A Guide to Developing a Knowledge Management Strategy for a Food Security and Nutrition Program

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The Technical and Operational Performance Support (TOPS) Program is the USAID/Food for Peace-funded learning mechanism that generates, captures, disseminates, and applies the highest quality information, knowledge, and promising practices in development food assistance programming, to ensure that more communities and households benefit from the U.S. Government's investment in fighting global hunger. Through technical capacity building, a small grants program to fund research, documentation and innovation, and an in-person and online community of practice (the Food Security and Nutrition [FSN] Network), The TOPS Program empowers food security implementers and the donor community to make a lasting impact for millions of the world's most vulnerable people.

Led by Save the Children, The TOPS Program is a consortium program drawing on the expertise of its partners: CORE Group (knowledge management), Food for the Hungry (social and behavioral change), Mercy Corps (agriculture and natural resource management), and TANGO International (monitoring and evaluation). Save the Children brings its experience and expertise in commodity management, gender, and nutrition and food technology, as well as the management of this 7-year (2010–2017) US$30 million award.

Disclaimer:

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Acknowledgments

A Guide to Developing a Knowledge Management Strategy for a Food Security and Nutrition Program is based upon the materials and exercises developed for the TOPS/FSN Network "Developing a Knowledge Management Strategy Workshop," which was held in March 2016 in Washington, DC. The idea for the workshop came from the members of the TOPS/FSN Network Knowledge Management (KM) Task Force and as such their thoughts and suggestions helped shaped the workshop curriculum. KM Task Force members who attended the workshop helped us to make additional refinements based on their experiences in the workshop. These refinements serve as the basis for this guide. We would like to especially thank the following KM Task Force members[1] for their contributions:

Jessica Chen, Project Concern International (PCI)
Emily Janoch, CARE
Cheryl Fries, International Medical Corps
Nestor Mogollon, ADRA International
Vidhya Sriram, CARE
Ashleigh Mullinax, The KDAD Project/The QED Group LLC
Aaron Buchsbaum, The World Bank

The guide was authored by independent consultant Pete Cranston in collaboration with two members of The TOPS Program, Shelia L. Jackson (CORE Group) and Yemisi Songo-Williams (CORE Group). It is the hope of all three that this guide will become a tool used by anyone in the development field who is tasked with writing a KM strategy for a project or program. The ultimate goal of the guide is to improve food security and nutrition programming. We believe KM has a vital role to play in making the world a more food secure place. *A Guide to Developing a Knowledge Management Strategy for a Food Security and Nutrition Program* is a tool to help make this happen.

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1 Names and organizations of KM Task Force members as listed as they were in March 2016.

1   Introduction to the Guide

1.1 Purpose

The purpose of this guide is to assist teams to develop a Knowledge Management (KM) strategy that focuses on improving performance and the quality of implementation within food security and nutrition programs. The guide aims to provide practical guidance to staff at different levels within development organizations; therefore there is no discussion of the many different perspectives on KM, or its history. An indicative bibliography provides material for those interested in exploring further KM theories.

1.2 Audience

1.2.1 Program Teams

Program teams are the primary targets of this guide since effective KM at this level can contribute directly to improving program performance. The guide aims to provide a framework that can enable teams to develop a knowledge management strategy to:

- Define a vision for KM in the program – how can it support KM objectives?
- Identify audience(s) and key stakeholders
- Confirm the definition of KM to be used in the program (usually a combination based on organizational, donor and national understandings and definitions)
- Audit the current KM situation – based on a review of processes, people, and technologies
- Develop KM objectives and identify how they will be reviewed and measured (monitoring and evaluating KM within the program)
- Develop a First Phase implementation plan

The guide also addresses two other areas necessary for the development of a KM strategy:
1. Ways to identify the personal KM skills and competencies needed within the program team to support the strategy
2. The wider organizational context: ways to define and advocate for the support required from the organization, including approaches to developing a 'KM value proposition'

1.3 Three types of programs are addressed in this guide

There is an almost infinite variety in the types of development programs[2] for which KM strategies might be required. For practical purposes in this guide we consider three groups of programs:

1. Large, multi-year grant-aided programs with a primary grant-holder that sub-contracts elements of the program to other organizations:

Examples include many USAID Food for Peace (FFP) programs, as well as specific interventions in humanitarian relief. Attributes of such programs include:
- There is often one major donor

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2 We differentiate program from project in this guide, seeing a project as a group of related activities planned to take place during a defined time period in order to achieve defined objectives. A program then refers to a collection of inter-related projects working toward a defined set of goals.

- Grant-holders are typically international non-governmental organizations (INGOs)
- Organization and management is held at headquarters
- The complexity of the program requires a Governance Structure, a pattern that is repeated in program streams, including KM
- A KM budget is quite likely to have been pre-allocated in the grant, which may include for specialist KM staffing
- KM thinking and preparation may have happened during the grant application process, so KM strategy in this case often focuses on implementation of agreed overall strategies, which nonetheless requires further definition and detailed planning post-award

2. Programs that focus on one country or region:

- Sometimes significant resources are allocated to one or two national programs, for example Shouhardo2[3]
- Developing KM strategies in these cases requires engagement with organizational and/or higher level program KM strategies into management structures
- Governance is subsumed into program management, which in turn operates within the organizational or program hierarchy

3. Organizationally based large programs:

Many large INGOs construct large programs, with funding from a number of sources, and the organization frames a coherent program according to its own organizational strategies.

- Depending on the KM context, there may be a budget pre-allocated to KM, although it may be included as one item in a collection of 'softer' program components, such as Communication, Information Management, and Monitoring and Evaluation
- Developing a program KM strategy requires engagement with organizational KM strategies
- Governance of the program and its activity streams, including KM, is normally subsumed into organizational structures and programs
- Depending on the size of the program, it may include resources for a specialist KM staff. It is also common for resources to be allocated to multi-function staff, such as Communication and KM, or MEL

1.4 How to use this guide

This guide is designed to be used in two ways:

1. As an introduction to the process of developing a KM strategy at program level, which can be read from beginning to the end. With that aim in mind, the guide:

    a. Introduces some of the core elements within generally accepted definitions of KM (Section 2)

    b. Outlines the reasons for developing a program KM strategy and its main components (Section 3)

    c. Steps through a process for developing a program KM strategy, starting with defining a vision; moving into auditing current KM activities (or being able to introduce KM to a program team with a basic set of recommended KM processes); and defining KM objectives (Section 4)

    d. Provides suggestions on how to communicate the strategy (Section 5)

    e. Outlines key issues for planning and implementation (Section 6)

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[3] http://www.carebangladesh.org/shouhardoII/ (Note that the Shouhardo2 KM strategy is an excellent model of an inclusive process and close integration with program aims and activities).

2. As a resource for teams with experience of developing program KM strategies, assuming that teams need to be able to dip into specific sections according to their situations. In this case, it is recommended to first review section 2, which outlines the approach, before moving to other sections of the guide.

2   What do we mean when we talk about KM?

2.1 Examples of good and bad practice that illustrate six core KM processes

There are many different ways to define what we mean when we use the term KM. Consider these examples of good and bad practice and think about the kinds of program activity to which they relate:

Example 1:   Over a period of three years, reviews found that only 55% of water installations in an East African country were found to be functional. "The fact that only 55% of the water-points are fully functional suggests that current designs and management approaches are not effective in sustaining service delivery. However, there is little evidence that this has changed... ways of working", said evaluators.

Example 2:   A project targeting sheep, wells, and animal fodder to 600 of the poorest women in 10 communities in northern Niger aimed to enable communities to become more resilient against future drought and more sustainably food secure. While the evaluation found in general that the project 'succeeded,' the two main goals had not been shared by many of the participants. Some women sold the sheep to buy food, pay their children's school fees, their daughters' dowries, or buy themselves beds or pots and pans. Some had their sheep sold by their husbands who used them to buy other animals or pay for ceremonies or other expenses. "Spending assets on immediate needs is not at all illogical for a community who can feed itself only 4 months a year; for some households, their pressing needs far outweighed the luxury to wait and buffer seasonal food insecurity way down the line."[4]

Example 3:   Africa Rising, one of the five winners in the 2015 USAID CLA competition, enhances learning and collaboration through different communication channels and approaches: collaborative workspace (wiki), a Yammer social network to share insights and updates, project documentation (stories, photo reports, digital stories, and images), annual learning events, open access knowledge repository, "instant" meeting reporting, and a project website.

Example 4:   In a large, well respected INGO, the lesson was learned in a West African country that a particular approach didn't work, it upset people and their lives and was a waste of money. The same approach was tried in another country program in the late 1980s. Unsurprisingly, the same lesson was learned. And then the same approach was tried in a third country in around 2002 and abandoned in 2004 as it didn't work.

Example 5:   Program Manager: "...if we have the budget to pay someone for documentation we can manage. If not, we are so busy – chasing targets, visiting projects and partners, doing reports, reports, reports. There is a database of lessons learned somewhere but our connectivity is weak and we use email for sharing."

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4 http://valuingvoices.com/unintended-impacts-lwr-and-gates-drought-resilience-in-niger

Example 6:   Innovation platforms that bring different people and institutions together to identify challenges and solutions are a central tool in a number of CGIAR research programs, including Africa Rising. These learning platforms bring different stakeholders together to assess the collective challenges they face, envision a future, learn from one another, and collaborate on common problems or opportunities. They help participants deal with complex development approaches that require the collaboration and participation of different actors.

2.2 Six pillars of program KM

From the many definitions of KM and the examples in Section 2.1 we suggest that six activities are central to effective KM and are thus a priority for KM strategies. If a program is able to address effectively these six areas of activity then it will be making huge strides in integrating and systematizing effective KM.

1. **Critical reflection and learning** about what works and what doesn't work in a particular context; identifying successful new ways of doing things and bringing together external and internal sources of knowledge. In Example 1 in Section 2.1, the major gap was a failure to critically reflect on project process. For example, the team might have asked questions like:

   - Is 55% sustainability for installations good enough?
   - What is happening to the other 45%?
   - What could be changed in the project to improve longer-term use?

2. **Capturing learning**, using a variety of appropriate tools to record and synthesize the output from reflection and learning processes. In Example 4 in Section 2.1, the INGO where ineffective practice was repeated in different countries faced a very common problem - even when there was a process in place recommending review of previous experience before starting projects, there was no accessible record of what had and hadn't worked across the years. In Section 5, we suggest three key questions for teams to address similar situations.

3. **Communication** with identified stakeholders and audiences using a wide range of different communication channels and approaches. Africa Rising from Example 3 in Section 2.1 works in Ethiopia and successfully communicates through channels and using different media that can reach all project stakeholders.

4. **Collaboration and Knowledge Sharing**, as exemplified in Example 6 on the CGIAR innovation platforms described in Section 2.1, is finding ways to bring people together, both face-to-face and online, to address complex challenges, co-create solutions, and share experience.

5. **Information management** to ensure that outputs, communication products, and other records of learning are stored and made available to program teams and partners, using digital technology that suits the different needs and capacities of all actors. The quote from the over-pressured Program Manager in Example 5, Section 2.1, illustrates the need to devise and implement simple systems and processes for capturing, storing, and sharing learning and information that are accessible across the program and match the ways teams use digital technologies.

6. **Application, adaptation, and accountability**. Example 2 in Section 2.1 from Niger illustrates the complexity of working in food security and the reality that there is rarely one approach that fits all contexts. Successful programs learn, apply learning from within or outside the program, and adapt practice. However, too rarely are those changes recorded in ways that facilitate review and accountability mechanisms, as well as making them accessible to others outside the program for their own learning.

2.3 KM is about how we work as much as what we do – and it's fun!

While people often struggle to define KM, or explain how they integrate KM into their work, effective program teams embody good KM in their everyday operations. They do this in how they collaborate together; how they reflect on and review progress; how they adapt ways of working and approaches as a result of their learning; how they record changes or lessons; and how they communicate with the range of program stakeholders. Such participative and collaborative approaches are also an energizing influence – KM is fun when it moves on from simply documenting and filling up repositories of good practice or 'lessons learned.'

For example, at a participative IFAD East Africa region Knowledge Sharing and KM review workshop in Kigali, organized by the PICO team[5], participants listed KM activities ongoing in their program and others that they planned. Do you recognize your own program activities in this list?

• Create and provide tools (various multimedia products e.g., videos, TV programs)	• Document organization – Recruitment of a consultation to digitalize all documents
• Use storytelling by beneficiaries through tape recording, interviews, focus group discussion	• Formation of peer groups
• Ensure constant reflection – Implementers pause to share project progress regularly through meetings	• Establishment of electronic libraries
	• Posting of project documents online on ministry websites
• Exchange Learning – Community and Officers exchange tours to other projects	• Included section of lessons learned in the reports
• Establish Resource Center/village libraries where information is shared among farmers	• Production of documentaries
	• Organized field tours/meetings for media and legislators
• Use Participatory videos at farmers level – Farmers trained on camera use and left to shoot footage in their natural setting	• Reviewed and modified communication strategies to include KM
• Use Participatory Monitoring and Evaluation methods	• Radio interactive talk shows
• Establish various forums (i) monthly, quarterly, annual meetings, (ii) team buildings	• Monthly newsletter shared internally and externally with other projects
	• Exchange visits by teams from other projects (unplanned)
• Research, document, and share good practices, success stories, and lessons learned	• Regular meetings with district support staff
• Analyze lessons and good practices and package them into "briefs" suitable for dissemination to policy and decision makers	• Re-designing of the ministry website
	• Letting the stars shine by allowing the staff to present innovations at national fora (incentives and sharing)
• Provide farmers with a forum in which to share experiences and learn from each other. Explore the use of learning methodologies such as farmer field schools for face-to-face exchange	• Learning from experience – Start-ups learning from existing projects through meeting and consultation
	• Listening groups – Issue discussion/analysis and resolution
• Translate manuals into (4) local languages	• Identify and list community best practices
	• Strengthen the collection of pastoral knowledge documents for the establishment of a pastoral resource center

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5 http://www.fidafrique.net/IMG/pdf/Kigali_Report-2.pdf

Other kinds of KM activities include:

- Developing and maintaining communities of practice, usually involving online tools – from simple email lists to conferencing platforms such as Adobe Connect
- Participative Knowledge Sharing workshops, share fairs, and similar events
- There are many, many more: it might be useful to compile a list of your own, to serve as a reference

This enormous range of activity types is the food and drink of KM, and makes up the detailed content in implementation plans. They should remain in the back of your mind when you are developing a KM strategy, which can sometimes feel like a dry, formal activity a long way from the energy of KM programs.

2.4 KM specialists and their roles

2.4.1 Facilitator

Learning on your own is hard. Ideas, questions, reflections, a feeling of uneasiness at noticing a mismatch between current thinking and what's being observed – they all benefit from being shared and talked about with other people. And any kind of social learning benefits from someone or some group taking on a guiding or facilitation role. The challenge for people working in programs or organizations is that, outside formal educational settings, the facilitator role often falls to, or is assumed by, management. Many managers have excellent facilitation skills, but conflation of the two roles often constrains free conversation and learning. A manager's primary accountability usually relates to program outputs, human resource issues, budgets, and organizational or program planning. In meetings led by managers, those issues tend to be prioritized.

Where there are KM specialists, the facilitative role often falls to them. For example, participants at a KM workshop recounted how the process to generate responses to USAID's standardized learning agenda questions was seen automatically as something for them to take on. And KM people are often well placed to play that role. After all, their focus is on learning processes, reflection and knowledge sharing, capturing learning, and managing information. These are also some of the central concerns for anyone playing a facilitator role. For KM staff this has obvious benefits. Being involved with the whole program in a facilitator role brings them in touch with everyday operations where learning and adaptation happen. It's also a perfect opportunity to illustrate effective KM approaches.

However, there are two issues to note. First, preparing for and taking on a facilitator role, especially if it includes capturing or documenting processes, takes time – more time than is generally acknowledged. Resource plans therefore need to include time for facilitation. Second, to become an effective facilitator requires practice and, ideally, some learning, something that has implications for recruitment and training of KM staff.

2.4.2 Broker

KM specialists are among the people within program teams who sit between, and bridge, different groups of content specialists. They can therefore play a key linking role, brokering collaborations between groups and interests through a focus on learning and knowledge sharing. As Wikipedia has it, "while the exact role and function of knowledge brokers are conceptualized and operationalized differently in various sectors and settings, a key feature appears to be the facilitation of knowledge exchange or sharing between and among various stakeholders, including researchers, practitioners, and policy makers[6]." Knowledge brokering is an important function in international development, with resources such as the Knowledge Brokers Forum[7] providing "a collaborative space to promote knowledge sharing

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6 https://en.wikipedia.org/wiki/Knowledge_broker
7 http://www.knowledgebrokersforum.org/

and dissemination on knowledge brokering (KB) and the role of intermediaries in international development," aiming to "foster a global community of peers interested in KB from a diversity of sectors and practices." The Forum focuses particularly on what they see as "the key role of Knowledge Brokers in the promotion and uptake of evidence-based decision-making. They generate, interpret, organize and communicate research-based information from diverse perspectives using a range of approaches – both virtual and face-to-face. They also foster links, interaction, understanding and collaboration between knowledge producers, knowledge users and other stakeholders."

The Knowledge Brokering role overlaps considerably with the facilitation role described above, with the same positive spin-off in terms of bringing KM practice into the center of programs, and with the same cautionary note about the need to ensure that the role is recognized and resourced.

2.4.3 KM Model

This guide argues that effective KM is as much about how people operate as it is about what activities take place within the program. Bringing KM into the center of programs is therefore about working for changes in personal and team behavior. That places an enormous responsibility on KM specialists, and also presents a major opportunity. KM staff, or those who support KM, need to be seen to walk the talk.

> *"Effective KM is as much about how people operate as it is about what activities take place within the program."*

Embodying or modeling effective KM, especially by those in leadership roles, normalizes the kind of behavior changes that are necessary. For example, leaders who intentionally and consistently challenge teams to pause and reflect, or who are comfortable in sharing and demonstrably learning from mistakes, have a profound impact on the culture of organizations or teams. Similarly, KM specialists who, for example, work collaboratively, constantly share resources and make connections, who communicate clearly, concisely, regularly, using a mix of media, and who enable others to store and retrieve key program documentation, demonstrate the value of the practices and create an atmosphere that validates the place of KM within teams.

3   Strategies

3.1 KM strategy 101 (principles)

People and organizations perceive strategies in different ways. At its most basic level, a strategy is developed with and for defined groups of people who are working toward a common goal, usually within some kind of organizational context. A strategy sets a direction and defines how human, financial, and other resources will be deployed to achieve the goal. Strategies are an attempt to achieve the difficult balance between, on the one hand, the necessity to plan for the future, based on an analysis of the present situation and informed guesses about the near future and, on the other hand, recognizing that strategies evolve in response to a constantly changing context.

In international development, this challenge is more acute. The target of the process is change, working in situations and often with people where even the near future is practically impossible to predict. While some forms of international development aid seem straightforward to describe, such as the provision of emergency food-aid, even in that context, and certainly in more complex development programs, analyses of current situations represent a view, a picture drawn up by individuals who bring their own values and conceptual frameworks to the task. So strategy development and planning is more of an art than a science.

The complexity and uncertainty of the international development process is one of the reasons why organizations and donors are increasingly acknowledging the need to plan for and engage with a constantly changing situation. USAID, for example, has long put adaptation, the way that programs and people need to constantly adjust activities and strategies in the light of external changes and internal learning, as a central part of its program cycle. It is also one of the pillars of USAID's KM strategy, along with Collaboration and Learning. Program strategies, therefore, need to build in constant review processes and anticipate changes at all levels.

Strategies are developed in hierarchies. In international development organizations, these may include:

- An overall strategy for the organization, drawn up on the basis of a mission and set of values
- A series of business unit strategies
- A group of program strategies, that relate to either or both the overall and business unit strategies
- Thematic strategies for areas of work within the organization, which relate to program, business unit, and overall strategies
- Project strategies

This guide is about developing a Knowledge Management strategy for an International Development program. And as stated, the focus is on strategies to increase both program quality and effectiveness. The different levels of a strategy hierarchy have different relationships to both these measures, depending on the extent to which they engage with the operational realities of the on-the-ground program. Strategies at higher levels 'set' the operating culture and organizational framework within which program work takes place. They are enablers, influencers, and evaluators of quality and effectiveness, rather than being directly responsible for achieving program goals. Strategies at lower levels operate within a given organizational context, and are concerned more with the practicalities of implementing programs. So in the development of a program strategy it is important to be clear what level the strategy is targeting.

The approach suggested in this guide rests on some basic assumptions about the process of developing KM strategies at program level:

- Strategy development is a continuous process. An initial strategy sets the direction for a program. As the program and the KM component develop they are constantly reviewed and evaluated, both formally and informally. Activities and plans are then adapted according to progress.
- KM serves the program, and KM strategies must be built around and into Program Objectives.
- As programs adapt and objectives are refined, so are strategies, both for the program and the KM component.
- Only KM specialists are interested in KM per se (as a subject). Program and program staff want to exchange and learn about their specialisms, about the content of the program, not about KM issues.
- KM cannot be introduced from the outside. A KM strategy must be developed collectively with those involved in the program.

3.2 Why develop a program KM strategy?

Here are some of the reasons we suggest it is useful to develop a program KM strategy:

- Increase awareness and understanding of knowledge management in the program and the organizations working in the program
- Identify potential benefits of KM within a program
- Gain senior management commitment and buy-in from colleagues and team members
- Attract resources for implementation: depending on the situation, this might require a more formal Business Case to be developed, specifying costs and benefits, expressed in financial terms
- Communicate a vision for KM and good knowledge management practice, framing objectives and plans

- Give you and the team a clear, communicable plan about:
    - Where you want to go (vision, aims, and objectives);
    - Where you are now (needs assessment and gap analysis);
    - How to plan to get there (implementation plan, governance, and management)
- Give you and the program team a basis against which to measure your progress (M&E)
- Improve development programming and impact
- Improve sustainability of KM activities
- Improve cross-sector and cross-organization communication
- Improve program (and KM) profile

What other reasons can you think of, specifically in your situation?

3.3 Components of a KM strategy

In these guidelines we are suggesting an approach to developing a program KM strategy. The following components are typically found in such a strategy.

1. Scope of KM component/element/piece within overall program
2. Vision for KM in the program – how can it support the program's overall objectives
3. Audience, stakeholders, and program/KM actors
4. The definition of KM used in this program, combining organizational, donor, and national perspectives.
5. The current KM situation – based on an audit of processes, people, and technologies
6. KM objectives – including tools, approaches, how objectives will be reviewed and measured (M&E strategy), and indicative budget
7. Governance and Management
8. First Phase implementation plan, including influencing strategy
9. Risk analysis and how the KM program plans to deal with the need or opportunity to adapt arising from learning or changes in circumstances
10. A section addressing how to strengthen the long-term sustainability of the KM effort, linking to a discussion of program KM exit strategies
11. Communication Plan

Figure 1 outlines the described process.

3.4 Evolution of the KM strategy

Regardless of the size and complexity of program, a KM strategy, as an evolving entity, needs to include a description of how and when the strategy will be reviewed, and amended to take account of lessons learned and changes. In larger programs this will include a discussion of program governance. In smaller programs this will be included in management processes and structures.

> *"A KM strategy, as an evolving entity, needs to include a description of how and when the strategy will be reviewed, and amended to take account of lessons learned and changes."*

Organizational KM strategy

Program Scope

Stakeholder Analysis

Scope of Program KM Strategy

Definitions of KM

Program Partners

Program Team

Program Participants & Beneficiaries

Vision for KM in the program

Organizational context

People

Processes

Current Situation

Technology

Program Objectives

Program KM Objectives

Impact Monitoring & Evaluation Strategy

Communication

KM impact, Monitoring & Evaluation

Implementation Planning

Influencing

Activities & Resources

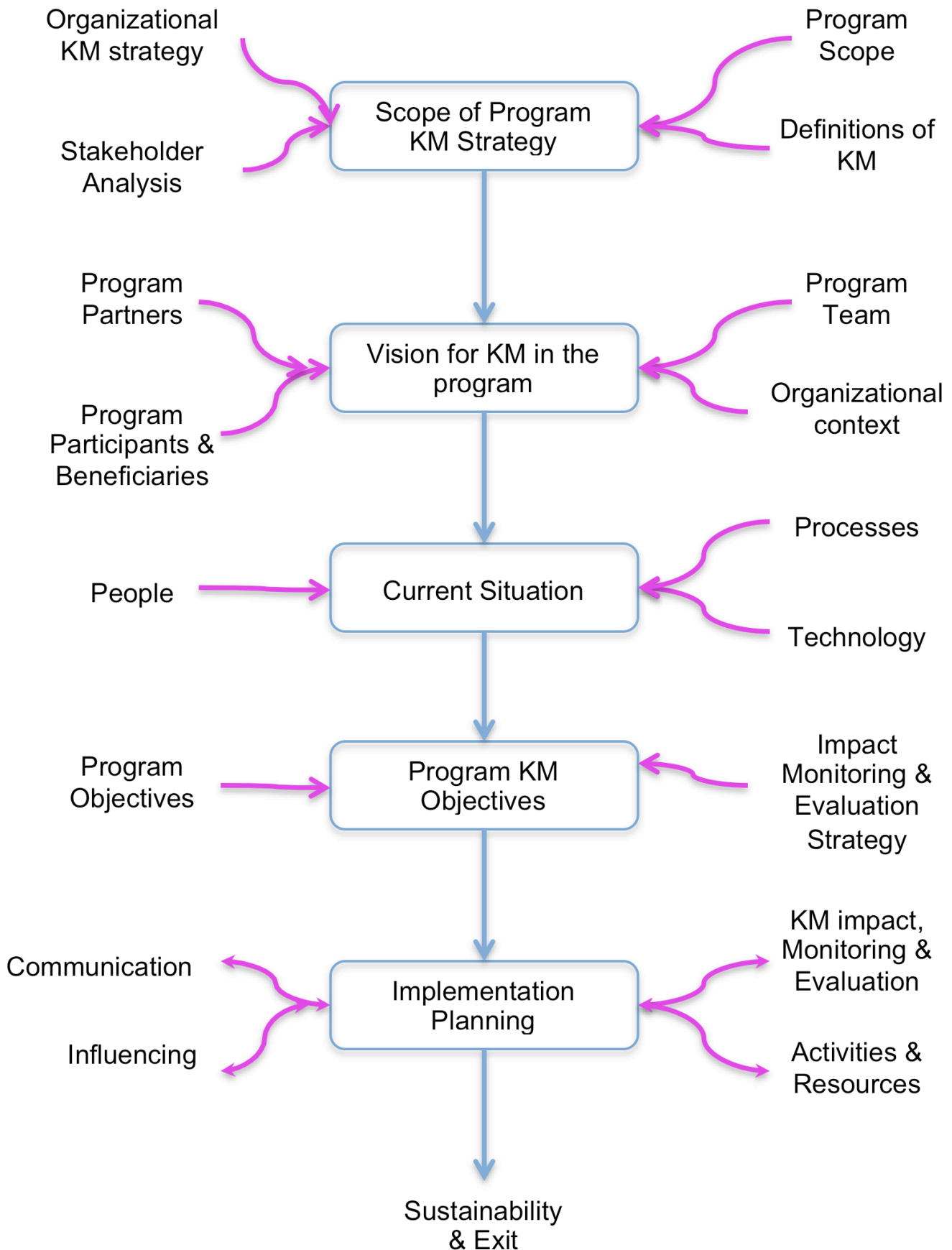**Sustainability & Exit**

Figure 1 KM strategy development process

4   Strategy Development

4.1 Vision for KM in the program

4.1.1 What is the scope of the KM strategy?

A first step is to define the context for the strategy development process. Map the position of your program in Figure 2, considering these questions:

- Shown on the vertical axis, is the case already made that there has to be KM, and what level of commitment and resources is there?
- Shown on the horizontal axis, does a case for KM need to be made, and if so, to whom and with whom?

Recognizing the level of effort and buy-in required for a KM program strategy is an important input into the later stages of developing a strategy.

It influences how ambitious and sophisticated, for example, a team can be in developing a strategy. It also informs the next stage of the process, stakeholder mapping, where the degree of influence and interest shown by particular individuals or teams is an important criteria in the process of recognizing the network within which a program exists and must thrive.

KM integrated into business strategy and processes, supported at all management levels

Organization KM profile

KM is ad hoc, appears in unconnected programs according to personal energy and influence,

The program proposal contains no KM objectives and there is no budget allocated to KM, or any of its components

KM profile in the program

The program proposal contains KM objectives (and a definition of KM), with a pre-allocated budget. The KM objectives are built on/out of the program objectives
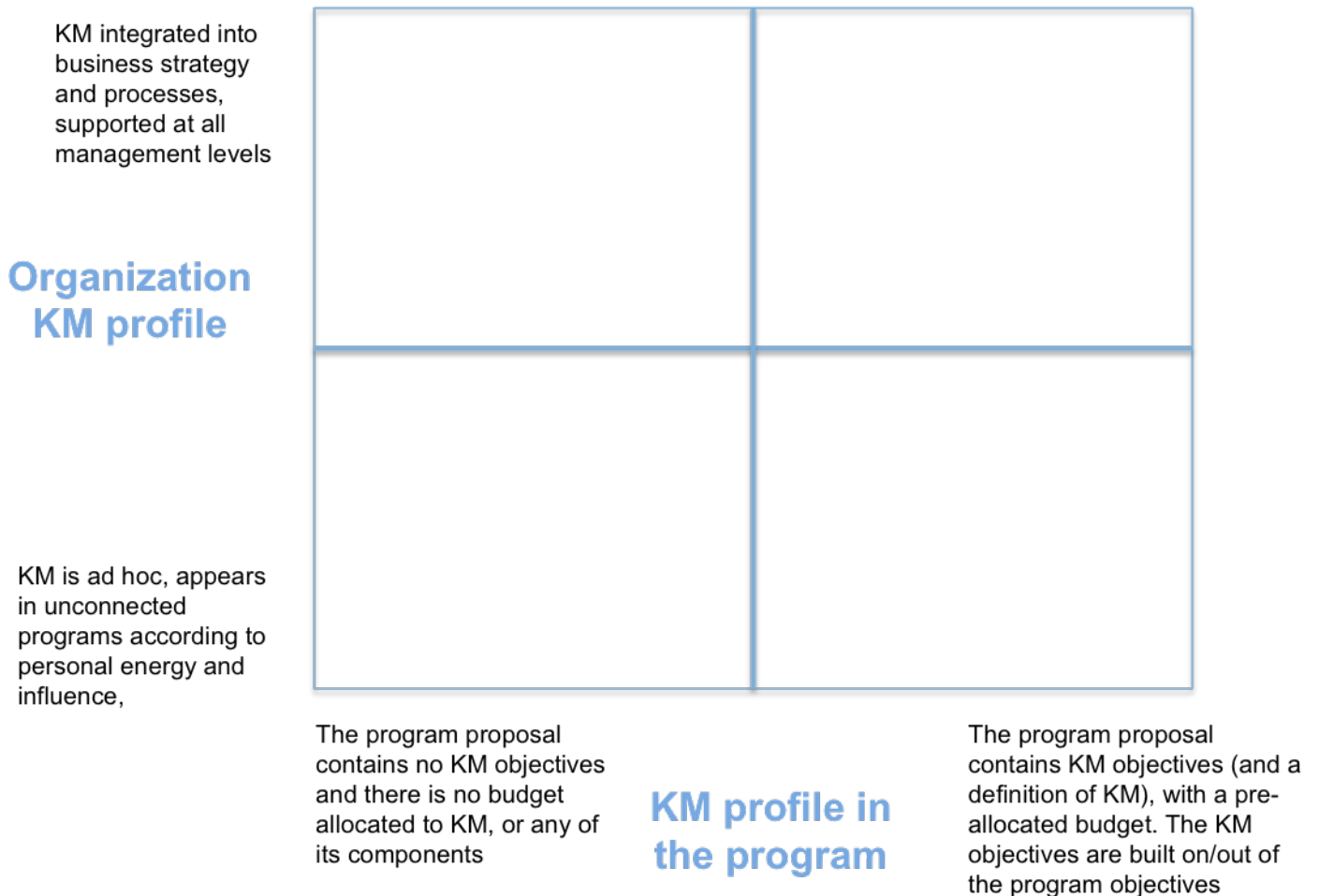
Figure 2 What is the context for the program KM strategy?

4.1.2 Who are the audience(s) and stakeholder(s)?

A stakeholder is a person or organization who is involved in the design and implementation of the program or who has something to gain or lose through its outcomes. Most programs have a wide range of stakeholders, some more influential than others - either because they benefit from the program, they fund some of its activities, are an implementing partner or have political interests. Not all stakeholders have the same stake in the program, and it is important to recognize the level of influence each stakeholder has. There are many methodologies, but they all contain the following essential steps:

1. Define a systematic process for gathering information, usually involving a series of questions to standardize data collection
2. Develop and use a set of filters or criteria to sort identified stakeholders, aiming to classify stakeholders in such a way that planning with whom and how to engage becomes easier

There is a list of resources and approaches in Section 7.4. In this guide, we suggest a simple, practical process that can be scaled easily and combines elements from different tools and approaches. Instructions are included in Annex One.

4.1.3 How can KM as defined previously help in meeting the program objectives?

At this stage, the aim is to develop a KM vision, a summary of how KM activities can support the program objectives.

The breakdown in Section 2.2 of the six KM activity types provides a good basis from which to develop the vision. We recommend systematically reviewing each program objective in turn and considering how activities within each KM activity type could support the objective.

It can be useful to employ techniques such as *Backcasting*[8] or the more detailed *Future Backwards*[9] methodology to help the discussion. Such techniques suggest imagining a future time and describing how the program will be operating after the KM program has been implemented, listing what processes and structures would be in place and the advantages accruing to the program.

For example, in a workshop exercise, participants suggested:
- **Capture Learning**: Mechanisms are in place or capturing lessons in organized ways (implying perhaps use of a template) that are accessible to all stakeholders and informing the program's understanding of adaptation needs.
- **Communication**: Research and findings are synthesized into actionable communications targeted at different stakeholders and using a variety of media, including any appropriate social media platforms.

The need for KM is sometimes more clearly illustrated through imagining a situation where there is no attention paid to it. So, in contrast to the above:
- **Capture Learning**: Results from pilots aren't shared outside the program team nor captured in ways that enable others to find and review them later.
- **Communication**: There are no standard, regular communication channels or products between the different stakeholders and partners.

Using these ideas as building blocks, a concise summary of how KM activities can benefit the program can be constructed, illustrating how each program objective can be strengthened. For example, a typical KM program objective might resemble this:

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8 https://en.wikipedia.org/wiki/Backcasting
9 http://cognitive-edge.com/methods/the-future-backwards/

To connect researchers, practitioners, and others to learn from each other on the costs and benefits of various climate adaptation options in the Livestock sector in the designated countries.
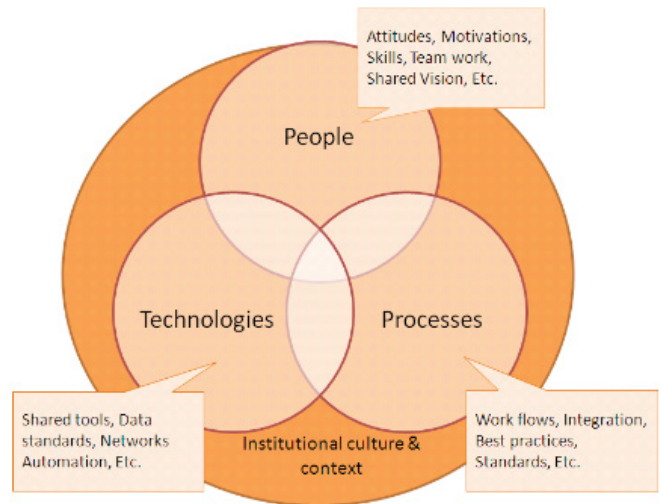
A KM vision could include:

- Strengthening existing communities of practice through active facilitation, including focused conversations relevant to the livestock sector
- To support and capture learning from regular reflection and review meetings, synthesizing findings and producing materials in different formats and using relevant channels to make them accessible to all partners and stakeholders

4.2 Audit

As noted previously, contemporary KM goes beyond basic organization and storage of information; it leverages people (as sources and users of knowledge), processes (series of actions we undertake to help us work with and share knowledge), and technologies (tools applied to support these actions).

As such, each of these components must be further unpacked in devising a KM strategy, and we must also consider how these unfold within institutional cultures and contexts.

This guide recommends teams use this simple, widely used, and practical three-part framework to structure their audit and planning of how to improve KM, addressing in turn six KM activity types.

Strategy framework for teams			
	People: what are the skills and competencies necessary for individuals to be able to…	What are the standard, regular **processes** we use in our teams to…	What digital **technology** platforms and tools do we use for…
KM activities			
Learning	…contribute to and benefit from team learning?	…ensure we learn. What are our standard review and learning processes? What questions frame our learning and review processes. For example: • How is this project going – how can we make it more successful? • What does the data show? • What does that mean for us and our work? • How and with whom do we communicate?	…accessing learning and knowledge from outside our project? • What platforms do we use? • What networks do we communicate with to ask questions – and how do we do that?
Capturing our learning	…capture learning in an accessible, shareable, storable format?	…to capture our learning in an accessible, shareable, storable format?	…capturing our learning?
Communication	…communicate effectively with others, verbally, visually, in written and other formats?	…to communicate our work, our learning, and our questions?	…communicating our work, our learning, and our questions?
Knowledge Sharing and collaboration	…identify audience and collaborators who will be interested in the team's work and then connect with them directly or using digital tools?	…to identify and build relationships with stakeholders, including the communities with whom we work; …ask questions and jointly explore challenges and innovation; …share our learning and seek feedback?	…identifying audience and potential collaborators; …linking, communicating, and collaborating with partners, communities with whom we work, and other relevant stakeholders?
Information Management	…store, keep secure, and access our learning and planning resources?	…to answer these three questions: • Who has already done work in this area – how do we find out (and how do they find out about us and our work?) • Who is doing work in this area – how do we find out and communicate with them (and how do they find out about us and our work?) • Who should I tell about this work/learning/result/challenge – and how do I communicate with them?	…storing, keeping secure, and accessing our learning and planning resources?
Application, adaptation, and accountability	…to act as an effective change agent – for example: • Access and marshal evidence • Make the case for change convincingly • To frame changes in ways that ensure they can be tracked and reported on	…strengthen our deliberate application of what we have learned, adapting where necessary, and maintaining what is working well; …implement and record changes in ways that ensure we are accountable for the changes we propose; …monitor the consequences and adapt as appropriate?	…recording and monitoring project progress, changes, outputs, and impacts?

4.2.1 Audit activities

There is a wide variety of ways in which audits can be carried out. Options include using surveys, in person or online interviews, focus groups, participant observation during program visits or when accompanying program staff or some combination of methods such as those. Three standard questions can help in making the choice:

- What is the likely reception within the program team(s) and with the stakeholders identified as key informants? The analysis in Section 4.1.1 and Section 4.1.2 will provide some relevant information. However, the main determinant is the extent to which the team recognize the value of engaging in conversations about KM and their own workloads.
- What are the resources available to undertake the audit(s)?
- What is the timeframe for the process?

Finally, it is important to note that audits are sometimes seen as one-off exercises. Like all the other steps in developing a program KM strategy, as the situation changes so the audit needs to be re-visited as part of strategy reviews.

4.2.2 Processes

The guide recommends that teams begin by examining ***processes***, ideally considering key phases of a 'typical' project or program life cycle, noting that programs loop back and forward between phases when monitoring or evaluation suggests adapting implementation, or even re-designing the program. Those phases are:

- Assessment
- Design and Planning
- Implementation
- Monitoring
- Evaluation

Teams should then address two key questions:

1. What do we do now that supports the KM vision (that was developed following the steps outlined in Section 4.1)?
2. What other things could we do – where are the gaps?

4.2.3 Technology

Teams should then turn their attention to digital technologies. If there is limited information available on the digital infrastructure available to different stakeholders, then an initial scan is recommended, identifying both what kind of digital technology is affordably and reliably accessible and the information and knowledge seeking habits of stakeholders[10]. Following that, or if such information is already available, the audit should proceed to consider:

- What digital technology do we use now that supports the vision defined in Section 4.1?
- What other tools and platforms could we use – where are the gaps?

4.2.4 People

From the above analysis it will be clear there is a need for a range of skills and capacities to support KM. Some of these will be present in the program team; others will be accessible from partners or the wider organization. Drawing on the

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10 A seminal study by the Institute of Development Studies in 2012 provides a snapshot of the situation in six 'Southern countries' for policy actors, but also a model that can guide similar surveys of other stakeholders: https://www.ids.ac.uk/files/dmfile/WP401.pdf

processes and technology, audit teams should consider:

- What KM skills and competencies are available within the team?
- What KM skills and competencies should we develop, and how, or contract externally?

To support the audit process, an example of the competencies that individuals need to be able to perform effectively in their work is included in Annex Three[11]. This could be used as the basis for self-assessment and discussions about personal development within teams and organizations.

4.2.5 Resources

What human and financial resources are allocated to KM, and what are possible sources of additional resources?

4.2.6 A minimum viable set of processes for programs

When new programs are being developed, audit processes are not an appropriate approach.

It is important instead that program teams are introduced to a framework of KM measures that should be considered a *minimum viable set*. By this we mean a collection of processes that would form the basis for effective KM within a program. The precise nature of that collection will depend on the context – including the nature of the program, the budget and the KM capacity likely to be available. Without intending to be prescriptive in any way, we include a list[12] in Annex Two that could serve as an example of a minimum viable set.

4.3 KM Objectives

4.3.1 AGO – Aims, Goals, and Objectives

In this section, we will focus on developing objectives for a program's KM strategy. Conventionally, *program aims express what a program wants to achieve overall and objectives describe the ways and means that this vision will be realized.* Traditionally, objectives do not provide details of how the program will accomplish its aims. However, staying true to this convention for program KM objectives opens up two risks:

1. Defining program KM objectives that are very similar to overall program objectives so that it is hard to identify the added value of the KM component.

2. KM objectives are often criticized for their vague and aspirational nature, especially since they often target changes in behavior and process. Such objectives will probably not excite interest in the people who the program is trying to convince. They can also weaken the case for investment in KM. For example, would you be enthusiastic about investing in a program with the following KM objectives?:[13]

   - To strengthen learning systems within the program
   - To capture, retrieve, and share knowledge for the purpose of learning
   - To ensure that knowledge and communication produced impacts climate-resilient development policy and thinking
   - To share data, information, and knowledge gathered with a wide range of stakeholders to promote innovation and best practice

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11 T aken from a 2015 KM review in WaterAid GB.
12 Thanks to participants at the TOPS Program KM strategy workshop, Washington DC, March 2016
13 These objectives are taken from real programs.

In this guide, we propose a pragmatic approach. We suggest that KM objectives benefit from including more detail about how the objective is to be implemented. The purpose is to highlight from the outset the special characteristics of KM activities and their potential added value. The following KM objective examples are adapted from a recent KM program:

- *To strengthen collaboration and sharing of experience between livestock value chain actors, we will promote, fund, support, and communicate two short learning exchanges between or within Africa and South Asia during each of the first three years of the program.*
- *Participants from program partners will be identified through an open application process that will include a requirement to keep a learning journal that will be shared during and after the exchange visits, using a mix of communication channels.*

> *"We suggest that KM objectives benefit from including more detail about how the objective is to be implemented."*

These objectives would be supported by a great deal of detail, explained further in the following section and Section 6, which discusses implementation planning.

4.3.2 Defining KM objectives

The aims and objectives of the overall program are the starting point for thinking about program KM objectives.

Based on the analysis in Section 4.1 and Section 4.2, the next step is developing a series of program KM objectives, aligned with and supporting the program objectives. Even though the end goal at this stage is to develop and refine concise and well-communicated objectives, many find it useful to spend time thinking through in more detail the context and activities associated with each objective as a way to gain a fuller picture of what will be involved. We suggest a systematic process:

1. Select the program aims (refer back to Section 4.3.1 for a definition of program aims)
2. For each program aim, develop ideas for a KM program, defining a series of SMART[14] objectives
3. For each program aim, document critical assumptions, potential challenges, and opportunities
4. Think through what activities and initiatives will be associated with each objective and define outputs, where relevant
5. Document assumptions about technology use and infrastructure
6. Consider existing and proposed staff:
   - What will be their roles and responsibilities?
   - What competencies will be required for these proposed interventions?
   - What are the training plans to achieve the necessary levels of competence for those staff?
7. Define the levels of resources that might be required for each objective
   - Is any existing allocation of resources sufficient or are more resources required, and if so, where might these come from?
   - If there are no resources allocated to KM then what is the process for obtaining those?
8. Consider how to monitor these objectives and evaluate KM progress

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14 Specific, Measurable, Attainable, Realistic, Time-bound

4.3.3 Developing indicators to monitor and evaluate the impact of KM

"Discussions found that knowledge practitioners are faced with multiple challenges when measuring the impact of KM work and proving that this work has led to changes in knowledge, attitudes, policy, practice and action[15]." This quote from a group of KM practitioners illustrates the importance of allocating time to thinking through what success might look like for each objective and how to track whether or not progress is being made.

It is important to agree upon common definitions within the team of terms like 'indicator.' In this guide, we suggest the following definition captures the important details:

- "Indicators are quantitative or qualitative measures that enable you to assess the degree to which project outputs and impact have been achieved[16]."

It can be a complicated and long causal pathway from KM or KB to reducing poverty or tackling inequality. **It is important that we are able to demonstrate our contribution to intermediate outcomes, and indicators can play a vital part in establishing this link.** Measuring changes relating to knowledge sharing is particularly difficult due to the intangible nature of knowledge. However, we can more easily measure:

- The existence of knowledge objects (captured information)
- The existence of 'things' used to manage, use, and broker knowledge
- Perceptions of the success of knowledge activities (for example, through qualitative methods such as interviews)

Indicators should be:

1. Robust (able to stand up to critique and interrogation)
2. Clear and explicit in intent and language
3. Contextualized (well suited to the context in which they are being used)
4. Meaningful (you have a reason for measuring it and the information is useful to you)
5. Quick and simple to measure
6. Usable (linked to accessible data we know how to find)
7. Valid (it measures what it claims)
8. Coherent (linked to the original problem and objectives/outcomes, and embedded within an overarching Theory of Change)
9. Used alongside other indicators for an indicator set or 'basket'
10. Durable: have longevity (being able to compare results over time)
11. Described in terms that are themselves defined
12. SMART (Specific, Measurable, Attainable, Relevant, and Time-bound)[17]

Using these criteria, the final step in developing program KM objectives is to agree upon a set of indicators that will enable the team to track and evaluate progress.

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15 "The use of Indicators for the Monitoring and Evaluation of Knowledge Management and Knowledge Brokering in International Development", IDS, 2013. A very useful resource for thinking about KM impact assessment and M&E, quoted extensively in this document. https://www.ids.ac.uk/files/dmfile/Knowledgeindicatorsworkshopreport8thMarch2013.pdf
16 SMART toolkit for evaluating Information Projects, Products and Services, CTA/KIT/IICD, 2009
http://publications.cta.int/en/publications/publication/1557/
17 IDS, 2013, op cit.

4.4 Governance and program management

Program governance, management structures, and operating procedures are generally set at the program level. **For a program KM strategy, it is necessary to identify where the KM component and specialists fit into those pre-defined processes and structures.** Two core issues need to be addressed specifically when thinking about governance:

1. **Managing change**: This is increasingly important as large donors like USAID emphasize the need for regular review, learning, and adaptation. A program KM strategy should define when, how, and by whom progress will be assessed and decisions made about any necessary changes.
2. **Conflict and dispute resolution**: Development initiatives are complex systems involving a large range of stakeholders and partners, all of whom have interests and investments in the programs. Inevitably there are disagreements on occasion, especially when programs are trying to be flexible and as a result there are regular proposals for change. Governance procedures need to specify how conflicts and disputes will be managed within the program, and who has the final decision making power.

4.5 Risk Assessment

It may be considered premature to think about disaster or exit at the outset of a program, but in reality, like prenuptial agreements, one of the best ways to ensure that things continue is to think of all that might go wrong and make plans to deal with them. A common and practical format for thinking about risk is to consider risks in two dimensions – the likelihood that the event or situation described in the analysis occurs, and the severity of the impact on the KM component. This generates a four-column table, as illustrated below:

Risk	Likelihood	Severity	Containment Measures
Funding allocated to KM and Communications is diverted mainly to external communication for advocacy	Medium	High	Ensure that KM activities are costed and included from the design phase onward in program documentation, including M&E
Program staff operational pressure reduces time spent on reflection activities during periodic program reviews	High	High	Define and include in program plans outputs that rely on there being reflective processes in place to review and comment on progress and adaptation needs

Clearly, the risks that are both highly likely and impactful require the most attention and should be promptly addressed when developing the KM strategy.

4.6 Sustainability and exit strategies

Thinking ahead to the point when the funding stops – implied in most program agreements – means building in processes and structures that can support longer-term sustainability[18].

Improving KM is not a one-off activity. It takes time, for example, to build networks, embed learning and reflective processes, or test and implement capture and information management processes. There are many ways to think about sustainability and it is an issue that needs to be returned to over the life of the program. At this stage, it is mainly important to build reflection time into plans and ensure that KM activities do not imply large investments, for example, in bespoke or specialized digital platforms or other technology that will be hard to maintain if program funds cease. The primary focus will be on building the capacity of national partners and other stakeholders who will remain on the spot once the program ceases.

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18 A useful source of ideas comes from the
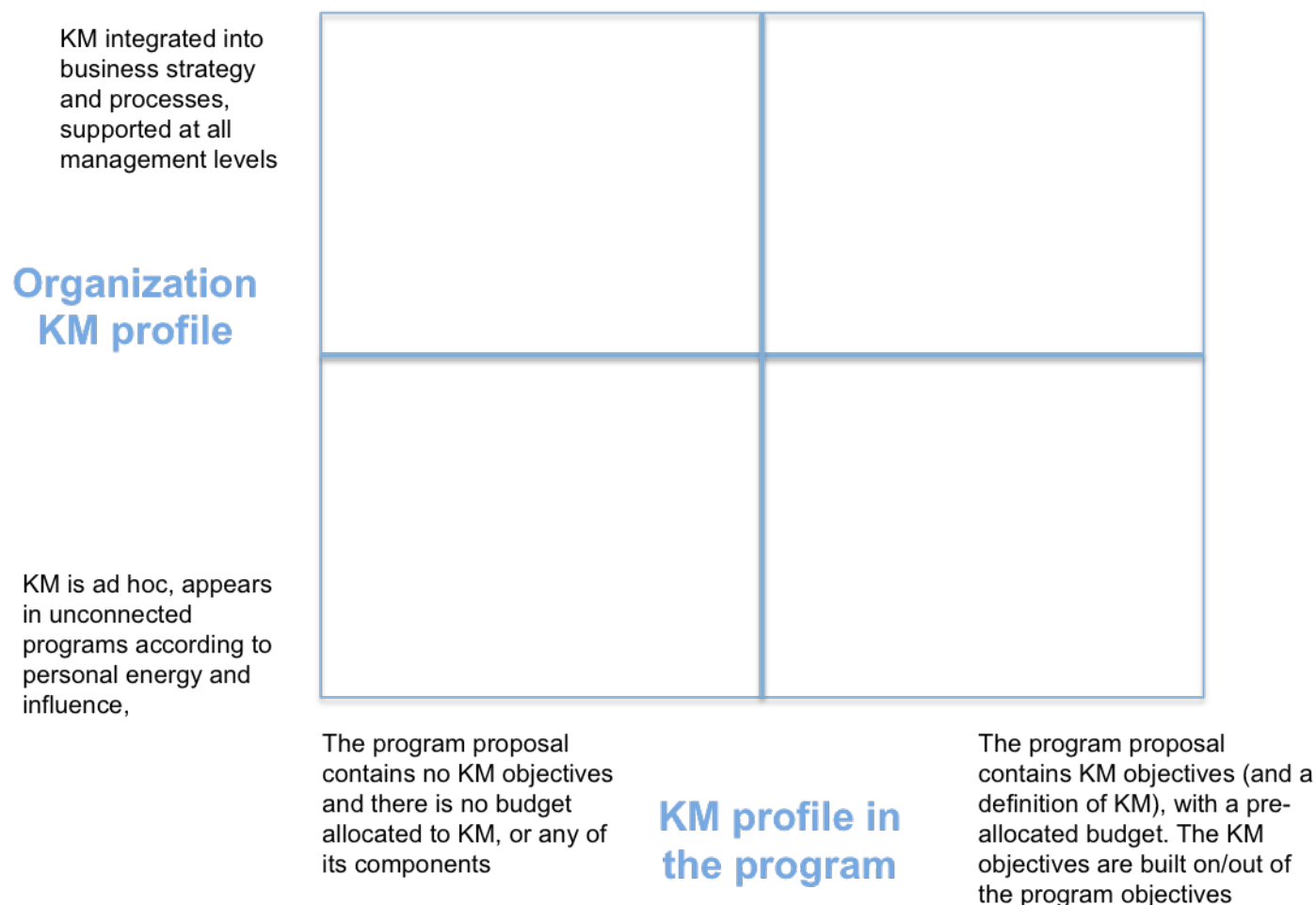http://valuingvoices.com/learning-about-sustainability-and-exit-strategies-from-usaids-food-assistance-projects/ …

5   Communicating about a program KM strategy

5.1 Components of a 'typical' communication strategy[19]

1. Objectives
2. Audiences
3. Messages
4. Tools and activities
5. Resources
6. Timescales
7. Evaluation and amendment

5.2 Objectives

Two key influences on communication objectives are the position of your organization or program on this KM profile matrix below and the development stage of the program KM strategy, whether it's the earliest soundings phase, or you are in mid-implementation and reviewing the strategy.

KM integrated into business strategy and processes, supported at all management levels

Organization KM profile

KM is ad hoc, appears in unconnected programs according to personal energy and influence,

The program proposal contains no KM objectives and there is no budget allocated to KM, or any of its components

KM profile in the program

The program proposal contains KM objectives (and a definition of KM), with a pre-allocated budget. The KM objectives are built on/out of the program objectives

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19 Adapted from 'Successful Communication – tools for researchers and CSOs', ODI, 2005
http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/192.pdf

And depending on the complexity of the program, there will be a series of parallel communication objectives for different elements. At all levels of objectives it is critical to include discussion about what success means and how it will be monitored.

5.3 Audiences

The stakeholder mapping analyses carried out earlier will be a key input to defining audiences, noting that the mapping of different groups of stakeholders will change as the program and the KM element develop, in terms of their relative interest/influence. Similarly, as programs develop and teams engage, the analysis of boundary stakeholders will need to be reviewed.

5.4 Messages

Strategic targeting and consistency are key to your program's messages. The case you are making should be summarized in a series of messages, defined with the different audiences in mind – and their significance to your success. By messages we don't simply refer to short, punchy texts or images – sound-bites and straplines. Many development audiences appreciate nuance and subtlety. But creativity and eloquence have to be balanced with the realities of operational pressures: senior managers and operational program staff, for example, appreciate enormously succinct, simple messages, ideally including graphical elements. For a program KM strategy audiences will expect to see elements covering questions like:

- What is the scope and timescale of this work?
- Why is this important to my own work, individually and for my team?
- How will this improve our work – increase impact or streamline or make more effective what we do?
- What will I have to do differently?
- What will this require of me and the team, in terms of time and other resources?
- How will we be tracking success?

5.5 Tools and activities

It's at this stage that communication becomes more of an art than a science. The first step is identifying the tools – channels and media – that will reach the target audiences. The range of options is massive for both online and printed material. Ideally, your choice will be influenced by your own or existing communication surveys and audits[20]. Be guided by received wisdom about communication, such as:

- Less is more
- The power of images, including cartoons and infographics
- Storytelling remains core to both how we share and retain information and reaching people at emotional and personal levels, essential for convincing people to act or behave differently
- Be very aware of the diversity of your audiences, across the spectrum, and pay attention to cultural bias

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20 'The Information Ecosystem of (Southern) Policy Actors,' IDS, 2012, is an excellent, contemporary source and a useful model for constructing surveys. https://www.ids.ac.uk/files/dmfile/WP401.pdf

5.6 Resources and timescales

Use bottom-up planning[21] to define what is realistic according to resources available, noting that graphical material takes longer to produce than text, as does concise, targeted content.

5.7 Evaluation and amendment

The indicators you have defined at the communication objectives stage will form the first part of your regular reviews, as will the collections of anecdotes and feedback about your communication that you have been gathering. In larger, multi-year programs, a more formal audit, perhaps done independently, will repay the investment in terms of future effectiveness.

6   Program KM strategy implementation and activity planning

When program KM planning reaches the detailed activity level, the process becomes more of a generic one. However, while the sample Table of Contents provided in Figure 3, for example, is hard to distinguish from one that would be used for standard program planning, the content of each section will be specifically about KM.

It's particularly important at this stage to ensure that the implementation plan integrates all the elements described in the preceding sections, including both those that are 'hard' – in the sense that they describe concrete activities, targets, measures, and business processes, for example – and those that are 'soft' – in the sense that they relate to individual behaviors, interactions, and relationships between people. The latter includes the all-important influencing component – detailing how the program will engage the key stakeholders identified through network analysis to secure buy in, maintain support, and commit resources to the collaboratively designed program KM plan.

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21 Start at the lowest planning level of activities, estimating time or resources required and matching those against what is available.

Activities	Detailing the activities designed to achieve the program KM Objectives defined earlier, including communication and monitoring.
Assumptions	Revisiting the analysis for the program KM objectives and spelling out specific assumptions that underlie the activity plan.
Dependencies between activities	All project or program planning needs to take account of order and interdependence between activity plans. GANNT charts[22] are typically used to graphically illustrate connections between activities.
Tools	This section will draw on the analysis of digital tools and platforms described in Section 4.2, but include all other materials and platforms required for the plan. Here we use the term *platform* broadly, to include methods and approaches that support KM, for example, *Innovation Platforms*, as used in the Africa Rising program mentioned earlier[23].
Processes	It's important that everything is included that might be relevant to the progress of the KM activities. So processes and meetings relating to program governance and management, for example, as well as Monitoring and Evaluation should be noted in the plan, as should relevant processes in the program, or organization, such as communication campaigns or program reviews.
Deliverables	Drawing on the analysis of indicators and monitoring described in Section 4.3, develop a detailed list of deliverables and their associated monitoring indicators.
Timescale	Typically plans are developed for at least a year, in the first instance. There is a strong argument that plans should cover a shorter period – six months, for example – to allow for the regular adaptations and changes that are likely to be needed. However, ensuring that regular reviews are built into the process will enable the necessary flexibility. Plans beyond one year are likely to be high-level, without detailed activities and deliverables, for the same reason.
Resources	This component will detail both financial and human resources required to achieve the objectives, drawing upon the audit and objective setting activity described in Section 4.2.
Responsibilities	People or organizations responsible for each activity element – or group of activities – should be listed.
Risk Analysis	This is the stage when risk analyses as described in Section 4.5 will be detailed rather than general. Properly and carefully developed they can be a crucial part of project management.

Figure 3: Sample Table of Contents

Of course, plans are rarely more -than aspirations and expectations expressed formally. **As we have stressed continually, and as is increasingly acknowledged in program frameworks such as USAID's Collaborating, Learning, and Adapting (CLA), events and changes in the external context mean that plans have to be constantly reviewed and amended.** This doesn't obviate the need for careful planning. Indeed, the more carefully planned a program the easier it is to adapt since the impact of changes can be seen and tracked across the different activities. And to bring us full circle, through planning and implementing a program KM strategy, knowledge, understanding, skills, and confidence grow in the team about KM and how it can support program goals. This in turn enables KM specialists and other staff to review and adjust plans and strategies so that they more closely fit the overall program requirements.

7   Annexes

7.1 Annex One: A practical tool for Stakeholder Mapping

7.1.1 Introduction

This activity offers an introduction to social network mapping, which is used as a tool to support identification and discussion about program stakeholders, their roles, and their KM needs.

The exercise involves the development of a simple network map using basic tools including paper, pens, and Post-it® notes[22]. It incorporates the use of an interest/power grid and an influence map as means to classify different stakeholders.

It is best that the team develop the mapping collectively, ideally engaging partners in the process.

7.1.2 Materials

- Flip chart paper
- Small Post-it® notes (or pieces of paper and tape)
- Marker pens (2-3 colors)

7.1.3 Task

The overall aim is to begin to inform the development of a KM strategy for the program. Understanding and beginning to engage with the different stakeholders in the program is a necessary early step. There are three relevant clusters of stakeholders or stakeholder groups:

1. Those whose buy-in and support you will need to proceed with developing a KM strategy
2. Those with whom you will need to engage to understand KM needs
3. Those with whom you'll need to engage to develop the strategy

Those groups overlap, but the focus for each part of the process is different, so the mappings may change.

7.1.4 Steps

1. Begin with the first group of stakeholders, those whose buy-in and support you will need to proceed with developing a KM strategy.

2. List all the people and organizations involved with this work, putting each one on a small Post-it® note. (We'll call these "notes" from now on). Stakeholders can be organizations, groups, departments, structures, networks, or individuals, but the list needs to be pretty exhaustive to ensure nobody is left out.

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22 Credit to Nancy Whitei for the template http://www.fullcirc.com/2008/03/17/help-testing-a-network-mapping-exercise/

3. Then, using the grid in the figure opposite, organize the stakeholders in different matrices according to their interest and power. 'Interest' measures to what degree they are likely to be affected by the subject of the mapping. In this case, it is the development of a program KM strategy, but the approach is more often used to measure to what degree they are likely to be affected by a project or a policy change and what degree of interest or concern they have in or about it. 'Power' measures the influence they have over the development of the KM strategy, or in other situations, the project or policy, and to what degree they can help achieve, or block, the objective (or desired change). Mark the positions of each stakeholder on the notes.
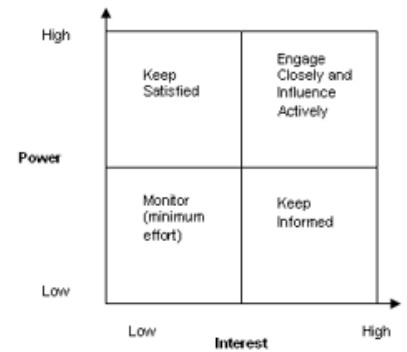

4. Influence mapping: as this illustration shows, it is important to separate out those stakeholders on which the KM team can have direct influence and those on whom its influence is indirect, through one of the boundary stakeholders or partners.
Continue your analysis: annotate the notes to define boundary stakeholders or partners.
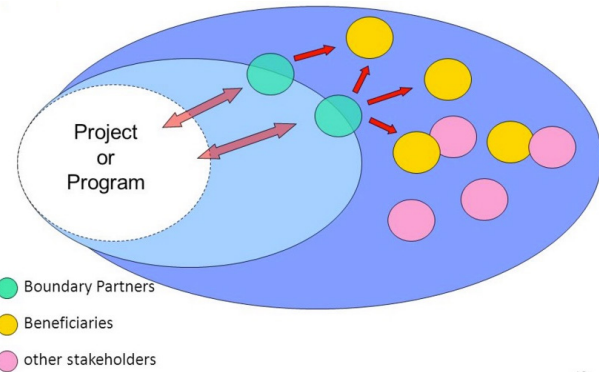
5. Create a note that represents the person or group developing (and possibly later leading) the implementation of the KM program, perhaps called KM team.

6. Starting with your note, arrange the notes on the flip chart paper. Place the other notes in relationship to the KM team, and to each other, according to your analysis above. For example, boundary stakeholders are likely to be closer to the KM team than others[23]. If people or organizations on the notes have relationships or interactions with each other, try and place those notes closer to each other. Move the notes around until you have a general sense of how each person/ organization relates to the KM team and to the other notes.

7. Now with **colored pens**, draw an arrow from the KM team to any of the other people/ organizations with whom the KM team are already likely to communicate. The direction of the arrow should be in the direction of normal communication, indicating whether it is uni- or bi-directional. Annotate the line with information about the kind of communication. Taking another color, draw lines between those stakeholders who are in regular contact with each other, paying particular attention to boundary stakeholders. Similarly, annotate the line with information about the kind of communication.
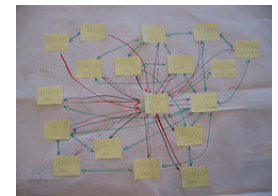
8. Now, look at the network and consider how information and communication flows. Is there a grouping around some people/organizations? Are there some with few or no lines - highlighting their lack of connections? Is the KM team connected to everyone who should be sharing information with it?

9. Take a moment to step back and look at your map. Use the matrix to make not of the following:
   • Who are the various stakeholders? Are they Boundary Partners/Stakeholders for your project? Who are other key stakeholders and which are lower priority?
   • What kind of connection do you currently have with them (Strong, Medium, or Low/None)?
   • How is the KM team likely to engage and communicate with them?
   • What kind of engagement and connection would be optimal? Which should be strengthened?

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23 Note that in this method this is done to simplify the drawing of lines. In social network analysis, distance isn't always used in this way.

- What actions can you take to build up those levels of engagement and connection? What tools can you use?
- Where or who are the key communication and influence nodes?

10. The mapping on the following page represents the stakeholders you need to influence to engage with and support the development of a program KM strategy. As you move to later stages, such as researching the current status of KM, there will be value in revisiting the mapping and adjusting it to support the next activity.

Stakeholder Matrix for developing a program KM strategy

Project Name: _____

Stakeholder Name? Are they Boundary (B) or Strategic (S)?	What is the likely level of connection? (Strong, Medium, Low/None)	How is the team likely to engage and communicate with them – through email, documents, more general communication like newsletters, regular meetings, etc.?	What kind of engagement and connection would be optimal?	What actions can you take to address these needs? What tools can you use?	Timeframe

7.2 Annex Two: A minimum viable set of program KM processes

Assessment	
Critical reflection and learning	• Early stakeholder meetings and reflections would include a search for and inclusion of related project results and applicable research as well as relevant literature to improve design • Learning objectives and/or research questions would be identified and refined throughout the assessment phase. These would form the basis for evaluation questions.
Capturing Learning	• Protocols would be in place for tracking and recording of input and output documents as well as consultation and dissemination outputs • Output would be captured in different formats to ensure it is usable by a range of stakeholders
Communication	• An early task would be to agree a process for stakeholder communication, including for planning and regular meetings to communicate expectations and progress to various stakeholders
Collaboration and Knowledge Sharing	• From the outset, the assessment phase would involve collaborative processes, involving as many of the program team and partners as is viable. Where stakeholders and team members are distributed geographically there would be appropriate communication platforms in place and organizational processes to enable inclusive participation.
Information Management	• Definition and communication of process to store and make accessible literature review – primary, secondary data, and previous similar data/programs
Application, Adaptation, and Accountability	• The emphasis would be on a critical review of evidence • Standard processes would be agreed and communicated to stakeholders to track adaptation and learning

Design and Planning *There would be a plan that allocates resources to KM processes, including knowledge capture and organization of information; reflection and learning; communication resources and time*	
Critical reflection and learning	• Intentional reflection and learning processes would be integrated into design and planned to continue throughout the program. These would include reviewing whether there is evidence of or a need for adaptation and change.
Capturing Learning	• Systems would be put in place to ensure the documentation of the design process itself; knowledge capture for each stage of the project, based on a decision about the major knowledge products the program will create
Communication	• From the outset, beginning with the program kick-off meeting, communication would be inclusive. Leadership would communicate the vision and goals of the program and there would be face to face and virtual planning and check-in meetings, incorporating regular report-backs to stakeholders.
Collaboration and Knowledge Sharing	• There would be interactive sessions for the joint creation of Theories of Change, the M&E plan – which would include KM – and KM strategies. These would include budget discussions, and would involve as many stakeholders as practical. There would be provision for stakeholder review of design.
Information Management	• Work plans, along with other key program documents, would be in a shared digital space and/or shared in other ways
Application, Adaptation, and Accountability	• Reflection and learning processes would include reviewing whether there is evidence of or a need for adaptation and change

Implementation	
Critical reflection and learning	• Reflection sessions would be detailed in project activities and work plans • Departing/transitioning staff would document their handover and an exit interview conducted
Capturing Learning	• Each reflection session would have an output, however simple or basic, that would be recorded and, ideally, shared • There would be regular, possibly quarterly, documentation throughout implementation. This would include capturing how good or promising practices are tested, developed, and recorded. Capturing 'lessons learned' would be a standard practice in regular meetings.
Communication	• There would be joint development and submission of regular progress reports to donors, staff, and other stakeholders • Program deliverables, including publications, would be disseminated widely
Collaboration and Knowledge Sharing	• There would be collaborative project management and work planning • There would be a cycle of inclusive meetings, with regular participation from leaders, staff, and other relevant stakeholders. Where necessary these would include phone or web meetings. • Learning resources, such as a program 'KM toolkit,' with tips and tricks to support KM processes, would be developed • Communities of practice would be encouraged, with resources to support facilitation. They would engage informally but also 'meet' regularly to obtain feedback and share information. • There would be an emphasis on shared learning. Each consortium member would introduce and share their unique strengths, in meetings and reports. Time would be allocated to share successes and challenges as well as lessons learnt externally.
Information Management	• There would be a shared digital space and/or system, accessible to all • Curation processes would be put in place whereby technical updates, industry standards, and new research is accessible to project staff
Application, Adaptation, and Accountability	• 'Critical' monitoring indicators would be developed, in conjunction with M&E staff, and the program would explicitly attempt to create a 'safe place' to question and be open to change, encouraging regular open meetings and other forms of reflection on any necessary adaptation to the program

Monitoring	
Critical reflection and learning	• There would be 360-degree feedback, involving program staff, stakeholders, and donors. This would be an iterative process, over time, both face-to-face and using online channels. These would include regular sharing of key monitoring findings with stakeholders, including donors. • There would be regular After Action Reviews to encourage learning. These would be supplemented by regular reflection periods, in-person or online.
Capturing Learning	• Program outputs would be documented and shared • Review findings would be curated into recommendations and learning reports
Communication	• There would be a process to store and share products of quarterly reviews, annual reports, and other milestone reports • Leaders would communicate regularly and openly, starting with early meetings to convey expectations and continuing with periodic review of program goals, following on from a review of adaptation or change that had taken place
Collaboration and Knowledge Sharing	• There would be regular open meetings to report and review progress
Information Management	• Processes to store program operational data, outputs, and reviews would be regularly audited • Program stakeholders would be surveyed on their use of and satisfaction with shared digital spaces and any other resource libraries
Application, Adaptation, and Accountability	• The program team would build consensus what constitutes adaptation "triggers." There would be documentation of adaptation (why an activity/process or target was changed).

Evaluation	
Critical reflection and learning	• The evaluation process would begin with the creation of a space for reflection and review
Capturing Learning	• There would be a process to capture lessons learned and share them both internally and externally • These would be captured using a range of media and channels, including text, audio, and video
Communication	• All staff and stakeholders would be informed and kept engaged in all phases of evaluations, including developing Terms of Reference, commissioning evaluators, engaging with the evaluation, reviewing findings, and developing recommendations
Collaboration and Knowledge Sharing	• Overall, the program would collaboratively design and plan the evaluation, review evaluation findings with stakeholders in workshops and online, and develop practical applications of the findings
Information Management	• Documentation for each phase of an evaluation would be stored in a shared, publicly accessible, digital space. This would include any supporting evidence, literature review, and background research findings
Application, Adaptation, and Accountability	• Evaluations would audit programs for processes that delivered records of reflective activities, learning shared and applied, as well as records of program adaptations resulting from ongoing reviews • Evaluations would encourage programs to put in place clear, agreed, publicly communicated processes for accountability of plans, including proposed changes

7.3 Annex Three: Individual KM

Learning and knowledge sharing in any organization starts with individuals.

Personal capacities, skills, learning, and communication preferences as well as work patterns all influence how an individual engages with their work context. The work culture influences hugely how effective individual efforts at learning and knowledge sharing can be, especially in motivating staff. Further, establishing as well as supporting a minimum standard in communication and other competencies relevant to learning requires commitment of resources and leadership from the top. But individuals have a range of choices on a daily basis, for example:

- What to prioritize
- How much to question assumptions and current practices – be critically reflective
- Whether to seek out learning from outside the immediate context
- Whether to make the effort to share ideas, innovations, and lessons more widely

Focusing on that junction of capacity and approach can be a way for an organization to embed good practice and identify the best return on investment in support resources. Five main themes emerged from a recent organizational KM review[24]:

- Curation – selecting, filtering, and sharing information relevant to particular projects
- Communicating effectively with others
- Critical reflection on current practice
- Networking and connecting
- Learning

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24 Also developed as part of a WaterAid GB KM review in 2015

Competencies	Indicators of good learning and knowledge sharing practice
Curation – selecting, filtering, and sharing information relevant to particular projects	• Learn and apply criteria to help sift material relevant to projects and teams • Identify key texts relevant to specific audiences and share them in an accessible form • Edit, synthesize, and summarize content
Communicating effectively with others	• Monitor conversations on social media channels and use them for sharing and questioning • Develop communication products for different audiences and needs using a range of media and formats, including practical, good practice guides as well as more formal publishable papers • Make sure staff is purposeful and selective in what information they share and how they share it, so as not to overload colleagues with information
Critically reflecting on current practice	• Monitoring data and evaluation reports are used by staff to reflect and seek ways to improve practice • Staff listen to and have conversations with beneficiaries and partners in the field, and ensure these reflections feed into learning agendas • Encourage "Learning by Doing" activities
Continual **networking and connecting**	• Invest time in expanding networks of internal and external relationships to benefit their own work and to help others. For example, presenting at conferences to share their learning

Take responsibility for **learning and skills development**	• Individual Performance Objectives include an agreed personal learning pathways linked to the role
	• Individuals, as standard work practice:
	    o Check for prior work and learning from peers as part of launching a new effort.
	    o Reflect on lessons learned about both success and failure, and capture knowledge from projects as they finish.
	    o Integrate learning and knowledge sharing activities such as regular 'learning exchanges' into the project lifecycles.
	    o Seek out opportunities for developing 'know how' (e.g., on-the-job coaching, peer exchanges, communities of practice).

7.4 Annex Four: References

7.4.1 KM framework and guidelines

- Learning for improved performance: an integrated Knowledge Management system http://www.picoteam.org/publications/pdf/KM_IFAD_Text_version.pdf
- Putting knowledge management & learning into action: an emerging framework http://www.picoteam.org/publications/pdf/KM_Cornerstones_IFAD_Text_version.pdf

7.4.2 KM strategies – models for review

- Shouhardo II KM strategy (CARE Bangladesh) http://carebangladesh.org/shouhardoII/reportStory/files_20140618256263.pdf

7.4.3 Stakeholder mapping and Social Network Analysis

- An influential approach to participative network mapping, using paper, post-its and pens http://www.fullcirc.com/2008/03/17/help-testing-a-network-mapping-exercise/
    - https://www.flickr.com/photos/8764209@N07/sets/72157604969993501/
- Net_Map Toolbox. Eva Schiffer, https://netmap.wordpress.com/
- Net-Work, Patti Anklam, http://www.pattianklam.com/blog/
- Stakeholder mapping and evaluation http://betterevaluation.org/evaluation-options/mapping_stakeholders
- The Alignment, Interest and Influence Matrix (AIIM) http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6509.pdf
- A rich collection of resources on stakeholder mapping by Research2Action http://www.researchtoaction.org/2015/09/stakeholder-mapping-resource-list/

7.4.4 Impact Assessment, Monitoring and Evaluation

- The use of Indicators for the Monitoring and Evaluation of Knowledge Management and Knowledge Brokering in International Development, IDS, 2013. A very useful resource for thinking about KM impact assessment and M&E https://www.ids.ac.uk/files/dmfile/Knowledgeindicatorsworkshopreport8thMarch2013.pdf
- SMART toolkit for evaluating Information Projects, Products and Services, CTA/KIT/IICD, 2009 http://publications.cta.int/en/publications/publication/1557/
- A thoughtful blog piece from an influential and thoughtful KM4Dev practitioner, Ewen Le Borgne, reflecting on complexity, emergence and KM evaluation https://thegiraffe.wordpress.com/2009/12/17/monitoring-knowledge-management-an-impossible-task/
- Wenger-Trayner value creation framework for communities and networks http://wenger-trayner.com/resources/publications/evaluation-framework/

7.4.5 Communicating about a program KM strategy

- Successful Communication – tools for researchers and CSOs, ODI, 2005 http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/192.pdf
- 'The Information Ecosystem of (Southern) Policy Actors', IDS, 2012, is an excellent, contemporary source and a useful model for constructing surveys. https://www.ids.ac.uk/files/dmfile/WP401.pdf