Innovation Management Capabilities Assessment 2019

- Innovation management maturity model for assisted or self-assessment based on ISO 56002:2019

P R E V I E W

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Introduction

About the tool

The Innovation management capability assessment (IMCA 2019) is a tool for an organization to determine its maturity level in terms of innovation management capabilities.

IMCA 2019 is related to ISO 56002:2019 Innovation management system – Guidance, including the eight Innovation management principles, and is inspired by the approach of the Capability maturity model integration (CMMI), developed by the Carnegie Mellon University. It is also in alignment with the format of the self-assessment tool of ISO 9004:2018 Quality of an organization – Guidance to achieve sustained success. The tool can be used in conjunction with the guidance given in ISO/TR 56004:2019 Innovation management assessment – Guidance.

How to use the tool

The tool can be used to establish the current maturity level of the organization in order to identify gaps and actions, e.g. to start implementing an innovation management system. The maturity model also gives guidance on how the organization can reach the next level. Consider the following steps that can be taken:

1. Determine the purpose of the assessment. Why are you going to do it?

2. Decide if you want to invite others inside or outside your organization to assist in, or contribute to, the assessment. Who is going to contribute? What is the role of top management?

3. Determine the scope of the assessment, e.g. the entire organization or a part of it. What is going to be assessed?

4. Familiarize yourself with the different capabilities and levels of the tool to get an overview of all assessment items.

5. Assess each of the capabilities (in any order) to determine the current level and, if relevant, the desired level of maturity for the organization.

6. Compare, discuss, and align the assessment with the other contributors, if relevant.

7. Select the most important capabilities for your organization to focus on in terms of e.g. most critical challenges or highest likelihood for successful improvements.

8. Define and prioritize actions for building and improving the selected capabilities. Use the maturity levels in the tool as guidance for how to reach the next level.

9. Decide and implement the action plan in the organization with the necessary mandate from top management if relevant.

10. Repeat the assessment at regular intervals to continually improve the innovation management capabilities in the organization.

Overview of capability elements

Context and conditions	1. Understanding of external trends and drivers
	2. Understanding of internal capabilities and assets
	3. Culture supporting creativity and deployment
	4. External and internal innovation collaboration
Leadership	5. Top management commitment
	6. Focus on value realization
	7. Innovation vision and strategy
	8. Innovation policy
	9. Organizational roles, responsibilities
Planning	10.Innovation objectives and action plans
	11. Organizational structures for innovation activities
	12. Innovation portfolios
Support	13. Resources supporting innovation activities
	14. Competence
	15. Communication and awareness
	16. Innovation tools and methods
	17. Intellectual property management
Processes	18. Innovation initiatives and projects
	19. Configuration of innovation processes
	20. Processes to identify opportunities
	21. Processes to create and validate concepts
	22. Processes to develop and deploy solutions
Evaluation and improvement	23. Innovation performance indicators
	24. Performance evaluation and improvement

Overview of maturity levels

Level	Description
1: Nothing, informal, or ad hoc	The capability is not established or established in an informal or ad hoc manner. It is not defined or managed.
2: Managed at basic level	The capability is established at a basic level. It is to some extent, but not fully, managed.
3: Defined and managed	The capability is defined and established. It is managed in a pro-active manner.
4: Systematically managed	The capability is defined, established, and aligned. It is systematically and dynamically managed.
5: Optimized	The capability is continuously improved and optimized. It is managed based on active monitoring, feedback, and learning.

NOTES

Level 1 and 2 are below the baseline and is applicable when the capability is not, or not fully, established.

Level 3 is the baseline and is reached when the capability is defined and established in the organization.

To reach level 4, it is assumed that the requirements for level 3 are satisfied.

To reach level 5, it is assumed that the requirements for level 3 and 4 are satisfied.

Description of innovation management capabilities - maturity level 3

1.   **Understanding of external trends and drivers.** External trends and drivers that are relevant for the purpose of the organization are <u>determined</u> and analyzed. Areas of opportunity for potential value realization are <u>determined</u>.

2.   **Understanding of internal capabilities and assets.** Internal capabilities and assets that are relevant for the purpose of the organization are <u>determined</u> and analyzed. Areas of opportunity for potential value realization are <u>determined</u>.

3.   **Culture supporting creativity and deployment.** A culture that supports innovation activities, both in terms of creativity and deployment, is <u>promoted</u> in the organization and characterized by e.g. openness, risk taking, collaboration, diversity, and learning.

4.   **External and internal innovation collaboration.** An approach for the management of internal and external collaboration, e.g. for facilitating the sharing and access to knowledge, competence, and resources, is <u>established</u>, and is based on an understanding of the existing capabilities of the organization.

5.   **Top management commitment.** Top management is <u>demonstrating</u> leadership and commitment with respect to managing innovation activities, e.g. related to innovation strategy, objectives, culture, support, structures, processes, and communication. Leaders have <u>established</u> an inspiring vision and purpose and are engaging people to achieve those aims.

6.   etc.

Innovation management capabilities: assessment

Level 1	Level 2	Level 3	Level 4	Level 5
Nothing, informal, or ad hoc	Managed at basic level	Defined and managed	Systematically managed	Optimized

	Item	Current level	Desired level	Comments
1.	Understanding of external trends and drivers			
2.	Understanding of internal capabilities and assets			
3.	Culture supporting creativity and deployment			
4.	External and internal innovation collaboration			
5.	Top management commitment			
6.	Focus on value realization			
7.	Innovation vision and strategy			
8.	Innovation policy			
9.	Organizational roles, responsibilities			
10.	Innovation objectives and action plans			
11.	Organizational structures for innovation activities			
12.	Innovation portfolios			
13.	Resources supporting innovation activities			
14.	Competence			
15.	Communication and awareness			
16.	Innovation tools and methods			
17.	Intellectual property management			
18.	Innovation initiatives and projects			
19.	Configuration of innovation processes			
20.	Processes to identify opportunities			
21.	Processes to create and validate concepts			
22.	Processes to develop and deploy solutions			
23.	Innovation performance indicators			
24.	Performance evaluation and improvement			

Innovation management capabilities: maturity model

1. Understanding of external trends and drivers

Level	Description	Rating	Comments
1	External trends and drivers are not determined or determined in an informal or ad hoc manner.		
2	Basic processes for determining external trends and drivers are established.		
3	External trends and drivers that are relevant for the purpose of the organization are determined and analyzed. Areas of opportunity for potential value realization are determined.		
4	External trends and drivers, and areas of opportunity are systematically determined related to different aspects, e.g. economic, social, technological, legal, and political aspects, including past experience, present situation, and potential future scenarios.		
5	Processes for the ongoing monitoring, reviewing and analysis of external trends and drivers are established, implemented, maintained, and continuously improved. Areas of opportunity are prioritized and acted upon.		

2. Understanding of internal capabilities and assets

Level	Description	Rating	Comments
1	Internal capabilities and assets are not determined or determined in an informal or ad hoc manner.		
2	Basic processes for determining internal capabilities and assets are established.		
3	Internal capabilities and assets that are relevant for the purpose of the organization are determined and analyzed. Areas of opportunity for potential value realization are determined.		
4	Internal capabilities and assets, and areas of opportunity are systematically determined related to e.g. the strategic direction and core competences of the organization, including the performance and potential of current offerings and value realization models.		
5	Processes for the ongoing monitoring, reviewing and analysis of internal capabilities and assets are established, implemented, maintained, and continuously improved. Areas of opportunity are prioritized and acted upon.		

3. Culture supporting creativity and deployment

Level	Description	Rating	Comments
1	A culture supporting innovation activities is not promoted or promoted in an informal or ad hoc manner.		
2	A culture supporting creativity is promoted but the cultural aspects of deployment and execution of innovation activities are lacking.		
3	A culture that supports innovation activities, both in terms of creativity and deployment, is promoted in the organization and characterized by e.g. openness, risk taking, collaboration, diversity, and learning.		
4	A culture in terms of shared values, beliefs, and behaviors, is systematically promoted and demonstrated by leaders at all levels, enabling the coexistence of creativity and effective execution and deployment.		
5	The culture of the organization is continuously analyzed, evaluated, and improved with a focus on the long-term buildup of innovation capabilities.		

4. External and internal innovation collaboration

Level	Description	Rating	Comments
1	Collaboration activities are not managed or managed in an informal or ad hoc manner.		
2	Basic management of internal and external collaboration is established.		
3	An approach for the management of internal and external collaboration, e.g. for facilitating the sharing and access to knowledge, competence, and resources, is established, and is based on an understanding of the existing capabilities of the organization.		
4	Internal and external collaboration is systematically managed to support the innovation strategy and objectives and by regularly reviewing and aligning the strategic relevance of collaboration partners.		
5	The approach for the management of collaboration, is continuously monitored, analyzed, evaluated, and improved.		

5. Top management commitment

Level	Description	Rating	Comments
1	Top management is not demonstrating leadership and commitment or demonstrating it in an informal or ad hoc manner.		
2	Leadership and commitment are demonstrated at a basic level by top management and other leaders.		
3	Top management is demonstrating leadership and commitment with respect to managing innovation activities, e.g. related to innovation strategy, objectives, culture, support, structures, processes, and communication. Leaders have established an inspiring vision and purpose and are engaging people to achieve those aims.		
4	Top management is systematically and consistently demonstrating leadership and commitment by being accountable for the effectiveness and efficiency of innovation activities and by promoting performance evaluation using established indicators.		
5	Top management is continuously evaluating and improving its leadership and commitment. Leaders at all levels are actively encouraged to improve the efficiency and effectiveness of innovation activities through systematic feedback and learning.		

6. Etc.

Mapping of innovation management capability elements

The table shows how the capability elements are related to the different clauses of ISO 56002:2019 and to the Innovation management principles described in detail in ISO 56000.

Capability element	Clause in ISO 56002:2019	Innovation management principle
1. Understanding of external trends and drivers	4.1.1, 4.1.2	IMP 5
2. Understanding of internal capabilities and assets	4.1.1, 4.1.3	
3. Culture supporting creativity and deployment	4.4.1, 4.4.2	IMP 4
4. External and internal innovation collaboration	4.4.1, 4.4.3	IMP 4
5. Top management commitment	5.1.1	IMP 2
6. Focus on value realization	5.1.2	IMP 1
7. Innovation vision and strategy	5.1.3, 5.1.4	IMP 3
8. Innovation policy	5.2	
9. Organizational roles, responsibilities	5.3	
10. Innovation objectives and action plans	6.1, 6.2	
11. Organizational structures for innovation activities	6.3	IMP 7
12. Innovation portfolios	6.4	IMP 6
13. Resources supporting innovation activities	7.1	IMP 3
14. Competence	7.2	
15. Communication and awareness	7.3, 7.4	IMP 2
16. Innovation tools and methods	7.6	
17. Intellectual property management	7.8	
18. Innovation initiatives and projects	8.1, 8.2	
19. Configuration of innovation processes	8.3.1	IMP 7
20. Processes to identify opportunities	8.3.2	IMP 5
21. Processes to create and validate concepts	8.3.3, 8.3.4	IMP 6
22. Processes to develop and deploy solutions	8.3.5, 8.3.6	IMP 1
23. Innovation performance indicators	9.1.1.1	IMP 8
24. Performance evaluation and improvement	9, 10	IMP 8

The table shows how the Innovation management principles are related to selected capability elements.

Innovation management principle	Capability elements
IMP 1. Realization of value	6. Focus on value realization 22. Processes to develop and deploy solutions
IMP 2. Future-focused leaders	5. Top management commitment 15. Communication and awareness
IMP 3. Strategic direction	7. Innovation vision and strategy 13. Resources supporting innovation activities
IMP 4. Culture	3. Culture supporting creativity and deployment 4. External and internal innovation collaboration
IMP 5. Exploiting insights	1. Understanding of external trends and drivers 20. Processes to identify opportunities
IMP 6. Managing uncertainty	12. Innovation portfolios 21. Processes to create and validate concepts
IMP 7. Adaptability	11. Organizational structures for innovation activities 19. Configuration of innovation processes
IMP 8. Systems approach	23. Innovation performance indicators 24. Performance evaluation and improvement

References

ISO 9004:2018 Quality management – Quality of an organization – Guidance to achieve sustained success

ISO 56000 Innovation management – Fundamentals and vocabulary (forthcoming)

ISO 56002:2019 Innovation management – Innovation management system – Guidance

ISO/TR 56004:2019 Innovation management assessment – Guidance