The world's foremost authority in benchmarking, best practices, process and performance improvement, and knowledge management.

FREEDOM to dream. COURAGE to act.
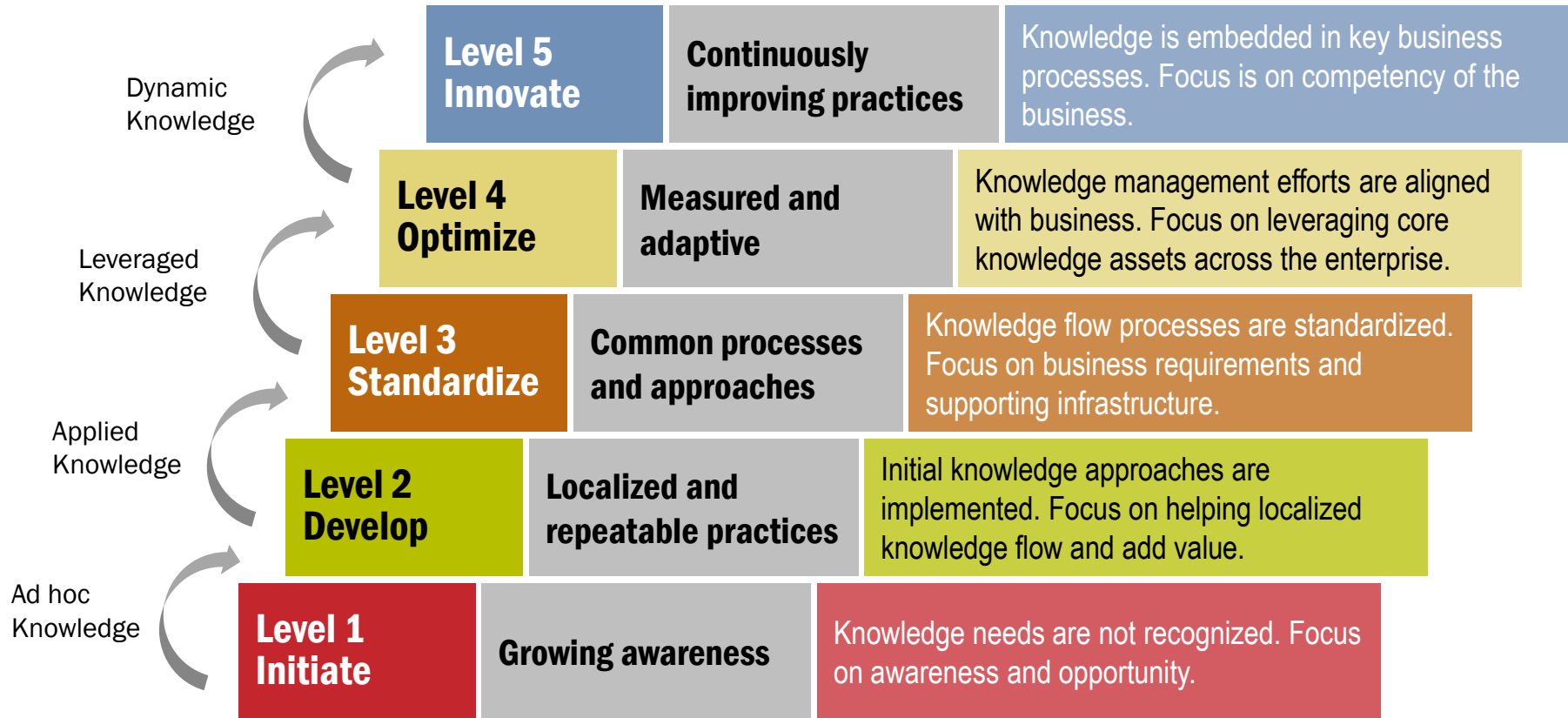C. Jackson Grayson
Founder, APQC

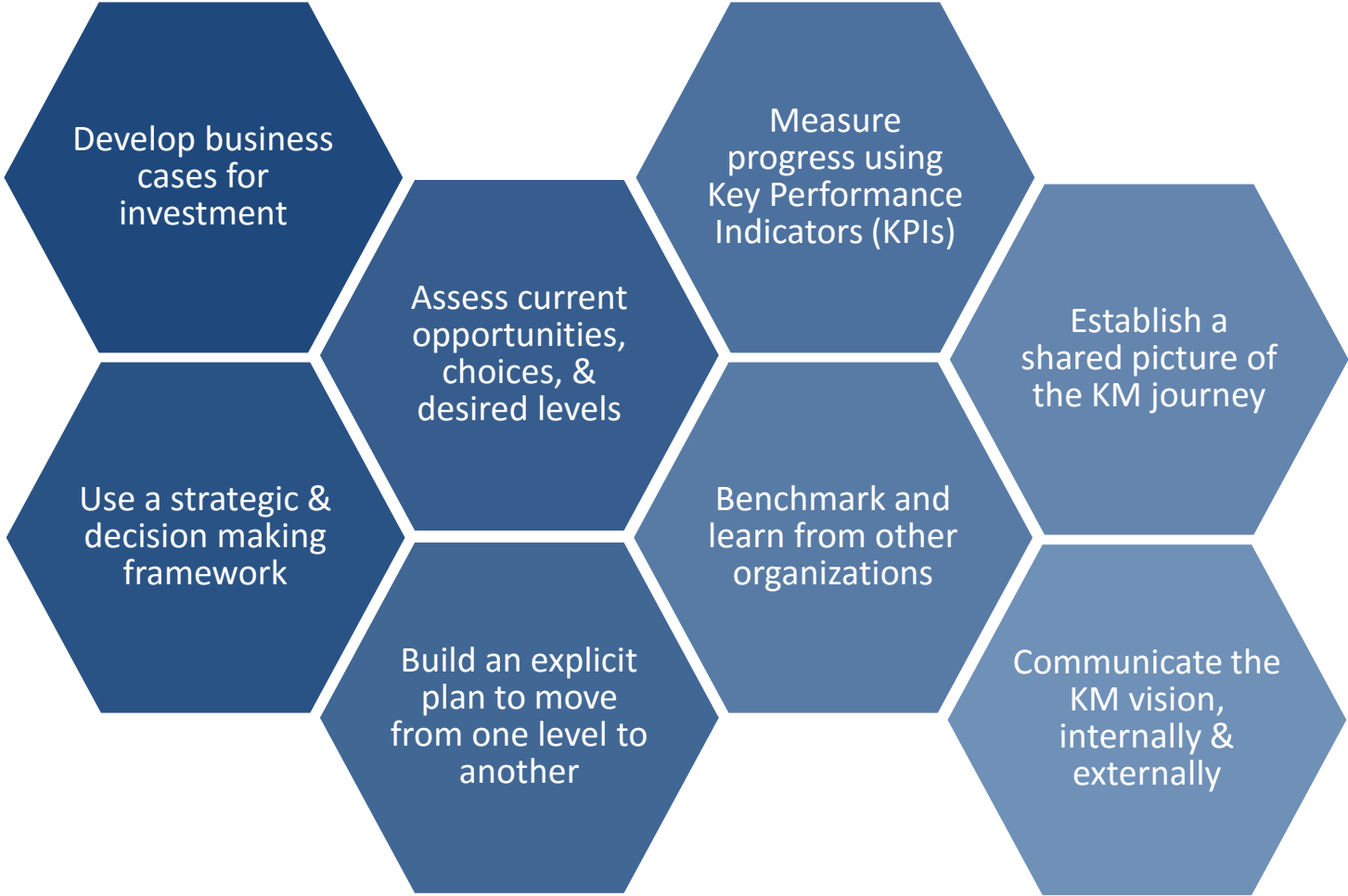# APQC KM CAPABILITY ASSESSMENT TOOL ™

Orientation Session

Revised February 2016

DEVELOPMENT OF THE LEVELS OF KM MATURITY

In 2007, a group of advanced KM practitioners worked to develop APQC's Levels of Knowledge Management Maturity [SM]

Dynamic Knowledge

| **Level 5 Innovate** | **Continuously improving practices** | Knowledge is embedded in key business processes. Focus is on competency of the business. |

Leveraged Knowledge

| **Level 4 Optimize** | **Measured and adaptive** | Knowledge management efforts are aligned with business. Focus on leveraging core knowledge assets across the enterprise. |

Applied Knowledge

| **Level 3 Standardize** | **Common processes and approaches** | Knowledge flow processes are standardized. Focus on business requirements and supporting infrastructure. |

Ad hoc Knowledge

| **Level 2 Develop** | **Localized and repeatable practices** | Initial knowledge approaches are implemented. Focus on helping localized knowledge flow and add value. |

| **Level 1 Initiate** | **Growing awareness** | Knowledge needs are not recognized. Focus on awareness and opportunity. |

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BENEFITS OF THE ASSESSMENT

Develop business cases for investment

Assess current opportunities, choices, & desired levels

Measure progress using Key Performance Indicators (KPIs)

Establish a shared picture of the KM journey

Use a strategic & decision making framework

Build an explicit plan to move from one level to another

Benchmark and learn from other organizations

Communicate the KM vision, internally & externally

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ASSESSES TWELVE KM CAPABILITIES

STRATEGY
- Objectives
- Business Case
- Budget

PEOPLE
- Resources
- Governance & Leadership
- Change Management
- Communication

PROCESS
- Knowledge Flow Processes
- KM Approaches & Tools
- Measurement

CONTENT & IT
- Content Management Process
- Information Technology

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COMPLETING THE ASSESSMENT

RECOMMENDED APPROACH

1. Identify scope for organization's assessment

| Enterprise | Business Unit / Division | Other (Explain) |

2. Determine who will provide input

| KM Core Group | KM Advocates and Engagers | KM Decision Makers & Leaders |

3. Conduct an internal group session to consolidate answers for the entity perspective

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INTERNAL GROUP DISCUSSIONS

➤ Provide participants a copy of the APQC's KM Capability Assessment Tool ^{TM} prior to internal session

➤ Encourage honest and open participation

➤ Calibrate varying perspectives when evaluating KM capability statements

➤ Remember to evaluate capability statements from the entity's perspective

➤ Capture participant comments related to issues/examples that would be useful for APQC to address in the validation session

▪ *Note: For the capability to be met, **at least one example** must be provided for each capability statement. Providing more than one example allows APQC to better understand the pervasiveness of the capability within the organization.*

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HELPFUL TIPS

➤ The statements are **"*what you would expect to see*"** at each level of maturity

➤ Your responses must indicate **tangible evidence of a demonstrated capability for each statement**

➤ Place an "X" to the left of capabilities your organization has achieved to date

➤ To achieve a specific level of maturity, **all statements** within that level **must be checked with sufficient evidence**

➤ Begin the assessment from the bottom (Level 1) of each sub-category, indicating only statements for which evidence can be provided

➤ Include **at least one example** that demonstrates achievement of the capability statement

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DEMOGRAPHIC INFORMATION

Knowledge Management	
CLICK HERE TO READ DETAILED INSTRUCTIONS AND TERMS AND CONDITIONS	
Question	**Answer**
Type the words "I AGREE" in the field to the right of this text if you agree with the terms and conditions	
First Name	
Last Name	
Title	
Company	
Address Line 1	
Address Line 2	
City	
State	
Zip/Postal Code	
Country	
Phone Number	
Corporate email address	
4 digit NAICS code	
How did you hear about this survey?	
Please indicate the currency (e.g. U.S. Dollar, Euro, Japanese Yen, etc.) used for monetary responses in this survey.	
Provide the end date of the twelve-month period for which your business entity will be providing data.	
Year	
Month	
What is the total annual revenue of your entire organization?	
What is the total annual revenue for your business entity?	
For what entity in your organization is this assessment being conducted? (Check one. Unless otherwise noted, please respond to all assessment statements with respect to the scope of the organization selected in this question)	
If answering as a business unit or a core discipline or knowledge domain, please explain.	
If you selected other, please explain.	
Number of employees for the entity in your organization this assessment is evaluating	

Be sure to complete the following information:

➢ Agreement to the Terms and Conditions of the KM Capability Assessment Tool ™

➢ Contact information of the submitter

➢ Total annual revenue for the evaluated business entity

➢ Scope of the assessment (enterprise, business unit/division, or other)

➢ Number of employees for the evaluated business entity

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PREVIEW OF KM CAPABILITY ASSESSMENT TOOL ™

I STRATEGY: (S1) OBJECTIVES
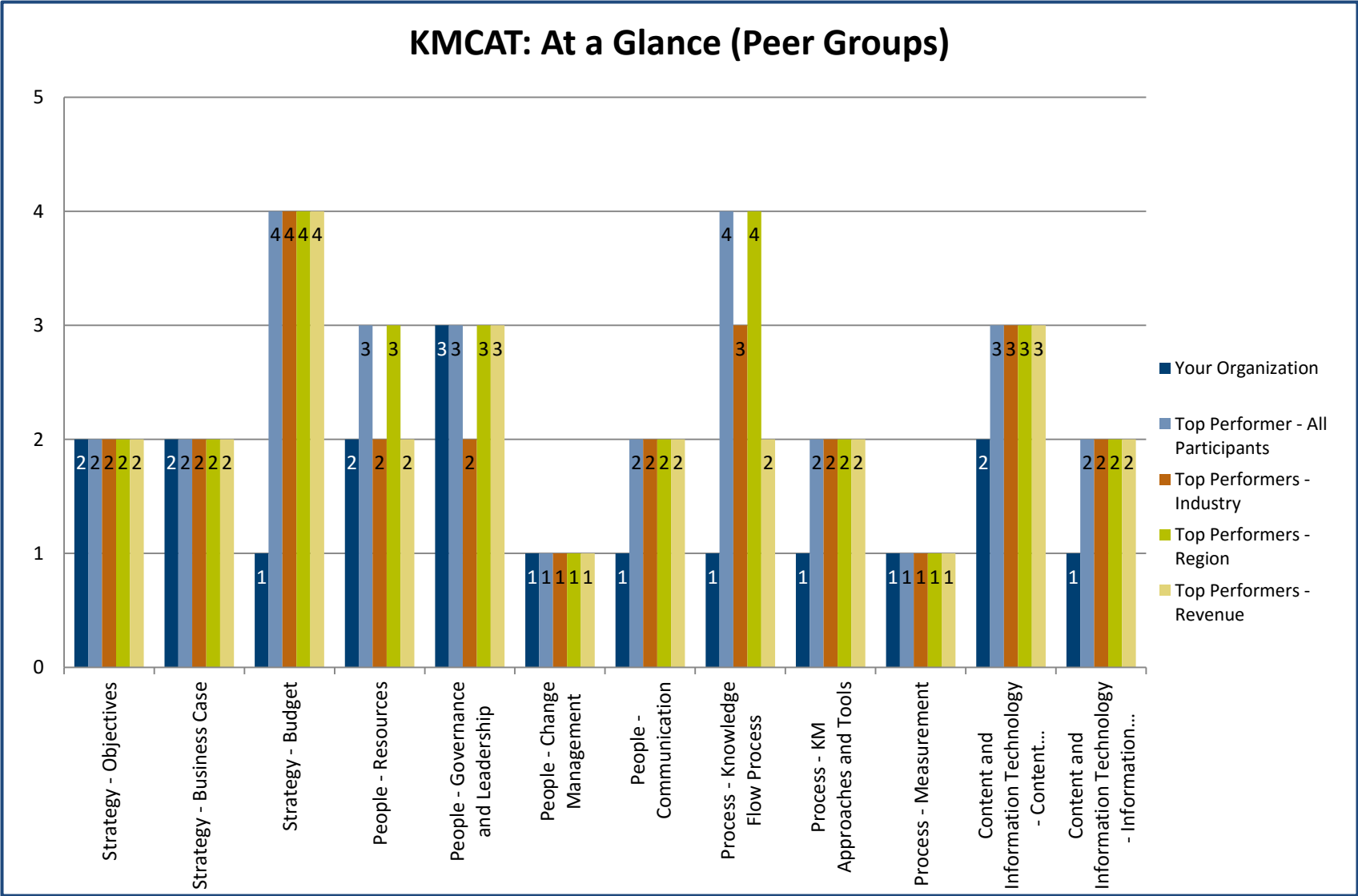
Begin at the bottom (Level 1) and work up to Level 5.
Select 'X' to the left of a statement to indicate your organization HAS ACHIEVED that capability.

Level	Achieved	Capability	Example
5		KM is aligned with enterprise innovation efforts.	
		KM is part of the enterprise excellence framework.	
4		Knowledge assets are leveraged for competitive advantage.	
		KM competencies are enhanced to meet increased demand.	
		KM infrastructure is enhanced to meet increased demand.	
		KM is aligned with the enterprise business framework, such as vision, mission, and strategies.	
3		Valuable discipline or business unit knowledge is identified, captured, and standardized into common knowledge assets for reuse in other areas of the enterprise.	
		Knowledge is reused within a domain or business unit.	
		KM strategy and road map are documented.	
		Vision/mission for KM is linked to value creation in the business or domain.	
2		Valuable domain knowledge is identified and documented.	
		Projects are underway to pilot or test KM approaches that enable knowledge flow.	
		Value creation is acknowledged as a major objective of KM.	
1		A business need for KM has been identified.	
		Awareness and interest in KM is visible in parts of the organization.	

Cover / Instructions / Terms / Demographics / **Objectives** / Business Case / Budget / Resources / Governance / Change Mgt. / Communication

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AFTER COMPLETION OF ASSESSMENT

➤ Submit completed workbook to kmcat@apqc.org and copy your APQC Account Manager

➤ APQC will validate the workbook and send back any additional clarifying comments/questions

➤ After review of APQC's comments, make changes to your responses, as needed

➤ Return your updated workbook to the KM CAT Project Manager

➤ Your final report will returned to you by the KM CAT Project Manager and a meeting will be scheduled to discuss the results with a SME

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FINAL REPORT EXAMPLE

KMCAT: At a Glance (Peer Groups)

Legend:
- Your Organization
- Top Performer - All Participants
- Top Performers - Industry
- Top Performers - Region
- Top Performers - Revenue

Category	Your Organization	Top Performer - All Participants	Top Performers - Industry	Top Performers - Region	Top Performers - Revenue
Strategy - Objectives	2	2	2	2	2
Strategy - Business Case	2	2	2	2	2
Strategy - Budget	1	4	4	4	4
People - Resources	2	3	2	3	2
People - Governance and Leadership	3	3	2	3	3
People - Change Management	1	1	1	1	1
People - Communication	1	2	2	2	2
Process - Knowledge Flow Process	1	4	3	4	2
Process - KM Approaches and Tools	1	2	2	2	2
Process - Measurement	1	1	1	1	1
Content and Information Technology - Content...	2	3	3	3	3
Content and Information Technology - Information...	1	2	2	2	2

FOR DEMONSTRATION PURPOSES ONLY

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FINAL REPORT EXAMPLE

| Metric ID | Metric Name | Metric Category | Your Organization | | All Participants |
			Maturity Level	Your Percentile	
103203	Strategy - Objectives	Process Efficiency	2	54%	
103202	Strategy - Business Case	Process Efficiency	2	64%	
103201	Strategy - Budget	Process Efficiency	1	24%	
101746	People - Resources	Process Efficiency	2	48%	
101744	People - Governance and Leadership	Process Efficiency	3	76%	
101742	People - Change Management	Process Efficiency	1	51%	
101743	People - Communication	Process Efficiency	1	30%	
	Process - Knowledge Flow	Process			

Peer: Industry

Peer: Revenue Range

	Peer: Region					
Region Peer	N	Bottom Performer	Median	Top Performer	GAP
N/S America	211	1	2	2	0
N/S America	211	1	2	2	0
N/S America	210	1	2	4	3
N/S America	211	2	2	3	1
N/S America	211	1	2	3	0
N/S America	211	1	1	1	0

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CONTACT US

APQC
123 North Post Oak Lane
Houston, TX 77024-7797

+1-713-681-4020
1-800-776-9676 (US Toll Free)
www.apqc.org
www.apqc.org/blog

Submit assessment and questions to:
kmcat@apqc.org