



UK Health Security Agency

UKHSA Knowledge Management Maturity Model

Adapted from the KIM profession: cross-government KM maturity model

This document should be used alongside the Introduction to the Knowledge Management Maturity Model document on the [Quality Portal](#)

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AMENDMENT HISTORY

Version	Date	Author	Description	Approval
V01.00	01/10/21	Adapted from the KIM profession cross-government KM maturity model. Victoria Richardson, Knowledge & Evidence Specialist – KM, Knowledge & Library Services	UKHSA KM maturity model (formerly PHE KM maturity model (June 2020) – rebranded for UKHSA)	Anne Brice, Head of Knowledge Management

High level outcome 1 (KM Principles for government: 1, 2) Leaders actively promote, champion and embed knowledge management cultures and practices		
Sub level outcome	Maturity level	Indicative measures / activities
1.1 There is a named individual at board level / directorate level / team level responsible for KM	<ol style="list-style-type: none"> 1. A lead sponsor has been identified and agreed 2. The individual promotes KM strategy and understands the value of KM 3. The individual leads by example, taking ownership of role and actively embedding KM policy and strategy 	<ul style="list-style-type: none"> • Senior sponsor named in UKHSA Knowledge Framework • UKHSA - wide KM role in place at a senior level, and present in UKHSA organogram • A lead Directorate oversees KM objectives and implements policy/strategy
1.2 There is a clear KM vision statement/ knowledge strategy and knowledge/KM is referenced in corporate strategy	<ol style="list-style-type: none"> 1. There is a strategy in development and commitment to get it in place and communicate it 2. The strategy is in place and communicated 3. The strategy is in place, regularly reviewed and communicated to all staff. It is linked to the corporate priorities, is part of business planning, and achievement is assessed 	<ul style="list-style-type: none"> • Knowledge as an enabler is referenced in the UKHSA strategy • The UKHSA Knowledge Framework positions KM in UKHSA, and is reviewed annually • A KM programme is in place based on the Knowledge Principles for Government, UKHSA's KM Quality Standard, and the UKHSA KM Maturity Model • Communicated and readily available to all staff
1.3 There are KM facilitators and knowledge advocates in place at Directorate and team level	<ol style="list-style-type: none"> 1. KM facilitators and advocates are in place in some teams (early adopters), supported by a community of practice 2. KM facilitators and advocates are in place across the organisation, with an active community of practice and engaging with teams 1. KM facilitators and advocates are fully briefed, proactive champions of KM who engage regularly with the team in their remit and work closely with a network of KM advocates, benefitting from informal training opportunities 	<ul style="list-style-type: none"> • Draft benchmark would be one facilitator/KM-advocate per team (a "team" will depend on size and structure of Directorate, and may be defined locally as appropriate) • An agreed outline for the role of KM facilitators and advocates is in place and accessible • KM advocates are active in the Knowledge Advocates network/community of practice
1.4 Leaders foster an environment where it is "safe to try" and to innovate	<ol style="list-style-type: none"> 1. There are elements of a safe to try culture/environment but it is not consistent, shared and fostered across the organisation. Innovation and learning is encouraged but outcomes are not tracked 2. There is a safe to try environment in place but not all staff are engaged and have confidence to try. Some innovation and learning occurs but it is not consistently demonstrated across the organisation and outcomes are not effectively shared 3. There is a culture/environment at all levels of the organisation that it is safe to try within understood parameters. Innovation is celebrated and continuous learning is encouraged and valued. Outcomes (positive and negative) are shared 	<ul style="list-style-type: none"> • Board-level Champion and senior leaders lead by example, creating and encouraging a "challenge" culture • All leaders foster an environment where individuals can openly discuss successes AND failure in order to learn from them • All leaders foster an environment where knowledge seeking is viewed as positive • Outside established accountability mechanisms leaders do not sanction individuals for failure • Time is allowed for reflective practice and knowledge-sharing

High level outcome 2		(KM Principles for government: 4)
Knowledge seeking and sharing is continually practised at all levels of the organisation		
Sub level outcome	Maturity level	Indicative measures / activities
2.1 All staff regularly participate in KM activities	<ol style="list-style-type: none"> 1. Opportunities to participate are available and staff involvement is encouraged 2. Opportunities to participate are available and encouraged. Staff involvement in KM activities is increasing 3. Staff are actively seeking out and participating in a wider range of KM activities 	<p>Metrics/feedback from/about:</p> <ul style="list-style-type: none"> • Communities of interest/ practice • Knowledge cafes • Handover and exit processes • Shadowing • Mentoring • Peer assist • Pre/post project review • Lunch & learn sessions
2.2 There is a culture of collaborative working, open and regular exchanges of ideas, networking and real-time knowledge sharing, across the organisation and its business partners	<ol style="list-style-type: none"> 1. Social and professional communities are being set up. Staff are encouraged to be more interactive. Staff are encouraged to exploit the full range of communications/collaborative tools. Staff are encouraged to seek and share knowledge both within and outside the organisation 2. Staff are encouraged to join communities. Network events for communities are established. Staff are moving towards using a range of communications/ collaboration channels 3. Communities are widespread, accepted and are a default way of working. Staff routinely seek advice and hold discussions in open forums whenever possible and appropriate 	<ul style="list-style-type: none"> • Active communities of interest/practice to seek help, share solutions, lessons and good practices (metrics on number of posts, comments, questions) • “Working out loud” as BAU (<i>business as usual</i>) unless there is good reason for closed working • Active discussion forums • Face to face opportunities facilitated by the organisation • Collaboration tools are used routinely and appropriately
2.3 Each individual is able to relate KM practice to support both individual/team tasks and the wider organisation	<ol style="list-style-type: none"> 1. Benefits of knowledge management and knowledge sharing are communicated. Team leaders are assessing, and acting on, how KM can support team outputs 2. Some staff advocate the benefits of KM to others. Consideration of KM is starting to be included in performance and development conversations 3. The majority of staff can advocate the benefits of KM. Collaborative working and KM is reflected in objectives and is demonstrated in behaviours and values (UKHSA culture, values & behaviours; Civil Service behaviours) 	<ul style="list-style-type: none"> • Benefits communicated • Participation in KM activities discussed at performance review • Ways of working – including demonstrating organisational behaviour and values (UKHSA culture, values & behaviours; Civil Service behaviours) relating to knowledge sharing, collaboration and continuous improvement – are discussed and evidenced at performance review
2.4 There is routine transfer of knowledge and skills on induction and exit	<ol style="list-style-type: none"> 1. Tools/techniques/processes are in place, supported by leadership, and starting to be used 2. Tools/techniques/processes for knowledge transfer are advocated and facilitated by leadership, and regularly used 3. Tools/techniques/processes for knowledge transfer are linked and used innovatively to deliver better business outcomes. Knowledge transfer techniques are built into business processes 	<ul style="list-style-type: none"> • Handover / induction • Exit interviewing & succession planning • Mentoring • Shadowing • Lunch & learn sessions • Metrics and feedback from above

High level outcome 3 (KM Principles for government: 1, 2, 5)		
Knowledge management successes and benefits are identified, rewarded and celebrated		
Sub level outcome	Maturity level	Indicative measures / activities
3.1 Individual and team successes are captured and promoted at an appropriate level	<ol style="list-style-type: none"> 1. Some successes are captured within teams but not effectively promoted and shared to benefit others 2. Most successes are captured effectively within teams and processes for wider promotion are starting to be used 3. Processes for capturing and promoting KM successes in a way that demonstrated business value are well-established. Successes are routinely shared across the whole organisation 	<ul style="list-style-type: none"> • Bank of case studies available and publicised • Improved team working/further adoption of good KM practice
3.2 Recognition and reward is promoted and practised throughout the organisation	<ol style="list-style-type: none"> 1. Reward processes exist for KM but there is no consistency in the way they are applied. Recognition takes place but is dependent on individual managers. 2. Recognition takes place at informal and formal levels. There is a process in place for reward with set criteria that is understood and promoted. 3. There is a fair, transparent, consistent and trusted process in place for reward, which is simple for all staff to use. The relationship between recognition and reward is clear and there are processes in place for both informal and formal recognition 	<ul style="list-style-type: none"> • Good KM behaviours are recognised • Awards programmes • Formal recognition • Informal recognition • Number and frequency of formal recognitions and rewards made • Feedback on frequency of informal recognition
3.3 Robust processes in place to demonstrate plausible contribution to better outcomes	<ol style="list-style-type: none"> 1. Benefits are identified but not always measured, preventing effective reinvestment 2. Benefits are identified and where possible measured. There is some evidence that they are being used to improve outcomes or ways of working 3. Benefits are comprehensively identified and where possible measured via an agreed organisational process or existing external framework. Reinvestment is evaluated for effectiveness 	<ul style="list-style-type: none"> • Cost/time benefits • Improved outcomes / outputs • Error-rate reduction • Improved ways of working (because tapped into existing knowledge / networks)
3.4 Benefits and risks are captured in formal reporting processes	<ol style="list-style-type: none"> 1. Benefits and risks are identified, but not monitored via set reporting processes 2. Benefits and risks are starting to be captured, monitored and sometimes reported or escalated where necessary 3. Benefits and risks are captured comprehensively, actively managed and regularly monitored. A review process is in place 	<ul style="list-style-type: none"> • Identified KM risks flagged on risk register (at appropriate level – in line with UKHSA risk management guidelines) • KM on management reporting agenda • Actions communicated and followed-up. Issues escalated and successes reported (using existing UKHSA risk management policy and procedures)

High level outcome 4 Lesson identified are used to drive continuous improvement			(KM Principles for government: 3, 5, 6, 7)
Sub level outcome	Maturity level	Indicative measures / activities	
4.1 Lessons are learned, reviewed and applied where appropriate	<ol style="list-style-type: none"> 1. Lesson learning processes are in place. Lessons are being identified 2. Lesson learning processes are used across the organisation. Applied lessons are leading to changes in approach. 3. Applied lesson learning processes are a normal part of business. Applied lessons inform continuous improvement. The organisation /directorate/team can articulate and/or quantify the benefits of lessons learnt 	<ul style="list-style-type: none"> • After action review & post-project review action implementation, monitoring and review • Lessons reviewed for opportunity to improve business process, guidance, and/or handbooks • Lessons identified used to inform policy-making • Lessons from successes and failures are drawn out in an effective manner – such as After action reviews; Retrospects – and shared openly with others 	
4.2 Evidence is available to demonstrate that due-diligence has been undertaken	<ol style="list-style-type: none"> 1. Staff are encouraged to complete pre- and post-project evaluations Tools and processes are in place to support pre- and post-project evaluations 2. Pre- and post-project evaluations are mandated and monitored. Most staff can articulate the benefits of pre- and post-project evaluations 3. Pre- and post-project evaluation always informs future project plans. Post project evaluations are routinely adapted to support future projects 	<ul style="list-style-type: none"> • Pre-project/task knowledge reviews mandated and monitored • Tools/techniques are routinely used to review and seek knowledge / experience before starting a task or project, such as <i>before action reviews</i>; <i>evidence reviews</i>; <i>peer review</i>; reviewing <i>lessons learnt</i>; reviewing <i>project evaluations</i> • Tools/techniques are routinely used to review ongoing and completed projects, such as <i>After action reviews</i>; <i>retrospects</i>; <i>evaluations</i>, and the outcomes are collated and shared 	
4.3 Knowledge Management Maturity Model assessments are recorded and recommendations acted on	<ol style="list-style-type: none"> 1. A maturity model and self-assessment mechanism is available and is being used. Teams are beginning to agree the areas they need to focus on/improve, relevant to their business 2. Teams regularly review their maturity level. Leaders prioritise the areas identified for improvement 3. Learning points are actively captured and shared across the organisation. Constructive challenge over maturity development is expected and accepted 	<ul style="list-style-type: none"> • Regularly documented cycle of reviews capturing learning points and actions taken to put these into practice • Team leaders accountable for implementation • Comparison of team self-assessments allows mapping of differential progress, identification of case examples of good practice and facilitation of peer support 	

High level outcome 5 (KM Principles for government: 2, 3) Knowledge management tools and techniques are current, accessible and effectively applied		
Sub level outcome	Maturity level	Indicative measures / activities
5.1 KM tools and techniques are regularly reviewed and updated to make good practice available to all	<ol style="list-style-type: none"> 1. KM tools and techniques exist but are not consistently communicated, documented, reviewed and applied 2. KM tools and techniques are documented, communicated and are starting to be reviewed to enable consistent application 3. A full range of documented KM tools and techniques is in place, communicated, and regularly reviewed and refreshed 	<ul style="list-style-type: none"> • New tools and techniques assessed and adopted where appropriate • Good practice sought from and shared with external parties as appropriate
5.2 There is training on both KM principles and tools/techniques	<ol style="list-style-type: none"> 1. Training exists but take up and response rates are not tracked 2. Training exists, take up is tracked and limited feedback is being sought on effectiveness 3. Effective training is in place, and monitored. Regular feedback is used to improve the training 	<ul style="list-style-type: none"> • Awareness-level training for all staff • KM advocates effectively trained in – or know where to find support to use – KM tools and techniques so these can be cascaded via workshops and through modelling tools and techniques with teams
5.3 There is a KM toolkit (developed by KM programme for use by teams locally)	<ol style="list-style-type: none"> 1. A toolkit is developed and is available but not widely communicated or regularly reviewed 2. A toolkit is in place, well communicated and regularly reviewed for organizational relevance and/or new techniques 3. A comprehensive toolkit is in place that meets the KM needs of the whole organization. It is regularly reviewed, easily accessible, well communicated and relevant 	<ul style="list-style-type: none"> • Toolkit is easily located, used and works • Support to use the tools/techniques is available and accessed • Toolkit is reviewed, and refreshed if necessary, at least annually • KM advocates are familiar with the toolkit

High level outcome 6		(KM Principles for government: 1, 2, 3, 4)
Knowledge seeking and sharing is embedded in business processes, corporate functions and supporting systems		
Sub level outcome	Maturity level	Indicative measures / activities
6.1 KM is built in to role profiles and annual appraisal	<ol style="list-style-type: none"> 1. KM conversations are encouraged as part of the appraisal process 2. KM competence is included in job profiles 3. KM is reflected in objectives and demonstrated in behaviours & values (UKHSA culture, values & behaviours; Civil Service behaviours) 	<ul style="list-style-type: none"> • KM related competencies/behaviours demonstrate how objectives are achieved • KM-related competences/behaviours in job profiles as appropriate
6.2 A searchable Profiles directory where staff can advertise knowledge and seek expertise is available	<ol style="list-style-type: none"> 1. Staff are able and encouraged to create a profile. Guidance is available 2. Leaders create rich profiles to encourage others to follow. Increasing numbers of staff are creating profiles 3. Most staff have comprehensive profiles. Currency and accuracy is checked by line management and omissions rectified 	<ul style="list-style-type: none"> • All staff required to keep profiles/corporate directory entries up to date with skills and experience. Checked in end-year performance review conversations
6.3 KM is integrated into business and strategic planning at all levels	<ol style="list-style-type: none"> 1. Leaders identify where KM could contribute to their Business, Business Change, Succession and Resource Plans 2. KM is routinely included in most business plans 3. KM is a routine part of business and strategic planning 	<ul style="list-style-type: none"> • KM competences required for tasking and projects identified and resourced • KM due-diligence part of business planning
6.4 Outputs & outcomes from knowledge sharing and seeking are captured and shared	<ol style="list-style-type: none"> 1. Processes exist to capture examples of successful knowledge seeking and sharing, and staff are encouraged to use them 2. Most staff are using processes to capture and share case studies and successes 3. Case studies used to augment toolkits and illustrate benefits of good KM 	<ul style="list-style-type: none"> • There are regularly reviewed working processes to ensure that KM is embedded at all levels
6.5 Technology is an enabler to good KM	<ol style="list-style-type: none"> 1. Existing technology is reviewed, communicated and its utility for supporting KM demonstrated 2. KM requirements are reviewed and, where appropriate, new tools are assessed and procured. New technology is assessed against KM requirements and, where appropriate, procured. Instruction is provided to enable full exploitation. Different learning styles are considered and where appropriate/feasible, facilitated by technology 3. Technology is used effectively to support KM across the organisation. New ways to create and exploit knowledge assets are actively identified and implemented 	<ul style="list-style-type: none"> • Tools (UKHSA approved) that support KM available and used (e.g. Enterprise Social Media, MS Teams, SharePoint, Skype, Confluence, UKHSA Intranet, Yammer, Jira) • E-learning materials available (e.g. videos, online tutorials) • Incoming technology is reviewed for utility in facilitating better KM • Text and data mining capability is deployed to generate “new” knowledge from recorded information and knowledge
6.6 Captured knowledge is regularly reviewed and refreshed	<ol style="list-style-type: none"> 1. Captured knowledge is accessible 2. Captured knowledge is used 3. Captured knowledge is routinely refreshed and renewed 	<ul style="list-style-type: none"> • Formally captured knowledge is subject to good information management • Business processes, guidance and manuals are updated in accordance with new knowledge