European KM Forum

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D2.2

KM Assessment Model and Tool

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Editing Partners:	<u>IAT</u>; IAO, BIBA, Ibérmatica
Editors:	<u>Marc Pudlatz</u>; Jeroen Kemp, Bernd Bredehorst, Nuria Rodriguez Gallego, Araceli Munoz Ortega
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DOCUMENT HISTORY

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01 / 4	2001-04-15	Outline of structure, table of content
02 / 6	2001-06-20	Draft, first content of chapter 1, 2 and 3 added
03 / 12	2001-12-20	Further content to chapter 1, 2 and 3 added
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EXECUTIVE SUMMARY

This document contains deliverable D2.2 of the IST project European KM Forum – European Knowledge Management Forum. The objective of the Network is to establish a well co-ordinated and effective support infrastructure throughout Europe in order to share and exchange the latest developments in the Knowledge Management domain.

This is the second of two tasks in Work Package 2 – KM application models. The objectives of this work package are to analyse current Knowledge Management applications in research and industry, in order to develop a European knowledge management application model and to develop common approaches or standards.

The deliverable D2.2 KM assessment model and tools describes the initial concepts for assessing the maturity of organisations towards KM. It plans the general approach to be taken in the WP and develops a strategy and corresponding means for collecting information about KM relevant aspects inside of the organisation to be assessed. The concrete output of the deliverable is the collected information in form of models concerning KM assessment. In other words it provides with an initial overview of the European activities in assessing organisations in the domain of KM.

The task 2.2 identified is to be completed at the end of the project, project month 36.

The task is carried out by IAT, BIBA and Ibérmatica and is supported by all nodes of the European KM Forum who contribute by providing information about KM projects and activities.

After the first round of gathering information, 9 models of a KM assessment could be found. A short description and analysis of the different aspects is given. Afterwards a short summary as well as an outlook to further activities is given.

TABLE OF CONTENTS

1 INTRODUCTION

The overall goal of this deliverable is to develop a Knowledge Management assessment model and tool. The assessment model will be the basis to develop a tool, that will provide European organisations in diagnosing themselves towards knowledge management. The result out of this tool should give organisations an overview over their maturity concerning KM activities.

The main objectives of this task within the European KM Forum project and this first release of the deliverable are:

- To **gather** information about existing KM assessment models
- To **structure** the different elements out of the existing models into a first common structure with regards to the European KM framework model
- To **develop** metrics and indicators out of the existing and gathered models
- To **prepare** the development of a common European KM assessment model and tool

In different sources like the WWW, there are many small polls on KM, e.g. made by online reviews. The very short questions change every week or every month, and the users can answer them quickly by clicking on a yes-or-no-button. Furthermore, the results of former polls are published in some sentences. These kind of quick polls don't deliver deep insights into important KM subjects because e.g. they don't distinguish different focus groups and cannot be evaluated in a scientific way. For these reasons, only bigger surveys are considered in this document.

First, general patterns of the online surveys are studied.

- **Two types**: There are two kinds of polls: either there are online polls where the respondent is asked to answer questions online in the internet. Or there are polls made by different kinds of companies or research institutes where only the results are published online and the questioning itself is done otherwise (by standardised questionnaires, interviews etc.).
- **Structure**: In the introduction, the aims and methodology of the survey is explained. For online polls, it is said how long the online survey will take the respondent and when or if the results will be published. The surveys often start with a general section where questions about the respondent and his company are asked. The authors of the polls want to know e.g. to which branch the company of the respondent belongs, how much is the turnover etc. Then the part with questions on KM starts.
- **Authors of the surveys**: Some consultant agencies realise KM polls. KPMG e.g. publishes every two years a KM research report where current KM developments are studied. Furthermore, there are private or public research institutes and online issues of magazines (IT, economic magazines) publishing KM surveys. Some e-business or software companies are also occupied with surveys often specialised on IT-oriented questions on KM:
- **Goals and reasons of the surveys**: Some surveys want to find out whether KM has started to establish as an integral part of management. They compare KM theories with KM practices and raise the state-of-the-art of KM in companies. They study problems of KM practitioners, the importance of KM in every day work, KM barriers etc.. Other surveys are realised for scientific reasons in order to support research in KM.
- **Focus groups**: All online surveys gathered their data anonymously. In order to be able to evaluate the polls anyhow, general questions concerning the individual professional situation were often asked, e.g.: questions about the management level, age, profession of the respondent etc. By this, companies of all sizes were asked. Offline-polls focused on managers and KM specialists in big enterprises.

– **Kinds of questions**: There are different types of questions. For open questions, the respondent is asked to write a text where he shall describe his opinion about a subject or assess a situation. Then there are questions to be answered by multiple choice where the respondent can choose one or several answers. The third kind of question are rankings in order to estimate a situation.

In the following chapters, questions from different questionnaires are collected and divided into several subjects according to the European KM Forum KM framework model.

2   KM ASSESSMENT FRAMEWORK

2.1   Objectives

The overall objective of a KM assessment framework is to provide a high level structure of a model and tool to assess European organisations towards knowledge management maturity.

2.2   Relation to European KM framework

A KM assessment has to be seen in the context of a whole KM framework, proposed by the European KM Forum consortium. Following figure shows the KM framework:
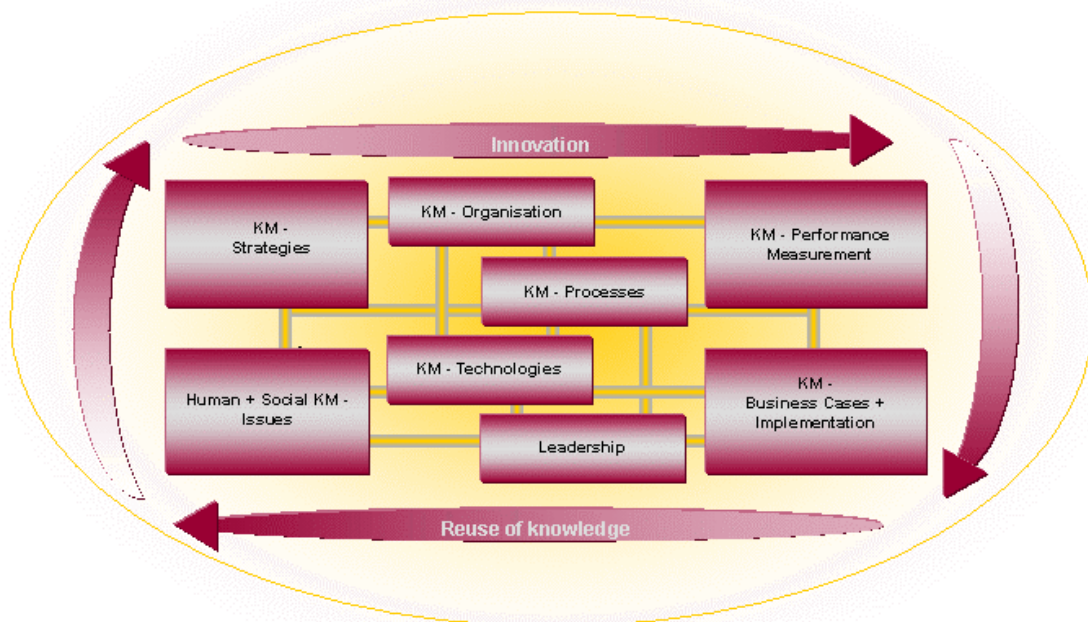
Figure 1: First draft of European KM framework

The first draft of a KM framework developed by the European KM Forum consists of seven major modules: KM strategies, Human + Social KM issues, KM organisational aspects, KM processes, KM technologies, KM performance measurement and KM business cases + implementation aspects. These seven modules are closely linked together to support on the one hand side the innovative ness of the whole system, on the other side to secure the aspect of reusing existing knowledge within the system. Specifications of the modules will be described in the following paragraphs.

2.3 Aspects of the KM assessment according to the KM framework

2.3.1 KM strategies

Before starting any kind of activity, one has to be clear, which way to go and what goals have to be reached. The goals have to be clearly defined, also the direction and the manner of reaching these goals. This leads to the point, to declare a strategy especially with regards to KM.

2.3.2 Human + Social KM issues

Hereby, the roles of persons and human beings will be defined. A clear definition about specific human-oriented KM issues will be the result out of this module.

2.3.3 KM organisation

With regard to the organisational aspects, the KM framework will provide important hints to create, run and maintain a knowledge friendly organisation. This will include the structure of a 'KM organisation' as well as the roles within such an organisation. It has to be seen as a guideline to align existing organisational structures towards KM.

2.3.4 KM processes

This module will give answers towards the business processes and their adoption to KM. Not only served as business processes also as general processes of activities in organisations, this module will be helpful for the whole target group to be more efficient in acquiring, sharing and maintaining knowledge.

2.3.5 KM technologies

What technology for what purpose? This fundamental question will be answered with the KM framework module 'KM technologies'. It gives an overall overview over existing and future technologies towards KM and will be helpful for organisations to take the right decision in this 'hard' issue of KM.

2.3.6 Leadership

What will be the critical success factors in introducing a KM leader within your organisation? What characteristics are desirable or presupposed? What activities are has the leader to do? All about leadership and the surroundings is part of the KM framework module 'leadership'. Appropriate answers to the above and further questions will be given.

2.3.7 KM performance measurement

A KM system cannot be improved, if there is a lack of measuring the performance. This module also provides metrics to get an overview over the maturity of your KM system. In addition to this, measures will be formulated to push your KM system forward.

2.3.8 KM business cases + implementation

This module will provide good and best practices in the different areas of KM. In addition to this, a general roadmap will be suggested. It will help organisations on their way to install and establish their KM system. Due to the general orientation of this implementation methodology, it will be possible to customise it to specific business requirements and needs.

3 KM ASSESSMENT: STRUCTURING AND GATHERING

3.1 Structure of the KM Assessment

The structure of the KM assessment is divided into the major sections: General Section, KM Strategies, Human + Social KM issues, KM organisation, KM processes, KM technologies, KM leadership, KM performance measurement and KM implementation + business cases. Next to these major sections, the assessment consists of open questions, closed questions, indicators and rating scales. Following table gives an overview over the structure of the KM assessment:

	Open Questions	Closed Questions	Indicators	Rating scales
General Section	A, B, C, …	1, 2, 3, …	I, II, III, …	α, β, γ, …
KM Strategies	…	…	…	…
Human + Social KM Issues	…	…		
KM organisation	…			
KM processes				
Technologies				
Leadership				
Performance Measurement				
Implementation + Business Cases				

Table 1: Structure of KM assessment

3.2 Gathering of KM Assessment

Within the development of a KM assessment model, a first gathering of existing KM assessment models took place. Out of these existing models, the questions related to the major sections have been collected.

3.2.1 GENERAL SECTION

Within this section, general questions about the organisations are provided.

3.2.1.1 Open Questions

1. What's your position within your company? (Fachhochschule Köln)
2. What is your definition of KM? (Dr. Reinhold Hagen-Stiftung)
3. Annual turnover of your company: _____ (Dr. Reinhold Hagen-Stiftung)
4. Can you describe special patterns having influence on creating KM in your company?
5. What is the goal and the content of your KM project? (Fachhochschule Köln)
6. Does your firm has a formal program for knowledge management? (HRI 1999)
7. If you answered no to the question below, does your firm plan to have a formal program of knowledge management? (HRI, 1999)
8. Does the organisation look to the future? (Weisner)

3.2.1.2 Closed Questions

1) To which industry does your company belong (please tick)? (IfeM 2)

automotive		aeronautical industry		logistics and transportation	
bank / insurance		steel industry		media / culture / entertainment	
chemistry / pharmaceutical industry		consulting and advisory services		non-profit services	
electronics / electrical engineering / energy supply		recreational / consumer products		public service	
telecommunications		retail and wholesale trade		social service / healthcare	
software systems / software development		handcraft		science / research	
mechanical engineering / plant construction		information services		others	

2) How many employees are working in your company? (Fachhochschule Köln)

1-25	26-100	101-1000	1001-5000	more than 5000

3) How old are you? (Fachhochschule Köln)

younger than 26	26-35 years	36-45 years	46-55 years	older than 55

4) Since when are you interested in KM? (Fachhochschule Köln)

I am just at the beginning	For half of a year	For one year	For more than one year

5) What are your primary information sources for KM? (Fachhochschule Köln)

reviews/newspapers	
discussions with like-minded people	
manuals	
seminars/events/presentations	
different sources without ranking	

6) What's about KM activities within your company? (Fachhochschule Köln)

nothing is happening	
I am the only one thinking about KM	
There is a loose exchange of ideas among like-minded people	
There is an active working group	
There is already a task force with an exactly defined task	

7) If there are activities, are you taking part? (Fachhochschule Köln)

Yes	No

8) Is KM an official pattern in your company? (Fachhochschule Köln)

yes but without direct support by the management	
yes, with support by the management	
yes, with ideally support by the management	
yes, with ideally support by the management and with authorised resources	
yes, with active collaboration of the management	
no	

9) If KM is an official pattern in your company, since when? (Fachhochschule Köln)

We are just at the beginning	For half of a year	For one year	For more than one year

10) Is there a common agreement on KM concerning a clear definition or a model on how KM should look like? (Fachhochschule Köln)

We have a only vague understanding and there are many different opinions.	
yes, we chose a generally accepted model.	
yes, the common agreement has been developed by ourselves.	
We have no common agreement and no understanding at all.	

11) Which problems do you expect in your company when implementing KM? (several answers possible) (Fachhochschule Köln)

none	
difficulties by transferring theory into practice	
choosing the components (e.g. software)	
implementing the components	
problems of acceptance among employees	
structuring and editing knowledge	
We won't be able to master the complexity of the task	
There is no understandingly methodology	
The financial budget is to small	

12) In your opinion, KM will in your company... (Fachhochschule Köln)

... gain more importance	
... loose importance	
... stay on the current level of importance	

13) What is the reason for your personal interest in KM? (Dr. Reinhold Hagen-Stiftung)

general interest	
strategic reflections concerning further development of your company	
a concrete problem of daily work (give an example: ....…………………)	
other reasons (please tell which:.........……………………………………..)	

14) Does your company provide the following resources for systematic KM? (Dr. Reinhold Hagen-Stiftung)

	yes	no
human resources		
financial resources		

15) What's your position within your company? (Dr. Reinhold Hagen-Stiftung)

top manager / member of the management board	
head of the department / head of a business unit	
employee in department	

16) Growth rate of your company during the last 3 years: (Dr. Reinhold Hagen-Stiftung)

declined	
stayed the same	
increased by 0-20%	
increased by more than 20%	

17) Which management level does decide on the implementation of KM? (IfeM 2)

top management	
head of business unit	
head of department	
others:..............………………	

18) In which areas do you expect the most problems while implementing/applying KM? (IfeM 2)

ICT	
Organisation	
Rules and regulation	
Provision with knowledge	
Motivation	

19) Which of the following factors do harm the successful implementation of KM? (Dr. Reinhold Hagen-Stiftung)

Handling knowledge in an egoistic way ("knowledge is power")	
Bad exchange of information and experiences	
Information overload (information is not edited for the focus group)	
The behaviour and thinking of the managers only considers their own areas ("profit-centre-thinking")	
Bad co-operation between the local plants	
Bad integration of internal knowledge carriers	
Bad integration of external knowledge carriers	
Lack of networking among experts	
Lack of personal relationship networks	
Employees have a bad adaptability	
Others:…………………………….	

20) Current knowledge problems (KPMG)

information overload	
no time to share knowledge	
not using technology to share knowledge effectively	
reinventing the wheel	
difficulties in capturing tacit knowledge	

21) How significant is the role that KM can play in achieving best results with respect to ... (KPMG)

improving competitive advantage		revenue growth		better customer handling	
increased market share		reducing costs		faster response to key business issues	
create additional business opportunities		improved productivity		sharing best practice	

marketing	employee development / improved employee skills	new ways of working	
improving customer focus	investment	staff attraction / retention	
profit growth	achieving mergers	increased share price	
product innovation / improved new product development	better decision making	…	

22) When, if at all, will you intend to do any of the following activities, or has your organisation accomplished them already? (KPMG)

Activity	Done	Next 6 months	Later
ERP systems			
Create KM strategy			
Benchmark / audit current situation			
Sharing best practice			
KM training / awareness			
Knowledge policies			
Establish formal KM networks			
Incentives / reward knowledge working			
Build and develop communities of practice			
Knowledge system audit / assessment			
Appoint knowledge officers / knowledge centres			
New systems for communities of practice			
Design other KM processes			
Create knowledge map			
Measure intellectual capital			

23) How accurately do these statements reflect your organisation? (KPMG)

Not demonstrate importance of knowledge vs. achievement of goals	
KM not uniform / pilot projects in place	
Utilise KM procedures / recognise benefits	
Integrated KM framework, some technical / cultural issues	
KM procedures integral, value of knowledge reported to stakeholders	

24) Critical knowledge to achieve business objectives over the next three to five years (Cranfield School)

customer needs / preferences	use of existing data / information	
performance of the company	performance of market sectors	
what the business needs to know	external regulations	
competitors	issues related to management	
application of technology		

25) Key issues for managing knowledge (Cranfield School)

sharing knowledge internally	acquiring knowledge externally	
updating knowledge	re-using the knowledge	
processing the knowledge	creating new knowledge	
applying knowledge to some benefit	sharing knowledge externally	
finding knowledge internally		

26) About which subjects do you need information? (Brücher)

	Information from in-house sources	Information from external sources
management		
controlling, financial concerns		
buying department, sales department, materials logistics		
production		
personnel department		
R & D		
IT		
Marketing, market research		
Other subjects: ……………………………………………..		

27) Which geographical areas do you prefer for the provision of information? (Brücher)

World-wide	
Europe	
North America	
South America, Asia, Africa	
Countries of the former Eastern Bloc	

28) Is there a coherence between the place of publication of information (e.g. webserver) and the value of the search results? (Brücher)

There is a strong coherence.	
There is a slight coherence.	
There is no coherence.	

29) Which information sources do you prefer for providing information? (Brücher)

Universities	
Research / economic institutes	
Publishing houses, broadcast companies	
Trade associations	
Public authorities	
Patent offices	
Customers, suppliers, competitors	

30) Why are you searching for information (or: why are you making information retrievals made?) (Brücher)

permanent market observation	
looking for news	
looking for changes	
particular need	

31) Which of the following statements describe the situation in your company best? (Fachhochschule Köln)

experts often have too much to do	
knowledge gets lost when employees leave the company	
the knowledge offers are badly edited and structured	
Nobody knows whom to ask in order to get a certain information or knowledge about a certain subject	
Asking questions means weakness	
Sharing knowledge means loss of power	
Everybody who contributes knowledge to the knowledge base is responsible for its care	
Knowledge contributions are signed by the authors' names	

3.2.1.3 Indicators/Metrics

No indicators, metrics available.

3.2.1.4 Rating Scales

1) **Why knowledge is important ? Where knowledge is essential to business? Please rank the importance! (Cranfield School)**

	Low importance	**High importance**
Gaining competitive advantage		
Increasing profits		
Succeeding		
Developing new products/services		
Instigating change		
Identifying new markets		
Improving efficiency		
Improving market share		
Being more effective		
Surviving		
Growing revenue		

2) **Critical knowledge. The building blocks to achieving business objectives over the next three to five years (Cranfield School)**

	Percent of ranking: 0 – 100%
Customer needs/preferences	
Performance of the company	
What the business needs to know	
Competitors	
Applications of technology	
Use of existing data/information	
Performance of market sectors	
External regulations	
Issues related to management	

3) **How important is KM in your company? (IfeM 2)**

Not important at all	Very important

4) How do you consider the importance of KM in your company in the future? (IfeM 2)

Not important at all	Very important

5) Employee comments that indicate knowledge-based problems. To what degree does this challenge face your organisation? (Mentor Group)

	Not at all				Very much
	1	2	3	4	5
we make the same mistake over and over again					
I wish I knew who else has encountered this problem and how they dealt with it.					
I'd like to get information that I need when I need it.					
There was someone who knew how to handle that problem really well, but she was no longer here.					
We're having difficulty working with other project team members because they work in different locations – and some in different time zones.					
We are an organisation of silos. There is little cross-functional sharing of different perspectives and ideas.					
We keep reinventing the wheel.					
We need to be more innovative.					
I'm just not sure how reliable or up-to-date this information is.					

3.2.2 KM Strategies

The following questions refer to the KM framework module "KM Strategies".

3.2.2.1 Open Questions

1) Please describe how employees identify and get access to knowledge relevant for their work. (KnowledgeMARKT)

Answer:

2) Does the organisation have and implement a diversity of strategies? (Weisner)

Answer:

3.2.2.2 Closed Questions

1) Is there an agreement where and how KM will be practised in your company? (Fachhochschule Köln)

Yes, the agreement focuses on a clearly defined subject and/or on a business unit (e.g. creating a knowledge map for the sales department)	
Yes, the agreement focuses on a general reorganisation of the organisational knowledge base (e.g. identifying and storing all employees' skills and making them available by the intranet).	
Yes, the agreement wants to turn our organisation into a knowledge based company in all of its parts (e.g. applying a special KM framework).	
Our understanding is quite vague and there are many different opinions on how to approach KM.	
There is no common agreement at all.	

2) Is there a clear decision on how to implement KM? (Fachhochschule Köln)

Yes, it is mainly oriented towards technology.	
Yes, it is mainly oriented towards people.	
Yes, it is mainly oriented towards organisation.	
Yes, it aims at facilitating processes and accomplishing tasks.	
No	

3) In which areas KM should be applied? / In which areas of your company KM is primarily driven / implemented? (IfeM 1, Dr. Hagen-Stiftung)

R & D		Procurement	
Production		Benchmarking	
Quality management		IT department	
Sales department		Marketing	
Controlling		Other areas (please tell:................)	

4) How are data, information and knowledge shared and distributed in your company? (Dr. Hagen-Stiftung)

By Papers	
By groupware-systems (e.g. Lotus notes)	
By informal communication	
By formal communication	
By other things:..............	

5) On which of the following KM patterns a company should focus on? (IfeM 2)

Providing better access to stored knowledge	
Gaining new insights from combining existing knowledge	
Storing organisational knowledge in a better way	
Improving communication among employees	
Supporting employees in achieving new knowledge	

6) Which knowledge sources are used in your company for leveraging external knowledge? (Dr. Hagen-Stiftung)

Sharing experiences on conferences		Exchanging platforms in the internet (e.g. news groups)	
Manuals (books, reviews)		Qualifying people	
Building networks among employees		Exchanging best-practices	
Building networks among different companies		Working groups with members from different regions	
External databases		Others:	

7) How are employees provided with knowledge helping them to accomplish their tasks in a better way? (KnowledgeMARKT)

Employees are provided with knowledge for a determined subject	
Employees are provided with knowledge for a subject which they determine themselves	
Employees are responsible for providing themselves with knowledge	
The access to knowledge is not specified	

8) Does your organisation have an overall knowledge management strategy ? (Ribiere 2000)

Yes	
No	
Don't know	

9) Select the stage of development of the KM initiative in your unit and in your organisation (Ribiere 2000)

	Organisation	Unit
KM program in place		
Currently setting up such a program		
Examining need for such a program		
No program / not considering one		
Considered and decided against		

10) If some benefits failed to materialise, what do you think the main causes are ? (KPMG)

Lack of time		Senior management was behind it	
System too complicated		Users could not see personal benefits	
Lack of trust		Lack of user uptake due to insufficient commu-nication	
Lack of solidarity		Every day use did not integrate into normal working practice	
Lack of training		Organisational culture not appropriate	
Technical problems		Other (please specify): ………………………….	

11) Overall how could you describe your KM initiative (KPMG)

	Very successful	Unsuccessful	Successful	Failure	Neither successful nor unsuccessful
Organisational wide					
In my unit					

12) Does the company have a process for scanning the external environment for new ideas, information etc. ? (NIMCube)

Yes	
No	
Don't know	

12a) If yes, what types of areas are scanned ? I.e. Internet, Journals (NIMCube)

Answer:

12b) If yes, how often are employees encouraged to scan ? (NIMCube)

Always	
Often	
Sometimes	
Rarely	
Never	

13a)Does the company have a process to ensure that competitor information is kept up to date? (NIMCube)

Yes	
No	
Don't know	

13b)If yes, briefly explain the process (NIMCube)

Answer:

3.2.2.3 Indicators

No indicators for this release of the document available.

3.2.2.4 Rating scales

1)   How do you estimate the influence of KM on the following patterns (rating between: 1=very little and 5=very strong)? (Fachhochschule Köln)

	Very little				Very strong
	1	2	3	4	5
technology					
people					
organisation					
facilitation of processes and accomplishing tasks					

2)   Which internal knowledge sources are available in your company and how intensely are they used? (Dr. Hagen-Stiftung)

Knowledge resources available	Grade of utilisation	
	High	**Low**
Reports of salesmen and customer service		
Reclamations and complaints		
Experiences of procurement department with suppliers		

Knowledge resources available	Grade of utilisation	
	High	**Low**
Department-spreading , internal communication platforms		
Employees knowledge collected in former jobs and hobbies (e.g. employee profiles etc.)		
Expert knowledge by retired employees		
Intranet		
Internal databases		
Minutes of team meetings		
Other resources		

3) **How important do you consider people having access to knowledge resources? (Knowledge-MARKT)**

	very important	important	I don't have a preference	Less important	Not important
People having access to knowledge resources					

4) **I have noticed a significant growth in the volume of knowledge available since the KM initiative has been launched (number of documents available) (Davenport et al 1998)**

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

5) I have noticed a significant growth in the usage of knowledge available since the KM initiative has been launched (number of documents available) (Davenport et al 1998)

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

6) I have noticed a significant growth in the volume of knowledge available since the KM initiative has been launched (accesses to repositories and number of participants for discussion-oriented projects) (Davenport et al 1998)

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

7) I believe that the project would survive without the support of a particular individual or two (Davenport et al 1998)

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

8) I believe that resources (e.g. people, money) attached to KM initiatives are going to grow! (Davenport et al 1998)

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

9) KM benefits expected and achieved (KPMG 2000)

Benefits	Level	Expected		Achieved				
		Yes	No	Not at all 1	2	3	4	Very much 5
Better decision making	Organisation wide							
	In my unit							
Better customer handling	Organisation wide							
	In my unit							
Faster response to key business issues	Organisation wide							
	In my unit							
Improved employee skills	Organisation wide							
	In my unit							
Improved productivity	Organisation wide							
	In my unit							
Increased profits	Organisation wide							
	In my unit							
Increased innovation	Organisation wide							
	In my unit							
Sharing best practice	Organisation wide							
	In my unit							
Reduced costs	Organisation wide							
	In my unit							
New ways of working	Organisation wide							
	In my unit							
Increased market share	Organisation wide							
	In my unit							
Create additional business opportunities	Organisation wide							
	In my unit							
Improved new product development	Organisation wide							
	In my unit							
Staff attraction / retention	Organisation wide							
	In my unit							
Increased share price	Organisation wide							
	In my unit							
Other: ……………………… ………………………………	Organisation wide							
	In my unit							

10) Strategic goals are shared (Goffe and Jones, 1998)

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

11) Responsibility for information products provided ? (MITRE)

Well embedded	Not well embedded

12) Roles and responsibilities in Information policy ? (MITRE)

Well embedded	Not well embedded

13) Collaboration and teamwork ? (MITRE)

Well embedded	Not well embedded

14) Support process for protecting information; standard access, control mechanisms ? (MITRE)

Well embedded	Not well embedded

15) How important are the concepts of knowledge management and intellectual capital to the executives of your company ? (HRI, 1999)

Extremely important	Somewhat important	Important	Not important

15) Which instruments are, in your opinion, important for successfully implementing and applying KM? (Dr. Hagen-Stiftung)

Instruments	Low impor- tance				High im- portance
	1	2	3	4	5
Creating a knowledge-friendly corporate culture					
Integrating knowledge processes into business processes					
Providing information technologies					
Motivating and qualifying employees					
Promotion by the top management					
Other instruments (please specify: ....)					

3.2.3 Human + Social KM Issues

3.2.3.1 Open Questions

1)   Please describe means for motivating people for KM. (KnowledgeMARKT)

Answer:

2)   Does your firm reward employees for sharing knowledge ? (HRI, 1999)

Answer:

3)   Does your firm provide training and development programs that emphasise knowledge management and sharing ? (HRI, 1999)

Answer:

4)   Does your firm have accounting techniques to measure intellectual capital ? (HRI, 1999)

Answer:

5)   What is the current satisfaction with competency applications and how effective have they been? (Arthur Andersen)

Answer:

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│                                                     │
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6) Do employees believe in and demonstrate learning and knowledge values) (Weisner)

Answer:

7) Are appreciation and acknowledgement freely given ? (Weisner)

Answer:

8) Do employees have the competencies needed in your organisation to take you towards the ideal state ? (Weisner)

Answer:

9) Do employees engage in cross training in other areas outside their current area ? (Weisner)

Answer:

10) Does the organisation reward employees and teams for sharing knowledge ? (Weisner)

Answer:

3.2.3.2 Closed Questions

1) Is your company using incentives for fostering knowledge sharing? (Dr. Hagen-Stiftung)

Yes (please tell, which:..........)	
No	

2) Which experiences and competencies should people have working on identifying, saving and distributing knowledge (so called knowledge brokers)? (Dr. Hagen-Stiftung)

experienced experts		department-spreading knowledge	
member of the management		ability for communication	
being responsible for one subject		being well accepted among employees	
high social competence		others:...........................	

3)   Which of the following factors do obstruct the successful implementation of KM? (Dr. Hagen-Stiftung)

Egoistic attitudes ("knowledge is power")		Insufficient integration of external knowledge owners	
Lack of information and experience exchange		Lack of networking experts	
Information offer not target group oriented		Employees are not adaptive enough	
Bad cooperation between local plants		The managements way of thinking wants to mark off from other departments	
Bad integration of internal knowledge owners		others:............................	

4)   Which incentives does your company use for rewarding sharing and using knowledge? (KnowledgeMARKT)

knowledge sharing and using is considered in appraisal interviews and salary negotiations.	
Knowledge sharing and using are rewarded financially.	
Knowledge sharing are rewarded by incentives (e.g. with special seminars or dinners with the top management)	
Specially engaged employees are praised officially (e.g. reports in the company magazine)	
Not using the KM systems leads to imposing sanctions	
There are no incentives	

5)   Does the company create general conditions fostering knowledge sharing and using? (Knowl-edgeMARKT)

team work is supported		the employees' areas of responsibilities are enlarged	
employees have the opportunity to change often their field of duty		hierarchical levels are reduced	
acting self dependent is supported		the company doesn't create general conditions fostering KM	

6)   Do you think people are sufficiently motivated for sharing and using knowledge in your company? (KnowledgeMARKT)

Yes	
No	

7)   Why competencies are being used ? (Arthur Andersen)

Enhance performance expectations	
Provision of an integrated HR process	
Alignment of behaviour with core values	

8)   What applications are most frequently linked to competencies and how successful are they ? (Arthur Andersen)

Hiring / Selection	
Job descriptions	
Training	
Performance management	
Development Planning	
Career Pathing	

9)   What are the characteristics included in Competency Models ? (Arthur Andersen)

Technical skills	
Knowledge areas	
Performance behaviours	
Personal attributes	
Metrics / Results	
Key experiences	

10) What are the areas where an impact is expected for the competency efforts ? (Arthur Andersen)

Enhancing performance expectations	
Providing an integrated HR process	
Aligning behaviour with core values	
Providing a career framework	
Developing bands or levels of competence	
Focusing on HOW work gets done	
Supporting superior performance	
Communicating generic leadership skills	
Developing specific roles	

11) What kind of Competency-Based Pay are your company using ? (Arthur Andersen)

Salary increases	
Overall performance ratings	
Incentive Pay / Bonus Determination	
Placement in bands	

12) Do you think that good teamwork happens: (NIMCube)

When a group gets together and finds that they have something in common (by luck) ?	
Because the teams know what behaviours and actions to take to encourage it ?	
When managers manage / create the team ecology ?	

13) How do you think project teams should be managed ? (NIMCube)

Give people a clear idea about what they should do	
Guide them in the right direction but leave the important decisions to them	
Let them decide for themselves with minimal intervention	
Not intervention at all	

14) A company training programme ? (NIMCube)

Does not exist on a formal basis	
Is driven by request, not by identified business needs	
Covers managers and employers; is based on business, statutory needs	
As above and includes routine assessment of training effectiveness	

3.2.3.3 Indicators

No indicators available at this stage of the release of this document.

3.2.3.4 Rating scales

1) How would you assess the "climate" in your company concerning the willingness to share knowledge? (HRI, 1999)

	high					low
The willingness to share knowledge is:						

2) Please rank the following sources of intellectual capital by importance in your organisation

Intellectual Capital	Extremely Important	Somewhat Important	Important	Not Important
Customer Relations				
Intellectual Property				
Databases, etc				
Human Resources				

3) Reward and punishment are clear (Goffee and Jones 1998)

	Not at all				Very much
	-2	-1	0	1	2
Organisational wide					
In my unit					

4) It is clear where one person's job ends and another person's begins (Goffee and Jones 1998)

	Not at all				Very much
	-2	**-1**	**0**	**1**	**2**
Organisational wide					
In my unit					

5) People defend/protect each others work (Ribiere 2001)

	Not at all				Very much
	-2	**-1**	**0**	**1**	**2**
Organisational wide					
In my unit					

3.2.4 KM organisation

3.2.4.1 Open Questions

1) Please describe the structure and the tasks of the organisational unit responsible for KM. (KnowledgeMARKT)

Answer:

2) Please describe the rules for KM activities in your company. (KnowledgeMARKT)

Answer:

3) Does your firm has one person in charge of knowledge management practices (such chief knowledge officer, chief learning officer)? (HRI, 1999)

Answer:

<div style="border: 1px solid black; height: 60px;"></div>

4) Is collective organisational knowledge communicated and supported as an important and essential requirement of employee's work in the organisation ? (Weisner)

Answer:

5) Does the organisation have a model of leadership, which reflects the knowledge era ideal about what leaders should do and how they should behave ? (Weisner)

Answer:

6) Do leaders in the organisation engage in the content of organisational knowledge through the design and integration of initiatives ? (Weisner)

Answer:

3.2.4.2 Closed Questions

1) Where is KM positioned in your organisation? (Fachhochschule Köln)

IT department		Specialised department responsible for a concrete project	
Personnel department		Interdisciplinary KM team	
Organisation department		Elsewhere: ………………………………	
Top-management case			

2) Who is responsible for KM in your organisation? (Cranfield School)

Chief executive officer		Several directors / managers	
Chief knowledge officer		It's everyone's job	
One director / senior manager		No formal role exists	

3) Is the organisational structure of your company able to make internal knowledge transparent? (Dr. Hagen-Stiftung)

Yes, because....

...There are numerous department-spreading teams, working groups etc.	
...There is a flat hierarchy and therefore a rapid flow of knowledge	
...There are regular team meetings for exchanging information and experiences	
...A communication-friendly working environment has been built (central coffee corners, etc.)	
…Others: ....…………………………………………….	
No, because…	
……………………………………………………………………………..	

4) **If there is a KM project: who initiated it? (Fachhochschule Köln)**

Initiated by personal engagement of a single employee	
A department initiated it.	
The top management gave the order to initiate something	
The top management defined a concrete project	
I don't know	

5) **What level in the organisation is pushing hardest to have a KM programme? (KPMG)**

Board level	
Senior management	
Middle management	
Grass roots / employees	
Across the spectrum	

6) **Are there units in your company responsible for KM? (KnowledgeMARKT)**

There is a special KM department	
There are several people in different departments responsible for KM	
There is one person responsible for KM only	
There is no one responsible for KM	

7) **Does the person/department responsible for KM have the authority to decide? (Knowledge-MARKT)**

considerably	limited	none

8) **Are there rules when and how KM activities have to be accomplished? (IfeM 2)**

Activities have to be accomplished on a definite time (e.g. meeting at the end of a project for collecting lessons learned)	
There are rules on how to perform an activity (e.g. templates or given list of retrieval words)	
There are only not binding advice and hints on how and when to perform KM activities	

There are no rules	

9) What department or functional budget contributes most to KM costs? (KPMG)

IT		Finance	
Marketing		R&D	
Customer Sales Service		Training, learning and development	
Human Resources		Others: …………………………………….	
Operations		Spread over all departments	

10) In your unit people share ideas and information (Guy de Furia 1997)

With no immediate expectation of return, or eventually, but just not right away	
But reciprocity is negotiated with no expectation of return	
With no expectations of return; they share because it's good for the company	
No, they just try to get help without giving anything in return	

11) Organisational wide people share ideas and information (Guy de Furia 1997)

With no immediate expectation of return, or eventually, but just not right away	
But reciprocity is negotiated with no expectation of return	
With no expectations of return; they share because it's good for the company	
No, they just try to get help without giving anything in return	

12) Does your company formally reward knowledge sharing ? (Ribiere, 2000)

Yes	
No	
Don't know	
If yes, how?	
Compensation	
Awards	
Other (please specify): ……………………………………………………………..	

13) How easy is to communicate bad news ? (NIMCube)

Not easy	
Relatively easy	
Very easy	
Extremely easy	

14) In your opinion do employees have common goals in a project ? (NIMCube?

Yes	
No	
Sometimes	
Don't know	

15) Is there a buzz in your working environment ? (NIMCube)

Only when there is a crisis	
All the time	
Some of the time	
Never	

16) In your opinion, are management personnel regularly interested in how the project is doing ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

17) In your opinion, are management personnel regularly interested in how the team is feeling? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

18) In your opinion do the different departments / disciplines interact:

As an effective team	
Closely with regular communication	
Reasonably well, making occasionally errors	
Acceptably, with room for improvement	
Poorly, with little communication or co-operation	

19) Do you feel your company values creativity ? (NIMCube)

Yes	
No	
Yes and No, gives confused messages	
Sometimes	
Don't know	

20) In your opinion are management personnel only interested in deliverables ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

21) During a project, do you spend time explaining to design teams' that you are not a member of the work involved in the project ? (NIMCube)

Always	
Often	
Sometimes	
Rarely	
Never	

22) Do people involved in your designed team actively seek information from other teams, or from other people in the organisation ? (NIMCube)

Always	
Often	
Sometimes	
Rarely	
Never	

23) How easy do you find it to talk to other project teams ? (NIMCube)

Very easy	
Easy	
Not easy	
Very difficult	

24) How much freedom do you feel does the project team have to make decisions ? (NIMCube)

Very easy	
Easy	
Not easy	
Very difficult	

25) How much freedom do you feel does the project team should have ? (NIMCube)

Very little	
Average	
Above average	

A lot	
Don't know	

26) If very little, how much more freedom do you feel the project team should have ? (NIM-Cube)

5% more	
10% more	
20% more	
25% more	
50% more	
Don't know	

27) Does the NPD unit have the freedom and responsibility to carry out research projects without encountering a large management overhead ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

28) Are people's efforts in effective innovation and new-use recognised and rewarded ? (NIM-Cube)

Yes	
No	
Sometimes	
Don't know	

29) Do teams have self responsibility to generate their own plans ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

30) Is the process that a team chooses to use dependent on what the project manager / leader says ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	
N / A	

31) Are the people that a team chooses to use dependent on what the project manager / leader says ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	
N / A	

32) Are the tools a team chooses to use dependent on what the project manager/leader says ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	
N / A	

33) Are the product parts a team chooses to use dependent on what the project manager / leader says ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	
N / A	

36) Which of these best describes your company and partnerships with research organisation ? (NIMCube)

Partnerships with universities and other research organisations are not pursued	
Some examples can be given of input from these sources to the company's research and development activity	
Research institutions make an active contribution to the company's research and development programme	
There is a history of established relationships with a range of research bodies. Exchanges of information and personnel are common	

3.2.4.3 Indicators

No indicators available for this release of the document.

3.2.4.4 Rating scales

1) Do you think that the provision and integration of knowledge is sufficiently organised and standardised? (Dr. Hagen-Stiftung)

I estimate the grade of organisation and standardisation like this:						
High						**low**

2) How do you consider the importance of rules for KM activities? (KnowledgeMARKT)

Very important	
Important	
I have no preference	
Less important	
Not important	

3) How important do you consider the existence of a unit responsible for KM? (Knowledge-MARKT)

Very important	
Important	
I have no preference	
Less important	
Not important	

4) Main activities of those responsible for KM (Cranfield School)

% responsible for activity	10	20	30	40	50
to define a knowledge road map					
to collect knowledge					
to use knowledge					
to learn from it					
to disseminate it effectively					
follow-up effectiveness					
Other: …………………………………..					

5)   The group that I am assessing knows its business objectives clearly ? (Goffee and Jones 1998)

	Not at all				Very much
	1	**2**	**3**	**4**	**5**
Organisational wide					
In my unit					

6)   People follow clear guidelines and instructions about work ?(Goffee and Jones 1998)

	Not at all				Very much
	1	**2**	**3**	**4**	**5**
Organisational wide					
In my unit					

7)   Poor performance is dealt with quickly and firmly ?(Goffee and Jones 1998)

	Not at all				Very much
	1	**2**	**3**	**4**	**5**
Organisational wide					
In my unit					

8)   The group really wants to succeed ?(Goffee and Jones 1998)

	Not at all				Very much
	1	**2**	**3**	**4**	**5**
Organisational wide					
In my unit					

9)   When opportunities for competitive advantage arise people move decisively to capitalise on them ?(Goffee and Jones 1998)

	Not at all				Very much
	1	2	3	4	5
Organisational wide					
In my unit					

10) My immediate supervisor keeps me informed about what is going on (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

11) My immediate supervisor does not try to control my work activities (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

12) I influence my supervisor's decisions as much as my supervisor influences mine (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

13) My supervisor clarifies what we mutually can can expect of each other (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

14)　My supervisor lives up to my expectations of him/her (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

15)　Workers in my basic organisational unit share information about what is going on (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

16)　My coworkers take the initiative to solve problems sometimes ignoring rules to do so (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

17)　My coworkers and I influence one another equally (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

18)　My coworkers openly discuss what they need of one another (Guy de Furia 1997)

Not at all				Very much
1	2	3	4	5

19) My co-workers live up to my expectations of them (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

20) Upper management keeps everyone in the organisation informed about what's happening (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

21) Upper management encourages workers to take action even when there are no rules to follow (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

22) Workers influence upper management in things such as goals, policies and decisions (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

23) There are no policies and/or procedures for workers and upper management to clarify theri mutual expectations of one another (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

Not at all				Very much
1	**2**	**3**	**4**	**5**

24) Upper management lives up to its responsibilities to the workers (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

25) The sharing of information across organisational units is open and easy (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

26) Workers can get what they need from other organisational units without being discouraged or hampered by rules or procedures (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

27) Mechanisms exist whereby basic organisational units influence one another equally in arriving at decisions that impact the units (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

28) Basic organisational units meet their responsibilities to other basic organisational units (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

29) It is the goal of the organisation for all employees to be as open in sharing information as possible (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

30) Within the organisation everyone is held responsible for his/her performance and behaviour (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

31) The organisation encourages workers to influence managers (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

32) The organisation encourages workers to participate in the establishment of their goals and performance objectives (Guy de Furia 1997)

Not at all				Very much
1	**2**	**3**	**4**	**5**

				Very much
Not at all				
1	**2**	**3**	**4**	**5**

33) When solving problems, employees rely more on knowledge that is (use % out of 100% e.g., 20%, 80%) (Ribiere, 2000)

%	explicit (codified / documented
%	tacit (in people's mind)

34) People "defend/protect" each other's work (Ribiere, 2000)

	Not at all				Very much
	1	**2**	**3**	**4**	**5**
Organisational wide					
In my unit					

34) How much effort is spent in planning communication ? (NIMCube)

Very little				A lot
1	**2**	**3**	**4**	**5**

35) How important do you think communication is to the success of the project ? (NIMCube)

Not very important				Very important
1	**2**	**3**	**4**	**5**

36) How easy is to configure your working environment to the needs of the particular project ? (NIMCube)

Very easy				Very diffi-cult
1	2	3	4	5

37) How much freedom does that work group then have within its particular environment ? (NIM-Cube)

A lot				None
1	2	3	4	5

38) How would you classify a successful new product ? (NIMCube)

	Least im-portant				Most im-portant
	1	2	3	4	5
Products which achieve cost targets					
Products which achieve profit targets					
Products which achieve quality targets					
Products which achieve time targets					
Products which achieve sales targets					
Other: …………………………………					

3.2.5 KM Processes

3.2.5.1 Open Questions

1) Is Technical knowledge adequately captured ? (MITRE)

Answer:

2) Is Administrative knowledge adequately captured ? (MITRE)

Answer:

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3) Does a partnership exist between the organisation and its customers such that the customers are viewed as an extension of the organisation ? (Weisner)

Answer:

4) Is the organisation's relationships with customers focused on value added to its products and solutions ? (Weisner)

Answer:

5) Is the organisation's relationship with customers focused on buyer / seller or transactional style ? (Weisner)

Answer:

6) Does the organisation share information with its customers ? (Weisner)

Answer:

7) How many new patents did your company have last year ? (NIMCube)

Answer:

3.2.5.2 Closed Questions

1) Is your company planning activities for improving and restructuring KM-processes? (Dr. Hagen-Stiftung)

There aren't any activities planned	
In daily work, there is always a lack of time for improving processes	
During the coming months, there will be lots of activities	

2) Is your company using incentives for fostering knowledge sharing? (Dr. Hagen-Stiftung)

Yes (please specify, which:………………………………………)	
No	

3) Is KM part of your business practices ? (MITRE)

Fusion with some KM processes throughout the company. Knowledge is shared at multiple bases.	
Fusion with KM processes at end / beginning of process. Knowledge is shared at individual and group level.	
Fusion with KM process is minimal.	

4)   At what level is knowledge being shared ? (MITRE)

Individual	
Group, Department	
Centre	
Cross-Centre	

5)   How well are business processes fused with the KM model ? (MITRE)

Identification	
Creation	
Diffusion	
Action	

6)   Do you use radically new processes each time you develop a new product ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

7)   Does your company use the same components in diferrent projects ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

8)   Are historical data from past projects (as contained in the organisation's project process data-base) used for project planning and estimating ? (TBS)

Yes	
No	
Sometimes	
Don't know	

9)   Does your company apply consequences and lessons learnt to … ? (NIMCube)

	Yes formally	Informally i.e. through conversation or drawing from memory	No	Sometimes	Don't know
…The people involved					
…The processes used					
…The tools used					
…The product parts used					

10) Do you use standard templates for… ? (NIMCube)

						In your opinion what do you think would be best for the business ?				
	Yes	No	Sometimes	Don't know	N / A (Do not have templates)	To use the templates all the time	To continue as normal	To use them a lot less	Not to use them at all	Don't know
Test specifications										
Business cases										
Design specifications										

11) Do you feel your projects are well documented in terms of: (NIMCube)

					If they are - do you feel those documents are used as often as you would like ?			
	Yes	No	Sometimes	Don't know	Yes	Not enough	Too much	Don't know
Process								
Product parts								
Tools used								
People involved								

12) When you start a new project which of these best describes the situation? (NIMCube)

We always begin a project with a new process	

We may look back at past project records but do not usually adopt any of the processes	
We always look back at past project records and adopt the processes that are relevant to the new project	
We always adopt the standard process that has been used before	

13) Do you hold post projects reviews to help new projects? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

14) When you make a decision to re-use something at significant level do you conduct an organised cost / benefit / risk assessment ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

15) Does the company encourage the use of informal communities for cross project reuse / learning ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

16) Does your company / project team use a method or tool developed for one project in a different project ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

17) If the operations department had a problem with a design on a previous project which of these scenario's is most likely ? [Service industry language] (NIMCube)

In the next similar project, the same problem is likely to happen again	
In the next similar project, the same problem may happen again	
In the next similar project, the same problem will not happen again	

18) If your previous design knowledge was well documented and easily accessible to project teams, what difference do you think it could make to the outcome of your most recent project ? (NIMCube)

	Yes	No
Shorter design time		
If yes, by how much (percentage):	%	
Cheaper product		
If yes, by how much (percentage):	%	
Better quality product		
If yes, by how much (percentage):	%	
Reduced design budget		
If yes, by how much (percentage):	%	

19) How well documented is the design of your product ? (NIMCube)

Everything is documented	
Most things are documented	
Some things are documented	
Nothing is documented	

20) Tick your main reasons behind your current performance at reuse ? (NIMCube)

Lack of incentives / compensation for new use / reuse		Everything is documented	
We would rather be seen as an innovative company		People are encouraged to share information	
People don't share information		Cross communication between project teams is common	
Nothing is documented well enough		Inadequate IT / software support	
Project teams don't discuss things		Other:	

21) How often does your company apply experience acquired from one project to a different project ? (NIMCube)

Every project	
Majority of the projects	
Some of the projects	
None of the projects	
Don't know	

22) Do you set out to free resources for innovation, by trying to increase the re-use of existing parts, subsystems or design process? (NIMCube)

Yes, always and organised	

Yes, as part of project planning	
Sometimes	
Hardly ever	
Never	

23) How easy is for developers to start new projects that are not in the business plan / product plan? (NIMCube)

Very easy	
Easy	
Not easy	
Very difficult	

24) How often does your company create and try a new method or tool for a project ?(NIMCube)

Every project	
Majority of the projects	
Some of the projects	
None of the projects	
Don't know	

25) Do you feel that your company is good at adopting new ideas ? (NIMCube)

Yes	
No	
Sometimes	
Don't know	

26) To generate new assets for your company how many ideas are used from: (NIMCube)

	Not enough	A small amount	A large amount	Too much
Customers				
Suppliers				
Competitors				
Research institutes i.e. Universities				

27) For those innovative ideas that were not adopted in your company tick likely reasons: (NIMCube)

Not invented here		No clear processes	
Been tried before and failed		No support from management	
Seems risky		Lack of recognition and acknowledgement	
Why not do it the old way		Other: ……………………………………	

28) **"If you are not trying to put yourself out of business, than you can be sure your competitor is." How much management effort is spent seeking ways of putting yourself out of business, by product or market innovation ? (Must attack your own core market)**

A large amount of effort	
Some effort	
No effort	
Don't know	

29) **In relation to your company indicate your opinion (true, false, not applicable) on the following statements: (NIMCube)**

	True	False	N / A
Measurement systems do not encourage individual and organisational creativity			
New ideas are encouraged, if they are not to risky			
Innovative and entrepreneurial behaviour amongst employees is encouraged and re-warded			
There is no defined process for identifying new ideas or opportunities. Ideas are generally haphazard			
The need to create a resource for ideas generation is recognised. Guidelines are laid down for submission and evaluation of new projects			
A structure and process is in place for capturing new products ideas			
A systematic and wide scan is made for new project ideas. Sources of information include customers, competitors and intermediaries			

3.2.5.3 Indicators

No indicators available for this release of the document.

3.2.5.4 Rating scales

No rating scales in this first release of the document available.

3.2.6 KM Technologies

3.2.6.1 Open Questions

1) **Please describe the information technology used in your company and its tasks. (Knowledge-MARKT)**

Answer:

2) **What applications are enabled through technologies ? (Arthur Andersen)**

Answer:

3) **Does the organisation have a range of well-organised and integrated techniques for transferring knowledge. meetings, e-mail, bulletin boards, on-line forums and databases ? (Weisner)**

Answer:

4) **Is information ready and easy available and easily accessible in one place ? (Weisner)**

Answer:

5) **Does the organisation have its capabilities stored in knowledge systems that don't go home at night ? (Weisner)**

Answer:

6) **Is the physical environment designed to encourage and facilitate learning and knowledge sharing ? (Weisner)**

Answer:

3.2.6.2 Closed Questions

1)   Are you using a special KM software during your KM project? (Fachhochschule Köln)

Yes	
No	
I don't know	

2)   Do you already use a KM software system in your company? (IfeM 2)

Yes	
No	

3)   Which suppliers of KM software systems do you know? (IfeM 2)

Arideon		Inosoft	
Autonomy		Microstrategy	
Cognos		Opentext	
Commasoft		U.S.U.	
Cyberchart		Saperion	
Cymantix		SER Systems	
Gauss Interprise		Webfair	
Hyperwave		Others:..............................	
IDS Scheer		Others:..............................	

4)   How much is your budget for software applications? (IfeM 2)

0-25.000 Euro	
25.001-175.000 Euro	
175.001-250.000 Euro	
250.001-500.000 Euro	
500.001-1.250.000 Euro	
more than 1.250.000 Euro	

5)   How much money of your budget for SW applications do you spend on KM? (IfeM 2)

0-25.000 Euro	
25.001-175.000 Euro	
175.001-250.000 Euro	
250.001-500.000 Euro	

500.001-1.250.000 Euro	
more than 1.250.000 Euro	

6) What were the biggest challenges while implementing complex IT-systems? (IfeM 2)

implementation in due time	
best cost-benefit relationship	
transferring of know-how	
training the users	
customising	
others:............	

7) How can a software company support you? (IfeM 2)

consulting in pre-selection	
consulting in strategy	
consulting in creating a concept	
consulting in implementation	

8) How long does the implementation of complex IT-systems take in your company on the average? (IfeM 2)

Up to 3 months	
3-6 months	
6-12 months	
12-24 months	
more than 24 months	

9) What kind of tools / IT-systems are used in your company for KM? (IfeM 2)

ERP systems		Data mining systems	
Data warehouse systems		Groupware	
Document management systems		Mind mapping software	
Internet / intranet		Databases	
MS office		extranet	
Business Intelligence / OLAP		Artificial intelligence	
Text retrieval		Non of these components	
Workflow management systems		Others: ……………………..	
Decision support			

10) With which aims is information technology used in your company in order to support KM? (KnowledgeMARKT)

in order to store knowledge and to make it accessible by electronic media	

in order to bring people together	
in order to enable communication	
we don't use information technology for KM	

11) Which technologies have been most / least effective in helping you manage information? (KPMG)

intranet		KM software	
data warehousing / mining		Decision support	
internet		Artificial intelligence	
groupware		Extranet	
document management system			

12) Thinking about the technology your organisation has in place for managing information, would you describe it as...? (KPMG)

something which as just grown up over time	
a specially designed KM system	
a bit of both	

13) Why do you think the benefits failed to meet expectations? (KPMG)

lack of user uptake due to insufficient communication	
every day use did not integrate into normal working practice	
lack of time to learn / system too complicated	
lack of training	
users could not see personal benefits	
senior management was not behind it	
unsuccessful due to technical problems	

14) Key knowledge technologies making a difference to knowledge strategy (Cranfield School)

	Already in use	Planned to use	Not planned to use
Video-conferencing			
Groupware			
Electronic bulletin boards			
Online information sources			
CD-ROMs			
Internet			
Intranet			

	Already in use	Planned to use	Not planned to use
Expert systems			
Search & retrieval agents			
Data warehousing / mining			
Document management			

15) Thinking about the technology that your organisation & unit have in place for managing information, would you describe it as ... ? (Ribiere, 2000)

	Organisation	Your unit
Something which has just grown up over time		
A specially designed KM system		
A little bit of both		

16) When you look for a problem-solving information are you more likely to first : (check only one) (Ribiere, 2000)

	Why ? (check all that apply)					
	Faster	Easier	More accurate	Higher trust	More detailed	Other (please specify): ....
Contact a co-worker						
Use outside sources (e.g. Internet)						
Look in the corporate repository						
Other (please specify):..................						

17) What capabilities do you want to have in your technology support ? (Arthur Andersen)

Ease of Use		Quality of reporting	
Access to Data		Sophistication of Data Analysis	
Security of data		Decentralised Access	
Flexibility of Reporting		Web-Based	
Low Cost			

18) Do you have a performance measurement system in design ? That measures reuse and invention ? (NIMCube)

Yes	
No	
Don't know	

19a) Does your company have a knowledge repository storage system ? (NIMCube)

Yes	
No	
Don't know	

19b) If yes, is it used on a regular basis ? (NIMCube)

Yes	
No	
Don't know	

3.2.6.3 Indicators

Measure	Metric	Description Why	Formula	References
Availability: Technology Inventory	Availability of technological infrastructure	Measures the provision of the NPD organisation with the required technology. It is an indicator of capability and management's commitment to NPD.	e.g. # of occasions required technology is not available	Kennerley and Neely (2000)
Availability: Technology Support	Internal support and service performance providers.	Measures the performance of internal support and service providers.	e.g. average time to remedy defects	Kennerley and Neely (2000)
Availability: Down Time	Down time	Measures the number of computer system failures. It is an indicator of productivity and profit as a minute of down time makes impossible for the business to operate and to gain revenues.	e.g. # of system failures per period of time	
Employee Literacy	IT literacy of employees	Indicates how well the staff is using the organisation's IT investment.	e.g. # of employees who distinguish by IT competence / total employees	Edvinsson and Malone (1997)
Functionality: KM Functions	Availability of KM functions	Measures how many KM functions are available to and actually used by employees.	# of KM functions actually used regularly by at least x % of employees (out of check-list)	Edvinsson and Malone (1997)
Functionality: Telecommut-ing	Employees working at home	Indicates the future of telecommuting. It also indicates how efficient that IT capacity is.	# of employees working at home / total employees (%)	Edvinsson and Malone (1997)
Information Flow: Extended Enterprise	Extended enterprise information flow	Measures the amount of information exchange with external "partners".	e.g. # of daily transaction with external partners, per employee	AIT (1998)
Information System	Enterprise information level	Measures the ability to access information only through the company intranet (e.g. enterprise business objectives, business strategic plan).	e.g. volume of enterprise information transfer level per unit of time	AIT (1998)
Information System	Change project information	Measures the ability to access information through a given company intranet or through an extranet, which is private to the change project team.	e.g. volume of change project information level per unit of time	AIT (1998)
IT Inventory	Change in IT inventory	Indicates the amount the company spent on new IT equipment over the course of a year.	amount of money spent on IT equipment	Edvinsson and Malone (1997)
Quality: User Satisfaction	User satisfaction level	Measures the satisfaction of the users from the IT they are using.	average satisfaction – results from a periodical survey	ECI
Renewal: IT Future Expenses	IT expenses on development and training	Indicates the corporate IT department to determine whether it is properly investing in its own future.	IT development and training expense / IT expense (%)	Edvinsson and Malone (1997)
Renewal: IT Expense	IT expense	Indicates the level of technology penetration into the daily work lives of employees.	total IT expenses / employee (%)	Edvinsson and Malone (1997)

Measure	Metric	Description Why	Formula	References
Renewal: Technology Age	Age of equipment	Measures the age of the IT-infrastructure. It indicates whether tools are still state-of-the-art and reliable.	e.g. average age of IT-tools in years of service	Kennerley and Neely (2000)
Renewal: Actual Use	Actual use of new functionalities	Measures the quality of implementation – do users actually use new systems / functions.	% of new functions provided in the last 12 months, which are actually used by at least X % of the intended population	
Renewal: Lead Time	New system / function lead time	Measures how effective is the implementation of new required IT functions. Measures the period of time necessary for the employees to get used to the changes made in the IT system. It is very important if the company desires smooth transitions.	e.g. pre-implementation and implementation period average time to implement a new system / function	
Schedule and Progress	Component status measure	Counts the number of software components that have completed a specific development activity. A comparison of planned and actual components is effective for assessing development progress.	# of units vs. # of units completed	
Sources of information	Level of intra-departmental information transfer	Indicates the degree in which members from a project team seek out information from other teams, or from other people in the organisation.	# of new ideas used which derive from an intra-departmental information transfer	
Technological Innovativeness	Technological sophistication, orientation, and innovativeness level	Portrays the degree to which firms utilise sophisticated and state-of-the-art development technologies.	e.g. # of new products that employ sophisticated development technology per unit of time	Cooper (1985)
Technology Audits	Frequency of technology audits	Measures the frequency of auditing and testing the technological infrastructure. It indicates awareness of providing reliable and state-of-the-art equipment.	e.g. # of audits per unit of time	Kennerley and Neely (2000)
Value Added	Value added per IT-employees	Indicates how the employees and the information technology of the firm work together to add value to the firm.	e.g. level of profit per unit of time	Edvinsson & Malone (199)

Table 2: Indicators and Metrics for KM technologies

3.2.6.4 Rating scales

1) How do you assess the utility of IT-tools in the following patterns? (IfeM 1)

	Not impor-tant				Very impor-tant
Management of documents					
Communication among employees					
Using existing information					
Discovering new information sources					
Improving collaboration					
Providing better transparency					
Bringing together and consolidating information					

2) What kind of experiences did you gain while implementing complex IT-systems? (IfeM 2)

Very Bad				Very good

3) Please indicate which type of technology support tools / processes exist in your organisa-tion and in your unit pertaining to KM programs / systems and your sense of: MOST (2), LEAST (-2), Doesn't Exist (DNE), or Don't Know (DK)

	Level	-2	- 1	0	1	2	DNE	DK
Corporate Intranet – Extranet	Organisation							
	Unit							
Database Management System (Oracle, Informix etc)	Organisation							
	Unit							
Multimedia Repositories	Organisation							
	Unit							
Messaging or Email	Organisation							
	Unit							
Decision Support Systems (Executive Information; Ex-pert Systems)	Organisation							
	Unit							

	Level	-2	- 1	0	1	2	DNE	DK
Data Warehouses – Data Marts	Organisation							
	Unit							
Web – based Training	Organisation							
	Unit							
Search Engines – Intelligent Agents – Information Retrieval Systems	Organisation							
	Unit							
Data Mining tools – Knowledge Discovery Tools	Organisation							
	Unit							
Knowledge - mapping tools	Organisation							
	Unit							
Groupware (as a collaborative not as a Email tool e.g. Lotus Notes)	Organisation							
	Unit							
Online chat	Organisation							
	Unit							
Teleconferencing (shared applications, whiteboards)	Organisation							
	Unit							
Videoconferencing (using audio and/or video)	Organisation							
	Unit							
Desktop computer conferencing	Organisation							
	Unit							
Communities of practice (interests in the same topic, field)	Organisation							
	Unit							
Communities of purpose (common interest in a project / task)	Organisation							
	Unit							
Mentoring /Tutoring	Organisation							
	Unit							
Story telling	Organisation							
	Unit							
Best practices repositories	Organisation							
	Unit							
Corporate Yellow pages – Directory of expertises – Who's who	Organisation							
	Unit							
Other (Please specify)	Organisation							
	Unit							

4) Assessment of technology applications ? (MITRE)

Technology Applications	Assessment		
Expert finding	Operational capability that exhibits a majority of the best practice features	Operational capability that exhibits some of the best features (often supplemented by prototype capabilities)	No operational capability
Collaborative technology	Operational capability that exhibits a majority of the best practice features	Operational capability that exhibits some of the best features (often supplemented by prototype capabilities)	No operational capability
Knowledge capture	Operational capability that exhibits a majority of the best practice features	Operational capability that exhibits some of the best features (often supplemented by prototype capabilities)	No operational capability
Global / Enterprise Information Pull	Operational capability that exhibits a majority of the best practice features	Operational capability that exhibits some of the best features (often supplemented by prototype capabilities)	No operational capability
Document organisation and management	Operational capability that exhibits a majority of the best practice features	Operational capability that exhibits some of the best features (often supplemented by prototype capabilities)	No operational capability
Other KM technologies (information relationships, knowledge inferencing, idea generating software)	Operational capability that exhibits a majority of the best practice features	Operational capability that exhibits some of the best features (often supplemented by prototype capabilities)	No operational capability

3.2.7 Leadership

3.2.7.1 Open Questions

No open questions available for this release of the document.

3.2.7.2 Closed Questions

No closed questions available for this release of the document.

3.2.7.3 Indicators

No indicators available for this release of the document.

3.2.7.4 Rating scales

No rating scales available for this release of the document.

3.2.8 Performance Measurement

3.2.8.1 Open Questions

1) Do teams exhibit high performance ? (Weisner)

Answer:

2) Do customers value, acknowledge and appreciate the organisation and view money spent on the organisation as an investment in the future ? (Weisner)

Answer:

3.2.8.2 Closed Questions

1) Are there measures for valuating KM activities in your company (e.g. how intensely the intra-net is used for knowledge sharing)? (Dr. Hagen-Stiftung)

Yes, please tell which:..............................	
No	

2) Which of the following functionalities for motivating employees is integrated in your KM system? (KnowledgeMARKT)

There is the possibility to assess the contributions of other employees	
It is measured how often every single contribution is used.	
None of these functionalities is integrated.	

3) Do you think your product development function is: (NIMCube)

Improving	
Staying the same	
Getting worse	
Don't know	

4) How often do you meet your original targets on: (NIMCube)

	Never	Occasionally	Majority of the time	Always
Time				
Quality				
Cost				
Design budget				

5) How do you think you compare to your competitors in terms of: (NIMCube)

	Worse	Better	Same	Don't know
Cost performance				
Quality performance				
Time performance				

6) Compared to your competitors are you as successful at bringing…: (NIMCube)

	Better	Same	Worse	Don't know
Old products to new markets				
New products to new markets				
New products to old markets				

7) In your opinion do you have a high customer retention rate ? (NIMCube)

Yes	
No	
Don't know	

8a) Do you have a process for measuring customer satisfaction ? (Nimcube)

Yes	
No	
Sometimes	
Don't know	

8b) If yes do you feel the information is used ? (NIMCube)

Not often enough	

Exactly right	
Too much	
Don't know	

9) How likely is it that projects, which are frozen early in the process, invoke many changes later ? (NIMCube)

Very likely	
Quite likely	
Only occasionally	
High unlikely	

3.2.8.3 Indicators

No indicators available for the first release of this document.

3.2.8.4 Rating scales

1) The group is determined to beat clearly defined competitors [from 2 = very much to –2 = not at all] (Goffe and Jones, 1998)

	2	1	0	-1	-2
Organisational wide					
In my unit					

2) Hitting business goals (i.e. targets) is the single most important thing [from 2 = very much to –2 = not at all] (Goffe and Jones, 1998)

	2	1	0	-1	-2
Organisational wide					
In my unit					

3) Projects started are usually completed [from 2 = very much to –2 = not at all] (Goffe and Jones, 1998)

	2	1	0	-1	-2
Organisational wide					
In my unit					

4) Which of these four dimensions would you most want to improve? Rank them from 1 to 5, with 5 as most important. (NIMCube)

Time	
Quality	
Cost	
Development cost	

3.2.9 KM Implementation + Business Cases

3.2.9.1 Open Questions

1) If there is a KM project running, what are its subject and goals?

Answer:

2) What are the best practices for implementing competency applications ? (Arthur Andersen)

Answer:

3) Do structures and mechanisms that support teams such as feedback structures and best practices exist ? (Weisner)

Answer:

4) Do these teams transfer new insights and, lessons learned and best practices throughout the organisation ? (Weisner)

Answer:

5) Does the organisation have and deploy the methods for building a shared vision, analysing problems and determining causes, identifying opportunities ? (Weisner)

Answer:

6) Does the organisation measure effectiveness and benchmark for improvements in all areas ? (Weisner)

Answer:

3.2.9.2 Closed Questions

1) Question about the status quo: a knowledge management project is ... (Fachhochschule Köln)

...not yet running	
...still being thought about in general	
We are already thinking about a concrete subject	
...begun	
...finished	

2) If there is a KM project running: is there external help available or planned? (Fachhoch-schule Köln)

Yes	
No	
I don't know	

3) What kind of performance appraisal and informal assessment do you use ? (Arthur Andersen)

Performance ratings	
Employee satisfaction	
Competency / Skill rating	
Management / Employee perception	
Turnover / Retention rate	
ROI	

3.2.9.3 Indicators
No indicators available for this release of the document.

3.2.9.4 Rating scales
No rating scales available for this release of the document.

4   OUTLOOK AND FUTURE ACTIVITIES

This document is the first release of a KM assessment model and is focused on gathering information about existing KM assessment models and tools.

The next steps within the further development of this model and tool will be:

-   Developing a first draft of a common approach assessment, especially in relation with the ongoing standardisation activities

-   Collecting feedback from the KM community via the KnowledgeBoard and related discussion zones and areas

-   Validating of the developed model and tool by inclusion of the European KM community

-   Developing of an online version of the developed model and tool and

-   Implementation and testing of the online-tool via the KnowledgeBoard.

The next release of this document will be issued in September 2002.

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APPENDIX A – LIST OF FIGURES AND TABLES

List of Figures

List of Tables