How to perform an ISO 5600x Assessment

Quick Guide

Contents

Step 1: Choose an ISO 5600x process

Look at the ISO 5600x process selection PDF and select one or more processes to be assessed. You can find this file in the appendix. This step is done in cooperation with the company who will be assessed.

The ISO 5600x Process Selection document can be found in the appendix.

Step 2: Assemble the assessment team

Part of the assessment team are the:

- Assessment Coordinator: Important if the assessors are external, supports the assessment and invites persons to the interviews.
- Assessment Sponsor: ensure the resources (budget) for external assessors and own staff
- Assessors: internal or external assessors/experts, who perform the interviews and rate the ISO 56000 criteria

- Lead Assessor: Leading the assessment with co-assessors

- Project team members: to be interviewed

The lead assessor and the co-assessors ask questions and rate the BP and GP Questions, the lead assessor finally decides the rating with the assessment team.

Step 3: Create an interview plan

Make an interview plan, which fits for you and all partners to be assessed. The example interview plan can be found in the appendix.

The interview plan contains:

- Interview time per process
- Names of interviewees
- Name of the assessor and co-assessors

- Location

The interview plan template can be found in the appendix.

Step 4: Access to the assessment tool

Access to Portal
https://iso56000.eurospi.net

- ▪ LOGIN – TIMS REGISTRATION

- ▪ Please register only once and remember your user id and password!

- ▪ Next time please login as an assessor!

Once you are logged in, you will see your companies for which an assessment is planned and after clicking on one of those companies you will see the assessments associated with this company.

Capability Adviser

Then click on the assessment and look at the processes of the assessment.

Please select one of the following assessments:

– Test Company Athens 2
>> Test Company Athens 2 ISO 56000 Assessment

Capability Adviser

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

Choose the process and start with level 1 (IMS 1.1).

Level 1 (Base Practices) per process – WHAT IS DONE

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

Note: Usually all processes are created and dependent on the needs of the organisation only specific processes are selected for rating.

Step 5: Use the Capability Adviser to document and rate

Leadership

IMS.1 1:   Summary   Notes   Save All   Evidences

☑ 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

Strengths:
Yearly presentation of the vision statement to stakeholders (employees, shareholders, strtegic partners)
SPI Manifesto is established
Open culture (EuroSPI Conference and SOQRATES working group), Feature requests for Capability Adviser possible by customers, Kanban Boards

Weaknesses:
All vision statements decribe the future vision of products and services, but the innovation vision about what role the innovation management system plays in the company, is not concise and not documented
Missing maintenance, standardisation of feedback and lack of documentation of improvement recommendations

Comments/Suggestions:
Note the difference between innovation vision and standard company vision.
Possible methods to apply: Change Story, Innovation Ambition Matrix (To create a basic strategy look at opportunities for innovation and rate them), Balanced Socecard (KPI Tracking for monitoring effectiveness and efficiency)

💾 Save   Clear   Other Notes   Copy Weaknesses

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.

The lead assessor must lead the interview and ask the BP and GP Questions. If not already open, please open the notes.

To those questions positives and negatives as well as comments are written down in the tool.

Leadership

IMS.1 1:   Summary   Notes   Save All   Evidences

☑ **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

Strengths:
Yearly presentation of the vision statement to stakeholders (employees, shareholders, strtegic partners)
SPI Manifesto is established
Open culture (EuroSPI Conference and SOQRATES working group), Feature requests for Capability Adviser possible by customers, Kanban Boards

Weaknesses:
All vision statements decribe the future products and services, but the innovation vision about what role the innovation management system plays in the company, is not concise and not documented
Missing maintenance, standardisation of feedback and lack of documentation of improvement recommendations

Comments/Suggestions:
Note the difference between innovation vision and standard company vision.
Possible methods to apply: Change Story, Innovation Ambition Matrix (To create a basic strategy look at opportunities for innovation and rate them), Balanced Socecard (KPI Tracking for monitoring effectiveness and efficiency)

💾 Save   ⓒ Clear   📝 Other Notes   ⑤ Copy Weaknesses

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.

If possible upload or save evidences confirm the findings. Evidences must be something tangible (files, pictures, screenshots).

Leadership

IMS.1 1:   Summary   Notes   Save All   Evidences

Title	Description	
Vision Statement Presentation	2023-12-16-EuroSPI - ISCN - Vision - Strategy - Business-v1	Edit / -
EuroSPI Vision Statement	https://conference.eurospi.net/index.php/en/vision	Edit / -
SPI Manifesto	https://conference.eurospi.net/index.php/en/manifesto	Edit / -
Change Story	M6-ChangeStory: Analysis of EuroSPI Conference Management with Kanban Board	Edit / -
Marketing Analyse	M8-Marketing-Controlling-Analysis: LinkedIn Quantitative Analysis	Edit / -
Customer Journey Map Analyse	M3-MBA-CustomerJourneyMapAnalyse	Edit / -
Strategic Roadmap of Job Roles	Deliverable 2.x DRIVES Project	Edit / -
Google Analytics and LinkedIn Campaign Analysis	KPIs & Tracking / Diploma / Research	Edit / -
Wiley Articles about job roles in the future in automotive	Selection of job roles for academy based on studies	Edit / -
Eu projects with feedback analysis / TIMS	Interviews and questionnaire analysis	Edit / -
		+

Rating

Base practices are rated with N(ot)/P(artially)/L(argely)/F(ully).

- **Level 1 rating**
  Depending on the strengths and weaknesses as well as evidences the Base Practice / Generic Practice should be rated. Also, always have a look at the intended outcome of the Practice. At the end of each base practice there is the number of the outcome assigned and on the bottom of the practice you see a list of the outcomes.

Leadership

IMS.1 1:   ☐ Summary   ☐ Notes   ☐ Save All   ☐ Evidences

☑ **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

Strengths:
Yearly presentation of the vision statement to stakeholders (employees, shareholders, strtegic partners)
SPI Manifesto is established
Open culture (EuroSPI Conference and SOQRATES working group), Feature requests for Capability Adviser possible by customers, Kanban Boards

Weaknesses:
All vision statements decribe the future products and services, but the innovation vision about what role the innovation management system plays in the company, is not concise and not documented
Missing maintenance, standardisation of feedback and lack of documentation of improvement recommendations

Comments/Suggestions:
Note the difference between innovation vision and standard company vision.
Possible methods to apply: Change Story, Innovation Ambition Matrix (To create a basic strategy look at opportunities for innovation and rate them), Balanced Socecard (KPI Tracking for monitoring effectiveness and efficiency)

☐ Save   ☐ Clear   ☐ Other Notes   ☐ Copy Weaknesses

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.

Capability Adviser

| All Assessments | Evidences | Export | Rating | Settings | Help |

Overview
Consolidation
Calculation

2024 01 ISO 56000 Ass - L5

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

Leadership

IMS.1 1:   ☐ Summary   ☐ Notes   ☐ Save All   ☐ Evi

☑ **IMS.1.BP1** **Top management should demonstrate leadership and co accountable for the effectiveness and efficiency of the in**
a) establishing the innovation vision, strategy, policy, and obje
b) fostering a culture supporting innovation activities;
c) integrating the organization's innovation management syste as appropriate;
d) creating awareness and communicating the importance of e effectiveness of the innovation management system; (learning
e) ensuring that the innovation management system achieves for continuous improvement
[Outcome 1]

N ○   P ○   L ◉   F

Strengths:
SPI Manifesto is established
Open culture (EuroSPI Conference and SOQRATES working gro for Capability Adviser possible by customers, Kanban Boar
Existing change Story for one service of the EuroSPI Conf

Weaknesses:

| Export to | Calculate |

Percentage
Attributes
Levels

CALCUL

Capability Level Attributes for 2024 01 ISO 56000 Assessment L1 - L5

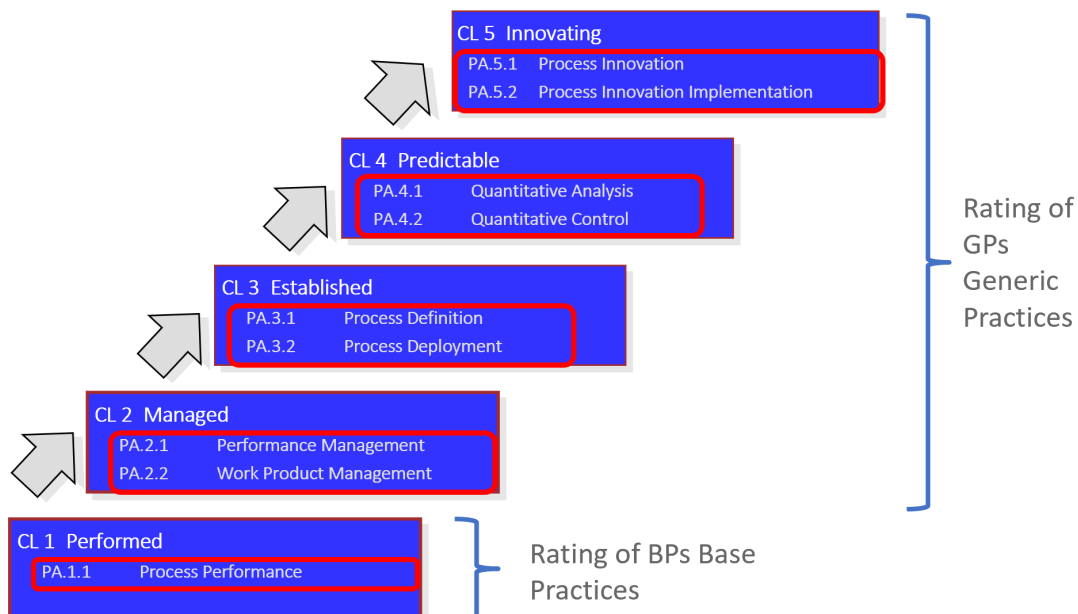| PROCESSES	ASSESSORS	CAPABILITY LEVEL				
		1	2	3	4	5
IMS.1 Leadership	Laura Aschbacher	0				
SIM.1 Strategic Intelligence Management Setup	Laura Aschbacher	1				
		1	2	3	4	5

<u>After you have reached the end of the practices of the first level</u> please have a look at the calculated rating of capability level 1 of the specific process.

Here you can see an example with two processes that have been rated at capability level 1 with ratings and comments. One process is rated as level 0, so the rating <u>cannot continue</u> to the next level and one that is rated capability level 1, so the assessment <u>can continue to the next level.</u>

- <u>Level 2 – 5 rating</u>
  <u>As in level 1:</u> Depending on the strengths and weaknesses as well as evidences the Practices should be rated. Also, always have a look at the intended outcome of the Practice. At the end of each practice there is the number of the outcome assigned and on the bottom of the practice you see a list of the outcomes.
  <u>Difference:</u> The practices are now based on ISO 33020 and refer to the capability level of a process. Each capability level has process attributes with generic questions that check the capability (how well the process is managed, how well work products are managed, etc.). This is why an assessor must ask the questions based on capability level based process attribute achievements from ISO 33020 while also looking at the intended outcomes of the process from ISO 56000.

The above figure shows the capability levels. Process Attributes (PAs) can be seen as chapters of the capability levels. These chapters each have their own Generic Practices to which an assessor must ask questions during an assessment. *Capability levels 2 to 5 consist only of Generic Practices.* With the Generic Practices from ISO 33020, the intended outcomes of ISO 56000 need to be taken into account. *<u>This is to connect the dots between the two standards.</u>*

□ IMS.2 2.1.2 GP 2.1.2 Define roles with responsibilities and authorities for performing the process, and assign human resources to the roles including resources and communication plans. [ACHIEVEMENT d,e,f,g]

N ○   P ○   L ○   F ○   Not App. ⦿   🖾 Note

Strengths:

Weaknesses:

Comments/Suggestions:

🖫 Save   🅲 Clear   🗹 Other Notes   🅱 Copy Weaknesses | Select a practice ⌄ | 🗋

Outcomes:
ISO 33020:2019 Achievements:
a) Objectives for the performance of the process are identified;
b) Performance of the process is planned;
c) Performance of the process is monitored;
d) Performance of the process is adjusted to meet plans;
e) Responsibilities and authorities for performing the process are defined, assigned and communicated;
f) Personnel performing the process are prepared for executing their responsibilities;
g) Resources and information necessary for performing the process are identified, made available, allocated and used;

On the top you can see a Generic Practice based on ISO 33020 from level 2 and the intended outcomes from ISO 56000.

Now you as an assessor you must ask questions to these Generic Practices. An example of how to interpret Generic Practices with the help of outcomes follows.

ISO/IEC 33020

Innovation Management Assessment

PA 2.1 Performance management process attribute

The performance management process attribute is a measure of the extent to which the performance of the process is managed with necessary resources and competences. As a result of full achievement of this process attribute:

a) _results to be achieved are determined and communicated;_

b) _risks that can affect performance of the process are determined and addressed;_

c) _performance of the process is planned, monitored, measured, evaluated and adjusted (as needed);_

d) _responsibilities and authorities for performing the process are determined, assigned and communicated;_

e) _resources necessary for performing the process are determined, provided and maintained (as needed);_

f) _person(s) performing the process are competent on the basis of appropriate education, training, or experience;_

g) _interfaces between the involved parties are managed to ensure both effective communication and the level of control expected._

_[5.2.4.2]_

GP 2.1.1 Identify the objectives for the performance of the process and apply metrics and methods to track the objectives. (a, b, c)

GP 2.1.2 Define roles with responsibilities and authorities for performing the process, and assign human resources to the roles including resources and communication plans. (d,e, f, g)

Interpretation Guideline for PA 2.1 Performance Management

- GP 2.1.1 Identify the objectives for the performance of the process and apply metrics and methods to track the objectives.

    - Ask for metrics used to achieve objective for the specific process.

    - Ask for planning method / schedule with milestones showing the achievement of outcomes and monitoring action items for the specific process

    - Ask for regular status report about the outcomes that should be achieved for the specific process

- GP 2.1.2 Define roles with responsibilities and authorities for performing the process, and assign human resources to the roles including resources and communication plans.

    - the role of the team members, and a coordinator are assigned for the specific process

    - Resources for the process and tasks are available as a budget for the specific

    - The results and tasks open, in progress and achieved are reported in regular meetings for the specific process

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.

Step 6: Create a report

The report is generated based on the results of the assessment, so if only capability level one was rated then only capability level one results will show. The Word Report can also be printed and usually consists of all content from the assessment as well as visualized data. It serves as a way of documenting the assessment and interpreting the results to gain insights of how to improve the process.

ISO 5600x Process Selection

IMS (Innovation Management System)

IMS.0 Introduction: The purpose of the Innovation Management System Introduction is to create an organisational environment for innovation.

IMS.1 Leadership: The purpose of the leadership process by top management as described in ISO56002 is to demonstrate proper leadership while also implementing an innovation management system.

IMS.2 Planning: The purpose of the planning process is to define the innovation opportunities to be planned for exploitation, to plan activities to implement the innovation, and track the innovation objectives, and by planning and implementing the innovation creating an innovation portfolio for the organisation.

IMS.3 Resource Management: The purpose of the resource management process is to plan, provide and maintain resources for innovation management considering people, time, budgets / financing, and tools and infrastructure.

IMS.4 Competence Management: The purpose of the competence management process is to analyse the skills gaps required for the innovation and to establish a competence matrix illustrating who contributes which skills to the innovation project. The stakeholders and teams are involved based on a communication plan, defined authorities and responsibilities, and a set of meetings.

IMS.5 IMS Implementation and Operation: The purpose of the IMS implementation and operation process is to establish an infrastructure with tools and documentation management in which innovation projects and initiatives can be planned, tracked and implemented. This also includes strategic intelligence analysis tools and methods, IPR procedures, and the tailoring options of plans and processes to fit with different types of innovation.

IMS.6 Performance Evaluation: The purpose of the performance evaluation process is to set up a number of measurable innovation indicators, to report the indicators and to track a successful implementation. The improvement opportunities and corrective actions derived from the analysis of the indicators, internal or external audits and management reviews of the IMS system are tracked to continuously update and improve the IMS.

TAM (Tools and Methods for Innovation Partnerships)

TAM.1 Innovation Partnership Framework: The purpose of the innovation partnership framework process is to establish a framework to identify and enter innovation partnerships.

TAM.2 Entering an Innovation Partnership: The purpose of the entering an innovation partnership process is to perform a gap analysis to identify the competency, capability and asset gaps and enter partnerships to fill the gaps.

TAM.3 Partner Selection: The purpose of the TAM partner selection process is to identify, evaluate and select innovation partner(s).

TAM.4 Partner Alignment: The purpose of the TAM partner alignment process is to create a shared understanding of the partnership in terms of the proposed opportunity for innovation.

TAM.5 Interaction between Partners: The purpose of the TAM interaction between partners process is to create a formal innovation partnership agreement.

ASM (Innovation Assessment)

ASM.1 Assessment Process: The purpose of this process is to establish and define a continuous innovation management assessment and improvement cycle.

ASM.2 Perform Assessments: The purpose of this process is to assess the innovation projects applying the innovation process based on an ISO 56000 capability assessment (norm ISO 33020 based). This is based on interviews, assessment checklists or tools, and a resulting capability profile with strengths and weaknesses. Weaknesses are used to define action plans.

ASM.3 Benchmark and Improve: The purpose of this process is to benchmark the assessment results (capability profiles) internally and externally and conclude the assessment and improvement strategy of the organisation.

IPM (Intellectual Property Management)

IPM.1 IPM Framework: The purpose of this process is to establish an organisational framework in which IP Management can be implemented.

IPM.2 IP Strategy: The purpose of this process is to develop and implement an IP management strategy.

IPM.3 IP Management in Innovation Processes: The purpose of this process is to deploy the IP management process.

SIM (Strategic Intelligence Management)

SIM.1 Strategic Intelligence Management Setup: The purpose of this process is to establish and define the key items of the Strategic Intelligence Management.

SIM.2 Strategic Intelligence Cycle: The purpose of this process is to describe in detail all steps that need to be taken in order to control and manage the SI Cycle successfully.

SIM.3 Intelligence Communication: The purpose of this process is to determine the necessary steps for the effectiveness of the strategic intelligence.

TIM (Tools and Methods for Idea Management)

TIM.1 Preparing for Idea Management: The purpose of the TIM preparing for idea management process is to prepare and support a holistic idea management including schema to categorise and rate ideas to make go/no-go decisions about ideas.

TIM.2 People and Organisation: The purpose of the TIM people and organisation process is to consider the roles and skills required for the innovation, assign staff to the roles, and receiving top management support and decision maker support for creating an environment for open innovation.

TIM.3 Idea Management Process and Activities: The purpose of the TIM idea management process and activities process is to assure the definition, and deployment of an effective process model for idea management.

TIMS Innovation Management Assessment Schedule

Schedule Version 1.0

			Project Manager	
Lead Assessor (LA): Laura Aschbacher	Assessment Team		Reference Assessment Model	ISO 56004 - TIMS Model
			Assessment Language	English
Co- Assessors :-				
Local Coordinator: Damjan Ekert			Assessment Location	Online/Onsite

Date	Agenda Item	CET Times	Start (USA East Coast)	Name of Participants	Participanting roles	Meeting Room
		Day 1				
	Assessment Overview	08.00-08.30				
	Organisation Introduction	08.30-09.00				
	IMS.1 Leadership	09.00-10.00				
	Break	10.00-10.15				
	IMS.1 Leadership	10.15-11.15				
	SIM.1 Strategic Intelligence Mangement Setup	11.15-12.15				
	Lunch/Dinner	12.15-13.15				
	SIM.1 Strategic Intelligence Mangement Setup	13.15-14.15				
	Break	15.15-15.30				
	Consolidation	15.30-16.30				
Day 1 date						
		Day 2				
Day 2 date						