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KNOWLEDGE MANAGEMENT STRATEGY FOR THE LEAST DEVELOPED COUNTRIES FUND AND THE SPECIAL CLIMATE CHANGE FUND

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Executive summary

1. In order to respond to a growing demand for lessons and good practices in climate change adaptation, it is crucial that the practices and processes by which knowledge is generated, captured, stored, shared and applied under the LDCF and the SCCF be conducted in the most coherent and results-oriented manner. To this end, the present strategy lays out a framework that fully integrates knowledge management in the LDCF/SCCF results framework, operational processes and stakeholder interactions.

2. Knowledge management is central to the mandate of the LDCF and the SCCF. By effectively sharing results and lessons on viable solutions the Funds can have a catalytic impact beyond that of their portfolios alone. LDCF/SCCF operations rely on a range of knowledge flows that span across project/program identification, design, implementation and evaluation. The Adaptation Monitoring and Assessment Tool and the Annual Monitoring Review enable knowledge to be harvested and shared at the portfolio level. The GEF Network as well as the Adaptation Learning Mechanism provide important means for sharing lessons with LDCF/SCCF stakeholders.

3. The LDCF and the SCCF are ideally placed to share practical knowledge of adaptation. Much of this knowledge, however, is currently tacit rather than systematic, explicit and codified. To ensure that relevant lessons and good practices are available to all relevant stakeholders, LDCF/SCCF operations must be guided by a coherent framework for knowledge management. This strategy proposes an overarching goal, specific learning objectives, and a set of guiding principles that fully integrate knowledge management in the LDCF/SCCF results framework, operational processes and stakeholder interactions. A two-year implementation plan proposes practical measures for operationalizing this strategy through strengthened project/program management, external communications, field-based learning, as well as human resources management.

Introduction

4. At its October 2009 meeting the LDCF/SCCF Council was presented with a four-year implementation strategy on results-based management (RBM) (*Implementation of Results-Based Management under the Least Developed Countries Fund and the Special Climate Change Fund*, GEF/LDCF.SCCF.7/4, October 15, 2009). The strategy identified learning and knowledge management (KM) as one of the areas on which RBM implementation will focus. KM; i.e. the ways in which knowledge is generated, captured, stored, shared and applied; was seen as crucial to the mandate of the LDCF and the SCCF, particularly given the limited knowledge of adaptation in practice. Accordingly, a set of learning objectives and knowledge products were proposed to integrate KM in LDCF/SCCF operations. The present strategy draws on these proposals and it is aligned with a parallel GEF Trust Fund strategy on KM (*GEF Knowledge Management Initiative: Strategic Framework and Work Plan for GEF-5*, GEF/C. 40, May 24–26, 2011)¹. This strategy lays out a framework that fully mainstreams KM in the LDCF/SCCF results architecture, operational processes and stakeholder interactions.

5. The LDCF and the SCCF support the implementation of concrete measures to reduce vulnerability, improve adaptive capacity, and promote the transfer of adaptation technology. There is a tremendous and growing demand for lessons and good practices in these areas, particularly among the most vulnerable countries and communities. The LDCF and the SCCF are ideally positioned to capture, store, share, and apply such lessons. Given the complex, multi-sectoral and multi-stakeholder nature of adaptation interventions, an effective and timely flow of knowledge not only enables the LDCF and the SCCF to meet their objectives, it is also pivotal in ensuring that the Funds remain transparent and accountable. There is, in short, a strong rationale for revisiting present KM practices in the LDCF and the SCCF and ensuring that these be conducted in the most coherent, consistent, and results-oriented manner.

¹ While drawing on the parallel GEF Trust Fund strategy, the present paper has been developed specifically with a view of the adaptation mandate of the LDCF and the SCCF, focusing in particular on the priorities in learning and knowledge sharing that bare on the performance of the two Funds. Nevertheless, wider reform of KM practices in the GEF Trust Fund is pivotal for the successful implementation of this strategy.

6. This strategy briefly presents the mechanisms through which knowledge is currently managed in LDCF/SCCF operations as well as the knowledge products and initiatives supported to date. The strategy then moves on to integrate KM in the LDCF/SCCF results architecture, introducing learning objectives to guide the ways in which lessons and good practices are harvested at a portfolio level. In addition, a set of guiding principles is proposed as a basis for improving KM across operational processes and practices. Annex I presents a two-year implementation plan for operationalizing this strategy.

Current practice

7. KM has been at the core of the LDCF and the SCCF since their inception. Established at the 7th Conference of Parties to the UNFCCC, LDCF was designed to support, *inter alia* the preparation and implementation of National Adaptation Programmes of Action (NAPAs), pivotal knowledge products required to identify and prioritize urgent and immediate adaptation measures in LDCs (FCCC/CP/2001/13/Add.4). Similarly, the initial SCCF programming document stresses the role of needs assessments and information networks to support measures in adaptation and technology transfer (*Programming to Implement the Guidance for the Special Climate Change Fund Adopted by the Conference of the Parties to the United Nations Framework Convention on Climate Change at Its Ninth Session*, GEF/C.24/12, November 17-19, 2004). KM is crucial in fulfilling both Funds' catalytic purpose. By effectively sharing results and lessons on viable solutions the LDCF and the SCCF can have an impact beyond that of their portfolios alone.

8. Knowledge flows through LDCF/SCCF operations in a variety of ways. At **(i) identification**, project and program proponents approach the GEF Agencies with information about adaptation priorities. During project and program **(ii) design**, baseline assessments and consultations help accumulate, process and fine-tune this information and communicate project priorities to government officials, managers, local communities and other relevant stakeholders. Moreover, the LDCF/SCCF review process helps apply the most recent scientific and technical knowledge as well as past lessons to strengthen present design. Throughout **(iii) implementation**, experiences are identified and shared in the encounters between project staff and target populations and results are monitored and reported in annual Project Implementation

Reviews (PIRs). These experiences and results form the basis of midpoint corrections and amendments to the original design. As a project or program is completed, an **(iv) evaluation** analyzes the information gathered during implementation and sheds light on the reasons for successes and shortcomings. The below diagram (Figure 1) illustrates these knowledge flows and identifies key KM priorities at each stage.

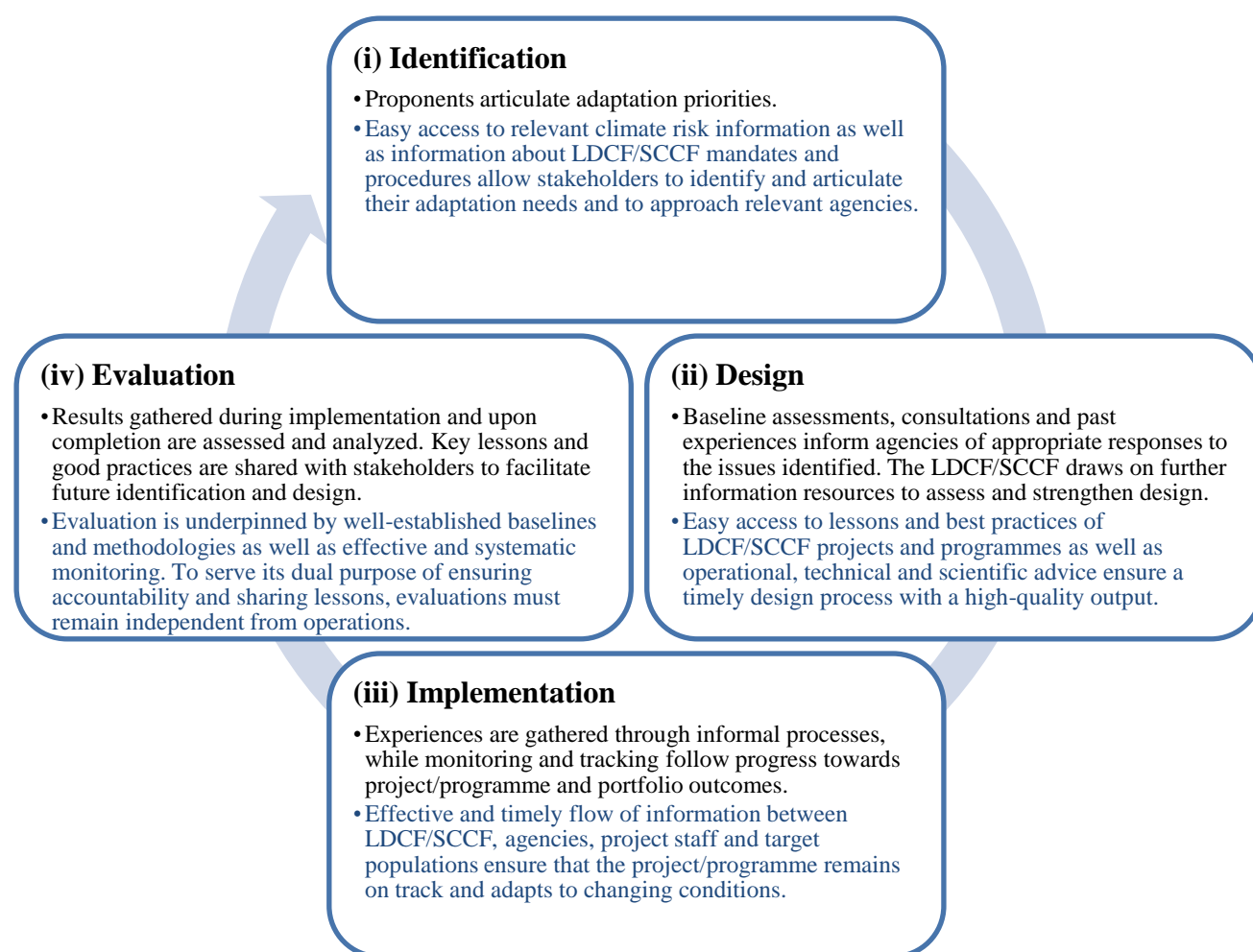


Figure 1: Knowledge flows and KM priorities in LDCF/SCCF operations

9. In addition to project and program management, KM folds into LDCF/SCCF operations in various ways at the portfolio level. The Annual Monitoring Review (AMR) provides an overview of the LDCF/SCCF portfolio along with principle results and lessons (*LDCF/SCCF Annual Monitoring Review*, GEF/LDCF.SCCF.10/6, May 26, 2011). In the framework of results-based management, an Adaptation Monitoring and Assessment Tool (AMAT) was launched in March 2011 to help measure progress towards portfolio-level outputs and outcomes. Once in use, AMAT will significantly facilitate the capture and storage of adaptation data, a prerequisite for focused KM. The monthly Adaptation Task Force meetings, in turn, provide a more informal forum for sharing lessons and good practices among GEF Agencies. Finally, the Scientific and Technical Advisory Panel (STAP) provides scientific and technical advice on GEF policies, strategies, programs and projects. A pending Council Document (*The Science of Adaptation: the Role of STAP in the LDCF and SCCF*, GEF/LDCF.SCCF.10/4, May 26, 2011) proposes to formalize the role of STAP in LDCF/SCCF operations with the aim of ensuring a consistent access to and application of scientific knowledge in adaptation projects and programs.

10. The LDCF and the SCCF are engaged in KM across their operations. In addition, the Funds draw on specific knowledge products and platforms. The Adaptation Learning Mechanism² (ALM) is a GEF-supported global knowledge platform on adaptation. By capturing the current state of knowledge on climate resilient development, ALM promotes the integration of adaptation in development actions by the GEF network, developing countries, and other stakeholders. ALM is a participatory platform that allows users not only to explore and retrieve information, but also to generate content themselves.

11. As projects and programs proliferate and progress, knowledge accumulates with key stakeholders, both internal and external to the LDCF and the SCCF. As a result, the Funds and their stakeholders have come to manage a wealth of knowledge assets for adaptation and technology transfer. Much of this knowledge, however, is tacit rather than systematic, explicit and codified. Moreover, relevant knowledge products supported by the GEF have so far not been

² The Adaptation Learning Mechanism was financed under the GEF Strategic Priority on Adaptation as a medium-sized project during GEF-3.

utilized and developed in a coordinated manner. ALM, in particular, can be used more effectively as a means of sharing information about LDCF/SCCF operations.

Knowledge management framework for the LDCF and the SCCF

12. To ensure that relevant lessons on adaptation and technology transfer reach all LDCF/SCCF stakeholders in a timely manner, the Funds must adopt a coherent results framework for KM. On the one hand, this calls on the LDCF and the SCCF to fully integrate knowledge management in their results architecture. In addition to their overarching objectives on adaptation and technology transfer, the Funds' operations should be monitored against specific *learning objectives*. On the other hand, the LDCF and the SCCF should revisit the existing mechanisms through which knowledge is generated, stored, shared and applied across their operations and their stakeholder interactions. To meet these demands, this strategy proposes the following framework.

LDCF/SCCF results framework³	Knowledge management framework
Goal: Support developing countries to become climate resilient by integrating adaptation measures in development policies, plans, programs, projects and actions	Goal: Generate, store, share and apply relevant, valid, reliable and timely knowledge of climate resilience to strengthen development policies, plans, programs, projects and actions
Overarching LDCF/SCCF objectives	Thematic learning objectives
Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level	Learning objective 1: Identify and share lessons and good practices on the nature and causes of climate vulnerability and the key success factors and risks associated with measures to reduce such vulnerability
Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level	Learning objective 2: Identify and share lessons and good practices on the nature of adaptive capacity; the causal relationships between development and adaptive capacity; and the key success factors and risks associated with

³ As presented in *Updated Results-Based Management Framework for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) and Adaptation Monitoring And Assessment Tool*, GEF/LDCF.SCCF.9/Inf.4, November 18, 2010.

	measures to enhance adaptive capacity
Objective 3: Promote transfer and adoption of adaptation technology	Learning objective 3: Identify and share lessons and good practices on the enabling conditions and practical mechanisms of technology transfer as well as the key success factors and risks associated with measures to promote the transfer of adaptation technology
Cross-cutting learning objectives	
Learning objective 4: Identify and share lessons and good practices on the ways in which LDCF/SCCF projects and programs contribute to policy-level measures to reduce vulnerability, enhance adaptive capacity and promote the transfer of adaptation technology	
Learning objective 5: Identify and share lessons and good practices on the conditions and forms of effective and equitable community participation in and ownership of LDCF/SCCF projects and programs	
Learning objective 6: Identify and share lessons and good practices on the enabling conditions and driving forces necessary for scaling up successful LDCF/SCCF projects and programs	
Guiding principles for KM in LDCF/SCCF operations and stakeholder interactions	
Transparent: In accordance with their mandate, the LDCF and the SCCF will be fully transparent in their operations, sharing information with appropriate parties in a timely manner and providing easy access to public information free of charge.	
Accountable: As they are for contributing towards their overarching objectives, the LDCF and the SCCF will be accountable for sharing lessons and good practices and working towards their learning objectives.	
Responsive: Emphasizing learning and continuous improvement, the LDCF and the SCCF will respond to valid lessons identified in their portfolio and by their stakeholders and revisit their results framework as well as its operational processes, procedures and tools accordingly.	
Demand-driven: Recognizing their unique positioning and valuable knowledge assets, the LDCF and the SCCF will respond to their stakeholders' knowledge demands in a timely and professional manner.	
Effective: KM is a tool to achieve and enhance the adaptation impact of LDCF/SCCF operations. Accordingly, knowledge products and initiatives are to be evaluated based on their effectiveness.	
Efficient: KM should contribute to streamlining operations and enhancing efficiency. Similarly, KM processes should be conducted in an efficient manner.	
Collaborative: Recognizing the complexity of climate change adaptation, the LDCF and the SCCF will proactively collaborate and seek synergies with their stakeholders in generating and sharing knowledge.	

Annex I: Two-year implementation plan

Goal: Generate, store, share and apply relevant, valid, reliable and timely knowledge of climate resilience to strengthen development policies, plans, programs, projects and actions		
Learning objectives <i>These objectives draw on the three overarching LDCF/SCCF objectives as well as cross-cutting priorities for the Funds' operations.</i>	Outcomes <i>These outcomes represent changes in KM practices that will enable and contribute towards achieving the learning objectives and strategy goal.</i>	Outputs and required resources <i>These are the outputs of specific and targeted activities to be undertaken to achieve the above outcomes.</i>
Learning objective 1: Identify and share lessons and good practices on the nature and causes of climate vulnerability and the key success factors and risks associated with measures to reduce such vulnerability Learning objective 2: Identify and share lessons and good practices on the nature of adaptive capacity; the causal relationships between development and adaptive capacity; and the key success factors and risks associated with measures to enhance adaptive capacity Learning objective 3: Identify and share lessons and good practices on the enabling conditions and practical mechanisms of technology transfer as well as the key success factors and risks associated with measures to	Outcome 1: KM systematically integrated into and strengthened across the project/program cycle	Output 1.1: An assessment of current knowledge flows and needs in the project/program cycle undertaken in collaboration with relevant stakeholders Output 1.2: Strategies, policies, operational guidelines and other documentation relevant for project/program identification, design and implementation re-organized and made available for easy access on thegef.org Output 1.3: All public project/program documentation re-organized, tagged and made available in a timely manner on thegef.org, relevant project information posted on ALM Output 1.4: LDCF/SCCF contact information and roles and responsibilities clarified on thegef.org to enable timely responses to queries and requests for assistance from external stakeholders Output 1.5: Learning objectives reflected in LDCF/SCCF reporting

<p>promote the transfer of adaptation technology</p> <p>Learning objective 4: Identify and share lessons and good practices on the ways in which LDCF/SCCF projects and programs contribute to policy-level measures to reduce vulnerability, enhance adaptive capacity and promote the transfer of adaptation technology</p> <p>Learning objective 5: Identify and share lessons and good practices on the conditions and forms of effective and equitable community participation in and ownership of LDCF/SCCF projects and programs</p> <p>Learning objective 6: Identify and share lessons and good practices on the enabling conditions and driving forces necessary for scaling up successful LDCF/SCCF projects and programs</p>		<p>Output 1.6: Key lessons, good practices and innovations systematically extracted from project Terminal Evaluations and evaluations of strategies and policies</p>
	<p>Outcome 2: KM systematically integrated into stakeholder interactions</p>	<p>Output 2.1: Learning and knowledge sharing activities integrated into the work of the GEF Network, including the Adaptation Task Force and interactions with government partners</p> <p>Output 2.2: Adaptation Learning Mechanism more closely integrated into LDCF/SCCF operations and stakeholder interactions, enabling in particular more effective and timely knowledge sharing with civil society and other relevant stakeholders in vulnerable countries</p>
	<p>Outcome 3: Lessons, good practices and innovations captured and shared across regions and adaptation objectives</p>	<p>Output 3.1: Targeted learning missions undertaken in partnership with agencies and STAP to project and program sites on a semi-annual basis to capture specific lessons and good practices relevant to the portfolio.</p> <p>Output 3.2: Project examples, lessons, good practices and innovations featured on thegef.org and ALM</p>
	<p>Outcome 4: Knowledge platforms and infrastructure strengthened to enable the effective and timely flow of information both internally and externally</p>	<p>Output 4.1: An assessment of existing knowledge platforms and infrastructure undertaken in collaboration with relevant stakeholders</p> <p>Output 4.2: Adaptation and LDCF/SCCF pages on thegef.org as well as LDCF/SCCF project/program data in PMIS developed and maintained based on user feedback</p>

	<p>Outcome 5: KM reflected in recruiting, training and management processes and practices</p>	<p>Outcome 5.1: Requirements on KM included in job descriptions and recruitment and promotion processes</p> <p>Outcome 5.2: KM processes included in staff induction and KM needs reflected in training priorities</p> <p>Outcome 5.3: KM reflected in performance agreements and evaluations</p>
	<p>Outcome 6: Knowledge products and initiatives systematically planned, prepared, shared and evaluated</p>	<p>Outcome 6.1: Knowledge products and initiatives planned in tandem with LDCF/SCCF work programs</p> <p>Outcome 6.2: Coherent procedures developed for preparing, sharing and evaluating knowledge products and initiatives</p>