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**ISO 56001**

**Innovation management system —  
Requirements**

*Système de management de l'innovation — Exigences*

**创新管理体系 —— 要求**

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## Foreword 前言

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

**制定本文件及其后续维护所采用的程序在 ISO/IEC 指令第 1 部分中描述。特别是, 应注意不同类型的 ISO 文件所需的不同批准标准。本文件是按照 ISO/IEC 指令第 2 部分 (见 [www.iso.org/directives](http://www.iso.org/directives)) 的编辑规则起草的。**

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This document was prepared by Technical Committee ISO/TC 279, Innovation management, in collaboration with the European Committee for Standardization (CEN) Technical Committee CEN/TC 389, Innovation Management, in accordance with the Agreement on technical cooperation between ISO and CEN (Vienna Agreement).

**本文件是由国际标准化组织 (ISO) 的创新管理技术委员会 ISO/TC 279, 与欧洲标准化委员会 (CEN) 的创新管理技术委员会 CEN/TC 389 合作制定的, 符合 ISO 与 CEN 之间关于技术合作的维也纳协定。**

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## Introduction 引言

### 0.1 General 总则

The ability of organizations to innovate is recognized as a critical factor for their viability, competitiveness, resilience and renewal, and for the sustainable development of society.

**组织创新能力被认为是其生存能力、竞争力、韧性和更新以及社会可持续发展的关键因素。**

Adopting an innovation management system by an organization aims to improve its innovation performance and ability to adapt to changes. A systems approach can reduce the level of uncertainty and increase the feasibility of achieving desired results of innovation initiatives.

**组织采用创新管理体系旨在提高其创新绩效和适应变化的能力。系统化的方法可以降低不确定性，并增加实现创新行动预期结果的可行性。**

The benefits of implementing an innovation management system can be:

**实施创新管理体系的益处可能包括：**

- increased realization of value from new products, services, processes, models, methods, etc. for the organization and interested parties;
- **通过新产品、服务、流程、模型、方法等，为组织和相关方增加价值实现；**
- enhanced innovation performance through the systematic management of innovation activities under conditions of uncertainty;
- **在不确定的条件下，通过系统管理创新活动，提升创新绩效；**
- sustained build-up of innovation capabilities;
- **持续构建创新能力；**
- enhanced reputation to attract users, customers, employees and partners;
- **提升声誉，吸引用户、客户、员工和合作伙伴；**
- enhanced capability to collaborate (e.g. in a value chain or an innovation ecosystem);
- **提高协作能力（例如，在价值链或创新生态系统中）；**
- improved ability to attract funding;
- **提高吸引资金的能力；**
- increased resilience and ability to evolve in a dynamic and uncertain environment.
- **在动态和不确定的环境中提高韧性和进化能力。**

This document provides a common language and framework for organizations to establish and implement an innovation management system. It can also be used by:

**本文件为组织建立和实施创新管理体系提供了共同的语言和框架。它还可以被以下各方使用：**

- a) collaborating organizations seeking a shared framework for innovating together;  
**寻求共同创新框架的合作组织；**
- b) organizations seeking confidence in the innovation capability of current and potential partners, suppliers or other interested parties;  
**寻求对当前和潜在合作伙伴、供应商或其他利益相关方的创新能力信心的组织；**
- c) funders, donors and investors seeking confidence in the innovation capability of a funding applicant or partner organization;  
**寻求对资助申请者或合作伙伴组织的创新能力信心的资助者、捐赠者和投资者；**
- d) policy-makers and government authorities aiming to promote innovation activities at local, regional and national levels.  
**旨在促进地方、区域和国家层面创新活动的政策制定者和政府当局。**

The requirements in this document are not always an effective basis for the evaluation of newly formed organizations.

**本文件中的要求并不总是评估新成立组织的有效基础。**

### 0.2 Innovation management principles 创新管理原则

This document references the eight innovation management principles, described in ISO 56000, that are the

foundation of the innovation management system. The principles are as follows:

**本文件引用了 ISO 56000 中描述的八个创新管理原则，这些原则是创新管理体系的基础。原则如下：**

- **Realization of value:** Value, financial or non-financial, is realized from the deployment, adoption and impact of new or changed solutions for interested parties.  
**实现价值：**从为利益相关方部署、采用和影响新或改变的解决方案中实现价值，无论是财务价值还是非财务价值。
- **Future-focused leaders:** Leaders at all levels, driven by curiosity and courage, challenge the status quo by building an inspiring vision and purpose, and by continuously engaging people to achieve those aims.  
**面向未来的领导者：**各层级的领导者，受好奇心和勇气的驱动，通过构建鼓舞人心的愿景和目标，并持续动员人们实现这些目标，挑战现状。
- **Strategic direction:** The direction for innovation activities is based on aligned and shared objectives and a relevant ambition level, supported by the necessary people and other resources.  
**战略方向：**创新活动的方向基于一致且共享的目标和相关的雄心水平，并得到必要的人员和其他资源的支持。
- **Culture:** Shared values, beliefs and behaviours, supporting openness to change, risk-taking and collaboration, enable the coexistence of creativity and effective execution.  
**文化：**共享的价值观、信念和行为，支持对变革的开放性、风险承担和协作，使得创造力和有效执行能够共存。
- **Exploiting insights:** A diverse range of internal and external sources are used to systematically build insightful knowledge, and to exploit stated and unstated needs.  
**利用洞察力：**系统地利用内部和外部多样化的来源来构建有洞察力的知识，并挖掘明确和隐含的需求。
- **Managing uncertainty:** Uncertainties and risks are evaluated, leveraged and then managed, by learning from systematic experimentation and iterative processes, within a portfolio of opportunities.  
**管理不确定性：**通过从一系列机遇中的系统性实验和迭代过程中学习，评估、利用并管理不确定性和风险。
- **Adaptability:** Changes in the context of the organization are addressed by the timely adaptation of structures, processes, competences and value realization models to maximize innovation capabilities.  
**适应性：**通过及时调整组织的结构、流程、能力和价值实现模型来应对组织环境的变化，以最大化创新能力。
- **Systems approach:** Innovation management is based on a systems approach with interrelated and interacting elements, and regular performance evaluation and improvements of the system.  
**系统方法：**创新管理基于具有相互关联和相互作用要素的系统方法，以及对系统的定期绩效评估和改进。

### 0.3 Innovation management system 创新管理体系

#### 0.3.1 General 总则

An innovation management system is a set of interrelated and interacting elements with the purpose of realizing value, both financial and non-financial. Value is realized by systematic and iterative innovation processes to identify opportunities, create and validate concepts, and develop and deploy solutions for users, customers and other interested parties. Opportunities can, for example, be based on current or future, stated or unstated needs. The system can be applied to exploring and exploiting both new and existing opportunities.

**创新管理体系是一组相互关联和相互作用的要素，其目的是实现价值，包括财务价值和非财务价值。价值通过系统化和迭代的创新过程来实现，这些过程用于识别机遇、创建和验证概念，以及为用户、客户和其他利益相关者开发并部署解决方案。例如，机遇可以基于当前或未来的、明确或隐含的需求。该系统可以应用于探索和利用新的和现有的机遇。**

The management system elements are described under the main clauses in this document: context of the organization (see Clause 4), leadership (see Clause 5), planning (see Clause 6), support (see Clause 7), operation (see Clause 8), performance evaluation (see Clause 9) and improvement (see Clause 10), see Figure 1.

**管理体系要素在本文件的主要条款中进行了描述：组织环境（参见第4章）、领导作用（参见第5章）、策划（参见第6章）、支持（参见第7章）、运行（参见第8章）、绩效评价（参见第9章）和改进（参见第10章），见图1。**

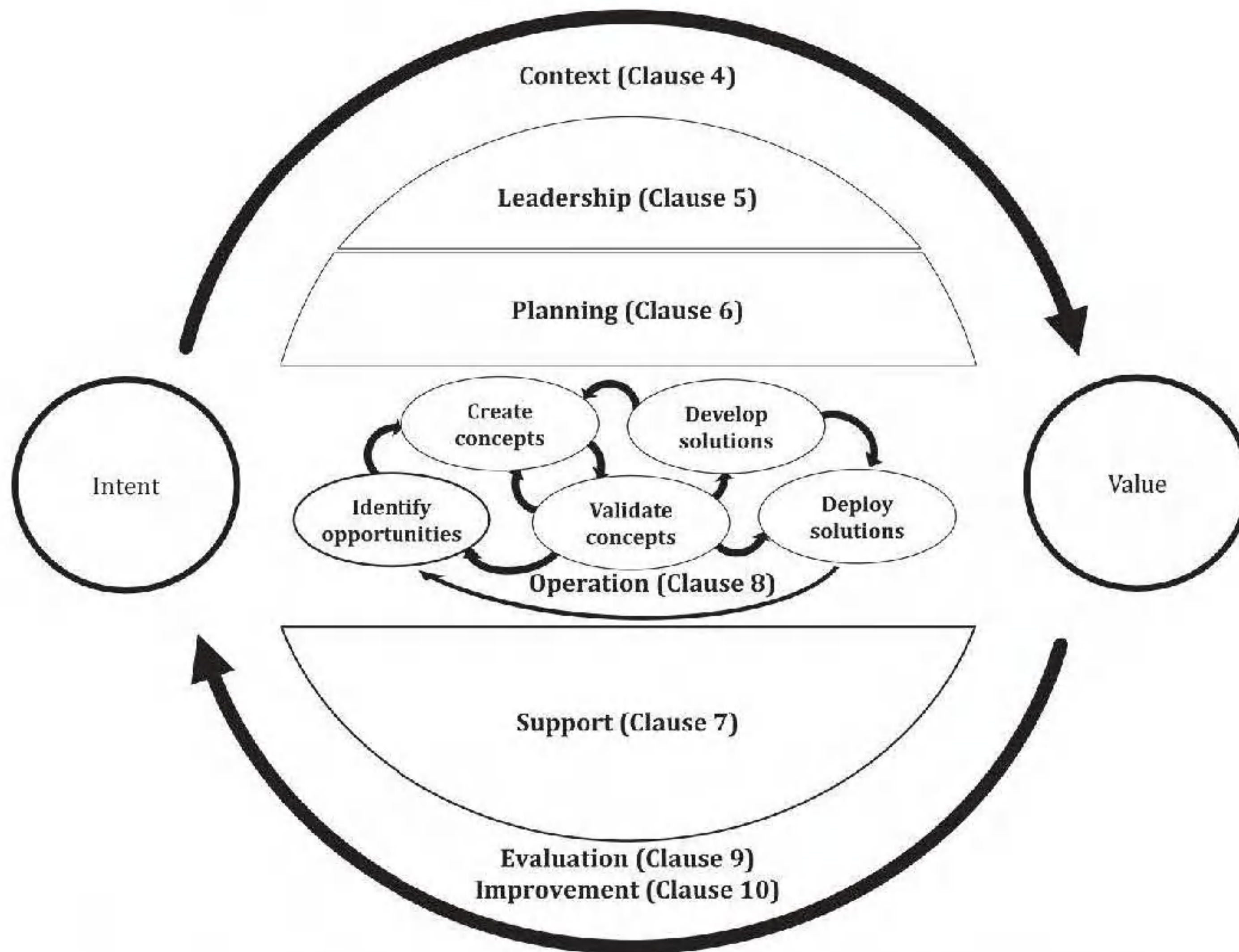


Figure 1 - Representation of the innovation management system with references to the clauses in this document

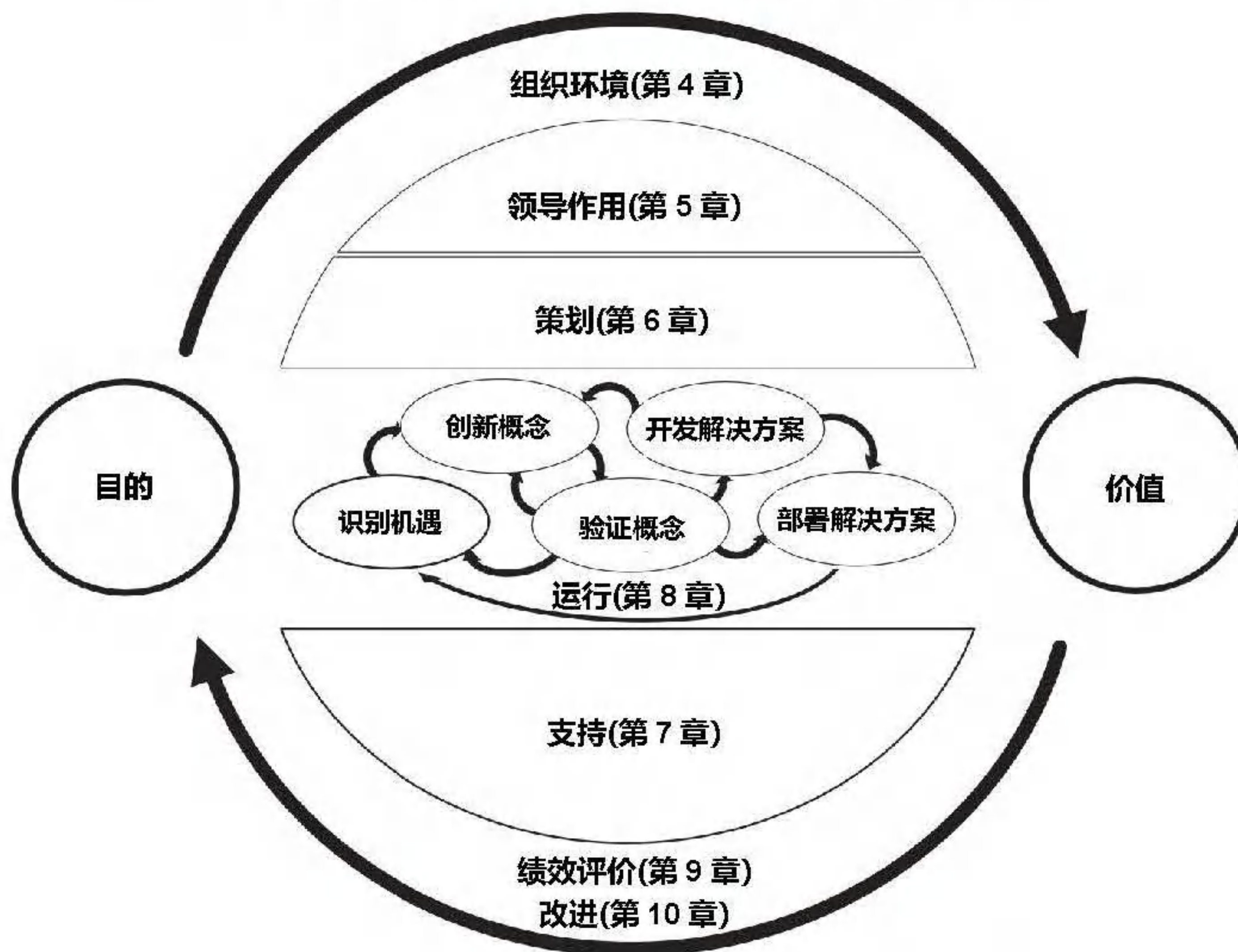


图 1 - 本文件中创新管理体系的表示及其与各章节的参照关系

The management system elements can be gradually adopted to implement the system according to the context and maturity of the organization.

根据组织的环境和成熟度，可以逐步采用管理体系要素来实施该体系。

Ultimately, the effective implementation of the innovation management system relies on the leadership and commitment by top management and other leaders at all levels in the organization.

最终，创新管理体系的有效实施取决于组织最高管理者和其他各级领导的领导作用和承诺。

The innovation management system is founded on the concept of Plan-Do-Check-Act (PDCA). The PDCA model provides an iterative process for the organization to achieve continual improvement of the system.

**创新管理体系建立在策划-实施-检查-处置 (PDCA) 的概念之上。PDCA 模型为组织提供了一个迭代过程，以实现体系的持续改进。**

The clauses of this document are grouped in relation to the PDCA cycle as follows: Plan (see Clause 6), Do (see Clauses 7 and 8), Check (see Clause 9) and Act (see Clause 10).

**本文件的章节按照 PDCA 循环进行分组，如下所示：策划（参见第 6 章）、实施（参见第 7 和第 8 章）、检查（参见第 9 章）和处置（参见第 10 章）。**

### 0.3.2 Managing uncertainty and risk 管理不确定性和风险

Innovation initiatives include different degrees of variation and uncertainty. Uncertainties can be related to, for example, user acceptance, technical feasibility, manufacturing constraints, regulatory conditions, market potential and organizational constraints.

**创新行动包括不同程度的变异性和不确定性。不确定性可能涉及例如用户接受度、技术可行性、制造限制、监管条件、市场潜力和组织约束。**

Innovation processes are characterized by experimentation and learning. As the processes progress, new knowledge and insights are gained, and uncertainty is reduced. Innovation processes are flexible and adaptable to the types of innovations the organization seeks to achieve.

**创新过程的特点是实验和学习。随着过程的推进，获得了新的知识和见解，不确定性得以降低。创新过程具有灵活性和适应性，针对组织寻求实现的各种创新类型。**

Innovation initiatives involve risk and not all initiatives will achieve successful innovations. However, discontinued initiatives are an integral part of the innovation processes and sources of learning as input to future innovation activities.

**创新行动涉及风险，并非所有举措都能实现成功的创新。然而，终止的举措是创新过程的不可或缺的组成部分，也是未来创新活动的学习输入。**

The acceptable level of risk is dependent on the innovation ambition and strategy, the organization's capability, and the types of innovation addressed by the organization.

**可接受的风险水平取决于创新雄心和战略、组织的能力以及组织所处理的创新类型。**

The management of uncertainty and risk can be addressed by different approaches (e.g. iterative processes, systematic experimentation, partnering, innovation portfolio diversification). By applying a systems approach, interdependencies and uncertainties can be better understood, measured and managed.

**不确定性和风险的管理可以通过不同的方法来解决（例如，迭代过程、系统化实验、合作、创新组合多样化）。通过应用系统方法，可以更好地理解、衡量和管理相互依赖性和不确定性。**

Organizations can also address the balance between pursuing opportunities and the related risks, including the risk of innovating versus the risk of not innovating.

**组织还可以解决追求机遇与相关风险之间的平衡，包括创新风险与不创新风险。**

### 0.3.3 Management levels 管理层面

An innovation management system operates across strategic, tactical and operational levels.

**创新管理体系在战略、战术和操作层面运行。**

The relationships among the different levels (see Figure 2) can be described as follows:

**不同层面之间的关系（见图 2）可以描述如下：**

- The innovation intent (see Clause 4) at the strategic level helps to determine the scope of the innovation management system and forms the basis for establishing the innovation strategy.

**战略层面的创新目的（参见第 4 章）有助于确定创新管理体系的范围，并作为建立创新战略的基础。**

- The scope (see Clause 4) sets the boundaries and applicability of the innovation management system.

**范围（参见第 4 章）设定了创新管理体系的边界和适用性。**

- The innovation policy (see Clause 5) provides a framework for setting the innovation strategy and objectives. The innovation policy can complement other management system policies in the organization.

**创新方针 (参见第 5 章) 为设定创新战略和目标提供了框架。创新方针可以补充组织内的其他管理体系方针。**

- The innovation strategy (see Clause 5), including strategic innovation objectives, is based on the innovation intent, is aligned with the innovation policy, and provides a framework for setting tactical innovation objectives and establishing innovation portfolios.

**创新战略 (参见第 5 章), 包括战略创新目标, 基于创新目的, 与创新方针保持一致, 并为设定战术创新目标和建立创新组合提供框架。**

- The innovation objectives (see Clause 6) at the tactical level are consistent with the innovation policy and strategy.

**战术层面的创新目标 (参见第 6 章) 与创新方针和战略保持一致。**

- The innovation portfolios (see Clause 6) are aligned with the innovation strategy and objectives and consist of a set of innovation initiatives.

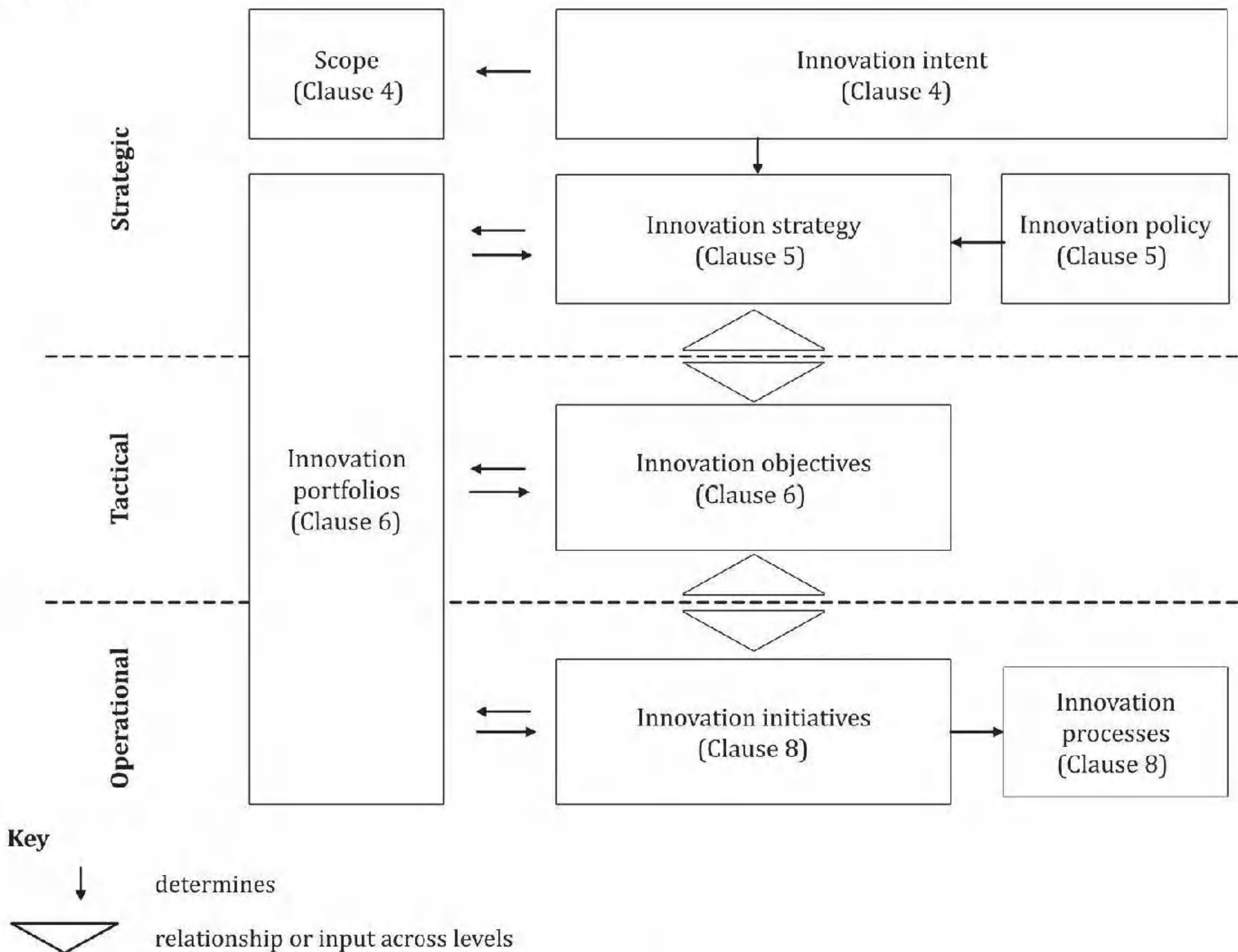
**创新组合 (参见第 6 章) 与创新战略和目标保持一致, 并包含一组创新行动。**

- The innovation initiatives (see Clause 8) are established at the operational level.

**创新行动 (参见第 8 章) 在操作层面建立。**

- The innovation processes (see Clause 8) are also established at the operational level to pursue innovation initiatives. They are flexible and adaptable to each individual initiative.

**创新过程 (参见第 8 章) 也在操作层面建立, 以追求创新行动。它们具有灵活性适应性, 可以针对每个单独的行动。**



**Figure 2 - Representation of the management levels and their relationships with references to the clauses in this document**

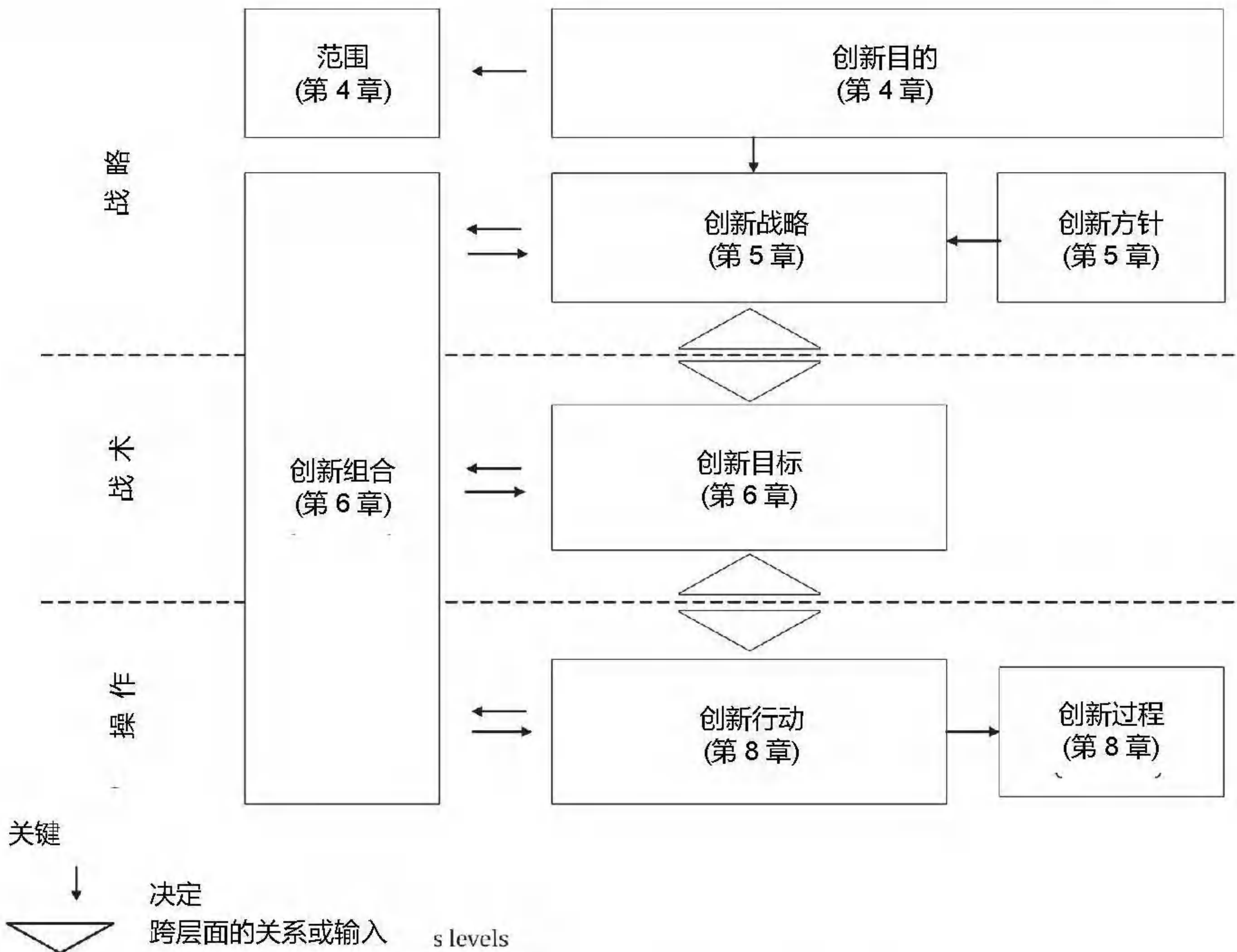


图 2 - 管理层面及其与本文件章节关系的表示

**0.4 Relationship with other management system standards 与其他管理体系标准的关系**

Management system standards (MSS) complement each other but can also be used independently. The innovation management system can be implemented together with other management system disciplines, helping organizations to balance the exploitation of existing offerings and operations, with the exploration and introduction of new offerings and ways of working.

**管理体系标准 (MSS) 相互补充，但也可以单独使用。创新管理体系可以与其他管理体系领域一起实施，帮助组织平衡现有产品和运行的开发，以及新产品和工作方式的研究与引入。**

This document applies the ISO/IEC Directives, Part 1, Consolidated ISO Supplement Annex SL, Appendix 2 harmonized structure for MSS. The harmonized structure provides identical clause numbers, clause titles, text, and common terms and core definitions to be used by all MSS within the ISO portfolio. This structure enables an organization to align or integrate its innovation management system with the requirements of other MSS.

**本文件采用了《ISO/IEC 指南》第一部分、合并版 ISO 补编 SL 附录 2 中的 MSS 协调结构。该协调结构提供了相同的条款编号、条款标题、文本，以及所有 ISO 体系内的 MSS 所使用的通用术语和核心定义。这一结构使组织能够将其创新管理体系与其他 MSS 的要求保持一致或整合。**

Other standards on innovation management developed by ISO/TC 279 provide additional support and guidance for organizations. Summaries of these standards are described in Annex A.

**ISO/TC 279 制定的其他创新管理标准为组织提供了额外的支持和指导。这些标准的摘要见附件 A。**

**0.5 Contents of this document 本文件的内容**

This document contains the requirements used to evaluate conformity. Conformity to this document can only be

claimed when all its requirements are implemented and fulfilled by the organization.

**本文件包含用于评估符合性的要求。只有当组织实施并满足本文件的所有要求时，才能声称符合本文件。**

An organization is not expected to structure its innovation management system or documented information to be aligned with the clause structure of this document.

**不要求组织将其创新管理体系或文件化信息与本文件的条款结构保持一致。**

In this document, the following terms are used:

**在本文件中，使用了以下术语：**

- "shall" indicates a requirement;  
**"应" 表示要求；**
- "consider" indicates reflecting upon possible actions before making a decision;  
**"考虑" 表示在做决定之前要考虑可能的行动；**
- "can" indicates a possibility.  
**"可以" 表示可能。**

A "NOTE" is used for information, clarifying the associated requirement.

**"注" 用于解释相关要求。**

# Innovation management system – Requirements

## 创新管理体系 – 要求

### 1 Scope 范围

This document specifies requirements for an innovation management system that an organization can use to develop and demonstrate its innovation capability, enhance its innovation performance, and realize value for users, customers and other interested parties. The requirements in this document are generic.

本文件规定了创新管理体系的要求，组织可以使用这些要求来开发和展示其创新能力，提升其创新绩效，并为用户、客户及其他相关方创造价值。本文件中的要求是通用的。

This document is applicable to any organization, regardless of type or size, products and services provided, or the types of innovations and innovation approaches used.

本文件适用于任何类型或规模的组织，无论其提供的产品和服务类型，或使用的创新类型和创新方法。

### 2 Normative references 规范性引用文件

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

以下文件在本文件中的文本中被引用，其部分或全部内容构成本文件的要求。对于有日期的引用，仅适用所引用的版本。对于无日期的引用，适用所引用文件的最新版（包括任何修订版）。

ISO 56000, Innovation management - Fundamentals and vocabulary

ISO 56000, 创新管理 - 基础与词汇

### 3 Terms and definitions 术语和定义

For the purposes of this document, the terms and definitions given in ISO 56000 and the following apply.

就本文件而言，适用 ISO 56000 中的术语和定义以及以下定义。

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

国际标准化组织 (ISO) 和国际电工委员会 (IEC) 维护用于标准化工作的术语数据库，以下是其地址：

- ISO Online browsing platform: available at <https://www.iso.org/obp>

ISO 在线浏览平台：

- IEC Electropedia: available at <https://www.electropedia.org/>

IEC 电子百科网站：<https://www.electropedia.org/>

#### 3.1

##### Innovation 创新

new or changed entity, realizing or redistributing value

实现或重新分配价值的、新的或变化的客体。

Note 1 to entry: Novelty and value are relative to, and determined by, the perception of the organization (3.2) and relevant interested parties (3.3).

注 1：新颖性和价值是相对于组织 (3.2) 和相关利益相关方 (3.3) 的认知来判定和确定的。

Note 2 to entry: An innovation can be a product, service, process (3.9), model, method, etc.

注 2：创新可以是产品、服务、过程 (3.9)、模型、方法等。

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

**注 3:** 创新是一个结果。单词“创新”有时指的是导致或旨在实现创新的活动或过程。当在这种意义上使用“创新”时，应始终与某种形式的修饰语一起使用，例如“创新活动”。

[SOURCE: ISO 56000:2020, 3.1.1, modified - Note 4 to entry deleted.]

[来源: ISO 56000:2020, 3.1.1, 修改 - 删除了注 4]

### 3.2

#### Organization 组织

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives (3.7)

**为实现其目标 (3.7)，由职责、权限和相互关系构成自身功能的一个人或一组人。**

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

**注 1: 组织的概念包括但不限于代理商、公司、集团、商行、企事业单位、行政机构、合营公司、慈善机构或调研机构，或上述组织的部分或组合，无论是否为法人组织，公有的或私有的。**

Note 2 to entry: If the organization is part of a larger entity, the term "organization" refers only to the part of the larger entity that is within the scope of the innovation (3.1) management system (3.5).

**注 2: 如果组织是一个较大实体的一部分，“组织”这个术语仅指较大客体中处于创新 (3.1) 管理体系 (3.5) 范围内的部分。**

Note 3 to entry: Organizational functions can include, for example, research and development, human resources, finance, sales, marketing and operations.

**注释 3: 组织职能可以包括，例如，研发、人力资源、财务、销售、营销和运营。**

### 3.3

#### interested party (preferred term) 相关方 (首选)

#### stakeholder (admitted term) 相关方 (可选)

person or organization (3.2) that can affect, be affected by, or perceive itself to be affected by a decision or activity 可影响决策或活动、受决策或活动所影响、或自认为受决策或活动影响的个人或组织(3.2)。

Note 1 to entry: Interested parties can include, for example, users, customers, suppliers, partners, innovation ecosystems, funding organizations, investors, universities and public authorities.

**注 1: 相关方可以包括，例如，用户、客户、供应商、合作伙伴、创新生态系统、资助组织、投资者、大学和公共机构。**

### 3.4

#### top management 最高管理者

person or group of people who directs and controls an organization (3.2) at the highest level

在高层指挥和控制组织 (3.2) 的一个人或一组人。

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

**注 1: 最高管理者在组织内有授权和提供资源的权力。**

Note 2 to entry: If the scope of the management system (3.5) covers only part of an organization, then top management refers to those who direct and control that part of the organization.

**注 2: 如果管理体系(3.5)的范围仅覆盖组织的一部分，在这种情况下，最高管理者是指管理和控制组织的这部分的一个人或一组人。**

### 3.5

#### management system 管理体系

set of interrelated or interacting elements of an organization (3.2) to establish policies (3.6) and objectives (3.7), as well as processes (3.9) to achieve those objectives

**组织(3.2)建立方针(3.6)和目标(3.7)以及实现这些目标的过程(3.9)的相互关联或相互作用的一组要素。**

Note 1 to entry: A management system can address a single discipline or several disciplines.

**注 1：一个管理体系可以针对单一的领域或几个领域。**

Note 2 to entry: The management system elements include the organization's structure, roles and responsibilities, planning and operation.

**注 2：管理体系要素包括组织的结构、岗位和职责、策划和运行。**

### 3.6

#### Policy 方针

intentions and direction of an organization (3.2) as formally expressed by its top management (3.4)

**由最高管理者(3.4)正式发布的组织(3.2)的宗旨和方向。**

### 3.7

#### Objective 目标

result to be achieved

**要实现的结果。**

Note 1 to entry: An objective can be strategic, tactical, or operational.

**注 1：目标可以是战略的、战术的或操作层面的。**

Note 2 to entry: Objectives can relate to different disciplines (such as finance, health and safety, and environment). They can be, for example, organization-wide or specific to a project, product or process (3.9).

**注 2：目标可以涉及不同的领域（例如财务、健康和安全、环境）。它们可以是整体的，或者是特定于项目、产品或过程（3.9）的。**

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended result, as a purpose, as an operational criterion, as an innovation (3.1) objective or by the use of other words with similar meaning (e.g. aim, goal, or target).

**注 3：可以采用其他方式表述目标，例如：采用预期的结果、活动的目的或运行准则作为创新（3.1）目标，或使用其他有类似含意的词（如：目的、终点或标的）。**

Note 4 to entry: In the context of innovation management systems (3.5), innovation objectives are set by the organization (3.2), consistent with the innovation policy (3.6), to achieve specific results.

**注 4：在创新管理体系（3.5）环境中，组织（3.2）制定的创新目标与创新方针（3.6）保持一致，以实现特定的结果。**

### 3.8

#### Risk 风险

effect of uncertainty

**不确定性的影响。**

Note 1 to entry: An effect is a deviation from the expected - positive or negative.

**注 1：影响是指偏离预期，可以是正面的或负面的。**

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

**注 2：不确定性是一种对某个事件，或是事件的局部的结果或可能性缺乏理解或知识方面的信息的情形。**

Note 3 to entry: Risk is often characterized by reference to potential events and consequences, or a combination of these.

**注 3：通常，风险是通过有关可能事件和后果或两者的组合来描述其特性的。**

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence.

**注 4：通常，风险是以某个事件的后果（包括情况的变化）及其发生的可能性的组合来表述的。**

### 3.9

**Process 过程**

set of interrelated or interacting activities that uses or transforms inputs to deliver a result

**利用输入实现预期结果的相互关联或相互作用的一组活动。**

Note 1 to entry: Whether the result of a process is called an output, a product or a service depends on the context of the reference.

**注 1: 过程的结果称为输出, 还是称为产品或服务, 随相关语境而定。**

**3.10****Competence 能力**

ability to apply knowledge and skills to achieve intended results

**应用知识和技能实现预期结果的本领。**

**3.11****documented information 文件化信息**

information required to be controlled and maintained by an organization (3.2) and the medium on which it is contained

**组织 (3.2) 需要控制和保持的信息及其载体。**

Note 1 to entry: Documented information can be in any format and media and from any source.

**注 1: 文件化信息可以任何形式和载体存在, 并来自任何来源。**

Note 2 to entry: Documented information can refer to:

**文件化信息可涉及:**

- a) the management system (3.5), including related processes (3.9);  
**管理体系 (3.5), 包括相关过程 (3.9);**
- b) information created in order for the organization to operate (documentation);  
**为组织运行产生的信息 (一组文件);**
- c) evidence of results achieved (records).  
**结果实现的证据 (记录)。**

**3.12****Performance 绩效**

measurable result

**可测量的结果。**

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

**注 1: 绩效可能涉及定量的或定性的结果。**

Note 2 to entry: Performance can relate to managing activities, processes (3.9), products, services, systems or organizations (3.2).

**注 2: 绩效可能涉及活动、过程(3.9)、产品、服务、体系或组织(3.2)的管理。**

**3.13****continual improvement 持续改进**

recurring activity to enhance performance (3.12)

**提高绩效 (3.12) 的循环活动。**

**3.14****Effectiveness 有效性**

extent to which planned activities are realized and planned results are achieved

**完成策划的活动并得到策划结果的程度。**

**3.15**

**Requirement 要求**

need or expectation that is stated, generally implied or obligatory

**明示的、通常隐含的或必须履行的需求或期望。**

Note 1 to entry: "Generally implied" means that it is custom or common practice for the organization (3.2) and interested parties (3.3) that the need or expectation under consideration is implied.

**注 1：“通常隐含”是指组织(3.2)和相关方(3.3)的惯例或一般做法，所考虑的需求或期望是不言而喻的。**

Note 2 to entry: A specified requirement is one that is stated, e.g. in documented information (3.11).

**注 2：规定要求是经明示的要求，如：在文件化信息(3.11)中阐明。**

**3.16****Conformity 合格**

fulfilment of a requirement (3.15)

**满足要求 (3.15)。**

**3.17****Nonconformity 不合格**

non-fulfilment of a requirement (3.15)

**未满足要求 (3.15)。**

**3.18****corrective action 纠正措施**

action to eliminate the cause(s) of a nonconformity (3.17) and to prevent recurrence

**为消除不合格(3.17)的原因并防止再发生所采取的措施。**

**3.19****audit**

systematic and independent process (3.9) for obtaining evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

**为获得客观证据并对其进行客观的评价，以确定满足审核准则的程度所进行的系统的、独立的过程 (3.9)。**

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

**注 1：审计可以是内部审核（第一方）或外部审核（第二方或第三方），也可以是多体系审核（结合两个或更多领域）。**

Note 2 to entry: An internal audit is conducted by the organization (3.2) itself, or by an external party on its behalf.

**注 2：内部审核可以由组织 (3.2) 自身进行，也可以由外部方代表其进行。**

Note 3 to entry: "Audit evidence" and "audit criteria" are defined in ISO 19011.

**注 3：“审核证据”和“审核准则”在 ISO 19011 中定义。**

**3.20****Measurement 测量**

process (3.9) to determine a value

**确定数值的过程 (3.9)。**

**3.21****Monitoring 监视**

determining the status of a system, a process (3.9) or an activity

**确定体系、过程(3.9)或活动的状态。**

Note 1 to entry: To determine the status, there can be a need to check, supervise or critically observe.

**注 1：为了确定状态，可能需要检查、监督或密切观察。**

## 4 Context of the organization 组织环境

### 4.1 Understanding the organization and its context 理解组织及其环境

The organization shall determine:

**组织应确定：**

- a) external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended result(s) of its innovation management system;  
**影响其目的且对其创新管理体系实现预期结果能力有影响的外部 and 内部因素；**
- b) whether climate change is a relevant issue;  
**气候变化是否是相关因素；**
- c) areas of opportunity for potential value realization.  
**潜在价值实现的机会领域。**

NOTE 1 Issues can have a positive or negative impact on the organization and be related to past experiences, present situations and future forecasts.

**注 1：因素可能对组织产生正面或负面的影响，并且与过去的经验、当前的状态和未来的预测有关。**

NOTE 2 External issues can be related to, for example, political, economic, market, social, technological, legal, regulatory, standards, environmental and ethical factors; whether local, regional, national or international.

**注 2：外部因素可能与政治、经济、市场、社会、技术、法律、法规、标准、环境和伦理等因素有关；这些因素可以是地方性、区域性、国家级或国际性的。**

NOTE 3 Internal issues can be related to, for example, the organization's vision, mission, values, culture, finance, people, practices, value realization models, capabilities, resources, governance and performance.

**注 3：内部因素可能涉及例如组织的愿景、使命、价值观、文化、财务、人员、实践、价值实现模式、能力、资源、治理和绩效等方面。**

### 4.2 Understanding the needs and expectations of interested parties 理解相关方的需求和期望

The organization shall determine:

**组织应确定：**

- a) the internal and external interested parties, both current and potential, that are relevant to the areas of opportunity and the innovation management system;  
**与机会领域和创新管理体系相关的当前和潜在的内部和外部相关方；**
- b) the relevant needs, expectations and requirements, both current and anticipated, of these interested parties;  
**这些相关方的当前和预期的相关需求、期望和要求；**
- c) which of these needs, expectations and requirements will be addressed through the innovation management system.  
**这些需求、期望和要求中哪些将通过创新管理体系加以解决。**

NOTE 1 Needs and expectations can be stated or unstated.

**注 1：需求和期望可以是明示的或隐含的。**

NOTE 2 Relevant interested parties can have requirements related to climate change, environmental and social impacts, governance and ethics.

**注 2：相关的相关方可能会有与气候变化、环境和社会影响、治理和伦理相关的要求。**

NOTE 3 Interested parties can include, for example, users, customers, partners, suppliers, competitors, associations, academia, regulators, authorities, employees, owners and investors.

**注 3：相关方可以包括，例如用户、客户、合作伙伴、供应商、竞争者、协会、学术界、监管机构、当局、员工、所有者和投资者。**

## 4.3 Determining the scope of the innovation management system 确定创新管理体系的范围

### 4.3.1 Innovation intent 创新目的

The organization shall determine its innovation intent, considering the areas of opportunity, and the needs, expectations and requirements of interested parties.

**组织应确定其创新目的，考虑机会领域以及相关方的需求、期望和要求。**

The innovation intent shall be available as documented information.

**创新目的应以文件化信息的形式提供。**

NOTE The innovation intent expresses the aspiration of how innovation activities can contribute to the purpose and strategic direction of the organization. It can include scenarios of what value can be realized in the areas of opportunity.

**注：创新目的表达了创新活动如何为组织的目的和战略方向做出贡献的愿望。它可包括在机会领域中可以实现的价值场景。**

### 4.3.2 Scope of the innovation management system 创新管理体系的范围

The organization shall determine the boundaries and applicability of the innovation management system to establish its scope.

**组织应确定创新管理体系的边界和适用性，以确定其范围。**

When determining this scope, the organization shall consider:

**在确定此范围时，组织应考虑：**

- a) the external and internal issues and areas of opportunity referred to in 4.1;  
**4.1 中提及的外部因素及机会领域；**
- b) the needs, expectations and requirements referred to in 4.2;  
**4.2 中提及的需求、期望和要求；**
- c) the innovation intent.  
**创新目的。**

The scope shall state what is covered in terms of offerings, processes and operations, organizational structures and functions, and geographical locations, as applicable.

**该范围应说明所涵盖的内容，包括产品、过程和操作、组织结构和职能，以及适用的地理位置。**

The scope shall be available as documented information.

**该范围应作为文件化信息提供。**

## 4.4 Innovation management system 创新管理体系

The organization shall establish, implement, maintain and continually improve an innovation management system, including the processes and other management system elements needed and their interactions, in accordance with the requirements of this document.

**组织应按照本文件的要求，建立、实施、保持并持续改进创新管理体系，包括所需的过程及其他管理体系要素及其相互作用。**

## 5 Leadership 领导作用

### 5.1 Leadership and commitment 领导作用和承诺

#### 5.1.1 General 总则

Top management shall demonstrate leadership and commitment with respect to the innovation management system by:

**最高管理者应通过以下方面，证实其对创新管理体系的领导作用和承诺：**

- a) taking accountability for the effectiveness and efficiency of the innovation management system;  
**对创新管理系统的有效性和效率负责；**
- b) ensuring that the innovation intent, policy, strategy and objectives are established, and are compatible with the strategic direction of the organization;  
**确保创新目的、方针、战略和目标得以建立，并且与组织的战略方向相一致；**
- c) ensuring the integration of the innovation management system requirements into the organization's structure and business processes;  
**确保将创新管理体系要求整合到组织的结构和业务过程中；**
- d) ensuring that the resources, needed for the innovation management system, are available;  
**确保创新管理体系所需的资源是可获得的；**
- e) communicating the importance of effective innovation management and of conforming to the innovation management system requirements;  
**沟通有效的创新管理和符合创新管理体系要求的重要性；**
- f) ensuring that the innovation management system achieves its intended result(s);  
**确保创新管理体系实现其预期结果；**
- g) engaging, directing, empowering and supporting persons to contribute to the effectiveness of the innovation management system;  
**促使人员参与，指导、授权并支持他们为创新管理体系的有效性做出贡献；**
- h) promoting continual improvement;  
**推动持续改进；**
- i) encouraging and supporting leaders at all levels and other relevant roles to demonstrate their leadership and commitment, as it applies to their areas of responsibility.  
**鼓励和支持各级领导者和其他相关岗位在其职责范围内证实他们的领导作用和承诺。**

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

**注：本文件中提到的“业务”可以广义地解释为对组织存在的目的至关重要的活动。**

### 5.1.2 Focus on value realization 以价值实现为关注焦点

Top management shall demonstrate leadership and commitment with respect to value realization, by ensuring:

**最高管理者应通过以下方面证实其在价值实现方面的领导作用和承诺：**

- a) that a focus on sustained value realization, both financial and non-financial, is maintained as the overall purpose of the innovation management system;  
**确保持续的价值实现（包括财务和非财务方面）作为创新管理体系的总体目标；**
- b) the implementation of innovation processes that are capable of realizing value under conditions of uncertainty.  
**确保能够在不确定性条件下实施实现价值的创新过程。**

### 5.1.3 Change management 变更管理

Top management shall demonstrate leadership and commitment with respect to change management by:

**最高管理者应通过以下方面证实其在变更管理方面的领导作用和承诺：**

- a) determining the need for change and adaptation to achieve innovation success;  
**确定为实现创新成功所需的变更和适应需求；**
- b) creating awareness and communicating the importance and need for change and adaptation;

**建立意识并沟通变更和适应的重要性的必要性；**

- c) ensuring that people are engaged and prepared for change and able to adapt.  
**促使人员积极参与，为变更做好准备，并能够适应。**

NOTE Change management can be related to implementing the innovation management system and can be applied upon deploying innovations.

**注：变更管理可以与实施创新管理体系相关，也可以在部署创新时应用。**

## 5.2 Innovation policy 创新方针

### 5.2.1 Establishing the innovation policy 制定创新方针

Top management shall establish, implement and maintain an innovation policy that:

**最高管理者应制定、实施和保持创新方针，该方针应：**

- a) expresses a commitment to innovation activities;  
**表达对创新活动的承诺；**
- b) is appropriate to the purpose of the organization;  
**适合组织的目的；**
- c) provides a framework for setting the innovation strategy and objectives;  
**为设定创新战略和目标提供框架；**
- d) includes a commitment to meet applicable requirements;  
**包含满足适用要求的承诺；**
- e) includes a commitment to continual improvement of the innovation management system.  
**包含对持续改进创新管理体系的承诺。**

NOTE The innovation policy can consider the innovation management principles, and include ethical, sustainability, social and other commitments.

**注：创新方针可以考虑创新管理原则，并包括道德、可持续性、社会以及其他承诺。**

### 5.2.2 Communicating the innovation policy 沟通创新方针

The innovation policy shall:

**创新方针应：**

- a) be available as documented information;  
**作为文件化信息可供获取；**
- b) be communicated and understood within the organization;  
**在组织内部得到沟通并被理解；**
- c) be available to interested parties, as appropriate.  
**适宜时，可为有关相关方所获取。**

## 5.3 Innovation strategy 创新战略

### 5.3.1 Establishing the innovation strategy 制定创新战略

Top management shall establish, implement and maintain one or more innovation strategies that:

**最高管理者应建立、实施并保持一个或多个创新战略，这些战略应：**

- a) express the purpose of innovation activities, the strategic innovation objectives and how to achieve them;  
**明确创新活动的目的、战略创新目标以及如何实现这些目标；**

- b) determine and provide the necessary support, including the allocation of resources;  
**确定并提供必要的支持，包括资源的分配；**
- c) are compatible with the strategic direction of the organization;  
**与组织的战略方向相一致；**
- d) are based on the innovation intent and aligned with the innovation policy;  
**基于创新目的并与创新方针保持一致；**
- e) determine the areas of opportunity to explore and exploit;  
**确定需要探索和利用的机会领域；**
- f) provide a framework for setting tactical and operational innovation objectives, and establishing innovation portfolios and innovation performance indicators;  
**为制定战术和操作创新目标、建立创新组合和创新绩效指标提供框架；**
- g) are consistent across units, levels and functions, as applicable;  
**适用时，确保各单位、各层次和各职能之间的一致性；**
- h) are flexible and adaptable;  
**具有灵活性和适应性；**
- i) are monitored, reviewed and updated, as appropriate, based on the innovation performance.  
**适宜时，根据创新绩效进行监视、评审和更新。**

NOTE An innovation strategy can support the strategic direction of the organization or challenge it by providing an alternative or more visionary direction.

注：创新战略可以支持组织的战略方向，或者通过提供一种替代的或更具远见的方向来挑战它。

### 5.3.2 Communicating the innovation strategy 沟通创新战略

The innovation strategy shall:

**创新战略应：**

- a) be available as documented information;  
**作为文件化信息可供获取；**
- b) be communicated, understood and applied within the organization;  
**在组织内部得到沟通、理解和应用；**
- c) be available to interested parties, as appropriate.  
**适宜时，可为有关相关方所获取。**

### 5.4 Innovation culture 创新文化

Top management shall determine and promote the organizational culture needed to support innovation activities by:

**最高管理者应通过以下方面确定和促进支持创新活动所需的组织文化：**

- a) analysing the current culture as part of understanding the internal context of the organization;  
**分析当前的文化，作为理解组织内部环境的一部分；**
- b) considering the innovation intent, policy and strategy;  
**考虑创新目的、方针和战略；**
- c) encouraging leaders at all levels to demonstrate their leadership and commitment, and act as role models;  
**鼓励各级领导证实领导作用和承诺，并以身作则；**
- d) ensuring competence development, awareness, engagement and communication, as appropriate;  
**适宜时，确保能力发展、意识、参与和沟通；**
- e) considering the following characteristics, as appropriate:  
**适宜时，考虑到以下特征：**
  - 1) enabling the coexistence of creativity and effective execution;

**允许创造力和有效执行共存；**

- 2) openness to change, risk-taking attitude, collaboration and co-creation;  
**乐于改变，敢于冒险，善于合作和共同创造；**
- 3) exploiting insights, focus on users and value realization;  
**挖掘洞察力，关注用户和价值实现；**
- 4) exploration and experimentation to acquire new knowledge and competence;  
**通过探索 and 实验获取新知识和能力；**
- 5) questioning of assumptions and established conditions;  
**质疑假设和既定条件；**
- 6) diversity of participation and respect for different perspectives;  
**参与的多样性以及对不同观点的尊重；**
- 7) balance of assumption-based and evidence-based analysis and decision-making;  
**在基于假设和基于证据的分析与决策之间保持平衡；**
- 8) encouragement of feedback and continuous learning;  
**鼓励反馈和持续学习；**
- 9) the ability to work with ambiguity and uncertainty.  
**具备应对模糊性和不确定性的能力。**

NOTE Organizations with an innovation culture frequently have future-focused leaders who are driven by curiosity and courage, motivate through purpose, promote seeking new knowledge, act as coaches and mentors, demonstrate design and other good practices, facilitate learning from successes and failures, and encourage, empower, recognize, and incentivize innovators and teams.

注：具有创新文化的组织通常会有面向未来的领导者，他们充满好奇心和勇气，通过目标激励他人，倡导寻求新知识，充当教练和导师，展现设计和其他优秀实践，促进从成功和失败中学习，并鼓励、赋权、认可和激励创新者和团队。

## 5.5 Roles, responsibilities and authorities 岗位、职责和权限

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.

**最高管理者应确保组织相关岗位的职责和权限得到分配、沟通和理解。**

Top management shall assign the responsibility and authority for:

**最高管理者应分配职责和权限，以：**

- a) ensuring that the innovation management system conforms to the requirements of this document;  
**确保创新管理体系符合本文件的要求；**
- b) reporting on the performance of the innovation management system and on opportunities for improvement to top management;  
**向最高管理者报告创新管理体系的绩效和改进的机会；**
- c) the management of the relevant management system elements, including innovation portfolios, organizational structures, collaboration, innovation initiatives and innovation processes;  
**管理相关管理体系要素，包括创新组合、组织结构、协作、创新行动和创新过程；**
- d) decision-making at all levels.  
**各层级决策。**

NOTE Responsibilities and authorities can be assigned to dedicated roles (e.g. innovation management professionals) or added to other established roles in the organization.

注：职责和权限可以分配给专门的岗位（如创新管理专业人员），也可以添加到组织中的其他已设置的岗位中。

## 6 Planning 策划

## 6.1 Actions to address risks and opportunities 应对风险和机遇的措施

### 6.1.1 General 总则

When planning for the innovation management system, the organization shall consider the issues referred to in 4.1, the needs, expectations and requirements referred to in 4.2, and the innovation strategy referred to in 5.3, and determine the risks and opportunities that need to be addressed to:

在策划创新管理体系时，组织应考虑 4.1 中提及的因素、4.2 中提及的需求、期望和要求以及 5.3 中提及的创新战略，并确定需要应对的风险和机遇，以：

- a) manage the associated uncertainties, including the level and type of accepted risks;  
管理相关的不确定性，包括可接受风险的水平和类型；
- b) give assurance that the innovation management system can achieve its intended result(s);  
确保创新管理体系能够实现其预期结果；
- c) enhance desired effects and prevent, or reduce, undesired effects;  
增强有利影响，防止或减少不利影响；
- d) achieve continual improvement.  
实现持续改进。

NOTE In the discipline of innovation management, opportunities are generally considered before risks.

注：在创新管理领域中，通常在考虑风险之前先考虑机会。

### 6.1.2 Planning actions 措施的策划

The organization shall plan:

组织应策划

- a) actions to address these risks and opportunities;  
应对风险和机遇的措施；
- b) how to  
如何
  - integrate and implement the actions into its innovation management system processes;  
在创新管理体系中整合并实施这些措施；
  - evaluate the effectiveness of these actions.  
评价这些措施的有效性。

## 6.2 Innovation objectives and planning to achieve them 创新目标及其实现的策划

### 6.2.1 Innovation objectives 创新目标

The organization shall establish innovation objectives at relevant functions and levels.

组织应在相关的职能和层次上建立创新目标。

The innovation objectives shall:

创新目标应：

- a) be consistent with the innovation policy and strategy;  
与创新方针和战略保持一致；
- b) be measurable (if practicable);  
可测量（如果可行）；
- c) take into account applicable requirements;  
考虑适用要求；

- d) be monitored;  
**予以监视;**
- e) be communicated and understood;  
**予以沟通和理解;**
- f) be updated as appropriate;  
**适时更新;**
- g) be available as documented information.  
**作为文件化信息可供获取。**

### 6.2.2 Planning to achieve objectives 策划以实现目标

When planning how to achieve its innovation objectives, the organization shall determine:  
**在策划如何实现其创新目标时，组织应当确定：**

- a) what will be done;  
**要做什么;**
- b) what resources will be required;  
**需要什么资源;**
- c) who will be involved, considering the relevant interested parties;  
**涉及哪些人员，考虑到相关的相关方;**
- d) who will be responsible;  
**由谁负责;**
- e) when it will be completed;  
**何时完成;**
- f) how the results will be evaluated and, if applicable, protected;  
**如何评价结果，以及在适用时如何保护结果;**
- g) how it will realize value.  
**如何实现价值。**

### 6.3 Planning of changes 变更的策划

When the organization determines the need for changes to the innovation management system, the changes shall be carried out in a planned manner.

**当组织确定需要对创新管理体系进行变更时，变更应按所策划的方式实施。**

### 6.4 Innovation portfolio 创新组合

The organization shall establish, implement and maintain one or more portfolios of innovation initiatives that:

**组织应建立、实施和保持一个或多个创新行动组合，这些行动：**

- a) are aligned with the innovation strategy and objectives;  
**与创新战略和目标保持一致;**
- b) include defined criteria to evaluate, improve, and prioritize the portfolio and its initiatives;  
**包括评价、改进和优先考虑组合及其行动明确准则;**
- c) consider innovation and other portfolios, as applicable.  
**考虑创新和其他组合 (如适用)。**

NOTE 1 Innovation portfolios can be established to realize synergies, including, for example, possibilities for re-use and optimization of resources, technologies, platforms and processes.

**注 1：可以建立创新组合以实现协同效应，包括资源、技术、平台和过程的再利用和优化的可能性。**

NOTE 2 Innovation portfolio criteria can include, for example, a balance of risk versus return, value versus effort,

degrees of novelty, types of innovations, technology readiness levels, ranges of time horizons, different areas of opportunity, current versus new users and customers, and opportunities close to, adjacent to or beyond the current offerings of the organization.

**注 2: 创新组合标准可以包括, 例如风险与回报的平衡、价值与投入的平衡、新颖程度、创新类型、技术成熟度、时间跨度、不同的机会领域、现有用户与新用户和客户以及接近、邻近或超出组织当前产品的机会。**

NOTE 3 The organization can have innovation portfolios at strategic, tactical or operational levels.

**注 3: 组织可以在战略、战术或操作层面拥有创新组合。**

## 6.5 Organizational structures 组织结构

The organization shall establish, implement and maintain organizational structures that:

**组织应建立、实施和保持以下组织结构:**

- a) are adaptable and appropriate for achieving the intended results of the innovation management system;  
**能够适应并适合实现创新管理体系的预期结果;**
- b) are aligned with the innovation strategy and objectives;  
**与创新战略和目标保持一致;**
- c) consider the need for separated organizational structures dedicated to innovation activities, as appropriate.  
**适宜时, 考虑是否需要专门用于创新活动的独立组织结构。**

NOTE Organizational structures can take the form of, for example, a department, an innovation laboratory, an incubator, an accelerator or an ecosystem.

**注: 组织结构可以采取部门、创新实验室、孵化器、加速器或生态系统等形式。**

## 6.6 Collaboration 协作

The organization shall establish an approach for the management of internal and external collaboration that:

**组织应建立一种管理内部和外部协作的方法, 该方法:**

- a) expresses the purpose of collaboration, the collaboration objectives and how to achieve them;  
**表达协作的目的、协作目标以及如何实现这些目标;**
- b) is aligned with the innovation strategy and objectives;  
**与创新战略和目标保持一致;**
- c) considers existing competences and resources;  
**考虑现有的能力和资源;**
- d) considers issues related to intellectual property;  
**考虑与知识产权相关的因素;**
- e) considers the importance of respect, openness and trust between parties;  
**考虑各方之间尊重、开放和信任的重要性;**
- f) is communicated and understood within the organization, as appropriate.  
**适宜时, 在组织内部进行沟通和理解。**

NOTE An approach can include, for example, the strategic relevance and scope of collaboration, identification and selection of collaboration parties, innovation ecosystems, and the implementation and communication of collaboration activities.

**注: 方法可以包括, 例如协作的战略相关性和范围、协作方的识别与选择、创新生态系统, 以及协作活动的实施与沟通。**

## 7 Support 支持

### 7.1 Resources 资源

### 7.1.1 General 总则

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the innovation management system.

**组织应确定并提供建立、实施、保持和持续改进创新管理体系所需的资源。**

When determining and providing resources, the organization shall consider:

**在确定和提供资源时，组织应考虑：**

- a) the innovation strategy and objectives;  
**创新战略和目标；**
- b) a flexible and adaptable approach;  
**具有灵活性和适应性的方法；**
- c) the capabilities of, and constraints on, existing internal resources;  
**现有内部资源的能力和局限；**
- d) what needs to be established or obtained from external providers or through collaboration;  
**需要从外部供方或通过协作建立或获得什么；**
- e) the need for securing and protecting resources for innovation activities as distinct from other activities.  
**确保和保护不同于其他活动的创新活动资源的需要。**

### 7.1.2 People 人员

The organization shall determine and provide the people needed for the effective implementation of the innovation management system, and consider:

**组织应确定并提供有效实施创新管理体系所需的人员，并考虑：**

- a) people development with regards to innovation activities;  
**与创新活动相关的人员发展；**
- b) the need for incentives and recognition;  
**对激励和认可的需要；**
- c) the diversity of people and teams;  
**人员和小团队的多样性；**
- d) the identification and protection of innovators, as necessary;  
**必要时识别和保护创新者；**
- e) establishing the terms and conditions for the ownership of ideas and intellectual property.  
**制定创意和知识产权所有权的条款和条件。**

### 7.1.3 Time 时间

The organization shall allocate and protect people's time for innovation activities and training, as appropriate.  
**适宜时，组织应分配和保护人员用于创新活动和培训的时间。**

### 7.1.4 Finance 财务

The organization shall determine, provide and monitor the financial resources needed for the effective implementation of the innovation management system, and consider:

**组织应当确定、提供并监视实施创新管理体系所需的财务资源，并考虑以下方面：**

- a) the financial risks and opportunities associated with innovation activities;  
**与创新活动相关的财务风险和机遇；**
- b) establishing funding principles and criteria for innovation activities and portfolios;  
**制定创新活动和组合的资助原则和准则；**

- c) the allocation and protection of dedicated financial resources for innovation activities;  
**为创新活动分配和保护专用财政资源;**
- d) a flexible and adaptable funding approach that covers planned and unplanned innovation activities.  
**具有灵活性和适应性的资金支持方法, 涵盖计划内和计划外的创新活动。**

NOTE Funding principles and criteria can be the balance of, for example, funding across different time horizons, different levels of risk and types of innovations, and internal and external sources of funding.

**注: 资金支持原则和准则可以是不同时间范围、不同风险水平和创新类型以及内部和外部资金来源的平衡。**

### 7.1.5 Infrastructure 基础设施

The organization shall determine, provide and maintain the infrastructure needed for the effective implementation of the innovation management system, and consider:

**组织应确定、提供和维护有效实施创新管理体系所需的基础设施, 并考虑:**

- a) the need for separate or shared infrastructure;  
**对于独立或共享基础设施的需求;**
- b) regularly evaluating advances in infrastructure, including developments in technology.  
**定期评价基础设施的进步, 包括技术发展。**

NOTE Infrastructure can be physical or virtual, internal or external, and can be obtained by, for example, outsourcing and partnering, and from an innovation ecosystem.

**注: 基础设施可以是物理或虚拟的, 内部或外部的, 可以通过外包和合作以及创新生态系统获得。**

### 7.1.6 Knowledge 知识

The organization shall establish an approach for the management of knowledge needed for the effective implementation of the innovation management system, and consider:

**组织应建立知识管理方法, 以有效实施创新管理体系, 并考虑:**

- a) identifying, capturing, classifying, protecting, sharing and utilizing relevant knowledge, whether external or internal, tacit or explicit;  
**识别、获取、分类、保护、共享和利用相关知识, 无论是外部的还是内部的, 隐性的还是显性的;**
- b) leveraging knowledge gained from past and current innovation activities, including successes and failures;  
**利用从过去和当前的创新活动中获得的知识, 包括成功和失败;**
- c) acquiring knowledge in new areas, from multiple and diverse sources, as relevant to current and potential future innovation activities;  
**从多个不同来源获取与当前和未来潜在创新活动相关的新领域知识;**
- d) the level and means of confidentiality.  
**保密的级别和方式。**

### 7.1.7 Intellectual property 知识产权

The organization shall establish an approach for the management of intellectual property needed for the effective implementation of the innovation management system, and consider:

**组织应建立有效实施创新管理体系所需的知识产权管理方法, 并考虑:**

- a) monitoring and analysing disclosed intellectual property that is relevant for the organization to avoid potential infringements;  
**监控和分析与组织相关的已披露知识产权, 以避免潜在的侵权行为;**
- b) identifying intellectual assets to be protected;  
**确定需要保护的知识产权;**

- c) clarifying ownership of intellectual property;  
**明确知识产权的所有权;**
- d) maintaining and periodically reviewing an inventory of intellectual property.  
**保持并定期评审知识产权清单。**

NOTE 1 Intellectual property can include, for example, inventions, technologies, literary, scientific or artistic work, symbols, designs, processes, methodologies, names or images, software, data and know-how.

**注 1: 知识产权可以包括, 例如, 发明、技术、文学、科学或艺术作品、符号、设计、工艺、方法、名称或图像、软件、数据和专有技术。**

NOTE 2 The approach for the management of intellectual property can include, for example, specifying how to realize value from intellectual property, identifying opportunities, creating awareness, communicating and providing training.

**注 2: 知识产权管理的方法可以包括, 例如, 指定如何实现知识产权的价值, 识别机会, 创造意识, 沟通和提供培训。**

### 7.1.8 Tools and methods **工具和方法**

The organization shall determine, provide, and maintain the tools and methods needed for the effective implementation of the innovation management system, and consider:

**组织应确定、提供和保持有效实施创新管理体系所需的工具和方法, 并考虑:**

- a) appropriate tools and methods supporting different types of innovations and innovation activities;  
**支持不同类型创新和创新活动的适当工具和方法;**
- b) creating awareness and providing training.  
**提高意识和提供培训。**

NOTE Tools and methods can include, for example, back casting, ethnographic research, scenario planning, foresight, brainstorming, strategic intelligence, design thinking, TRIZ, road mapping, customer surveys and/or business model templates.

**注: 工具和方法可以包括, 例如, 回溯法、人种学研究、情景规划、前瞻性研究、头脑风暴、战略情报、设计思维、TRIZ、路线图、客户调查和/或商业模式模板。**

## 7.2 Competence **能力**

The organization shall:

**组织应:**

- a) determine the necessary competence for the effective implementation of the innovation management system of person(s) doing work under its control that affects its innovation performance;  
**确定在其控制下对其创新绩效产生影响的人员有效实施创新管理体系所必需的能力;**
- b) ensure that these persons are competent on the basis of appropriate education, training or experience;  
**确保这些人员基于适当的教育、培训或经验具备所需的能力;**
- c) where applicable, take actions to acquire the necessary competence and evaluate the effectiveness of the actions taken.  
**适用时, 采取措施以获得必要的能力, 并评价所采取措施的有效性。**

Appropriate documented information shall be available as evidence of competence.

**应提供适当的文件化信息作为能力的证据。**

NOTE 1 Applicable actions can include, for example: the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

**注 1: 适用措施可包括, 例如: 对在职人员提供培训、指导或重新分配工作; 或聘用或外包胜任的人员。**

NOTE 2 Competence can be a mix of, for example, design, engineering and business competence relevant to

the context.

**注 2:** 能力可以是与背景相关的设计、工程和业务能力的组合。

### 7.3 Awareness 意识

Persons doing work under the organization's control shall be aware of:

**在组织控制下工作的人员应了解:**

- a) the innovation intent, policy, strategy and objectives;  
**创新目的、负责、战略和目标;**
- b) the meaning of innovation and the importance of innovation activities;  
**创新的意义以及创新活动的重要性;**
- c) their contribution to the effectiveness of the innovation management system, including the benefits of improved innovation performance;  
**他们对创新管理体系有效性的贡献, 包括改善创新绩效的益处;**
- d) the implications of not conforming with the innovation management system requirements.  
**不符合创新管理体系要求的后果。**

### 7.4 Communication 沟通

The organization shall determine the internal and external communications relevant to the innovation management system, including:

**组织应确定与创新管理体系相关的内部和外部沟通, 包括:**

- a) on what it will communicate;  
**沟通什么;**
- b) when to communicate;  
**何时沟通;**
- c) with whom to communicate;  
**与谁沟通;**
- d) how to communicate;  
**如何沟通;**
- e) who communicates.  
**由谁沟通。**

### 7.5 Documented information 文件化信息

#### 7.5.1 General 总则

The organization's innovation management system shall include:

**组织的创新管理体系应包括:**

- a) documented information required by this document;  
**本文件要求的文件化信息;**
- b) documented information determined by the organization as being necessary for the effectiveness of the innovation management system.  
**组织确定的对于创新管理体系有效性必要的文件化信息。**

NOTE The extent of documented information for an innovation management system can differ from one organization to another due to:

**注: 对于不同组织, 创新管理体系文件化信息的多少与详略程度可以不同, 取决于:**

- the size and maturity of the organization and its type of activities, processes, products and services;

**组织的规模和成熟度及其活动、过程、产品和服务的类型；**

- the complexity of processes and their interactions;

**过程的复杂性及其相互作用；**

- the competence of persons.

**人员的能力。**

### 7.5.2 Creating and updating documented information **创建和更新文件化信息**

When creating and updating documented information, the organization shall ensure appropriate:

**在创建和更新文件化信息时，组织应确保适当的：**

- a) identification and description (e.g. a title, date, version, author or reference number);  
**标识和说明（例如标题、日期、版本、作者或索引编号）；**
- b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);  
**形式（如语言、软件版本、图表）和载体（如纸质的、电子的）；**
- c) review and approval for suitability and adequacy.  
**评审和批准，以保持适宜性和充分性。**

### 7.5.3 Control of documented information **文件化信息的控制**

Documented information required by the innovation management system and by this document shall be controlled to ensure:

**应控制创新管理体系和本文件所要求的文件化信息，以确保：**

- a) it is available and suitable for use, where and when it is needed;  
**在需要的场合和时机，均可获得并适用；**
- b) it is adequately protected (e.g. from loss of confidentiality, improper use or loss of integrity).  
**予以妥善保护（如防止泄密、不当使用或缺失）。**

For the control of documented information, the organization shall address the following activities, as applicable:

**为控制文件化信息，适用时，组织应进行下列活动：**

- distribution, access, retrieval and use;  
**分发、访问、检索和使用；**
- storage and preservation, including preservation of legibility;  
**存储和防护，包括保持可读性；**
- control of changes (e.g. version control);  
**变更控制（如版本控制）；**
- retention and disposition.  
**保留和处置。**

Documented information of external origin determined by the organization to be necessary for the planning and operation of the innovation management system shall be identified, as appropriate, and controlled.

**对于组织确定的策划和运行创新管理体系所必需的来自外部的文件化信息，组织应进行适当识别，并予以控制。**

NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

**注：对文件化信息的“访问”可能意味着仅允许查阅，或者意味着允许查阅并授权修改。**

## 8 Operation **运行**

### 8.1 Operational planning and control **运行策划和控制**

The organization shall plan, implement and control the innovation initiatives, processes and, where applicable,

innovation portfolios needed to address innovation opportunities, meet requirements and implement the actions determined in Clause 6, by:

**组织应通过以下方式策划、实施和控制创新行动、过程，以及在适用时应对创新机会、满足要求和实施第 6 章中确定的措施所需的创新组合：**

- a) establishing criteria for managing the innovation initiatives, processes and portfolios;  
**制定管理创新行动、过程和组合的准则；**
- b) implementing control of the innovation initiatives, processes and portfolios in accordance with the criteria.  
**根据准则实施对创新行动、过程和组合的控制。**

Documented information shall be available to the extent necessary to have confidence that the innovation initiatives, processes and portfolios have been carried out as planned.

**应提供必要的文件化信息，以确保创新行动、过程和组合已按策划实施。**

The organization shall control planned changes and review the consequences of unintended changes, taking action to prevent or mitigate any adverse effects, as necessary.

**组织应控制策划的变更，并评审意外变更的后果，必要时采取措施防止或减少任何不利影响。**

The organization shall ensure that externally provided processes, products or services, and any collaborative innovation initiatives that are relevant to the innovation management system are controlled.

**组织应确保外部提供的过程、产品或服务以及与创新管理体系相关的任何协同创新行动得到控制。**

## 8.2 Innovation initiatives 创新行动

The organization shall manage each innovation initiative, and consider, if applicable:

**组织应管理每个创新行动，并在适用时考虑：**

- a) establishing, and when appropriate reviewing, the scope, objectives and expected results of the initiative;  
**建立创新行动的范围、目标和预期结果，并在适当时进行评审；**
- b) aligning with the innovation strategy, objectives and portfolios;  
**与创新战略、目标和组合保持一致；**
- c) determining indicators and how to apply them for evaluating the established criteria;  
**确定指标以及如何将其应用于评价已制定的准则；**
- d) establishing decision-making processes and assigning roles, responsibilities and authorities;  
**建立决策过程，分配岗位、职责和权限；**
- e) ensuring the necessary competences;  
**确保必要的能力；**
- f) allocating the necessary resources and staffing levels;  
**分配必要的资源和人员层级；**
- g) establishing internal and external collaboration;  
**建立内部和外部协作；**
- h) implementing the appropriate innovation processes;  
**实施适当的创新过程；**
- i) issues related to intellectual property;  
**与知识产权有关的因素；**
- j) legal, regulatory and other applicable requirements;  
**法律、法规和其他适用要求；**
- k) continuously capturing and using knowledge gained, from both successes and failures.  
**持续获取和使用从成功和失败中获得的知识。**

NOTE 1 Innovation initiatives can be informal or formally controlled and can take the form of a project, programme or any other kind of approach.

**注 1：创新行动可以是非正式的或正式控制的，形式可以是项目、方案或任何其他方法。**

NOTE 2 Innovation initiatives can be implemented using one or a combination of approaches (e.g. in the form of

an ecosystem, internal, external or collaborative initiative; in a temporary or permanent setting) and can use outsourcing, acquisition or divestiture.

**注 2:** 创新行动可以采用一种或多种方法（例如，以生态系统、内部、外部或协作行动的形式；在临时或永久环境中）实施，并可以使用外包、收购或剥离的方式。

## 8.3 Innovation processes 创新过程

### 8.3.1 General 总则

The organization shall establish, implement and maintain innovation processes that:

**组织应当建立、实施和保持创新过程，以确保：**

- a) are flexible and adaptable to the individual innovation initiative;  
**对于单独的创新行动具有灵活性和适应性；**
- b) consider and adapt, as necessary, the five generic innovation processes described in 8.3.2 to 8.3.6;  
**必要时考虑并调整 8.3.2 至 8.3.6 中描述五个通用创新过程；**
- c) aim to reduce uncertainties and increase feasibility of the innovation initiative;  
**旨在减少创新行动的不确定性并提高其可行性；**
- d) include decision points, when appropriate, to repeat the previous processes, continue to subsequent processes or to discontinue the innovation initiative;  
**适当时，包括决策点，以重复之前的过程，继续后续过程或停止创新行动；**
- e) utilize, and connect to, other relevant processes in the organization, as appropriate;  
**适宜时，利用并关联到组织内的其他相关过程；**
- f) are regularly reviewed and, if necessary, re-configured;  
**定期评审，并在必要时重新配置；**
- g) consider integration of innovation initiatives within a portfolio;  
**考虑将创新行动整合到创新组合中；**
- h) consider issues related to intellectual property, including avoiding infringement and securing protection, as appropriate.  
**适宜时，考虑与知识产权有关的因素，包括避免侵权和确保保护。**

NOTE 1 Innovation processes can be iterative and non-sequential and form different configurations, depending on the types of innovations and the circumstances of the innovation initiatives.

**注 1:** 创新过程可以是迭代的、非连续的，并形成不同的配置，具体取决于创新的类型和创新行动的状况。

NOTE 2 Innovation processes can require an adapted approach to control, especially regarding creative and experimentation activities, incorporating a higher degree of freedom and flexibility to manage uncertainty. This approach can intentionally be different from other established control practices in the organization.

**注 2:** 创新过程可能需要一种经过调整的控制方法，特别是在创意和实验活动方面，结合更高的自由度和灵活性来管理不确定性。这种方法可以有意地不同于组织中其他已确定的控制实践。

### 8.3.2 Identify opportunities 识别机会

To identify opportunities, the organization shall consider:

**为了识别机会，组织应考虑：**

- a) the scope, objectives and expected results of the innovation initiative;  
**创新行动的范围、目标和预期成果；**
- b) acquiring, analysing and sharing insights based on relevant external and internal knowledge;  
**基于相关的外部 and 内部知识进行获取、分析和共享洞察力；**
- c) identifying, defining and prioritizing opportunities for value realization based on insights.  
**基于洞察力识别、定义和优先考虑价值实现的机会。**

NOTE 1 Insights can be related to the stated and unstated needs and expectations of users, customers and other interested parties, and other relevant trends and challenges related to, for example, technologies, competitors, markets, regulations, the environment and intellectual property.

**注 1：洞察力可以与用户、客户和其他相关方的明确和隐含的需求和期望相关，也可以与其他相关趋势和挑战相关，例如涉及技术、竞争对手、市场、法规、环境以及知识产权等方面。**

NOTE 2 The result of the processes can be:

**注 2：这些过程的结果可能是：**

- an understanding of the potential for value realization;  
**对价值实现潜力的理解；**
- identified, defined and prioritized opportunities, areas of opportunity or problem statements.  
**识别、定义和优先考虑机会、机会领域或问题陈述。**

### 8.3.3 Create concepts 创建概念

To create concepts, the organization shall consider:

**为了创建概念，组织应当考虑以下因素：**

- a) identified opportunities as inputs;  
**将识别的机会作为输入；**
- b) generating, capturing, analysing, evaluating and selecting ideas for concepts, based on established criteria;  
**根据已确定的准则，生成、获取、分析、评估和选择概念想法；**
- c) designing, developing, describing and prioritizing concepts for potential solutions and propositions for value realization for users, customers, partners and other interested parties.  
**为用户、客户、合作伙伴和其他相关方设计、开发、描述和优先考虑潜在解决方案和价值实现提案的概念。**

NOTE The result of the processes can be created concepts, with preliminary value realization models, that can be validated, including an understanding of the critical uncertainties and assumptions for each concept.

**注：过程的结果可以是创建的概念，包括初步的价值实现模型，这些概念可以进行验证，包括对每个概念的关键不确定性和假设的理解。**

### 8.3.4 Validate concepts 验证概念

To validate concepts, the organization shall consider:

**为了验证概念，组织应当考虑：**

- a) created concepts as inputs;  
**创建的概念作为输入；**
- b) identifying, prioritizing and testing critical uncertainties and assumptions related to the concepts to gain new knowledge and reduce uncertainty;  
**识别、优先排序和测试与概念相关的关键不确定性和假设，以获得新知识并减少不确定性；**
- c) designing, adjusting, re-designing or discontinuing the concepts based on lessons learned, feedback and new knowledge;  
**根据经验教训、反馈和新知识设计、调整、重新设计或终止概念；**
- d) evaluating the feasibility and potential impact of the concept;  
**评价该概念的可行性和潜在影响；**
- e) reducing remaining uncertainties, if necessary;  
**必要时，减少剩余的不确定性；**
- f) determining the priorities of validated concepts within innovation portfolio(s) and making adjustments, if necessary.  
**确定在创新组合中已验证概念的优先级，并在必要时进行调整。**

NOTE 1 Uncertainty can be related to, for example, interaction with users, customers, partners, other interested parties, support, resources, technology, intellectual property, marketing, time to market, competitive threats, financial and legal aspects, organizational structures and competences.

**注 1: 不确定性可能与以下方面相关, 例如与用户、客户、合作伙伴、其他相关方、支持、资源、技术、知识产权、营销、上市时间、竞争威胁、财务和法律方面、组织结构和能力等。**

NOTE 2 The result of the processes can be validated concepts with acceptable levels of uncertainty that can be developed into solutions.

**注 2: 这些过程的结果可以是经过验证的可接受水平的概念, 可以进一步开发成解决方案。**

### 8.3.5 Develop solutions 开发解决方案

To develop solutions, the organization shall consider:

**为了开发解决方案, 组织应考虑:**

- a) validated concepts as inputs;  
**将经过验证的概念作为输入;**
- b) designing and developing concepts, including value realization models, into working solutions;  
**将设计和开发概念, 包括价值实现模型, 转化为可行的解决方案;**
- c) preparing the necessary deployment capabilities, including identifying and addressing the related uncertainties and risks.  
**准备必要的部署能力, 包括识别和应对相关的不确定性和风险。**

NOTE 1 Deployment uncertainties and risks can be related to, for example, user acceptance, marketing, production, supply, partners, ecosystems, sustainability, scalability, budget cycle and timing.

**注 1 部署过程中的不确定性和风险可能与以下方面相关, 例如用户接受度、营销、生产、供应、合作伙伴、生态系统、可持续性、可扩展性、预算周期和时间。**

NOTE 2 The result of the processes can be developed solutions, including value realization models, that can be deployed.

**注 2: 这些过程的结果可以开发出可部署的解决方案, 包括价值实现模型。**

### 8.3.6 Deploy solutions 部署解决方案

To deploy solutions, the organization shall consider:

**为了部署解决方案, 组织应考虑:**

- a) developed solutions as inputs;  
**将已开发的解决方案作为输入;**
- b) production, service provision, distribution plans and, if applicable, scalability plans;  
**生产、服务提供、分销计划, 以及可扩展性计划 (如适用);**
- c) providing solutions, including promotion and support, to interested parties;  
**为相关方提供解决方案, 包括推广和支持;**
- d) evaluating the adoption and impact of solutions in terms of value realization;  
**从价值实现的角度评价解决方案的采用和影响;**
- e) implications for intellectual property;  
**对知识产权的影响;**
- f) capturing new knowledge from deployment to improve solutions and identify new opportunities;  
**从部署中获取新知识, 以改进解决方案并识别新机会;**
- g) determining the priorities of solutions within innovation portfolio(s) and making adjustments, if necessary.  
**确定创新组合中解决方案的优先级, 并在必要时进行调整。**

NOTE The result of the processes can be deployed solutions realizing financial or non-financial value, as well as new knowledge and opportunities.

注：这些过程的结果可以部署实现财务或非财务价值的解决方案，以及新的知识和机会。

## 9 Performance evaluation 绩效评价

### 9.1 Monitoring, measurement, analysis and evaluation 监视、测量、分析和评价

#### 9.1.1 General 总则

The organization shall determine:

组织应确定：

- a) what needs to be monitored and measured;  
需要监测和测量什么；
- b) which innovation performance indicators are to be used;  
使用哪些创新绩效指标；
- c) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;  
如适用，需要用什么方法进行监视、测量、分析和评价，以确保有效结果；
- d) when the monitoring and measuring shall be performed;  
何时实施监视和测量；
- e) when the results from monitoring and measurement shall be analysed and evaluated;  
何时对监视和测量的结果进行分析和评价；
- f) who will be responsible.  
由谁负责。

Documented information shall be available as evidence of the results.

应保存文件化信息作为结果的证据。

NOTE The innovation performance indicators at initiative level, can include:

注：在行动层面的创新绩效指标可以包括：

- input-related indicators (e.g. number of insights, number of initiatives, resources allocated);  
输入相关指标（例如，洞察数量、行动数量、分配的资源）；
- throughput-related indicators (e.g. number of ideas and concepts, speed of experimentation, time to value realization);  
处理能力相关指标（例如，想法和概念数量、实验速度、价值实现时间）；
- output-related indicators (e.g. number of solutions deployed, speed of adoption);  
输出相关指标（例如，部署的解决方案数量、采纳速度）；
- result-related indicators (e.g. return on innovation investment, user and customer productivity and satisfaction, social and environmental impact).  
结果相关指标（如创新投资回报率、用户和客户生产力和满意度、社会和环境影响）。

#### 9.1.2 Analysis and evaluation 分析和评价

The organization shall analyse and evaluate the performance and the effectiveness of the innovation management system.

组织应分析和评价创新管理体系的绩效和有效性。

Documented information shall be available as evidence of the results.

文件化信息应作为结果的证据。

## 9.2 Internal audit 内部审核

### 9.2.1 General 总则

The organization shall conduct internal audits at planned intervals to provide information on whether the innovation management system:

**组织应按策划的时间间隔进行内部审核，以提供有关创新管理体系是否：**

a) conforms to:

**符合：**

- 1) the organization's own requirements for its innovation management system;  
**组织自身对其创新管理体系的要求；**
- 2) the requirements of this document;  
**本文件的要求；**

b) is effectively implemented and maintained.

**得到有效实施和保持。**

### 9.2.2 Internal audit programme 内部审核方案

The organization shall plan, establish, implement and maintain (an) audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting.

**组织应策划、建立、实施和维护审核方案，包括频率、方法、职责、策划要求和报告。**

When establishing the internal audit programme(s), the organization shall consider the importance of the processes and other management system elements concerned and the results of previous audits.

**在制定内部审核方案时，组织应考虑过程和其他相关管理体系要素的重要性以及以往审核的结果。**

The organization shall:

**组织应：**

- a) define the audit objectives, criteria and scope for each audit;  
**确定每次审核的审核目标、准则和范围；**
- b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;  
**选择审核并实施审核，以确保审核过程的客观性和公正性；**
- c) ensure that the results of audits are reported to relevant managers.  
**确保将审核结果报告给相关管理者。**

Documented information shall be available as evidence of the implementation of the audit programme(s) and the audit results.

**文件化信息应作为审核方案实施和审核结果的证据。**

## 9.3 Management review 管理评审

### 9.3.1 General 总则

Top management shall review the organization's innovation management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

**最高管理者应按策划的时间间隔评审组织的创新管理体系，以确保其持续的适宜性、充分性和有效性。**

### 9.3.2 Management review inputs 管理评审输入

The management review shall include:

**管理评审输入应包括：**

- a) the status of actions from previous management reviews;

- 以往管理评审所采取措施的情况；**
- b) changes in external and internal issues and areas of opportunity that are relevant to the innovation management system;  
**与创新管理体系相关的外部因素和内部因素以及机会领域的变化；**
- c) changes in needs and expectations of interested parties that are relevant to the innovation management system;  
**与创新管理体系相关的相关方的需求和期望的变化；**
- d) changes in the innovation intent and scope of the innovation management system;  
**创新管理体系创新目的和范围的变化；**
- e) information on the innovation performance, including trends in:  
**创新绩效信息，包括以下方面的趋势：**
- 1) the contribution of innovation activities to the purpose and strategic direction of the organization;  
**创新活动对组织目标和战略方向的贡献；**
  - 2) the extent to which innovation objectives have been achieved;  
**创新目标实现的程度；**
  - 3) learning from both successes and failures;  
**从成功和失败中学习；**
  - 4) nonconformities and corrective actions;  
**不合格和纠正措施；**
  - 5) monitoring and measurement results;  
**监视和测量结果；**
  - 6) audit results;  
**审核结果。**
- f) the adequacy of the innovation policy, strategy, objectives and performance indicators;  
**创新方针、战略、目标和绩效指标的充分性；**
- g) the adequacy of support, including resources and competences;  
**支持的充分性，包括资源和能力；**
- h) the effectiveness of actions taken to address risks and opportunities;  
**为应对风险和机遇而采取的措施的有效性；**
- i) opportunities for continual improvement.  
**持续改进的机会。**

### 9.3.3 Management review results 管理评审结果

The results of the management review shall include decisions related to continual improvement opportunities and any need for changes to the innovation management system.

**管理评审的结果应包括与持续改进机会和创新管理体系变更需求相关的决定。**

Documented information shall be available as evidence of the results of management reviews.

**文件化信息应作为管理评审结果的证据。**

## 10 Improvement 改进

### 10.1 Continual improvement 持续改进

The organization shall continually improve the suitability, adequacy, effectiveness and efficiency of the innovation management system.

**组织应持续改进创新管理体系的适宜性、充分性、有效性和效率。**

### 10.2 Nonconformity and corrective action 不合格和纠正措施

When a nonconformity occurs, the organization shall:

**当出现不合格时，组织应：**

a) react to the nonconformity and, as applicable:

**对不符合项做出反应，并在适用时：**

1) take action to control and correct it;

**采取措施以控制和纠正不合格；**

2) deal with the consequences;

**处置后果；**

b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:

**通过下列活动，评价是否需要采取措施，以消除产生不合格的原因，避免其再次发生或者在其他场合发生：**

1) reviewing and analysing the nonconformity;

**评审和分析不合格；**

2) determining the causes of the nonconformity;

**确定不合格的原因；**

3) determining if similar nonconformities exist, or can potentially occur;

**确定是否存在或可能发生类似的不合格；**

c) implement any action needed;

**实施所需的措施；**

d) review the effectiveness of any corrective action taken;

**评审所采取的纠正措施的有效性；**

e) make changes to the innovation management system, if necessary.

**需要时，变更创新管理体系。**

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

**纠正措施应与不合格所产生的影响相适应。**

Documented information shall be available as evidence of:

**文件化信息做为下列事项的证据：**

- the nature of the nonconformities and any subsequent actions taken;

**不合格的性质以及随后所采取的措施；**

- the results of any corrective action.

**纠正措施的结果。**

## Annex A 附录 A (informative 资料性)

### Other standards on innovation management developed by ISO/TC 279 **ISO/TC 279 制定的其他创新管理标准**

The following standards on innovation management developed by ISO/TC 279 provide supporting information for organizations that apply this document, and guidance for organizations that choose to progress beyond its requirements:

**ISO/TC 279 制定的以下创新管理标准为应用本文件的组织提供了支持信息，并为选择超越其要求的组织提供指南：**

- ISO 56000 is the vocabulary standard for innovation management, and establishes the fundamental concepts and principles of innovation management. It is an essential background document for the understanding of standards on innovation management developed by ISO/TC 279, including this document.  
**ISO 56000 是创新管理的词汇标准，确立了创新管理的基本概念和原则。它是理解 ISO/TC 279 制定的创新管理标准（包括本文件）的重要背景文件。**
- ISO 56002 gives guidance on how to establish, implement, maintain and continually improve an innovation management system with a focus on established organizations.  
**ISO 56002 为如何建立、实施、保持和持续改进创新管理体系提供了指南，重点是已建立的组织。**
- ISO 56003 gives guidance on how to plan, prepare and engage for external innovation partnerships at the level of a project, programme or initiative.  
**ISO 56003 为如何在项目、方案或行动层面策划、准备和参与外部创新伙伴关系提供了指导。**
- ISO/TR 56004 gives guidance on how to choose, prepare, conduct, measure and improve an innovation management assessment. It does not directly apply to the management system approach in this document.  
**ISO/TR 56004 为如何选择、准备、实施、测量和改进创新管理评估提供了指南。它不直接应用于本文件中的管理体系方法。**
- ISO 56005 gives guidance on how to manage intellectual property throughout the innovation processes and the development of an innovation initiative.  
**ISO 56005 提供了关于如何在创新过程和创新行动的开发中管理知识产权的指南。**
- ISO 56006 gives guidance on how to set up and support the strategic intelligence activities of continuous monitoring, intelligence dissemination and document control.  
**ISO 56006 为如何建立和支持持续监视、情报传播和文件控制的战略情报活动提供了指南。**
- ISO 56007 gives guidance on how to systematically manage opportunities and ideas to realize value from innovation activities and arrive at decisions for development.  
**ISO 56007 为如何系统地管理机会和想法以实现创新活动的价值并做出开发决策提供了指南。**
- ISO 56008 gives guidance on how to develop, define, implement, evaluate and improve the measurements needed to effectively manage individual innovation initiatives.  
**ISO 56008 为如何制定、定义、实施、评价和改进有效管理每个创新行动所需的测量提供了指导。**
- ISO/TS 56010 provides an understanding of the most essential concepts in innovation management. It is intended to be used as an introduction to the standards on innovation management developed by ISO/TC 279.  
**ISO/TS 56010 提供了对创新管理中最基本概念的理解。它旨在作为 ISO/TC 279 制定的创新管理标准的介绍。**

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## Bibliography 参考文件

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**ISO 19011, 管理体系审核指南**
- 2) ISO 56002, Innovation management - Innovation management system – Guidance  
**ISO 56002, 创新管理 - 创新管理体系 - 指南**
- 3) ISO 56003, Innovation management - Tools and methods for innovation partnership – Guidance  
**ISO 56003, 创新管理 - 创新伙伴关系的工具和方法 - 指南**
- 4) ISO/TR 56004, Innovation Management Assessment – Guidance  
**ISO/TR 56004, 创新管理评估 - 指南**
- 5) ISO 56005, Innovation management - Tools and methods for intellectual property management Guidance  
**ISO 56005, 创新管理 - 知识产权管理的工具和方法指南**
- 6) ISO 56006, Innovation management - Tools and methods for strategic intelligence management – Guidance  
**ISO 56006, 创新管理 - 战略情报管理的工具和方法 - 指南**
- 7) ISO 56007, Innovation management - Tools and methods for managing opportunities and ideas – Guidance  
**ISO 56007, 创新管理 - 管理机会和想法的工具和方法 - 指南**
- 8) ISO 56008, Innovation management - Tools and methods for innovation operation measurements – Guidance  
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- 9) ISO/TS 56010, Innovation management - Illustrative examples of ISO 56000  
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