



## ADAPTATION FUND

AFB/EFC.19/6  
4 August 2016

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Ethics and Finance Committee  
Nineteenth Meeting  
Bonn, Germany, 4-5 October 2016

Agenda item 5

### **DRAFT UPDATED KNOWLEDGE MANAGEMENT STRATEGY AND ACTION PLAN**

## BACKGROUND

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1. At its creation, it was decided that capturing lessons learned would be one of the aspects that the Adaptation Fund has to take into account when deciding on resource 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<sup>1</sup>, it is stated that provision for funding will be provided to “projects and programs 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”. The Adaptation Fund has also included knowledge management as part of its Results Based Management framework.

2. 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)).

3. The Board at its fourteen meeting subsequently Board decided to:

a) Request the secretariat to provide further information on the work plan contained in the document AFB/EFC.5/3, specifying in greater detail the activities, expected outcomes and indicators, and the breakdown of the budget, including the role of recipient countries as well as providing an overview of other existing knowledge management frameworks and initiatives among multilateral agencies and intergovernmental organizations;

b) Request the secretariat to invite civil society organizations and other relevant international bodies to submit, by July 20, 2011, their views and comments on the knowledge management strategy and work plan contained in document AFB/EFC.5/3, as well as how partnerships might be developed; and

c) Defer approval of the knowledge management strategy and work plan until the 15th meeting of the Adaptation Fund Board.

### **(Decision B.14/22)**

4. The secretariat re-submitted the knowledge management and action plan to the Board at its fifteenth meeting and the Board decided to:

a) Approve the Knowledge Management strategy and work plan, including the budget allocations, contained in document AFB/EFC.6/3; and

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.

### **(Decision B.15/22)**

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<sup>1</sup> <http://www.adaptation-fund.org/wp-content/uploads/2016/04/OPG-amended-in-March-2016.pdf>

5. The work plan was established for two years, covering 2011 to 2013 and implemented by the secretariat. It comprised six actions: to identify project learning objectives; to provide guidance to the countries in carrying out their knowledge management activities; to collect, organize and analyze projects' data, information and knowledge; to promote collaboration and knowledge sharing on adaptation issues; to systematize and share the Fund's activities; and to create a database of the decisions and documents of the Adaptation Fund Board.

6. While most of the actions identified in the action plan had started implementation or have been successfully incorporated in the secretariat's annual budgets, a recent evaluation of the Fund<sup>2</sup> including its approach on knowledge management, estimated that while effective knowledge management is critical to any organization, it was particularly important 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 adaptation related concepts, approaches and solutions. Furthermore the Fund is piloting new modalities to mobilizing resources and finance projects (especially through direct access to its resources by eligible countries). 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 does not.

7. The evaluation concluded that inadequate allocation of resources to knowledge management would undermine the Fund's short-term effectiveness and long-term significance. As the Fund continues to operate, past and upcoming evaluations will bring additional valuable insights that can benefit the knowledge management systems of the Fund.

8. Taking into account the experience gained by the secretariat and the conclusions of the Fund's evaluation, the current document updates the prior knowledge management strategic framework for managing the Fund-generated knowledge at corporate and project level, and offers guidelines for organizing the exchange of information between the secretariat and the projects and among the projects.

## What is Knowledge Management?

9. Knowledge Management (KM) is the discipline that promotes an integrated approach to Information Management and Collaboration. It provides an approach focused on the capture, transfer and sharing of both explicit and tacit knowledge, so that the knowledge reaches, in a timely manner, the largest number of people to benefit from it.

10. 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;

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<sup>2</sup> [http://www.adaptation-fund.org/wp-content/uploads/2015/11/TANGO-ODI-Evaluation-of-the-AF\\_final-report.pdf](http://www.adaptation-fund.org/wp-content/uploads/2015/11/TANGO-ODI-Evaluation-of-the-AF_final-report.pdf)

- 4) **Knowledge** is the capability to act and take informed decisions 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.
- 6) **Collaboration** is a key area of knowledge management focused on allowing easy access to share context around content, crowdsourcing and sharing of ideas at the enterprise level.

## Recommendations

11. Following consideration of the present document, the EFC may want to recommend that the Board:

- a) Approve the draft updated Knowledge Management strategy and action plan, including the budget allocations, contained in document AFB/EFC.19/x; and
- b) Request the secretariat to move forward with the implementation of the strategy and to report to the Board on an annual basis on progress made during the implementation of the strategy.

# Draft Knowledge Management Strategy

## 1 VISION

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1. The Adaptation Fund (the Fund) aims to be a key institution generating, managing and sharing knowledge in adaptation and climate finance, and facilitating the access and use of that knowledge by other stakeholders.
2. The objective of the knowledge management strategy is to help enhance recipient countries' knowledge to reduce vulnerability and increase adaptive capacity, especially of the most vulnerable communities.

## 2 GOALS

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- To have the knowledge infrastructure and operational framework for knowledge management in place.
- To be a key knowledge facilitator with processes in place to promote collaboration with key stakeholders via in person and virtual collaboration mechanisms in a user-friendly way.
- To have mechanisms in place that enable the Fund to extract, analyze, learn and share lessons from the projects and programs it finances, hence contributing to the improvement of the design and effectiveness of adaptation projects and programmes.
- To have systems and processes in place for sharing the Fund's own data, information and knowledge to reduce vulnerability and increase adaptive capacity of the developing countries, ultimately contributing to position climate change adaptation as a global priority.
- To enable countries and institutions with knowledge management tools and strategies to promote knowledge capture and sharing on adaptation and climate finance issues.
- To influence the adaptation and climate change space through the knowledge captured, shared and transferred.
- To enhance the transparency of the Fund through the generation and sharing of knowledge and lessons learnt on its key processes.

## 3 VALUE OF KNOWLEDGE MANAGEMENT

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3. Implementation and Monitoring of a KM strategy takes resources, both monetary and people. Ongoing measurements of the Fund's KM achievements will show that dedicating time and resources towards knowledge management are worth the investment. The Fund's KM programme should be monitored and evaluated based on two criteria:

Efficiency

- Capitalize on lessons learned to minimize errors and duplication in the design of new projects, and optimize the Fund's operational procedures
- Increase the efficiency of ground level action based on lessons learned from the implementation of concrete adaptation projects
- Reduce the loss of knowledge once a Board member or a secretariat staff leaves the job
- Reduce new staff/board member on-boarding time
- Improve donor coordination
- Provide easy-to-retrieve information for the Fund's clients and other stakeholders
- Generate and share knowledge that would help increase efficiency of the broader climate finance instruments and tools currently deployed.

Effectiveness

- Increase projects' capacity to address adaptation issues
- Increase number of successfully accredited National Implementing Entities
- Increase beneficiaries' satisfaction with their engagement on Fund-related issues
- Generate new knowledge and data sets that are valuable for the adaptation community, for example as a basis for new approaches
- Increase the impact of climate change adaptation activities on the ground level

Target audience

4. The relevant stakeholders for the Fund include:

- Civil society, communities and individuals related to individual projects
- Adaptation Fund Board members, the secretariat and the Trustee
- Experts, academia, think tanks and private firms
- Institutions that may wish to pursue accreditation, already accredited entities that can help share best practices, experiences and knowledge already learned
- Beneficiary and contributor government representatives
- Other climate and environment funds

5. The target audience also includes the media and general public to promote increased awareness and understanding of importance of adaptation and climate change.

## 4 KNOWLEDGE MANAGEMENT FRAMEWORK

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6. Knowledge Management can be a key differentiator in public sector organizations. Knowledge can and should be captured down to the lowest level of abstraction. Measuring knowledge is a combination of qualitative and quantitative improvements. The present framework will help generate and share knowledge to benefit all Fund stakeholders including, at the internal level, to the secretariat and Board. The Fund can achieve significant wins, including transferring learnings from one country to another to improve processes, capitalizing on key lessons learned from its pioneering modalities and funding mechanisms, reduced ramp up time for new hires, reduction in the amount of time spent locating information, to name a few.

7. The strategic components are presented in the following broad headings:

- I. Capture and Transfer Knowledge related to Accreditation, Direct Access and the monetization of Certified Emissions Reduction.
- II. Fostering Broader Knowledge Sharing with countries and all climate change stakeholders including CSOs, Governments, other Funds, Research institutions amongst others.
- III. Equipping the Fund with a more supportive knowledge-sharing and learning infrastructure and system
- IV. Promoting a supportive knowledge sharing and learning culture within the Fund

### **Capture and Transfer Knowledge related to Accreditation, Direct Access and the monetization of Certified Emissions Reduction**

8. The Adaptation Fund accredited entities have clearly expressed that the thorough Accreditation process has helped them identify gaps that were not obvious to the entity beforehand. The process has represented an important opportunity to build institutional capacity by enhancing good practices within the entity's policies and procedures. It also improved the ability to show case the institutional capacity as well as enhancing the internal knowledge management.

9. Direct Access is a key strategic advantage for the Adaptation Fund. Capturing the Fund's experience will allow the Fund to showcase and transfer knowledge to all of its stakeholders around the Direct Access modality, including the accreditation of National Implementing Entities, the process of identification, selection and development of projects at the national level, the implementation of projects through that modality and lessons learned for their replication and scaling up. This is a key component of creating the foundation for a strong KM program based on principles of country ownership, transparency, collaboration, and relevance.

10. Since the establishment of the CER monetization, the Fund has generated USD 196 million through CER sales. In the context of the Financing Mechanism of the Paris Agreement the Fund can capture and transfer knowledge as it has the most valuable experience in monetizing carbon credits for funding climate adaptation.

## Fostering Broader Knowledge Sharing with Stakeholders

### Implementation of adaptation projects

11. There is a clear opportunity to learn from partners and institutions to capture and transfer key project knowledge. Some types of knowledge assets include lessons learned, technical knowledge, administrative and institutional knowledge. The Fund must first establish the key types of knowledge assets it wishes to have captured and shared. Then the Fund must establish a clear process around when this knowledge should be captured and who will capture this knowledge. There are several existing knowledge gaps that countries should identify in the early stages of the project implementation as to what are the key information, data and lessons that will help them to increase the impact of the project.

### Transfer and share knowledge on adaptation issues

#### Knowledge activities

12. Once knowledge is captured and processes are established this knowledge must then be shared. Regional events and knowledge activities should be conducted on a regular basis. Activities could include webinars, workshops, virtual conferences and products (i.e. videos, field visit/project photos, interactive educational games, case studies, online libraries of information on events, field studies, project evaluations and conferences, trip reports and thought leadership/field experience blogs from Implementing Entities and/or secretariat staffs) to support:

- Knowledge transfer on how to generate, analyze and share data, information and knowledge
- Raising awareness on adaptation issues among different audiences

#### Partnerships to transfer and share knowledge

13. These are developed with Civil Society Organizations, multilateral institutions, other funds and networks which are also generating knowledge activities on a regular basis. These partnerships aim at enhancing learning and knowledge sharing on adaptation issues/topics.

### Provide guidance to countries on KM activities

14. The Adaptation Fund Board secretariat is in a unique position to provide support to the recipient countries to enable them to carry out their KM activities, including through the Climate Finance Readiness programme. In order to do so these are the proposed steps to be undertaken:

**KM Toolkit for projects:** Optimize the KM toolkit that exists today to improve collaboration and further promote KM capture on projects.

**Workshopping the KM strategy:** Roll out of the KM strategy at readiness workshops

**Project web pages:** Provide guidance through collaborative development of the project specific webpages and promote the dissemination of such information among beneficiaries, partners and other institutions working on adaptation.



## **Equipping the Fund with a More Supportive Knowledge-Sharing and Learning Infrastructure and System**

15. The Fund could establish a supportive infrastructure and processes to achieve its knowledge management goals. Key areas could include a strong technology KM portal, specific knowledge management tools for collaboration and sound Information Management through people, technology and process enhancements, as well as more immediate and less resource-intensive opportunities such as private Facebook groups for NIEs to openly share best practices and lessons learned.

16. A best in class KM platform should include content management system functions such as version control, workflows, notifications, archival, records management and robust search capabilities. The collaboration component will allow for editing, revision management, discussion forms, communities of practice designed to enable collaborative work.

17. The Fund currently has several knowledge platforms in place namely the Adaptation Fund website<sup>3</sup>, the Climate Finance Ready website<sup>4</sup>, the Financial Intermediary Funds (FIF) platform and the Accreditation Workflow online system. There is an opportunity to optimize these tools and identify synergies among them. There is a level of time and resourcing that needs to be allocated to sound Information Management, hence the need for optimizing the tools and technology that are currently in place.

18. The Adaptation Fund website, which is a well-established interface, and the Climate Finance Ready website should serve as the primary knowledge engagement platforms. Other KM tools can be explored, such as Collaboration 4 Development, which is a social collaboration platform for knowledge sharing managed by the World Bank, and also has content management built in. Some immediate improvements could include:

- Enhancing shareability of the most critical content on social media, e.g project pages, press releases and announcements;
- Pilot a Community of Practice for NIEs, which could later be widened to all Adaptation Fund stakeholders;
- Improving social collaboration and networking possibilities on the Climate Finance Ready website.

## **Promoting a Supportive Knowledge Sharing and Learning Culture within the Fund**

### *Collect, organize and analyze project/programme data, information and knowledge*

19. The Adaptation Fund Board secretariat will play a key role in continued 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 Board as the learning themes of the Fund.

20. In order to do this the following steps and options will be considered:

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<sup>3</sup> <http://www.adaptation-fund.org>

<sup>4</sup> <http://climatefinanceready.org/>

**Thematic Learning:** Identification of the Fund's learning themes to include as part of the tagging system in portfolio monitoring missions and project performance reports (PPRs), mid-term reviews or mid-term evaluations (MTRs/MTEs) and final evaluations (FEs), including project completion reports for grant activities under the readiness programme. Analyze the data and the experiences from the projects (including analysis of PPRs, MTEs, FEs) to highlight lessons learned on each of the main learning themes and facilitate their dissemination.

**Project Highlights:** The secretariat will continue to produce communication material – fact sheets, publications, stories, videos, photo galleries. The secretariat should act as the knowledge facilitator to ensure relevant stakeholders are sharing knowledge that is captured at the project level. Additional relevant info on learning can also be added to the AF's existing project webpages.

**Publications:** The secretariat will begin producing at least one publication per year based on key topics and learning captured on key projects. Ongoing topics should include key projects portfolio assessment which can include benchmarking programs and projects, averages, successes, learning, and making the Annual Performance Report more visible to promote opportunities, partnerships and other key knowledge areas.

**Knowledge-base for the AF projects:** Optimize the website to have a knowledge repository of project retrospectives and lessons learned. This area of the website will complement the information available in the project database and will be ideally built using the same technical platform for ease of integration.

21. The secretariat will look for practical 'low-hanging' fruit to enhance the Fund's current KM platforms, such as further leveraging the Adaptation Fund website to include learning sections or adding best practices/lessons learned components to the project webpages and establishing a community of practice through the Fund's existing channels such as Facebook.

## 5 EXPECTED RESULTS

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22. Some of the key measures of success will be more enabled institutions that are able to navigate bottlenecks related to the accreditation process and the identification, development and implementation of adaptation projects. Lessons from adaptation project implementation, including through direct access, can be a key benefit for countries to learn and improve their processes including related to a specific sector or region and have a strong community of practice where they can share and transfer knowledge.

23. Internally, the Fund will have a robust website which is a knowledge repository with search capabilities allowing for reduced ramp up time for new hires, time saved when searching for information as well as more reuse of information that already exists.

## 6 ENABLING FACTORS

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24. The Knowledge Management program will require strong leadership and a dedicated knowledge management focal point. Additionally, it will require strong partnerships with

institutions, implementing entities and countries. Realizing the resource limitations, there is no need for a full time knowledge manager at the present time; however a strong focal point will be essential for a KM program to be successful and is built to scale.

25. Recipient countries, through their Implementing Entities or executing entities, will need to play an active role in knowledge development and transfer. Some key areas include:

- Compiling data and generate lessons learned from the projects during the implementation phase. The secretariat will provide templates and a toolkit as well as knowledge days at regional events to share localized knowledge at the regional level as well as virtually via knowledge days and webinars.
- Sharing 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, national and global stakeholders that may benefit from this information.
- 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. The information could be hosted on the Fund's website which will serve as the centralized source of information.
- Participating in writeshops organized by the secretariat or other stakeholders, present when appropriate and create 2-4 min videos on topic specific best practices and learning which can be uploaded on the Adaptation Fund tools.

26. 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-level Project/Program Performance Reports and Fund-level Annual Performance Report, Financial Intermediary Funds platform). The secretariat will also facilitate tools that can help countries to share their experience with relevant stakeholders.

27. The secretariat currently has a small team and members have several responsibilities. Any recommendations that are an extra step will be challenging to implement. Activities must be embedded into the current workflow as much as possible.

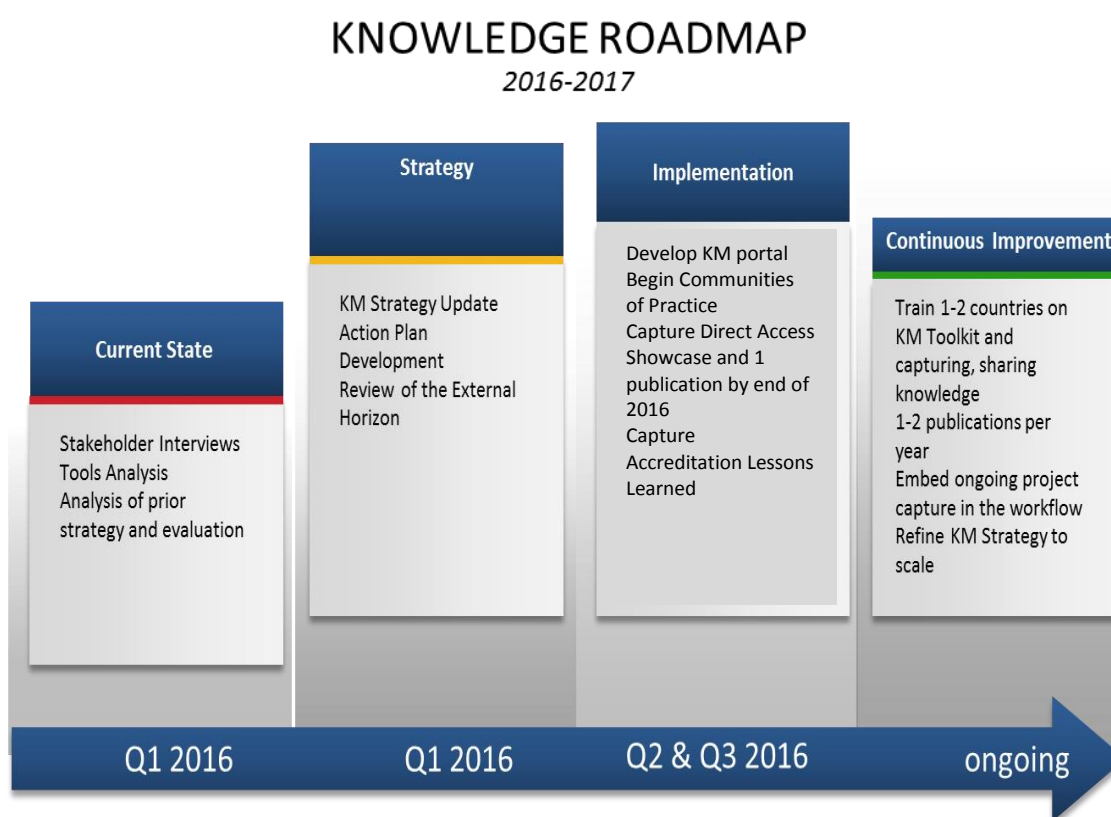
28. Knowledge Management is a journey which requires time, budget and a dedicated focus. An action plan related to Information Management and Collaboration has been laid out in the following section, bearing in mind the opportunities and limitations of the Fund.

# Knowledge Management Action Plan

## 1 OBJECTIVE

29. The Fund will strive to improve the design and effectiveness of adaptation projects and programmes by creating mechanisms that enable it to extract, analyze, learn and share lessons from the projects and programmes it finances.

30. The Fund will also share its own data, information and knowledge to reduce vulnerability and increase adaptive capacity of the countries, ultimately contributing to position climate change adaptation as a global priority.



## 2 ACTION PLAN

31. Culture is one of the most critical elements in implementing KM. An ideal KM culture is characterized by trust, openness, teamwork, collaboration, risk taking, tolerance for mistakes, autonomy, common language, courage, and time for learning.

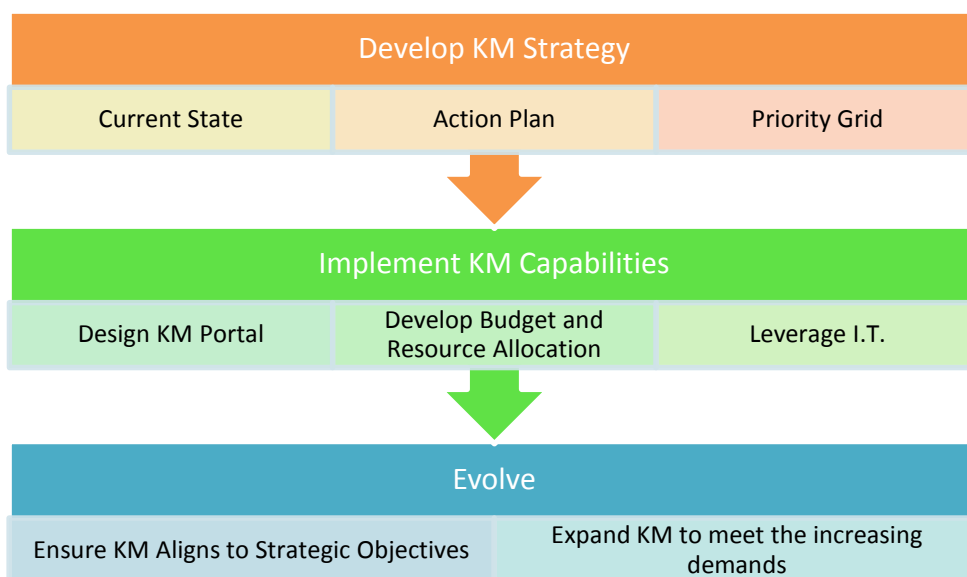
32. The following action plan has been developed based on essential steps that would be needed to update and implement a scalable knowledge management strategy at the Fund. It will

provide a framework and accountability tool for the full operationalization of the Fund's Knowledge Management Strategy by setting clear (time-bound) goals and priorities.

### 2.1.1 Action: Update the Knowledge Management Strategy

33. The key focus of any Knowledge Management program is to support the business objectives. The Knowledge Management strategy which was originally approved in 2011 has been updated based on the critical business needs, resources and budget. This should be revisited every 24 months to ensure the strategy remains relevant and evolves as the organization's needs evolve.

### 2.1.2 Action: Develop a Knowledge Framework



### 2.1.3 Action: Establish a Knowledge Management Team

34. The secretariat has a KM Coordinator. The coordinator's role will be to advocate for the program and work with the management team and ensure KM initiatives are made visible at the secretariat and externally. The focal point must ensure that the KM work be equally focused on both internal processes and knowledge processes while working with implementing entities and countries on knowledge programs and initiatives.

35. Each team within the secretariat (i.e. project/programme review and monitoring, accreditation, communications) should have a KM Champion to ensure cross functional collaboration and help promote engagement in the various KM initiatives on an ongoing basis. A KM Advisory Group should be established and members can be the KM Champions from each team.

### 2.1.4 Action: Form a Core Coalition Team

36. A core team of knowledge champions will be essential to scale the program. This team can comprise of key members in implementing entities as well as staff of the secretariat. The team members should have a good mix of business knowledge, technical competence and social

capital. These members should be able to influence communities and help drive adoption of proposed initiatives and social collaboration initiatives and communities of practice.

### 2.1.5 Action: Establish Roles and Responsibilities

Roles and Responsibilities	Resource Commitment/Activities
<b>KM Coordinator:</b> This is a critical role in the KM program. The person will be a key evangelist, and work closely with the core KM team members and partners, senior leaders as well as facilitate the design and implementation of KM initiatives.	Time: 20-25% per KM initiative/project and leading KM updates, meetings. Key activities: Coordination and managing KM Learning activities Communicating and promoting benefits of KM Facilitating/coordinating the collection of KM success stories and promoting the organizations image as a KM Leader in their domain
<b>KM Advisory Group:</b> This key team will engage and work with leaders and staff to provide ongoing guidance and advice for the KM efforts.	Time: 1-3 hours a month the first year, then 1-3 hours a quarter Key activities: Advise, Brainstorming
<b>AFB staff and core coalition team:</b> Once the KM program is underway, all members should act as knowledge workers on their respective initiatives. An incentive program is listed below to incentivize participation.	Time: Varies based on the project Key activities: Contribute, review and use the knowledge that has been created

### 2.1.6 Action: Establish a Holistic Knowledge Base

37. Currently there is no centralized, searchable repository at the secretariat. The FIF platform is a comprehensive database for all projects/programmes. The Climate Finance Ready website includes information related to climate finance readiness, including the direct access process, information that is generated by the secretariat or by other institutions, thanks to the partnership established with the CDKN. The Adaptation Fund website also includes plenty of information. As such, the need for the establishment of new online knowledge base is still to be demonstrated.

Activities:

- Further optimize and develop the Climate Finance Ready website to include collaboration via a tool like Collaboration 4 Development or some social collaboration platform.
- Evaluate and enhance the Information Architecture to ensure the existing platforms can form a holistic knowledge base promoting both content and collaboration.
- Add likes, sharing (in the case of the AF website) and comments features (for the Climate Finance Ready platform), and other key capability to encourage more participation.

Some key topics should include:

**Thematic Learning:** Identification of the Fund's learning themes to include as part of the tagging system of project documents and reports. Analyze the data and the experiences from the projects to highlight lessons learned on each of the main learning themes and facilitate their dissemination.

**Project Highlights:** The secretariat will continue to produce communication material – fact sheets, publications, videos, photo galleries - that captures and disseminates project's lessons learned, to be posted on the project's page of the Fund's website.

**Publications:** The secretariat will begin producing 1 publication per year based on key topics and lessons learned captured on key projects. The secretariat will continue to provide input into the development relevant publications by external stakeholders and continue its portfolio monitoring missions (2-3 missions/year) to visit projects and capture lessons, to be shared through reports, videos, webinars, conferences, etc.

**Knowledge Base for the AF projects:** The FIF platform and the Adaptation Fund website allow for project related documentation to be uploaded. The secretariat should be a filter in the documentation upload process. This would allow for the development and coordinated effort by the secretariat to conduct assessments and develop publications generated by projects which are currently not accessible. The Adaptation Fund website could serve as knowledge repository which would then serve to be a holistic system and additional publications can also be housed here and surfaced by all users. Information needs to be made consumable. Currently there are several Excel spreadsheets on the Fund's website project pages and it is hard to find and consume information that may exist. That information will need to be extracted and shared, e.g. through infographics. Creating a video library with 2-5 min videos that can be sent in by the project teams via smart phones might also serve to be a faster way for people to share more information which is consumable.

### 2.1.7 Action: Develop a Taxonomy for Information Management at the Secretariat Level

38. At the secretariat level there is a legacy shared drive ("P" Drive), however there is no process or prioritization in place around capturing and archiving information. An organizational taxonomy should be developed for the proposed tool which will establish core content around business topics. Each team can have their own area however in evaluating the current legacy shared drive it was observed that documents do not have a consistent naming convention. Some best practices related to naming documents/files exist and can be learned from.

Activities:

- Further organize the "P Drive" or introduce a new content management system, such as Box.
- Look inward - establish trends and common terms that are used by teams and create a standard to reduce variations.
- Evaluate website and internal search results to understand what users search for to ensure that the inward search aligns with user needs.
- Be consistent with format, syntax.
- Avoid abbreviation with file naming.

### 2.1.8 Action: Knowledge Tools Mapping

39. To fulfill the need for a harmonized Knowledge Management and collaboration platform that would help ensure the Fund has best in class tools to promote knowledge sharing, there are

several existing tools that are available to the Fund and a determination must be made on using a centralized platform that can serve the broader needs.

40. Among existing technologies, the following tools can be explored.

Tool	Usage
Collaboration 4 Development Platform - The World Bank	<p>This is an existing tool that is used by the World Bank built on Jive. Jive allows for both social collaboration, people location, following and trending events, built in gamification as well as internal and external sharing. It is a social collaboration platform and does also have content management built in.</p> <p>The content management system is based on groups and communities that will allow document sharing; however is not a holistic system with robust workflows. It can however integrate with other content management systems and can serve as a holistic system through such integrations. Given this is an existing system there is support for the tool and IT can assist as need be should the Fund choose to adopt this system.</p>
Box.com	<p>The secretariat needs to have an internal content management system which provides mobile access, workflows, version control and robust search. Box.com is used by some staff and this could be made the content management system for the team. It is a cloud based solution which is inexpensive given the size of the team and will integrate with Jive if desired.</p> <p>Box offers Box Sync which will allow for files to be visible offline when staff is travelling and also syncs files from hard drives to the system and can allow for both enterprise storage and a personal back up of hard drives.</p> <p>Additionally, Box features Box Edit which is a collaborative way to work collectively on content in real time as well as commenting ability on content and documents.</p> <p>The existing content from the legacy shared drive could be copied into Box, which could then be a key system that can be used by</p>



	the team, making use of its features described above.
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Action: The secretariat should consider an organization wide adoption to use Box as a complement to the P drive. This would allow the secretariat to better organize information and a tool such as Collaboration 4 Development would be an external and internal platform for knowledge exchange.

### **2.1.9 Action: Accreditation, Direct Access Modality and CER Monetization Knowledge Capture and Transfer**

41. The Accreditation process, Direct Access modality and CER Monetization are key features of the Fund. It is a competitive advantage and key differentiator in the climate finance architecture. The Fund has now reached a critical mass having had several multilateral regional and national institutions complete the accreditation process and implementing projects and programmes on the ground. In the case of Direct Access, this should be an initiative that is repeated every 18-24 months as we continue gathering lessons from the modality. Lessons from the re-accreditation process could also be gathered, as Implementing Entities that were accredited in the early operationalization of the Fund have now reached the point of seeking re-accreditation. In the context of the Paris Agreement and the Sustainable Development Mechanism to be established, the Fund, as the sole institution with a demonstrated experience in the monetization of proceeds from a similar internationally-agreed mechanism, i.e. the Clean Development Mechanism, will have invaluable lessons to share with the climate negotiations community.

Activities:

- Showcase best practices of Accreditation, Direct Access and CER Monetization integrating key topics including what is direct access, success of the modality, lessons learned, challenges, obstacles, innovation, from the perspective of countries (including IEs), CSOs, accreditation panel experts, the Adaptation Fund Board secretariat, among others. The lessons learned would be captured via write shops coordinated by the secretariat which will bring both practitioners and AF staff together to collaborate and develop key output on various AF Projects.
- Publish volumes on the Accreditation, Direct Access and CER Monetization Experiences.

42. Lessons Learned and other key knowledge assets should be showcased on the Adaptation Fund website, Climate Finance Ready platform and also published in key journals or produced as publications. This information should be in print as well as small video interviews where possible.

Resources: Stakeholder interviews, Implementing Entities, AFB secretariat staff, Accreditation Panel members, Board members, AF Trustee.

Output: 1 publication showcasing the experience of the Fund in the monetization of CERs, AAUs, etc.

### **2.1.10 Action: Capturing Readiness Knowledge**

43. The Fund will continue the key sharing of knowledge experiences and lessons done via the readiness workshops related to accreditation and project preparation to capture key information, data and lessons. The information captured should be made more visible on the Fund's communication and information dissemination portals as it will continue to enable countries to gain useful information, bottlenecks, strengths and learning of how countries cope with standards.

#### **Activities:**

- Further develop the NIE Community of Practice and explore, when feasible and relevant, new social collaboration communities around key topics, e.g. invite various institutions to a social community to share their experience with accreditation process and project preparation/implementation. The most effective way to capture this information will be during the events (workshops, seminars and webinars) organized by the secretariat, as the information gathered will be contextual and timely. This will allow appreciation of the opportunities available to those organizations that would want to seek accreditation with the Fund and also enable the carrying out of trend analyses to further enhance the accreditation process.
- To capture past knowledge the appointed person for this task can use a series of retrospective questions that are included in annex 3 to this document, to understand the journey, challenges as well as capture testimonials for institutions that were successful. There may be political sensitivity for institutions that were unsuccessful with accreditation and one should still approach them to attempt to capture past knowledge. This can be done via interviews or via community admin through the suggested social collaboration community. This can also be done as part of workshop clinics follow ups under the readiness programme for those entities that participated in the workshop.
- The output should yield a comprehensive assessment of what the benefit of having an accredited entity is.

### **2.1.11 Action: Capturing Knowledge from the Implementation of Adaptation Projects**

44. There is a clear opportunity to learn from each implementing entity and country on key project knowledge. This knowledge includes lessons learned, technical knowledge, administrative and institutional knowledge. There are several existing knowledge gaps and 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.

45. The key goal is to establish a mechanism that would help capturing knowledge on an ongoing basis and present case studies from the institutions perspective. There is no better way for further adoption than peer to peer learning.

#### **Activities:**

- Organization of writeshops (on ground level best practices, or themes) to generate an initial substantial amount of knowledge that could help catalyze the production of best practices documents.

- Identify and promote regional activities including relevant adaptation, climate change related seminars, conferences where implementing entities have story telling sessions and present findings on various projects. These should be captured via video when possible.
- Capture various case studies and publish findings and analysis from diverse regions and sectors. An academic institution or think tank partner can be key resource in accomplishing this.
- This exercise should be carried out by the implementing entity, jointly with the government and the secretariat. Progress report on the achievement of the project learning objectives should be done through the Fund's project reporting systems already in place, such as the PPRs, the MTRs/MTEs and the FEs.
- The secretariat analyzes existing yearly reports to create summary of key learning in a consumable format that can be shared with the Board through the Annual Performance Report.
- There is information captured which is published on the Climate Finance Ready platform ran in partnership with CDKN and the input from the Fund will be enhanced among others through a workflow process that will include a representative of the secretariat as a member of an Editorial Board to be established for the platform.

#### 2.1.12 Action: Social Collaboration

46. Collaboration is a core component of knowledge management. Given the geographically diverse ecosystem a social collaboration platform can serve to be a cost effective way to capture, transfer and share knowledge.

##### Actions:

- Continue the webinar series that the secretariat has started as part of the Readiness Programme and make the audio proceeds available to the public through the different AF platforms
- Explore the options for developing and using a social collaboration tool that can be integrated with the Climate Finance Ready platform allowing networks and promoting a few communities of practice when relevant
- Develop these communities of practice through robust platforms. A community admin toolkit is included in annex 4.

47. A social collaboration tool could engage internal/external stakeholders.

- **Organize conversations around themes:** Have knowledge jams around specific areas of interest to keep conversations related to relevant topics.
- **Mild Moderation:** Moderation can be tricky with social collaboration tools. Effective methods include posing questions, facilitate conversations are suggested but no policing of conversations.
- **Gamification:** Consider using the rewards and incentives to engage staff. Social is new to many and not comfortable for many. By using Gamification tools such as likes, comments you can encourage participation.

A community admin guide has been included in Annex 4. The community admin does not need to be the KM coordinator but can be the communications officer or any other staff within the secretariat.

### 2.1.13 Action: Enhance the Climate Finance Ready Platform



48. Indicative activities to be explored in an expanded version of the platform could include:

- Summaries and linkages to high quality third party literature (e.g. research reports) on readiness activities for the Fund.
- Videos from third parties which can be used as training for entities seeking accreditation - e.g. a set of videos on YouTube which explain each of the Fund's fiduciary standards and elements of the Fund's Environmental and Social Policy, and IFS Performance Standards.
- Survey of the Fund's Designated Authorities, and NIE representatives to assess the interest in an e-learning course to share key lessons learned on readiness and make specific experts available through interactive chats and webinars during this period – the survey would lead to a feasibility report making recommendations for next steps and if a substantial interest was identified, a part-time online e-learning advisor could be recruited to work with the platform's editorial board to create an interactive platform and run the course.
- Enhanced capacity for running a discussion space on LinkedIn, integrally linked to the Climate Finance Ready platform to encourage readers to share links and resources, and boosting the activity on these linked interactive platforms in the run-up to and after key in-person meetings.

### Coordination of web content

49. Representatives from the Fund and CDKN, all of whom should be experts with familiarity in climate finance, should discuss regularly, through the editorial board to be set up.

#### **2.1.14 Action: Provide Countries Guidance on KM Activities**

50. The secretariat is in a unique position to provide support to the recipient countries to enable them to carry out their KM activities.

Activities:

- Utilize the social collaboration features proposed under 2.1.11 and invite stakeholders to participate and consume content and share context and participate in discussions.
- There are some existing guidelines in the RBM Document from 2011 related to developing a KM Strategy. These should be extracted as a KM toolkit, updated and made more user friendly.
- Consider adding a 1-2 day regional event on helping countries develop their KM strategy and teach them how to capture lessons learned that can be very advantageous for reuse. These can be part of the readiness seminars. Conduct one at the NIE annual readiness seminar and/or some of the upcoming regional events.
- Design an NIE Community of Practice (CoP) to evolve naturally
- Create opportunities for open dialogue within and with outside perspectives
- Welcome and allow different levels of participation
- Focus on value of the CoP
- Combine familiarity and excitement
- Find and nurture a rhythm for the CoP

Output: Develop an NIE CoP which has a community admin and aim to have a good number of members participating in the community.

Follow 1-2 specific projects and evaluate how the KM toolkit is being used and then made modifications to adapt to the user needs as necessary.

#### **2.1.15 Monitoring the Success of the KM Strategy**

51. The Fund must develop a framework for measuring the effectiveness of the capture and sharing of knowledge. There are two major types of measures namely Common Measures which give an indirect indication of knowledge sharing and reuse. These allow tracking most popular issues and any usability issues. Monitoring of this first category should start shortly after the launch of knowledge initiatives. Output Metrics measure the output and outcome at the project and even task level. Some uses of this at the Fund can be reuse of a best practice capture, whitepaper, prior project work and its effectiveness on a future project. Outcome and output metrics provide a holistic view of the engagement, adoption and acceptance of the knowledge management strategy.

**Sample Measures**

Categories	Measures
Adoption & Engagement	Number of knowledge assets (best practices, lessons learned, white papers, examples) submitted Number of assets reviewed/validated Number of assets shared/uploaded Number of assets downloaded/accessed
Efficiency	Total cost/resource/time of the knowledge transfer program Total cost of the transfer program as a percentage of savings generated from adoption of knowledge transfer
Return on Knowledge	Evidence of adoption of best practices Number of articles/best practices that become standard operating procedures or featured Time saved/cycle time reductions achieved through adoption of identified articles/postings Cost avoidance/savings achieved through adoption

**2.2 Budget**

52. Delivering a Knowledge Management program requires a budget, which could be significantly lowered if existing World Bank technologies such as Collaboration 4 Development are leveraged. Additionally, the partnership with CDKN on the existing platform helps in maintaining reasonable costs. KM budgets involve technology, processes, new roles and governance. Since the Adaptation Fund will not have a dedicated headcount towards KM, the use of Consultants will be sought as needed.

53. Some of the main expenditures will be as follows:

- Coordination with teams to leverage existing technologies
- Delivering early quick wins
- Rolling out the Action Plan. This can also be made cost effective by including it as part of the readiness workshops
- Travel budget
- Purchase of technologies/IT fees, if needed
- Services of an experienced consultant

54. The estimated budget is \$40,000 (\$25,000 FY 17 and \$15,000 FY 18) to include consultants, technology, process changes and related fees to accomplish all key action items in the proposed plan. This includes any new technology purchase if it is not possible to leverage existing technology as the secretariat can opt for a cloud based solution which will be cost beneficial given the size of the staff.

**2.3 Critical Success Factors**

- Plan KM implementation as an division/organizational change program

- Map out stakeholders and the various audience segments and ensure that all of them have been addressed
- Implement KM as a holistic system, containing all necessary elements- people, process and technology
- Not stop KM implementation until KM is fully embedded into the Fund's processes, accountabilities and governance
- Ongoing sponsorship from Management key to embed the required change, and have a steering committee to ensure the support and communication
- Ensure KM implementation is focused on solving real, pressing business issues- pick the most critical pain points first.
- Change Management
- Resources and Governance
- Metrics and Measurement

## 2.4 Getting started

55. The secretariat will begin on implementing the updated KM initiatives at the earliest. Information Management will be reassessed with a main goal of switching from legacy systems to a robust content management system. KM tools are not the solution to knowledge management however they are a key component to ensure robust systems are in place to support the needs of the team.

Getting Started	Action Required	Resources	Notes
<b>Promote knowledge management via workshops</b>	Workshops, socializing and finding key collateral	KM Focal Point, KM Consultant	Ongoing with timelines and begin with tacit knowledge capture workshops while KM system is being developed.
<b>Develop a Knowledge Management System</b>	Leverage a World Bank system or buy a KM system	IT, KM Consultant, Vendor Support	Migration of legacy information and harmonization of knowledge base.
<b>Pilot Program</b>	Identify 3 critical areas where KM can help. Direct Access process, CER monetization and Accreditation knowledge sharing for example.	KM Focal Point, stakeholders	Key step to socialize and show the value of KM.
<b>Community(ies) of Practice</b>	Develop a centralized place for groups to collaborate and exchange content. C4D for example.	KM focal point, KM champions from each team	Valuable to have strong onboarding and centralized content and collaboration.

<b>Engagement</b>	Community admin toolkit guidelines, best practices for staff	KM Team Engagement measures and tips	Topics must be relevant to discussion, not to be left to chance.
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56. The table below summarizes the KM Strategy components, the relevant corresponding actions and an estimated timeline.

Strategic Component	Action	Resources	Timeline
<b>1. Promoting a supportive knowledge sharing and learning culture within the Fund</b>	Establish a Knowledge Management Team	Management, KM coordinator, KM focal points	Q1 - FY17
	Form a Core Coalition Team	KM coordinator, KM focal points, select IEs, Board members, civil society	Q1 - FY17
	Establish Roles and Responsibilities	KM coordinator, KM focal points, select IEs, Board members, civil society	Q1 - FY17
	Monitoring Success of the KM Strategy	KM coordinator, RBM team, Core coalition team	Continuous
<b>2. Equipping the Fund with a more supportive knowledge-sharing and learning infrastructure and system</b>	Establish a Holistic Knowledge Base	KM Advisory Group, IT	Q2-3 - FY17
	Develop a Taxonomy	KM Advisory Group	Q2-3 - FY17
	Knowledge Tools Mapping	KM Advisory Group, IT	Q1-2 - FY17
	Social Collaboration	KM Advisory Group, IT	Q2-3 - FY17
	Enhancement of the Climate Finance Ready platform	KM Advisory Group, CDKN	Q1-2 - FY17
<b>3. Capture and Transfer Knowledge related to Accreditation, Direct Access and the monetization of Certified Emissions Reduction.</b>	Accreditation, Direct Access Modality and CER Monetization Knowledge Capture and Transfer	KM Advisory Group, Trustee, IEs	Q3-4 - FY17
	Capturing Readiness Knowledge	KM Advisory Group	Q1-2 - FY18
<b>4. Fostering Broader Knowledge Sharing with countries and all climate</b>	Capturing knowledge and lessons from Implementing Adaptation Projects	KM Advisory Group, IEs	Continuous



<b>change stakeholders including CSOs, Governments, other Funds, Research institutions amongst others.</b>	Provide Countries Guidance on KM Activities	KM Advisory Group	Q2-3 - FY17
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57. Upon approval of the updated Strategy and Action Plan, the secretariat will implement the key action items and report regular progress.

## ANNEXES

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### Annex 1: 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 2: Adaptation Fund Knowledge Processes



(a) **Capture.** The secretariat 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) **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.

(d) **Transfer/Reuse.** 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. 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.

**Annex 3: Community Admin Guide**

2.4.1 Community Admin Focus	2.4.2 Key Activities
2.4.3 Speed	2.4.4 Develop an expectation that community members, including subject matter 2.4.5 Experts and admins will respond to questions within 48 hours
2.4.6 Simplicity	2.4.7 Ease of navigation- when implementing changes structure and look and feel should be the same throughout the communities promote familiarity and cross pollination across communities. 2.4.8 Ease of use- easy to join communities. 2.4.9 The ability to communicate with others—especially subject matter expert (promote ask an expert)
2.4.10 Monitor (ongoing key role) 2.4.11	2.4.12 Monitoring discussion forums to ensure that questions receive timely responses; 2.4.13 Monitoring collaboration processes to see whether members are using them as intended; 2.4.14 Encouraging members to leverage network content and resources; 2.4.15 Communicating the value and purpose of the network to business leaders and sponsors, 2.4.16 Subject matter experts, and members; 2.4.17 Seeking feedback on the direction of the network; and working with network sponsors to ensure that the network's focus continues to reflect the needs of members and the business.
2.4.18 Communication (CRITICAL)	2.4.19 Are community members aware of new items- a quarterly update?
2.4.20	2.4.21

## Annex 4: Template for Identifying and Capturing Lessons Learned

### Purpose of Document

This is a template to help the Adaptation Fund identify and capture lessons learned from projects, processes and other business activities. The template is meant to be used as a jumping off point, not an exact model to follow. The specific questions you should include when using this template should depend on the objectives of the project, process or activity you are capturing lessons learned from, the type and complexity of the information being collected and the needs of the target audience that will access and reuse the lessons.

### Lessons Learned Template

- *Topic/Title of Lesson Being Captured:*
- *Business Unit/Department/Process Affected by Lesson:*
- *Date:*
- *Interviewee:*
- *Interviewer:*

### Overview of Project/Process/Business Activity

- *Please describe the project, process or business activity under discussion*

What were the objectives and/or the planned outcomes of the above activity?

- *Objectives/Planned Outcomes*

Were there any relevant deviations or pitfalls from the process, objectives or planned outcomes?

*Deviations/Pitfalls to Note*

What was achieved? What was not achieved?

Overall, was the activity successful? Why or why not?

What were the biggest challenges you faced when executing this activity?

How did you overcome these challenges?

What behaviors, from yourself or others involved, contributed to the activities success or lack thereof?

What behaviors, from yourself or others involved, would you not recommend for someone repeating the activity?

## Process

Please give an overview/describe the process followed to execute this activity.

What was the original timeline of completion for the process? What was the actual timeline of completion for the project? Please describe the reasons that caused any deviation to the timeline.

What components were critical in making this process successful?

What roles/who was critical in making this process successful?

What resources, tools or templates did you use in this process that you would recommend others use in the future when repeating the process?

What resources, tools or templates need to be created, edited or improved before they can be used when executing this process again in the future? Please describe with your proposed idea or solution for each.

## Key Takeaways

How can others repeat and/or achieve success when executing the same or a similar activity?

How can others avoid similar disappointments when executing the same or a similar activity (if applicable)?

Overall, what overall best practice advice would you give someone executing the same activity?

## Annex 5: Exit Interview Template

### ***Purpose of Document***

This is a template to help the Adaptation Fund identify and capture best practices and advice from individuals leaving the organization. The template is meant to be used as a jumping off point, not an exact model to follow. The specific questions you should include when using this template should depend on the objectives of the project, process or activity you are capturing, the type and complexity of the information being collected and the needs of the target audience that will access and reuse the information.

### ***Exit Interview Template (to be used with colleagues or Board members)***

- *Topic/Title of Lesson Being Captured:*
- *Business Unit/Department/Process Affected by Lesson:*
- *Date:*
- *Interviewee:*
- *Interviewer:*

### **Background**

*Background info of interviewee*

*What makes you successful in this role?*

*What were the challenges you faced?*

*How did you overcome these challenges?*

### **Resources**

What key resources or tools have you used?

Of these tools, which are some that you recommend others use in the future?

What tools did you need that you didn't have?

### **Key Takeaways**

What is some advice to anyone stepping into this role?

## Annex 6: Story Telling Template

*(This template is designed to be used at face to face events such as seminars, webinars and workshops to transfer tacit knowledge. The stories should be recorded via video and transcribed and made available via the central repository.)*

Goal: Sharing our knowledge through stories and past projects.

Theme: Identify content gaps/costs/peak experiences

Instructions to participants:

Please share a story/ experience of really complex challenge, how you found the information to work on this challenge, highlighting what you were/were not able to find. Please share what worked and knowledge gaps from your perspective. In conclusion, please tell us what you would like to see changed and share any ideas that you might have to facilitate that change.

As you think about the experience, please use this guide to help you.

- Title of story.
- Name of original teller.
- Landscape: set the scene in time and space.
- Dwelling place: describe the precise location where action occurred.
- Characters: provide a cast list, descriptive attributes and roles in story
- Challenge: report the problem or task that triggered the action
- Action: describe the sequence of events before, during and after your turning point
- Turning point: pinpoint the moment when the change happens
- Resolution: relate ending, including moral, lesson learned or message
- Key visual hooks: supply mnemonics to assist partner retelling the story



## **Annex 7: A Look at the External Horizon**

Knowledge Management provides the strategic framework to manage explicit knowledge and content, in order to manage information more easily accessible and reusable. Additionally, KM provides structure and a dedicated focus to capturing tacit knowledge and promoting collaboration.

One of the main drivers in adoption of successful KM programs has been the shift in organizational culture. It is intended to break down silos. Some noteworthy initiatives include “Project Exodus”, a US Army KM initiative that promotes KM practices and techniques as well as collaboration between novices with experts. It concentrates on the capture and application of knowledge, especially tacit knowledge, to leverage organizational learning and enhance organizational competencies across the entire US Department of Defense (E-Government Institute, 2004). The European Union introduced a “good practice framework” which began sharing examples of knowledge discovery and transfer at local, regional, national and international levels. (Europa, 2005).

There are some formal and informal knowledge management maturity levels, and it is essential to keep the context in mind when examining organizations at various stages in their KM maturity and evolution. Several of their practices, while extremely effective, may not align to the Adaptation Fund’s readiness or current culture in its present state. However, by review various case studies and best practices; this will enable a sound planning process.

### ***Objectives***

Effective knowledge sharing requires a strong communication of **people, process and technology**. There is a need for clear accountability, resource allocation and a strong focus on change management. This section includes an analysis of future trends and innovative trends in the field.

It examines some a few organizations and their approach to knowledge management. These organizations were selected to highlight various industries, scope and size, who have established Knowledge Management programs and have been benchmarked by regional KM programs. To ensure key learning opportunities are evaluated, this section reviews the World Bank Group (WBG), UNDP and DFID who are more closely aligned to the Adaptation Fund in scope and other organizations whose experience offers valuable learning opportunities related to their KM journey namely Government of Alberta, Canada, Swiss Development Cooperation, NHS Scotland and Kenyan Ministry of Health.

#### ***I. The World Bank Group***

The World Bank Group (WBG) is a very large organization with a well-established knowledge management team and a budget of over 600 million dollars a year towards knowledge sharing activities. While the scope and size of this organization far exceeds the Adaptation Fund, the WBG’s KM strategy and tools are selected for review as there are potential opportunities to leverage some of the relevant tools, as well as replicate some key initiatives that will align with the Adaptation Fund’s knowledge management program objectives.

## Strategy and Approach at WBG<sup>5</sup>

World Bank president and knowledge management sponsor, James D. Wolfensohn, former President of the World Bank, envisioned a “knowledge” bank to enable it to play “a leading role in [a] new knowledge partnership.” World Bank aspired to use knowledge management to increase employee effectiveness and efficiency across the organization. Knowledge management would be rolled out in stages: The first focus was on making knowledge easily accessible to World Bank staff. Secondly knowledge distribution would be expanded to external clients and partners; and lastly external knowledge would be incorporated into its system, thereby defining itself as a clearinghouse for sustainable development knowledge.

World Bank defined four areas of knowledge management to be enabled:

- Information
- Personal thinking
- Discussion
- Knowledge synthesis.

The Bank appointed a role of Program Director for knowledge management to drive the organizational strategy and an institutional task force to define an implementation road map. World Bank Initially identified 80 domains of expertise and built global “communities of practice” from informal communities around each domain to share information and build knowledge. Each community was charged with establishing a help desk, creating an expert directory, gathering relevant project history including best practices and lessons learned, and setting up electronic bulletin boards with the help of a full-time knowledge manager and operational staff. A dedicated knowledge management staff oversaw the development and establishment of an enterprise-wide integrated knowledge management framework and classification system.

## Relevant learning for the Adaptation Fund

The Adaptation Fund is in a position to potentially leverage some key IT tools uses by the WBG. One of the key platforms that the Adaptation Fund should look more closely as is Collaboration for Development (C4D). The C4D platform is both an internal and external platform. Select communities of practice are open to external users while others are internal only. They have also used this as a way to engage alumni in contributing tacit knowledge via this platform.

Some of the key features of this application include centralization, ability to follow users, gamification features such as likes and endorsements and does require authentication to login in. The tool is mobile optimized and is considered very user friendly.

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<sup>5</sup> See <http://www.kmbestpractices.com/world-bank.html>.

**WELCOME TO COLLABORATION FOR DEVELOPMENT (C4D)**

A secure social collaboration platform focused on development issues, hosted by the World Bank Group. C4D enables online brainstorming, consultations, discussions, knowledge-sharing and learning among people working on similar topics—from education to mega-disasters.

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**QUICK LINKS**

- LOG IN/REGISTER
- POPULAR COMMUNITIES
- YOUR EXPERIENCE
- EDIT YOUR PROFILE
- EMAIL NOTIFICATIONS

**BROWSE COMMUNITIES BY TOPIC**

• Agriculture	• Gender	• Poverty
• Climate Change	• Governance	• Public Private Partnerships
• Education	• Health, Nutrition & Population	• Social Protection & Labor
• Energy & Extractives	• Information and Communications	• Trade & Competitiveness
• Environment & Natural Resources	• Jobs	• Transportation & ICT
• Fragility, Conflict & Violence	• Knowledge & Learning	• Urban, Rural & Social Dev
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- theanykdi and jayy joined Knowledge Hubs
- 883743 joined Collab4Dev Community Managers Roundtable
- 914706 joined Public Procurement Knowledge Exchange Platform
- 1274060 joined Africa Knowledge Hub - #AKHNetwork

**MY GROUPS**

**GUIDELINES FOR GENERAL USE - PLATFORM**

C4D is a community of communities where development practitioners collaborate around projects, share and discuss knowledge, crowd source ideas and work together to end extreme poverty and increase shared prosperity.

C4D is a professional, multi-cultural environment with common goals. While using this platform it is advised to adhere to the following and please behave accordingly:

- Be respectful of others and their opinions
- Feel free to ask questions and be ready to answer questions as well
- Please avoid posting content that promotes or sells products

The WBG is developing a body of knowledge and practice that recognizes the importance of local conditions and tacit knowledge to support “adaptive” practitioners. It aims to encourage institutions and partners worldwide to capture and share tacit and implicit knowledge, and evidence from research and evaluation and facilitate this knowledge from and to front-line implementers.

A key learning for the Adaptation Fund is a clear approach to the role the Fund will play in knowledge related activities as well as the types of knowledge related products. At the WBG, the role the WBG plays as that of a knowledge institution includes three functions: *producing and disseminating* high-quality global and country knowledge; working with clients *to customize* policies and programs to meet specific challenges, and *connecting* government, civil society and private sector. In reviewing the lessons learned by the WBG, they realize that they should focus on “how to” options rather than diagnostics and “what to do” recommendations, stay engaged in adaptive during implementation using e.g., programmatic approaches, keep in focus countries’ mid-term development agenda and focus on multi-sectoral development solutions.

## II. Government of Alberta, Canada

The Alberta Government Knowledge Management Framework is robust and provides a holistic approach to Information Management and Collaboration. Some of the reasons that it is very good example for consideration is the comprehensive picture of the vision, aims and objectives for knowledge management in the Public Health area.

The Government of Alberta’s KM Framework emphasizes an “all-of-government” approach to addressing public health issues making it relevant to a variety of government departments. The Alberta KM Framework contains strategies that echo the four key elements found as identified in

the literature: Culture, Content, Process and Technology. Moreover, some of the outcomes of the Alberta KM Framework overlap with the strategic objectives of the Government.

**Figure 2: Alberta Government Knowledge Management Framework**

Knowledge management is a systematic approach to ensuring ready and available access to knowledge and collective expertise in order to carry out the business of the Government of Alberta through capturing sharing, using, and leveraging what people know.				
<b>DESIRED OUTCOME</b>	READY AND AVAILABLE ACCESS TO KNOWLEDGE AND COLLECTIVE EXPERTISE IN ORDER TO CARRY OUT THE BUSINESS OF THE GOVERNMENT OF ALBERTA.			
<b>PRINCIPALS</b>	Integration into Day-to-Day operations	Learning Environment	Intentional Sharing	Access Corporate Memory
	Knowledge management becomes part of the way we do business	Learning and development is supported and encouraged for all roles in the organization.	Knowledge transfer is a priority, occurs openly and becomes part of the expected set of behaviours	Knowledge is documented and shared in order to access corporate memory.
<b>ENABLING FACTORS</b> (What do you need to make this happen?)	<ul style="list-style-type: none"> <li>• Linked to long-term objectives</li> <li>• Is part of business and operational strategies</li> <li>• Accountability in all roles</li> </ul>	<ul style="list-style-type: none"> <li>• Create a partnership culture encouraging learning and collaboration</li> <li>• Value openness, questioning and exploring</li> <li>• Learning/ teaching organization</li> </ul>	<ul style="list-style-type: none"> <li>• Modeling the way</li> <li>• Integrate into culture</li> <li>• Integrated into business processes</li> <li>• Link knowledge sharing and learning into performance</li> </ul>	<ul style="list-style-type: none"> <li>• Document lessons learned</li> <li>• Benchmark best practices/ processes</li> <li>• Communities of practice</li> <li>• Leverage databases, information and technology</li> </ul>
<b>STRATEGIES (Focus Areas)</b>	<b>PEOPLE</b>			
	<b>INFORMATION</b>			
	<b>PROCESS</b>			
	<b>TECHNOLOGY</b>			
<b>SUPPORTING LINKAGES</b>	<ul style="list-style-type: none"> <li>• Ministry and Government business plans</li> <li>• Ministry human resource plans</li> <li>• Succession management initiatives</li> <li>• Ministry business planning processes</li> </ul>	<ul style="list-style-type: none"> <li>• Alberta service learning information</li> <li>• Ministry guidelines and practices</li> <li>• APS Human Resources Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Coaching and mentoring program</li> <li>• Information Management Framework</li> <li>• Performance management process</li> <li>• Leadership development activities</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate and Ministry KM initiatives</li> <li>• Information Management Framework</li> <li>• Information technology</li> </ul>

Government of Alberta, April 2004

## Relevant Learning for the Adaptation Fund

Establishing a strategic framework that looks at the secretariat, as well as Implementing partners is key. Syed-Ikhsan & Rowland (2004) emphasize the importance of partnerships: “the answer to KM in the public sector lies not in a standardized approach to the management of technology, but in a partnership between managers, professionals and service users that is built on a sharing of knowledge and its use and creation” (as cited in Haynes, 2005, p.134).

### **III. Swiss Development Cooperation**

Networks and Collaboration are a key area of knowledge management and are often overlooked by KM professionals as they tend to focus on Information Management. While Information management is relevant it is merely the beginning of a Knowledge Management Strategy. Estimates show that 90% of knowledge is tacit knowledge and organizations. The Swiss Development Cooperation has a robust knowledge management program and provides a very good example of strong network and collaboration programs. Learning and networking are at the core of knowledge work in the Swiss Agency for Development and Cooperation (SDC):

The main goals are to:

- Ensure access to knowledge and information and the ability to use it to the benefit of countries and people in the South and East, and
- Promote knowledge sharing among collaborators and partners to enhance effective and innovative programs and policies.

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**"The cheapest way to learn  
is to learn from the  
experiences of others."**

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#### **Approach to Networks**

In examining roles and responsibilities at SDC we learn that there is an institutional mandate of the SDC thematic networks is to **exchange knowledge and experience** in various thematic areas and upgrade the thematic **competence** of its members. The SDC has a Focal Point who has a leading role. Since these are open ended networks, the local points can design the role themselves based on the network strategy.

Details on the network and some examples of posts and knowledge sharing are available at: <https://www.sdc-learningandnetworking-blog.admin.ch/category/sdc-networks/>.

The various roles used by the SDC in collaboration and networks are listed in the visual representation.



### Strategy at the SDC

In 2008 SDC adopted a new organizational structure where SDC collaborators working in sectorial (technical) operations or policy dialogue on focus themes are linked through thematic learning networks. The responsibilities for the technical quality of operations and policy dialogue are rooted in the operational/geographic line. The responsibilities for sectorial (technical) policy work and for the learning networks on focus themes have been decentralized. Most regional operational divisions are responsible for one of SDC's focus themes.

### Relevant Learning for the Adaptation Fund

The SDC provides various how to guides and a knowledge management toolkit to provide guidance on how to use key KM processes. This is applicable to the Adaptation Fund to enable implementing partners as well as various countries key tools so to enable knowledge capture at every level. This is a scalable solution that will help all relevant stakeholders begin some key knowledge management initiatives.

The SDC has several lessons learned related to communities of practices and they should be included in the Adaptation Fund's Knowledge Community. The SDC has a strong focus on sharing

knowledge and expertise. Their prior work with smaller countries and insights will be a valuable asset for the KM focal point at the Adaptation Fund.

#### **IV. Kenya Ministry of Health**

In 2010, the Kenya Division of Reproductive Health (DRH) undertook updating the public facing portal that had not been updated since 2006. Updating the portal was a cumbersome process with multiple sources of information and various stakeholders. Additionally, several DRH staff and other health professionals were unaware of the website. As a result, the Kenyan health professionals lacked centralized access to high-quality, up-to-date policies and guidelines in reproductive health, and the general public lacked information about DRH programs and services.

##### **Approach**

- The technical staff identified four objectives for the redesigned DRH portal:
- To promote the DRH's programmatic and technical strengths
- To promote information sharing among partners on best practices in reproductive health and family planning
- To provide health professionals, the public, and the media with easy-to find information about the DRH its services
- To enhance internal and external DRH communication.

Using GoToMeeting, a virtual meeting tool, the K4Health staff trained two DRH staff and three FHI 360-Kenya staff on how to use the toolkit content management software to revise page text and remove or upload documents as needed to keep the toolkit current. Several national guidelines and strategy documents were launched at the same time, including the first national guidelines on reproductive tract cancers and a cervical cancer strategic plan. DRH staff distributed bookmarks to improve awareness about the revamped website.

##### **What worked well**

“Good leadership and having a participatory process are critical ingredients for developing an online Toolkit,” he notes, “because these ensure quality and broad based information that fulfill the needs of the users.”

Other elements of the project that facilitated success include:

- Effective technical support from staff
- Commitment of the leadership team to revamp content and partnership with key focal points and technical staff
- Open communication and trust among all partners

##### **Challenges and obstacles**

- Due to competing responsibilities and priorities, staffs were delayed by several months in reviewing the website content.
- Staff turnover at FHI 360 in the middle of the project also caused delays.
- The original six-month time frame allotted to the project had to be extended to 12 months.

- Using GoToMeeting to conduct training was an economical choice, but some face-to-face training would have been helpful.
- Staff turnover at DRH has been an ongoing issue. Staff who had received training on how to use the website content management system has now left their positions. New DRH staff will need to be trained so the DRH can continue to update and maintain the site.

### **Key Learning for the Adaptation Fund**

The Adaptation Fund needs an Omni channel strategy for KM initiatives and visibility. The website and CKD network are two opportunities. The Kenyan team's journey can be valuable to ensure focus on end users and approach with any activities related to the website. Some of the key learnings related to website and KM portal rework include:

1. Collaborate at all levels developing a good knowledge portal/internal or external requires good leadership and commitment, and the process should be participatory.
2. Take time to develop page text and select the best resources. Allocate sufficient time in the project schedule for developing content for web pages and for selecting and reviewing new resources.
3. Plan for maintenance. Ensure that work plans and job descriptions are revised to include maintenance of the portal, in addition to creating or redesigning the portal.

### **V. *NHS Scotland***

NHS Health Scotland is a national Health Board working with the public and private sectors working to reduce health inequalities and improve health. The NHS Scotland already has a strong national knowledge infrastructure in the form of the Knowledge Network from NHS Education for Scotland, the guidelines and evidence summaries from Healthcare Improvement Scotland, and the library services workforce.

A key aim of the Knowledge into Action Strategy is to strengthen the role of NHSS librarians in providing expert evidence search and summary services to support frontline practice, service improvement and transformation. In addition to building this support within individual Boards, the strategy aims to establish a national role for the NHSS librarian network in providing evidence summaries to supporting health and social care development priorities across Scotland.



## Approach



### How we are implementing Knowledge into Action

1. Finding and combining knowledge from research and experience, know what, know where and know who.
2. Packaging knowledge in easy-to-use formats in day-to-day practice – e.g. decision aids, pathways, mobile apps.
3. Sharing and spreading knowledge through people networks – e.g. communities of practice and social networking.
4. Developing capability, training health and social care staff to find, share and use knowledge for themselves.
5. Using technology – a national plan to improve access and enable the workforce to use technology to transform care.
6. Becoming knowledge brokers; librarians and other knowledge brokers working together as a network to implement Knowledge into Action.

## Key Learning for the Adaptation Fund

The NHS Scotland developed clear and concise messaging to ensure both direct and indirect stakeholders understood the focus, strategy and key priorities for the program. The one pager below promotes the what, why and how for the Knowledge into Action initiative.

This was circulated and forwarded and allowed for better adoption and reporting related to these key initiatives. It was particularly beneficial developing more local KM Champions and needed awareness.

Please forward  
to your  
networks



## Knowledge into Action

for Scotland's Health and Social Care

### What is Knowledge into Action?

Knowledge into Action (K2A) is the strategy to help Scotland's health and social services to apply knowledge into frontline practice and service improvement.

### What are we planning to achieve?

The vision is of a network of knowledge brokers, working closely with practitioners, planners and policy makers, to provide a portfolio of services which help to translate knowledge into frontline practice and service improvement.

### How will we achieve this vision?

NES, HIS, and Social Services partners are delivering a national knowledge implementation plan for health and social services for 2013-16 which will be approved by the Knowledge Advisory Board. This plan includes five workstrands to develop knowledge into action support, and four national projects to apply knowledge support to deliver impact in priority areas.

### What are the K2A work strands?

These workstrands are developing the resources, tools and skills that will help practitioners to apply knowledge in practice.

- (1) **The knowledge broker network:** We are developing capabilities across the network of people who collaborate with frontline staff to help them to apply knowledge in practice – e.g. librarians, learning and development staff, researchers.
- (2) **Creating connections:** We are developing collaborative processes to coordinate knowledge support within and across organisations to local and national projects that apply knowledge to health and social services priorities.
- (3) **Capacity and capability:** We are developing organisational and workforce skills and behaviours in finding, sharing and using knowledge to support service improvement.
- (4) **Actionable knowledge:** We are developing tools and processes for packaging and sharing knowledge in formats that makes it easy for practitioners to apply in practice.
- (5) **Technology Enabled Learning:** This national strand aims to enable the workforce to use technology to transform care, supported by an integrated platform to deliver knowledge and learning to frontline staff in the workplace.

### What are the 4 national priorities for Knowledge into Action?

1. Early Years
2. Person Centred Care
3. Adverse Events
4. People with Multiple Conditions  
(click picture for more information)



### What's the 'portfolio of services'?

A range of tools and processes to help sharing and use of knowledge – e.g. communities of practice, clinical pathways, care bundles, expert evidence search, mobile apps, evidence summaries.

### Read the full strategic papers:

- [Getting knowledge into action to improve healthcare quality: report of a strategic review and recommendations](#)
- [A strategy and action plan for embedding knowledge into practice in Scotland's Social Services 2012-2015](#)

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## **Annex 8: Trends in Knowledge Management**

When devising a KM Strategy there are some major advances to consider and account for in the approach. Some of the most applicable ones for the Adaptation Fund to consider are highlighted below:

### **Big Data**

Big Data refers to big data analytics related to the large amounts of data particularly in governments and the public sector. The process of seeking insights, by combining these data points and analyzing them. There is a very good example of the possibilities and potential of leveraging transaction data to forecast change is provided by an MIT study<sup>90</sup> and is titled 'The Future of Prediction: How Google Searches Foreshadow Housing Prices and Sales'.

Big Data is important to the Adaptation Fund given the number of project reports that are produced. It is important to use metadata to improve findability and to understand which knowledge products are currently being used, searched for and where there are gaps. This is important as information must be useful and ideally reusable. By assessing these trends on a regular basis it will allow the Adaptation Fund to refine knowledge products, understand areas where there is additional demand and allocate knowledge resources more effectively.

### **Social Media**

Social Media has become one of the main ways people communicate via tools such as Facebook, Twitter, and LinkedIn. This is now a powerful way for governments to engage a whole community of people. Social Media usage can be a very powerful tool for governments and does require a strategy. The UK Cabinet Office is a good example. In the summer of 2012, the Cabinet Office and the DCLG published 100 a useful list of sources of information on how best to use social media. The advice published by the Government Digital Service<sup>101</sup> is a useful starting point. This was produced as part of the UK Government ICT strategy.

The Adaptation Fund uses social media tools such as Facebook and Twitter and these tools this should be continued. People consume knowledge in various ways and usage of such tools should be optimized. Social media should focus on engagement and adoption and continue to help with brand awareness and key messaging.

### **BYOD: Bring your own device**

There has been an explosion in the use of smart devices particularly with smartphones and tablets. Staff is now able to do a significant amount of work while traveling or working remotely via these devices. BYOD policies allow for employees to use these devices with the appropriate permissions. BYOD is considered one of the leaders in new trends and has to be considered as part of a KM Strategy as it relates to capturing tacit knowledge, accessing explicit knowledge as well as social collaboration.

The Adaptation Fund must ensure that new knowledge tools or current tools should cater to these needs to ensure that information is available at the right time in the right format.

## Gamification

Gamification is a powerful enabler in knowledge management. Essentially, gamification takes the essence of games: fun, play and passion and applies them to real world, non-game situations. In business, this can mean designing solutions that uses these principles to improve the efficiency of tasks such as back office tasks to make them more engagement. Utilizing them in career development, training activities also engage individuals towards a community concept. Some of the main tools in social collaboration overlay such concepts in their tools through likes, comments, badges, leaderboards etc. Companies such as Bunch Ball are doing extensive key work in this field.

The Adaptation Fund should consider this as they look at any social collaboration tool as well as the website and social media tools. The ability to comment, share, rate and like information are valuable motivators for peer recognition.

### ***Polarities in developing a knowledge management program***

The exploration of challenges and trends in Knowledge Management has revealed a series of polarities on various levels that cannot be solved and that drive the development of Knowledge Management in organizations. Some of those are adapted from a publication by Spencer, Roduner and Deppeler in Agridea.

Integrate of KM into the strategy and key processes – & – Act flexibility and independent as change agent

Work bottom-up and 'build on champions' – & – ensure and make use of top down 'management support'

Ensure accountability – & – Dare to try out

Make meaningful recording of what is known – & – Create genuine exchange and learning processes

Serve the need for simplicity and clarity – & – Foster openness for complex issues and the unknown

Access to lots of information (open access) – & – Access to specific information (filtering)