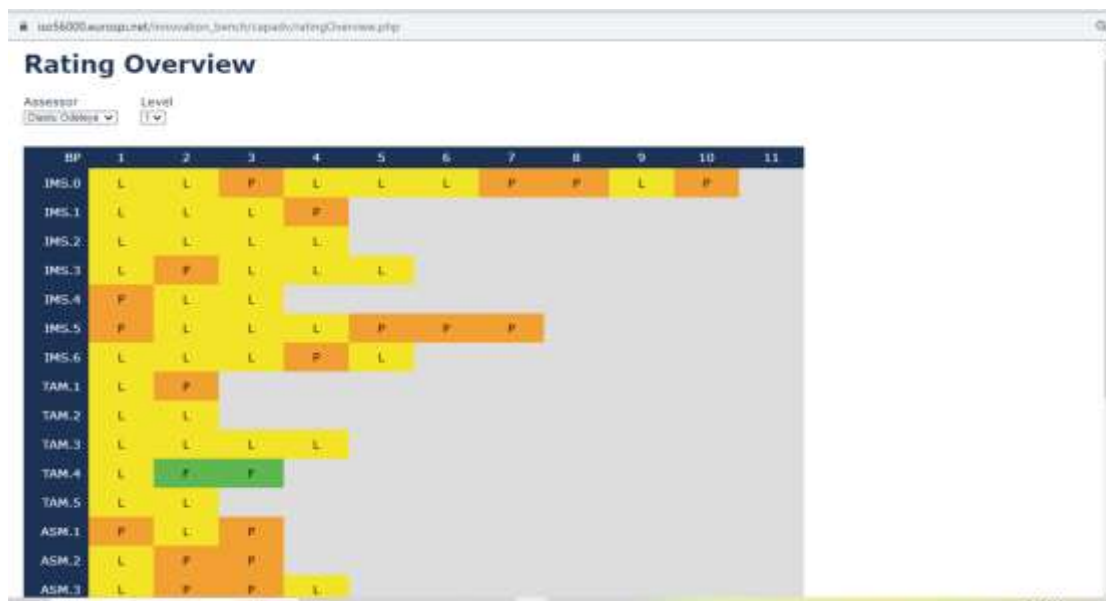
- Per assessment the ratings can be exported with all comments
- In Excel e.g. they can be filtered for N,P,L ratings (where improvements are required) and actions are derived

Project	Assessment	Unit	Element	Performance Criterion	PC Description
2. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.1	ASM 1.1 PF1	Definition of a Continuous Assessment Process. There is a defined set o
3. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.1	ASM 1.1 PF2	The intent of the INA is based on a continuous assessment and an impr
4. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.1	ASM 1.1 PF3	The process to identify and maintain improvements is established. The
5. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.1	GP 2.1.1 Identify the objectives for the performance of the process. (AC
6. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.2	GP 2.1.2 Plan the performance of the process to fulfill the identified obj
7. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.3	GP 2.1.3 Monitor the performance of the process against the plans. (AC
8. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.4	GP 2.1.4 Adjust the performance of the process. (ACHIEVEMENT d)Proce
9. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.5	GP 2.1.5 Define responsibilities and authorities for performing the proc
10. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.6	GP 2.1.6 Identify, prepare, and make available resources to perform the
11. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.1.7	GP 2.1.7 Manage the interfaces between involved parties. (ACHIEVEMENT
12. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.2.1	GP 2.2.1 Define the requirements for the work products. (ACHIEVEMENT
13. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.2.2	GP 2.2.2 Define the requirements for documentation and control of the r
14. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.2.3	GP 2.2.3 Identify, document and control the work products. (ACHIEVEME
15. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.2	ASM 1.2.2.4	GP 2.2.4 Review and adjust work products to meet the defined requirem
16. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.1.1	GP 3.1.1 Define and maintain the standard process that will support th
17. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.1.2	GP 3.1.2 Determine the sequence and interaction between processes so
18. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.1.3	GP 3.1.3 Identify the roles and competencies, responsibilities, and auth
19. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.1.4	GP 3.1.4 Identify the required infrastructure and work environment for
20. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.1.5	GP 3.1.5 Determine suitable methods and measures to monitor the effec
21. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.1.1	GP 3.2.1 Deploy a defined process that satisfies the context specific req
22. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.2.1	GP 3.2.2 Assign and communicate roles, responsibilities and authoritie
23. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.2.2	GP 3.2.3 Ensure necessary competencies for performing the defined pro
24. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.2.4	GP 3.2.4 Provide resources and information to support the performanc
25. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.2.5	GP 3.2.5 Provide adequate process infrastructure to support the perform
26. Deloris Mundo Innovation Coaching	Turner Wright Limited	Assessment Process	ASM 1.3	ASM 1.3.2.6	GP 3.2.6 Collect and analyze data about performance of the process to
27. Deloris Mundo Innovation Coaching	Turner Wright Limited	Perform Assessments	ASM 2.1	ASM 2.1 PF1	Performing assessments. Assessments and interviews have been perform
28. Deloris Mundo Innovation Coaching	Turner Wright Limited	Perform Assessments	ASM 2.1	ASM 2.1 PF2	Assessment Feedback. The results of the assessments have been present

Report - Excel

Example of an Assessment Report

- Per assessment the single practice ratings can be shown as a map and areas with low rating can be selected to develop improvement plans



3.3. Recommendations for an Assessment Report

Suggestions for the content of an Assessment Report in practice

Content

- process profiles
- management summary
- process weaknesses
- process strengths
- improvement suggestions (optional)

Benchmarking

- Provide comparisons to other organizations
- Compare to previous assessments

3.4. Start an Improvement Program

Recommendations for Improvement

- With the Assessment Report the understanding of the organization's strengths and weaknesses is supported
- Recommendations for improvement can be tailored based on:
 - organization's strategic intent to innovate
 - organization's level of ambition to innovate

- the urgency to improve
- etc.

Recommendations for Improvement

- The recommendation shall include:
 - prioritized actions
 - a clear definition of the expected output
 - a clear timeline: define short, mid and long-term objectives;
 - clear responsibilities;
 - effort required to implement the recommendation
- It must be ensured that the implementation of the recommendation is constantly monitored

Creating an Improvement Plan

- Processes with low rating are selected and the evidences and comments for the low rated practices are analysed in a workshop
- The workshop delivery improvement options to increase the rating in those practices and the process and hereby implementing ISO 56000 as a good practice of innovation
- Usually these actions are entered to an action list and tracked monthly.
- Top management commitment is required to assure resources for the implementation of the action plan.
- Usually the assessors become coaches and will do a re-assessment after ca. 1 to 1,5 years.