



ADAPTATION FUND

AFB/EFC.6/3
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Ethics and Finance Committee
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KNOWLEDGE MANAGEMENT STRATEGY AND WORK PROGRAMME

Introduction and Background

1. While Knowledge Management is critical for any organization, it is even more so for the Adaptation Fund. Adaptation projects and programs are still relatively new and there is a strong need to build a body of knowledge on climate changes issues and potential related vulnerabilities that can help scientists and policy makers to identify and prioritize management efforts, to minimize risks or reduce possible impacts on people and ecosystems. Furthermore the Fund is piloting new modalities to getting funds and finance projects (direct access to its resources by eligible countries).
2. The experiences gained from the Fund must therefore be kept track of in a systematic way, collected and analyzed on a periodic basis, in order to enrich the information available on climate change adaptation and accelerate the understanding of what works and what doesn't.
3. Equally important is sharing and disseminating the results that can help identifying early responses to the changing environmental conditions, allowing people to transform and adapt the way they make a living. Knowledge of ongoing climate change issues and hints about how to learn to live with them can help people worldwide facing uncertain future.
4. The Adaptation Fund has included knowledge management as part of its Results Based Management and capturing lessons learned is one of the aspects that the Fund has to take into account when deciding on resources allocation among eligible parties (decision 1/CMP.4, Annex IV). Furthermore, in the Operational Policies and Guidelines for Parties to access resources from the Adaptation Fund, it is stated that provision for funding will be provided to "projects and programmes whose principal and explicit aim is to adapt and increase climate resilience. [...]. The Board may provide further guidance on financing priorities, including through the integration of information based on further research on the full costs of adaptation and on the lessons learned".
5. At its twelfth meeting, the Adaptation Fund Board adopted the recommendation of the Ethics and Finance Committee (EFC) to develop an overall knowledge management strategy for the Fund to be presented to the Board at its fourteenth Board meeting (June 2011) (decision B.12/26, paragraph (e)).
6. The current document presents a strategic framework for managing the Fund generated knowledge at corporate and project level, and offer a solution for organizing the exchange of information between the Secretariat and the projects and among the projects. The strategy complements the project level results framework and baseline guidance document that provides guidelines to develop a knowledge management strategy at a project level (AFB/B.14/Inf.6) and the corporate communication strategy (AFB/B.11/8).

What is Knowledge Management?

7. Knowledge is the understanding of the reality based on people's experience, analysis and exchange. In order to be transmitted knowledge needs to be captured and systematized.

8. For this reason, Knowledge Management (KM) can be defined as the set of actions developed (gathering data, analyzing processes, results and personal experiences, creating lessons learned, disseminating them, etc.) so that the knowledge of an individual or an institution reaches, in a timely manner, the largest number of people able to benefit from it.

9. Often knowledge management is confused with information management or communication. While the boundaries among these sectors are blurred and often their competencies overlap, it is useful to clarify the differences.

- 1) **Data** are facts, observations, or measures that have been recorded but not put into any meaningful context (i.e. a single musical notes could be a fair visualization of what data are);
- 2) **Information** is data that has been arranged in a systematic way to yield order and meaning (i.e. a series of notes arranged into a tune can represent what information is);
- 3) **Information Management** is the collection and management of information from one or more sources and the distribution of that information to one or more audiences;
- 4) **Knowledge** is the capability to act and take informed decision based on the information available (i.e. a musician is able to play a tune thanks to his knowledge for playing an instrument); and
- 5) **Communication** is the act of exchanging thoughts, knowledge, messages, data or information, as by speech, signals, writing, or behavior.

10. KM and communication are complementary activities. They often use similar instruments and processes and involve the same actors. Both contribute synergistically to disseminate knowledge and improve coordination, increasing the effectiveness and impact of projects. The integration of KM with communication activities allows a substantial reduction in costs and generates products that are consistent, more valuable and relevant for the different audiences, avoids duplication of efforts while enhancing the effectiveness of both.

NB: Documentation does not always imply writing. In an effort to make the Fund KM system up-to-date and more accessible, the Fund supports different way of documenting projects and processes, including video and audio material, photo reportage and stories.

Adaptation Fund Knowledge Management Strategy

Overall Goal

11. The Fund will strive to improve the design and effectiveness of adaptation projects and programs by creating mechanisms that enable it to extract, analyze, learn and share lessons from the projects and programs it finances.
12. The Fund will also share its own data, information and knowledge to reduce vulnerability and increase adaptive capacity of the countries¹, ultimately contributing to position climate change adaptation as a global priority.

Objective

13. To delivery on this goal the KM strategy will work to enhance recipient countries' knowledge to reduce vulnerability and increase adaptive capacity, especially of the most vulnerable communities.

Expected Outcomes

14. Through KM, the Fund will systematically use the knowledge gained from projects/programs and from its unique decision making structure and operations to A) enhance countries capacity and knowledge to improve the design and increasing the effectiveness of future adaptation projects/programmes, and to B) inform the decision making of the Board, enhance transparency and improve the Fund's overall effectiveness.

The Value of Knowledge Management

15. Carrying out a KM strategy takes time, money and commitment. The KM goal to increase the effectiveness of the Fund and its projects ultimately should lead to a reduction of costs. Ongoing measurement of the Fund's KM achievements will show that it worth the investment. The Fund's KM program should be monitored and evaluated based on two criteria:

- a. **Efficiency**

- Capitalize on lessons learned to minimize errors and duplications in the design of new projects, and optimize the Fund's operational procedures
- Reduce the loss of knowledge once a Board member or a Secretariat staff leaves the job
- Reduce new staff/board member training time
- Improve donors' coordination
- Provide easy-to-retrieve information for users on the Web

- b. **Effectiveness**

- Increase projects' capacity to effectively address adaptation issues
- Increase number of National Implementing Entities that submit applications
- Increase beneficiaries' satisfaction
- Generate new knowledge and data sets valuable for the adaptation community.

16. The above indicators try to capture the quality and effectiveness of the KM activities. However given the fact that the Fund is in its initial phase and that many of the above indicators can be used only after years of work, the indicators chosen for monitoring the progress of the current KM strategy are mainly quantitative (refer to Annex 1).

The Role of Recipient Countries

17. The Recipient Countries are going to play a key role for the success of the Fund's KM strategy. They will be responsible for:

- a. Compile data and generate lessons learned from the projects during the implementation phase.
- b. Share this information with the relevant stakeholders: 1) with the Secretariat that will act as central repository and hub, 2) with the projects beneficiaries and other local stakeholders that may benefit from this information.
- c. At project completion, hand over the project knowledge products to successors/partners to ensure long term impact on beneficiaries and allow other stakeholders to take ownership of the knowledge generated.

18. In order to help countries to carry out these tasks, without overburdening the project teams with reporting requests, the Secretariat will collect data and lessons learned using reporting mechanisms already in place (such as the project Annual Performance Report). The Secretariat will also facilitate tools that can help countries to share their experience with relevant stakeholders.

Work-Plan 2011-2013

19. Being the Fund a young institution, the document proposes a short-term work plan, in order to leave open the possibility to modify objectives and activities and adapt them to the Fund's growing needs. The implementation plan proposes practical measures for operationalizing this strategy at an institutional and project level, creating the foundation for a strong KM program based on principles of transparency, collaboration, relevance and cost-effectiveness (refer to Annex I for more information on the principles for the KM).

Action 1 – Identify Project Learning Objectives (PLOs)

20. To be sure that the projects can contribute to fill existing knowledge gaps, countries should identify in the early stage of the project implementation what are the key information, data and lessons that will help them to increase the impact of the project.

21. This exercise should be carried out by the implementing entity, jointly with the government and the AF Board Secretariat. Progress report on the achievement of these objectives should be done through the Fund's project reporting systems already in place, such as the Project/Programme Performance Report (PPR) and the Project/Programme Terminal Evaluation (PTE).

22. Timeline:

- a. By December 2012 the project proposal form will ask for details on the PLOs
- b. By June 2012 all projects funded before the introduction of the new project proposal have to identified their PLOs
- c. Guidance on how to determine PLOs will be provided on an ongoing basis

Resources needed: Project team members time + AF Board Secretariat time + logistic arrangements (conference calls) \$200 per project

Estimated budget for two years: \$ 5,000 (\$2,400 FY 11/12 / \$2,600 FY 12/13)

Action 2 – Provide guidance to the country to carry out their KM activities

23. The AF Board Secretariat will provide support to the recipient countries to enable them to carry out their KM activities. In order to do so these are the proposed steps to be undertaken:

- a. **Resource List:** Offer an on-line repository of information resources on adaptation already available, to guide the users to the right source.
- b. **KM Toolkit for projects:** Produce a detailed toolkit on how to design and implement a KM strategy for adaptation projects.
- c. **Project web pages:** Provide each project with a webpage within the Fund's website and promote the dissemination of such information among beneficiaries, partners and other institution working on Adaptation.

24. Timeline:

- a. Resources List completed by February 2012 (following updates needed each 6 months)
- b. KM Toolkit for projects presented to the Board by March 2012
- c. Project web pages: Platform ready by January 2012 (constant maintenance is required after its launch)

Resources needed: Project team members time + AF Board Secretariat time + IT consultant + Web Sever upgrade

Estimated budget for two years: \$ 20,000 (\$15,000 FY 11/12 / \$5,000 FY 12/13)

Action 3 –Collect, organize and analyze project/programme data, information and knowledge

25. The AF Board Secretariat will play a key role in gathering the information generated at the project level, organizing that information and analyzing the lessons learned at a portfolio level. To facilitate its retrieval, the information collected will be organized around key themes, identified by the AF Board as the learning themes of the Fund.

26. In order to do this the following steps will be taken:

- a. **Learning Themes:** Identification of the Fund's learning themes to include as part of the tagging system of project documents and reports.

- b. **Theme-level Lessons Learned:** Analyze the data and the experiences from the projects to highlight lessons learned on each of the main learning themes and facilitate their dissemination.
- c. **Project Highlights:** The AF Board Secretariat will produce communication material – fact sheets, publications, videos, photo galleries - that captures and disseminates project's lessons learned.
- d. **Thematic reviews:** The AF Board Secretariat will produce a series of thematic reviews on the main adaptation issues the Fund is tackling through its projects, based on existing data and information. This product is meant to be a source of information for countries struggling with adaptation issues to facilitate the search of available data and knowledge.
- e. **Knowledge-base for the AF projects:** Create an on-line central repository for AF project lessons learned. This repository will complement the information available in the project database and will be built using the same technical platform.

27. Timeline:

- a. Learning Themes identified by March 2012
- b. Thematic lessons learned developed by June 2013
- c. Project highlights developed on a constant basis as more projects receive funding
- d. Thematic reviews to be produced on a rolling basis (two every 6 months)
- e. Project lessons learned on-line platform ready to be used by February 2012 (after its launch constant maintenance is required)

Resources needed: AF Board Secretariat time + IT consultant + Web Server upgrade

28. Estimated budget for two years: \$ 25,000 (\$15,000 FY 11/12 / \$10,000 FY 12/13)

Action 4 – Promote collaboration and knowledge sharing on adaptation issues, enhancing the engagement with Civil Society

29. The AF Board Secretariat is interested in contributing to existing KM initiatives that aim at connecting various sources of knowledge and information on Adaptation. In order to achieve this objective the Fund will:

- a. **Develop knowledge activities** (i.e. videoconferences, workshops, virtual conferences) **and products** (i.e. video, comic strips, interactive educational games, case studies) to support:
 - Knowledge transfer on how to generate, analyze and share data, information and knowledge
 - Awareness raising on Adaptation issues among different audiences
- b. **Co-finance selected activities**, developed by Civil Society Organizations that aim at enhancing learning and knowledge sharing on Adaptation issues/topics. Guidelines on criteria and modalities to fund these activities will be developed once the strategy is approved.

30. Timeline:

- a. List of activities and products developed by November 2012
- b. Form and guidelines for CSOs to enter proposals developed by November 2012

Resources needed: AF Board Secretariat time + service providers + logistic arrangements

Estimated budget for two years: \$ 30,000 (\$5,000 FY 11/12 / \$25,000 FY 12/13)

Action 5 – Systematize and share with all stakeholders the Fund’s innovative experiences in funding and operating modalities

31. The Fund is pioneering new funding modalities and operational processes which application and results will be of great interest for the international community working on development and environmental issues. The systematization of these experiences and the dissemination of the results are considered valuable lessons learned to be shared with partners and beneficiaries.
32. In order to achieve this goal the Fund Secretariat, in collaboration with the relevant stakeholders, will document carry on two activities:
 - a. **Systematizations** (systematize the experience of setting-up and implementing:
 - The direct access funding modality
 - *The monetization of the Certified Emission Reduction shares*
 - The accreditation of *National Implementing Entities*
 - *The Fund’s governance structure*
 - b. **Video Interviews:** In order to capture the experience of board members and key staff at the Secretariat before they leave their position, video or written interviews on key issues will be conducted in order to generate an archive of lessons learned that can be useful for training of future members/staff.
33. Timeline:
 - a. Systematizations done by June 2013
 - b. Video Interviews (on-going tasks)

Resources needed: AF Board Secretariat time + consultants

Estimated budget for two years: \$ 40,000 (\$5,000 FY 11/12 / \$35,000 FY 12/13)

Action 6 – Develop an improved system to track the Fund’s decisions and documents in order to improve its effectiveness and enhance transparency.

34. This action will contribute to the overall RBM goal “to improve the effectiveness and efficiency of the Fund operations”, while enhancing transparency. To achieve this objective the current document database, accessible through the Fund’s website, will be enhanced and expanded in its functionalities so to enable countries to easily find the information they need and contributing to improve the Board Secretariat information management.

- a. **Document and Board decisions database:** The database will be developed using the same platform currently used for the website (Drupal). A system of tagging and keywords will be developed to allow to search documents and decision by topic

35. Timeline:

- a. Database ready to be used by March 2012
- b. Database content migration completed by June 2012
(after its launch constant maintenance is required)

Resources needed: AF Board Secretariat time + IT consultant + Web Sever upgrade

Estimated budget for two years: \$ 20,000 (\$15,000 FY 11/12 / \$5,000 FY 12/13)

36. Expected Budget: \$ 20,000

37. **Total budget for two years: \$ 140,000**

KM Budget work plan 2011-2013

	FY 11/12	FY 12/13	
Action 1	\$2,400.00	\$2,600.00	
Action 2	\$15,000.00	\$5,000.00	
Action 3	\$15,000.00	\$10,000.00	
Action 4	\$5,000.00	\$25,000.00	
Action 5	\$5,000.00	\$35,000.00	
Action 6	\$15,000.00	\$5,000.00	
Sub-Total	\$57,400.00	\$82,600.00	\$140,000.00

Recommendation

- 38. Following consideration of the present document, the EFC may want to recommend to the Board to:
 - a) Approve the Knowledge Management strategy and work plan, including the budget allocations, contained in document AFB/B.6/3;
 - b) Request the secretariat to move forward with the implementation of the strategy and to report to the Board at its 17th meeting on progress made during the implementation of the strategy.

Annex 1 - Adaptation Fund KM result based framework

Actions	Outcomes	Outputs	Indicators
1: Identify Project Learning Objectives (PLO)	<ul style="list-style-type: none"> - Targeted knowledge gaps at country level are filled - Increased local capacity on adaptation issues - Lessons learned are embedded into policies and adaptation projects 	<ul style="list-style-type: none"> - Learning Objectives are identified and met - New data and knowledge is generated 	<ul style="list-style-type: none"> - Number of project that submit lessons learned through the Progress reports - Number of policies and projects that include this information in their formulation - New sets of data generated and publicly available - Number of knowledge and data base that include the information generated by the PLO
2: Provide guidance to the country to carry out their KM activities	<ul style="list-style-type: none"> -Countries develop capacity to generate and collect data - Countries' capacity to design effective projects increases 	<ul style="list-style-type: none"> -Central repository for AF project lessons learned -List of available resources accessible on the Fund's website -KM Toolkit for projects developed 	<ul style="list-style-type: none"> -Number of visits to the project database and other sections containing knowledge products tailored for recipient countries -Number KM toolkit downloads -Number of sites that use the toolkit as KM resource
3: Collect and analyze projects/programmes data, information and knowledge	<ul style="list-style-type: none"> -Projects/ programmes generate new knowledge and data that is captured and shared 	<ul style="list-style-type: none"> -Data collected and tagged based on the Fund's learning themes -Project web page collect information in the Fund's website -Analysis and reviews of lessons learned at thematic –level -Project Highlights Series 	<ul style="list-style-type: none"> -Project web pages up-to-date and maintained by the project team -Number of visits to the project database - Web and database users' satisfaction -Citation or reference to the Fund's thematic reviews -Number of events to disseminate the Fund's knowledge -Number of adaptation platform containing information on the Fund's projects
4: Promote collaboration and knowledge sharing on adaptation issues, enhancing the engagement with Civil Society	<ul style="list-style-type: none"> -Fund's experience is shared with relevant stakeholders 	<ul style="list-style-type: none"> -Videoconferences, seminars, and materials that increase capacity within the recipient countries -Strengthen links with Civil Society 	<ul style="list-style-type: none"> -Number of events in which the Fund is involved -Number of proposals received from CSOs and other partners for knowledge sharing activities -Knowledge products generated as results of this activities
5: Systematize and share the Fund's experiences in innovative funding and operating modalities	<ul style="list-style-type: none"> - Fund's experience and innovative work is captured and shared with relevant stakeholders 	<ul style="list-style-type: none"> -Experiences in direct access, monetization, small donation and, accreditation of NIEs are systematized 	<ul style="list-style-type: none"> -Number of events/participants organized to present the results of the systematizations -Number of views of the video posted on YouTube -Number of staff/members that considered the interview useful for their job
6: Develop an improved system to track the Fund's decisions and documents in order to improve its effectiveness and enhance transparency	<ul style="list-style-type: none"> - Secretariat staff has the tools to better manage the information -Users finds information more easily 	<ul style="list-style-type: none"> -Document/decision database in place -Search functionality added and 	<ul style="list-style-type: none"> -Number of visits to the database

Annex 2 - Guiding Principles for the Fund KM implementation

The following are the main principles to be adopted as the foundation upon which building the Fund KM strategy:

- **Transparency:** The Fund is committed to be fully transparent in its operation and facilitate easy access to public data and information.
- **Accountability:** As an institution that uses public funds, the Fund is accountable for maximizing the impact of the resources available. The KM efforts, by capturing and sharing lessons learned, will contribute to enable the Fund to ultimately deliver its mission.
- **Committed Management:** While appropriate technology is essential, a key to successful knowledge management is a committed leadership that values, analyzes, creates and encourages the creation of knowledge, its dissemination and use, By adopting a KM Strategy at the beginning of its operations, the Board underlines the importance for the Fund of managing knowledge at a project as well as institutional level.
- **Capitalize on project and institutional experience.** The Fund will try to harvest knowledge and information generated by the projects to inform the decision of the Board. It will also try to capitalize on the institutional experience to set up and make operational a new institution with many innovative features.
- **Participation and Collaboration.** Recognizing the complexity of climate change adaptation, the Fund will proactively collaborate and seek synergies with their stakeholders in generating and sharing knowledge at local and global level.
- **Demand-driven:** Recognizing its unique nature the Fund will shape its KM efforts and activities mainly in response to its stakeholders' knowledge demands.
- **Flexibility.** The KM strategy, as any strategy, is a live document that should adapt to the changes and unforeseen events that may occur during its implementation.
- **Cost-effectiveness:** While creating the action plan, the cost-benefit of each KM activity and product will be evaluated in order to identify a realistic plan of action, prioritizing the activities that could generate the greatest impact for each dollar invested.

Annex 3 - AF Knowledge Process



- (a) Gather and Organize. Fund staff identifies, collects and organize relevant data, information and knowledge available (internally and externally), contributing to build an updated and systematized body of knowledge accessible online to all Fund's stakeholders;
- (b) Learn. Learning is regarded as crucial component of the strategy as it supports the development of capacity and contributes to create a knowledge culture within the Fund and among its stakeholders.
- (c) Generate. New knowledge products will distill and present in a coherent manner the knowledge generated by the individual projects. This step allows users to understand more clearly what the Fund experience brings to the discussion of adaptation issues.
- (d) Share. The Fund will share knowledge generated by its projects and by its own processes, with key stakeholders, in a mutual exchange of ideas and information.
- (e) Apply. This step concludes the KM process and seeks to enhance adaptation projects effectiveness. Evidence-based results and lesson learned through the KM activities will inform strategies and policies at project level as well as institutional level.