Mandatory requirements for implementing an ISO 30401-compliant Knowledge Management System

1. **Objectives:** The organisation's Knowledge Management System (**KMS**) is a set of interrelated or interacting policies and processes that support the organisation's knowledge management objectives (ISO 30401.3.5).

    These objectives shall be documented, and:

    a) shall serve business needs and align to business objectives
    b) shall be measurable (if practical), in terms of benefits and impacts
    c) shall be monitored, communicated, and updated as appropriate
    d) may be quantitative or qualitative, and relate to issues such as safety, time, risk, quality, cost, market share, and customer experience
    e) may relate to business results, organizational results, customer related results, and/or social and environmental results
    (ISO 30401.6.2)

2. **Issues:** The organisation shall determine issues that are both relevant to its purpose, and which affect its ability to achieve the Objectives of its KMS (ISO 30401.4.1).

3. **Parties:** The organisation shall determine the interested parties that are relevant to the KMS (ISO 30401.4.2).

4. **Requirements:** The organisation shall determine the relevant requirements of the Parties, structured in terms of business and organisational performance (ISO 30401.4.2).

5. **Priorities:** The organisation shall prioritise Requirements by analysing and assessing them in the context of its culture, environment, and infrastructure (ISO 30401.4.2).

6. **Scope:** The organisation shall identify, evaluate and prioritize knowledge domains with the greatest value to the organisation to set the scope of the KMS, considering identified Issues and Priorities (ISO 30401.4.2).

7. **Knowledge development:** The organisation shall act to establish and sustain systematic activities and behaviours relevant to its Scope for effectively managing knowledge through its stages of development:

    a) Acquiring new knowledge
    b) Applying current knowledge
    c) Retaining current knowledge
    d) Handling outdated or invalid knowledge

    (ISO 30401.4.4.2)

8. **Knowledge flows:** The organisation shall act to establish and sustain systematic activities and behaviours relevant to its Scope for supporting all different types of knowledge flows:

    a) Human interaction (ie individual and team conversations and interactions)
    b) Representation (ie demonstration, recording, or codification)

c) Combination (ie synthesis, curation, classification, and discovery)

d) Internalization and learning (ie assessment and uptake of discovered knowledge)

(ISO 30401.4.4.3)

9. **Knowledge management enablers:** The organisation shall integrate elements of the following enablers to create an effective KMS:

   a) Human capital (ie roles and accountabilities, senior management support)
   b) Processes (ie defined knowledge activities such as lessons learned)
   c) Technology and infrastructure (ie collaborative tools and physical workspaces)
   d) Governance (ie strategy, policy, SLAs, and codes of conduct)
   e) Knowledge management culture (ie norms of knowledge sharing and learning)

   (ISO 30401.4.4.4, ISO 30401 4.5)

10. **Key commitments:** Top management shall demonstrate leadership and commitment by:

   a) fostering organizational values which enhance trust
   b) ensuring that KM policy and objectives are established, can be evaluated, and align with the strategic direction of the organization
   c) providing needed resources for the KMS
   d) communicating the importance of effective knowledge management and of conforming to, or exceeding, the KMS requirements
   e) managing the process of change towards adoption and application, and towards the cultivation of a culture that values, supports and enables knowledge management
   f) ensuring that the KMS achieves its intended outcome(s)
   g) directing, motivating, inspiring, empowering and supporting persons to contribute to the effectiveness of the KMS
   h) promoting continual improvement of the KMS
   i) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility

   (ISO 30401.5.1)

11. **Policy.** Top management shall establish a knowledge management policy, appropriate to the purpose of the organisation, that:

   a) provides a framework, guiding principles, and sets worker expectations
   b) includes a commitment to meeting regulatory and other requirements
   c) includes a commitment to continual improvement
   d) balances knowledge sharing and knowledge protection
   e) is communicated, understood, and applied

   (ISO 30401.5.2)

12. **Action Plan:** An action plan shall be developed to address risks and opportunities arising from identified Issues and Requirements, which is intended to:

   a) assure that the KMS can achieve its goals
   b) prevent, or reduce, undesired effects
   c) achieve continual improvement

   (ISO 30401.6.1)

13. **Implementing actions.** The organisation shall implement actions arising from the Action Plan in a way that integrates them into KMS processes, and shall evaluate the effectiveness of these actions (ISO 30401.6.1).

14. **Roles and responsibilities.** For each knowledge management objective, the organization shall determine and document:

    a) what will be done and by whom
    b) who will be accountable
    c) what resources will be required
    d) who will be responsible
    e) when it will be completed
    f) how the results will be evaluated

    (ISO 30401.6.2)

15. **Awareness.** People who work under an organization's control and (where relevant) other interested parties shall be aware of:

    a) the organisation's KM policy
    b) their contributions and accountabilities to the effectiveness of the KMS
    c) the benefits of improved knowledge performance
    d) the implications of not conforming with KMS requirements

    (ISO 30401.7.3)

16. **Communication.** The organization shall determine internal and external communications relevant to the KMS, including building, managing change, and nurturing sharing and usage (ISO 30401.7.4).

17. **Minimum documentation.** The documentation requirements of a KMS shall be, at a minimum:

    a) Knowledge management objectives (ISO 30401.6.2)
    b) Knowledge management policy (ISO 30401.5.2)
    c) KMS scope (ISO 30401.4.2)
    d) Records of competence for people who engage with and use the knowledge management system as part of completing their tasks and work (ISO 30401.7.2)
    e) All other information necessary for the effectiveness of the knowledge management system (ISO 30401.7.5.1)

    Documented information shall:

    - include appropriate identification and description (eg title, date, author, reference number, version control)
    - have review and approval processes for its enduring suitability, adequacy, and availability
    - be in a suitable format
    - be kept in a suitable storage medium
    - be adequately protected from breach of confidence, improper use, and loss
    - be stored and preserved appropriately, including preservation of legibility
    - enable and/or control activities relating to distribution, access, retrieval, and use

    (ISO 30401.7.5.2)

    External documented information shall be identified and controlled where necessary for the planning and operation of the knowledge management system (ISO 30401.7.5.3).

18. **Conformance and performance.** Top management shall assign and communicate the responsibility and authority for:

- ensuring that the KMS conforms to the ISO 30401 standard
- ensuring the engagement of people and the effective application of the KMS
- reporting on the performance of the KMS to top management

(ISO 30401.5.3)

19. **Process control and improvement.** Management shall plan, implement, and control the processes required for:

a) meeting mandatory requirements of this management system
b) addressing identified risks and opportunities
c) ensuring continual improvement of the KMS
d) detecting, controlling, and correcting nonconformities in the KMS
e) dealing with the consequences of nonconformities and preventing reoccurrence

This includes:

- establishing criteria for processes and controlling processes in according with these criteria
- reviewing the consequences of unintended changes, and taking action if required
- ensuring that outsourced processes are controlled and align with the KMS
- determining and undertaking necessary monitoring and measurement, including gathering evidence of added value
- conducting routine evaluation of knowledge performance and KMS effectiveness
- periodic internal audits of KMS conformance, implementation, and maintenance
- periodic top management review of KMS suitability, adequacy, and effectiveness

Appropriate documentation shall be kept as evidence that provides confidence that KMS processes have been carried out as planned. (This includes appropriate documentation of the management oversight processes listed here.)

(ISO 30401.8, ISO 30401.9, ISO 30401.10)