



KNOWLEDGE MANAGEMENT GUIDELINES **for Water, Sanitation, and Hygiene**

Oromia Water and Energy Resource
Development Bureau



Contents

Acronyms	3
1. Purpose of the guidelines	4
2. Introduction and mandate of the organization	4
2.1 Scope	4
2.2 Vision	4
2.3 Mission	5
2.4 Stakeholder management and mapping	7
3. Knowledge management and its importance	8
3.1 What is knowledge management?	8
3.2 The value-add of establishing a knowledge management process and system	8
3.3 Principles of knowledge management	9
4. Approaches to knowledge management	10
5. Knowledge management and its importance	12
6. Roles and responsibilities	12
7. Approaches to knowledge management	16
7.1 Knowledge audit	16
8. Knowledge capture and sharing	17
8.1 Knowledge capture roles	17
8.2 Knowledge identification, capture and sharing in practice	18
8.3 Knowledge capture: recommendations for meetings and trainings	19
8.4 Knowledge acquisition techniques	19
8.5 Learning meetings and forums	19
8.6 Knowledge portal	20
8.7 Quality standards for knowledge captured	20
8.8 Storytelling	21
9. Knowledge supporting processes & creating a knowledge management culture	21
9.1 Leadership	22
9.2 Supporting HR processes	22
10. Knowledge management assessment and benchmarking (MEL)	25
11. Knowledge storage - information and communication technology	25
12. Sign off procedures and confidentiality clause	25
13. Annex	26
13.1 Annex 1: Induction Template	26
13.2 Annex 2: Handover Template	32
13.3 Annex 3: Guidance on documenting best practices	36
13.4 Annex 4: Individual KM Competencies and Indicators	38
13.5 Annex 5: Summary of collaboration for KM Implementation	39
13.6 Annex 6: KM Audit Tool	40

Acronyms

ICT	Information Communication Technology
GTP	Growth and Transformation Plan
HR	Human Resources
KM	Knowledge Management
NGOs	Non-governmental organizations
OWERDB	Oromia Water and Energy Resource Development Bureau
OWNP	ONE WASH Program Coordination Office
RER	Rapid evidence reviews
UN	United Nations
WASH	Water, Sanitation and Hygiene

1. Purpose of the guidelines

The Knowledge Management Guidelines for Oromia Water & Energy Resource Development (OWERDB) has been developed in consultation with the OWERDB knowledge management drafting team, which is comprised of representatives from different directorates. This document sets clear guidance for all OWERDB staff and managers on how to:

- Institutionalize effective learning processes to facilitate improvement of policies, strategies, and structures.
- Run an effective knowledge management system and associated processes.

OWERDB should consider knowledge as a strategic organizational resource and value its contribution to operational efficiency and effectiveness. The implementation of the guidelines will ensure knowledge retention and effective access to knowledge products, policies and regulations. It will also support processes that contribute to effective learning and knowledge management across the Bureau.

2. Introduction and mandate of the organization

2.1 Scope

Oromia Water and Energy Resource Development Bureau is one of the executive bodies in Oromia National Regional State. The Bureau is mandated to ensure the population of the region has access to a sustainable, safe water supply, to develop mineral resources of the region upon logical and strategic procedures. It also works towards improved and developed renewable energy resources and contributes towards the conservation of natural resources of the region.

The Oromia Water and Energy Resource Development Bureau has 20 zonal and 300 rural woreda structures. There are seven Grade I, 25 Grade II, 23 Grade III, 24 Grade IV and 24 Grade VI water supply and sanitation enterprises/utilities that represent towns at different statuses. Currently, there are more than 67,000 types of rural water supply schemes in the region.

The Bureau has a total of 396 employees at the head office level. The Bureau has nine core-process Departments (Directorate), 4 programs, six Supportive Process Departments (Directorate) and 5 cross-cutting departments.



2.2 Vision

OWERDB's vision is to see a region with provision of sustainable safe drinking water services; mineral resources contributing to the economic development of the country; and supply of energy to satisfy public needs to contribute to the socio-economic development of society.

¹ Source: translated from Proclamation No. 213/2011 E.C approved to restructuring and re-defining mandates and responsibilities of executive/administrative bodies of the Oromia Regional State. (Labsii Qaamolee Raawwachiiftuu Mootummaa Naannoo Oromiyaa Irra Deebiidhaan Gurmeessuu, Aangoofi Hojii Isaanii Murteessuuf Bahe Lak. 213/2011)

The Bureau shall have the following powers and duties.

- Implement the policies, laws and strategies of the Federal and Regional Government on water and mineral resources development;
- Bring balanced and equitable of usage of water in the basin, supervise its execution;
- Issue license and certificate for those who intend to engage in consultancy, construction works and import water equipment regarding water resource development and mineral resources, supervise and examine;
- Undertake water development works, inspect its quality, operate works related to the sanitation of water, protect water resources from pollution and mineral resource management;
- Administer the water and mineral resources of the region;
- Ensure whether any water work design and construction meet the water needs for those living in arid and draught affected areas, coordinate emergency water supply program;
- Facilitate conditions for the independent administration of urban water supply services and their dependents;
- Issue standards for different water works and water services related technology including equipment from time to time, follow up and supervision of its implementation;
- Study, organize and collect data regarding water resource distribution and quantity, perform water design and construction control;
- Supervise business, distribution, sale, pipeline and meter installation of water without having legal license, take necessary measures in addition to disconnecting the line;
- Have power to install or transfer pipelines across the possession of anybody to distribute water for the beneficiaries;
- Undertake water development studies on rivers, outer surfaces and underground, submit proposal to the government on how to be used;

- Study and design water projects that can serve urban and rural communities;
- Support construction, supervise and empower the public to participate from study to the completion of the stage construction level.

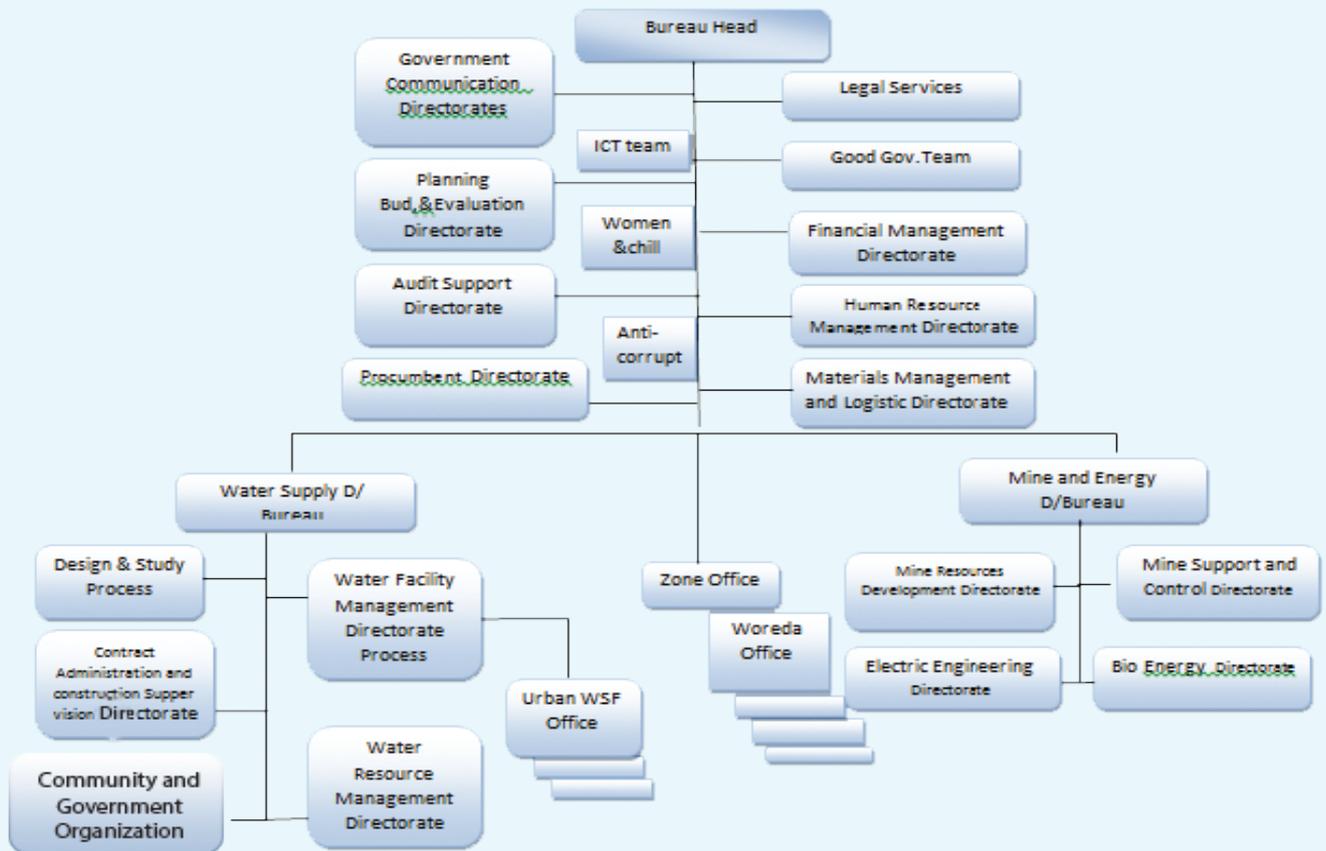
2.3 Mission

OWERDB's mission is to identify and reveal the water, mines and energy resources of the region and provide reliable clean drinking water, develop mining resources and provide sufficient energy sources for the society, creating a better quality of life.

OWERDB's values are as follows:

- Accountability;
- Transparency;
- Effective service;
- Readiness to change;
- Respect to culture and values of community;
- Participation.

OROMIA WATER AND ENERGY RESOURCE DEVELOPMENT BUREAU



Source: Oromia National Regional State Civil Service and Good Governance Bureau,

Figure 1: Oromia Water & Energy Resource Development Bureau (2018)

2.4 Stakeholder management and mapping

OWERDB interacts with a range of governmental and non-governmental organizations. It also works with bi-lateral and multi-lateral donor agencies, academic institutions and NGOs. The flow of its interaction with different actors is described in Figure 2 below.

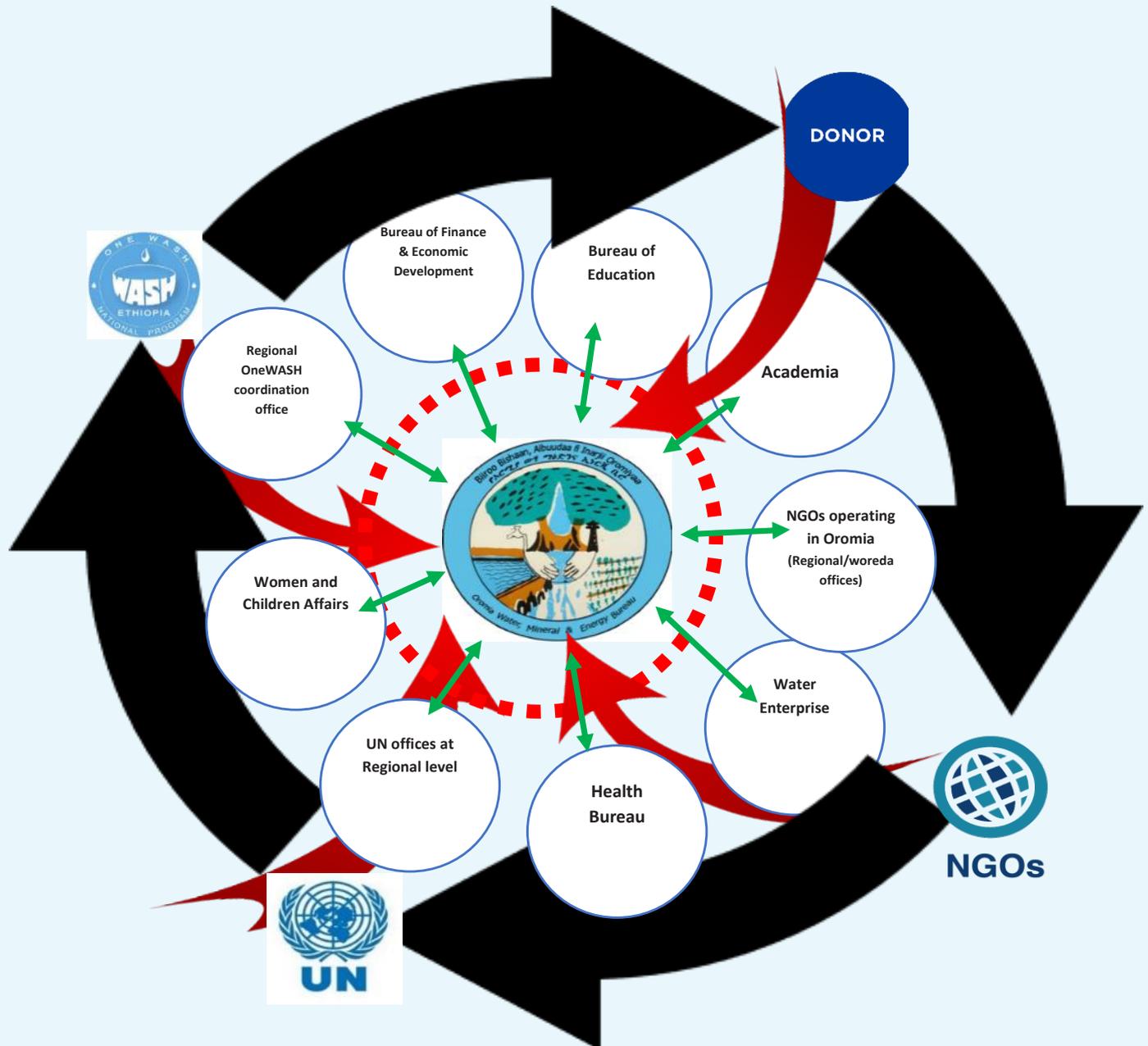


Figure 2: OWERDB relationships map

This figure shows the direct relationships between OWERDB and other Bureaus in Oromia Region. There is a two-way relationship between the OWERDB and other bureaus and directorates at the Ministry level. This means that the flow of information, knowledge and points of contact are necessary on both sides. It also shows that each sector office requires direct relationships with each other. Similarly, donors, NGOs, the One WASH Coordination office and the UN Regional offices have two-way relationships among themselves. All of these relationships and communication channels should be considered while continuing to build the Knowledge Management System.

3. Knowledge management and its importance

3.1 What is knowledge management?

Knowledge management is the process of generating/creating, sharing, using and managing the knowledge and information of an organization. It refers to a multidisciplinary approach to achieve organizational objectives by making the best use of knowledge. **It is about making the right knowledge available to the right people** and ensuring that an organization can learn, and will be able to retrieve and use its knowledge assets in current applications, as needed.

Two major types of knowledge are identified in OWERDB:

- **Explicit Knowledge:** codified knowledge found in documents and databases. Some examples of explicit knowledge that exists in OWERDB are policies, by-laws, guidelines, regulations, maps and strategic plans;
- **Tacit Knowledge:** know-how rooted in experience, practice or in the mind of an expert transferred through socialization, mentoring and coaching. This is the most common type of knowledge that exists in the Bureau.

3.2 The value-add of establishing a knowledge management process and system

Knowledge management is a critical process that enables OWERDB to achieve its mandate and vision. There are many benefits to establishing and enforcing a knowledge management process and system, such as:

- i. Improving learning from successes and failures with regards to implementing the right strategies and projects so that failures are not repeated.
- ii. Exploiting existing knowledge assets by enabling sharing between the different directorates/ departments and between the Federal, Regional and woreda levels.
- iii. Enabling OWERDB to develop the right organizational competencies and skills and improve knowledge.
- iv. Encouraging innovation as knowledge will be used and adapted regularly.
- v. Protecting key organizational knowledge from being lost and protecting organizational memory.
- vi. Motivating staff, improving work relations and reducing time and effort spent on 're-inventing the wheel'.

3.3 Principles of knowledge management

In an organization, knowledge is everywhere. It is the by-product of most work and guides future strategies, work and approaches. Organizational strategies, programs, projects, processes and communications depend on knowledge. In order for the knowledge management processes to succeed, OWERDB staff need to take responsibility and have the support of senior management.

This section presents the knowledge management principles of OWERDB (listed below) which are a set of guidelines for effective knowledge management. The process of establishing principles is one of the most effective actions senior management can take to support the knowledge management system.

- i. **Knowledge is a valuable asset:** Knowledge is an asset that should be managed, just like capital assets. Explicitly stating that knowledge is a valued asset makes it clear that teams are expected to manage and protect it.
- ii. **Knowledge is decentralized:** All knowledge creation should be decentralized, meaning that teams closest to knowledge generation are responsible for learning and documentation.
- iii. **Knowledge is stored in a central repository:** Teams and individuals shouldn't save knowledge in their own temporary repositories. Rather, all knowledge should be stored in one central repository. The knowledge repository (knowledge portal) should allow teams and users to create their own knowledge spaces.
- iv. **Knowledge is quality controlled:** OWERDB will develop quality guidelines that include the author's name and is reviewed by an immediate line manager or appropriate Director.
- v. **Knowledge is maintained and easily accessible:** Knowledge is more valuable when it is accessible to a wide audience. A valid and strong justification should be provided to restrict access to knowledge. OWERDB will apply privacy and confidentiality to limited areas as specified in section 12 of the KM guidelines (sign off procedures and confidentiality clause).
- vi. **Knowledge is searchable:** 'Search' functionality is a critical tool for knowledge discovery. Both the online KM portal and OWERDB's physical library will prioritize search functionality.
- vii. **Work produces knowledge:** Every program, project and process should generate knowledge. This could be translated into policy documents, learning documents, by-laws and/or the documentation of processes such as meetings or field visits conducted by OWERDB. Directors should monitor how many knowledge products are generated and their quality on a quarterly basis.
- viii. **Continually refresh knowledge:** Knowledge is not static, it goes out-of-date. Therefore, it needs to be continually refreshed with new knowledge being developed, captured and shared on an ongoing basis.
- ix. **Knowledge is accessible:** Captured knowledge should be easily accessible to a wide audience. While the Knowledge Management processes and system set out in these guidelines will increase access to knowledge, some information may be confidential. OWERDB should develop its privacy and confidentiality policy to address this. Systems to make knowledge products easily available to users must be developed and strengthened.
- x. **Knowledge is measured:** Knowledge quantity and quality is measured and can be regularly evaluated as detailed in Section 10 of these guidelines. OWERDB should monitor and measure the number of knowledge products created, the number of active users and improvement of knowledge management processes.
- xi. **Knowledge drives improvement:** Knowledge Management and understanding what we know and don't know enables us to make evidence-based decisions, address shortcomings, adapt and improve our work.
- xii. **Knowledge is sustained:** Knowledge processes must be sustained and improved over time. To ensure sustainability, knowledge processes need to be integrated with planning and reporting processes.

4. Approaches to knowledge management

OWERDB will be applying a knowledge management program that integrates both knowledge codification and person-to-person interactive techniques to encourage knowledge capture and sharing. The organization is thus prioritizing:

- i. The production of best practice/learning documents that include processes of critical reflection, communication, application and adaptation.
- ii. The establishment of internal learning and sharing platforms: including learning, research, in-depth analysis and sharing between a network of people.
- iii. The development and maintenance of a knowledge portal as a key point of access for retrieving organized knowledge.
- iv. Human resources (HR) management support, which will develop the right HR processes to manage tacit knowledge in the organization.
- v. Investment in and maintenance of Information Management (ICT) based tools aimed at catalyzing the presentation of accurate knowledge for knowledge sharing.

This approach can be translated into action through the learning process depicted in Figure 3 below. This incorporates key, integrated processes to capture, share, store and disseminate knowledge.

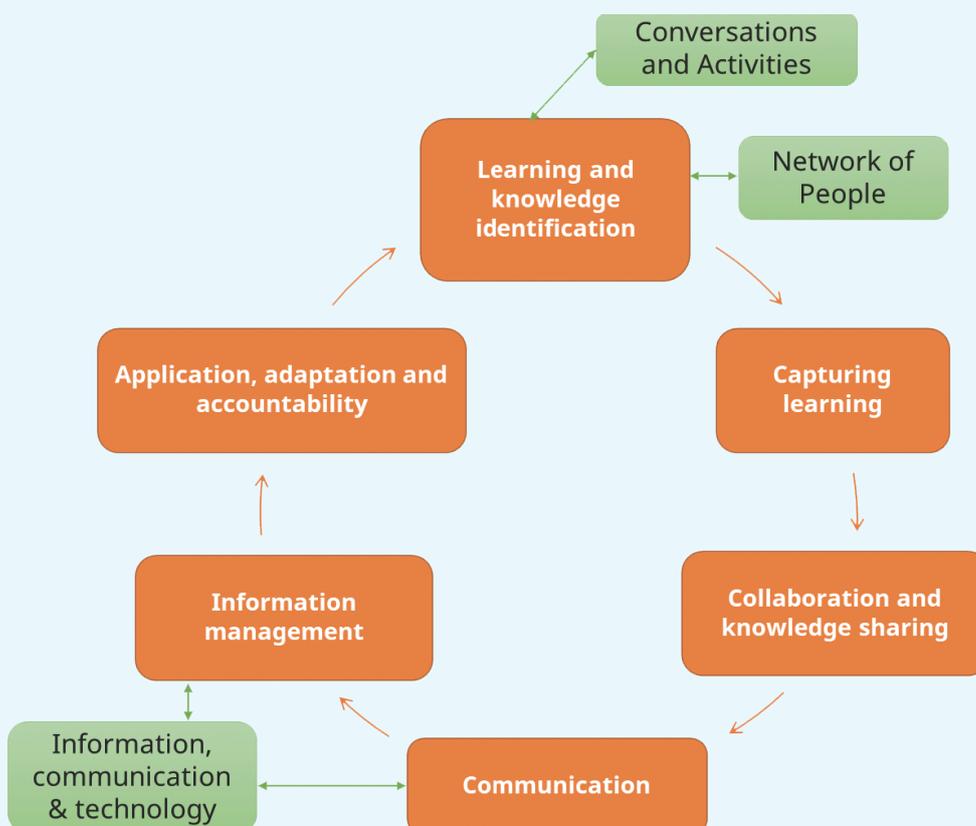


Figure 3: Learning process

Figure 4 below shows how knowledge management, when truly practiced, can inform the leadership of an organization such as OWERDB to support positive decision-making. A prevailing culture of knowledge sharing and further support to human resources will allow knowledge management to thrive and reach the level of informing and influencing leadership at the decision-making level. It is also essential that knowledge sharing mechanisms (e.g. a knowledge portal) and learning forums are instated to make knowledge easily accessible and available for use. All these enabling factors and sharing mechanisms are dependent on the availability of policy processes and documents from the side of the organization i.e. the Ministry of Water, Irrigation and Energy.

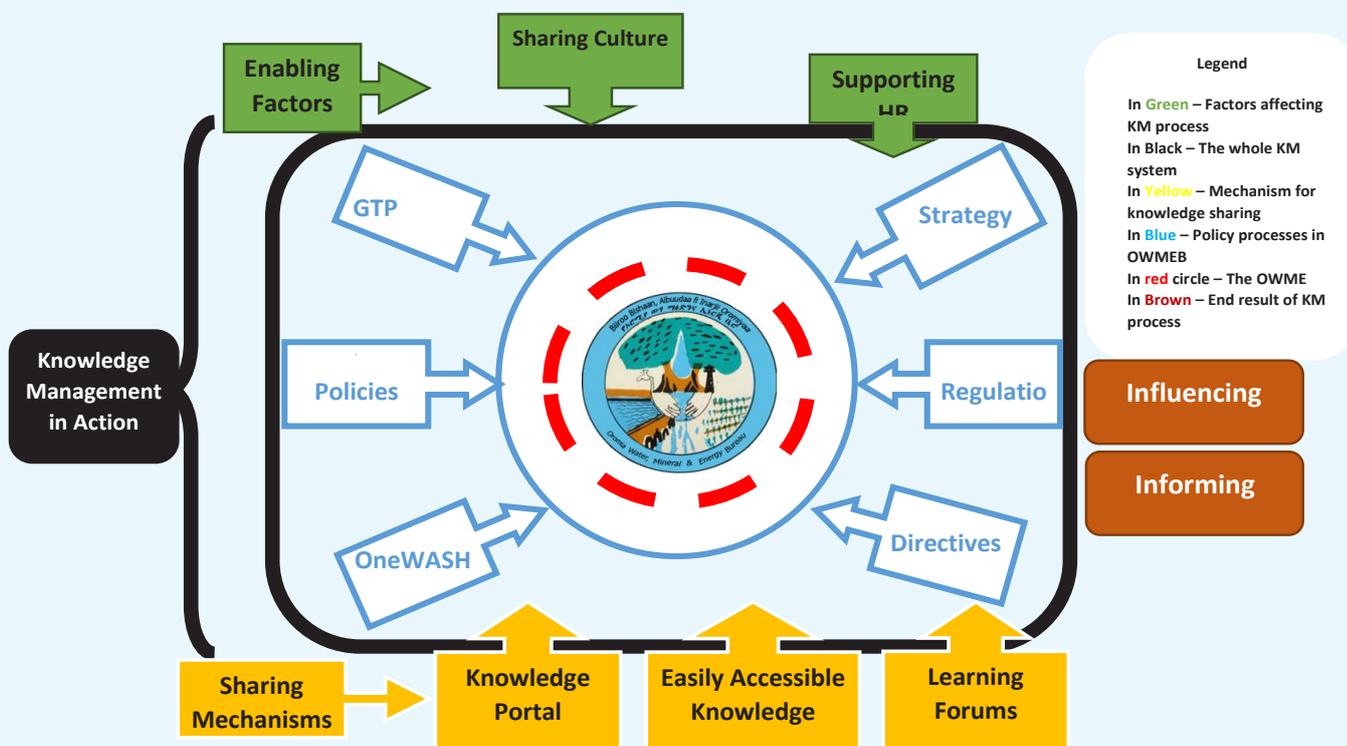


Figure 4: OWERDB Knowledge Management Architecture

5. Knowledge management and its importance

Knowledge management in OWERDB is deployed through an executive framework which includes authority, strategy development, organizational culture, risk management and evaluation and measurement.

Knowledge management will enable the organization to learn from past mistakes and successes, protect its key knowledge and competencies from being lost or copied, develop the right competencies and skills, use knowledge from one department to another and enhance ability to innovate.

6. Roles and responsibilities

To introduce and sustain knowledge management practices at OWERDB, it is essential that staff take the responsibility for knowledge management as part of day-to-day work. To address this, the Knowledge Management Guidelines drafting team conducted a mapping exercise which identified specific knowledge management responsibilities for existing staff roles; and where appropriate, the creation of a new staff role. To make knowledge management a reality at OWERDB, the taskforce recommended the adoption of the following new responsibilities:

Senior Management (Bureau head and Deputy Bureau head)	Accountable for: Overall strategic direction, resourcing and implementation of Knowledge Management at OWERDB.
Directors of Planning Budget & Evaluation, Procurement, Government Communication, Materials Management Logistics, Water Supply Directorates	Accountable for: The practice of knowledge management within the directorate, including identifying a Knowledge Management Product & Project Owner; and producing at least 3 best practice/learning products a year.
Knowledge Management Advisory Group (An established advisory group which is accountable to the Bureau head)	Accountable for: Advising on strategic direction and implementation of Knowledge Management at OWERDB.
Knowledge Management Unit / To be established or assigned by OWERDB	Accountable for: Practical implementation of KM; Providing support to HR on KM induction and training of staff; Providing guidance for staff on KM processes and system (KM portal).
Knowledge Management Enabling Functions (Team Leader of ICT Team, HR, Planning Budget and Evaluation, Government Communication Directorates)	Accountable for: Enabling Knowledge Management culture and practice.
Knowledge Management Product & Projects owners This is not the creation of a new role; these responsibilities are to be embedded within a suitable existing role.	Responsible for*: Capturing, sharing and communicating knowledge and learning products by liaising with staff on behalf of the directorate, program or project. *The relevant Director & process owner is accountable
Staff with line management responsibilities	Responsible for: Completing KM training, ensuring staff supervised complete the KM training. *The relevant Director & process owner is accountable.

6.1 All staff are responsible for:

Completing the knowledge management training (link to knowledge management modules) and ensuring the staff they supervise have taken the training and are implementing the knowledge management guidelines.

6.3 Directors (Directors of Planning Budget & Evaluation, Procurement, Government Communication, Materials Management Logistics, Water Supply Directorates Quality) are responsible for:

- 6.3.1 Ensuring their team members are properly inducted on their knowledge management responsibilities.
- 6.3.2 Ensuring that their Directorate regularly captures knowledge and reports progress on a quarterly basis.
- 6.3.3 Assigning a point of contact (also called the KM Product & Project owner) in their directorate to upload and share new knowledge.
- 6.3.4 Ensuring that monthly team internal meetings are conducted (meetings will focus on lessons learned, successes, challenges and what can be done differently, and will be documented).
- 6.3.5 Ensuring the Directorate produces at least three best practices/learning products per year.

6.2 Senior Management (Bureau Head and Deputy Bureau Head) are responsible for:

- 6.2.1 Ensuring KM is owned and guided by Senior Management.
- 6.2.2 Ensuring that responsibilities for KM are implemented via reporting processes.
- 6.2.3 Ensuring that a Knowledge Management Manager is appointed to the KM Unit to coordinate and facilitate KM approaches.
- 6.2.4 Ensuring that budget is allocated to implement and resource the knowledge management activities set out in these guidelines.
- 6.2.5 Ensuring KM is integrated into annual budgeting cycles and processes.
- 6.2.6 Ensuring that the already established cross-functional steering or advisory committee for KM is chartered and operational.
- 6.2.7 Monitoring the number and quality of knowledge products generated by each directorate on a quarterly basis.

6.4 The new role of Knowledge Management Manager is responsible for:

- 6.4.1 Advocating and promoting the value of KM to directors and staff.
- 6.4.2 Leading the KM unit to coordinate and facilitate KM approaches.
- 6.4.3 Leading and organizing KM induction and refresher trainings in coordination with HR.
- 6.4.4 Scheduling and advertising learning and reflection sessions.
- 6.4.5 Facilitating KM trainings in collaboration with the HR Directorate.
- 6.4.6 Ensuring barriers to sharing and using knowledge are identified and addressed.
- 6.4.7 Ensuring training and e-learning opportunities are provided for all staff.
- 6.4.8 Conducting the following tasks in the knowledge management portal:
 - 6.4.8.1 Update, edit and maintain Content Management System (CMS).
 - 6.4.8.2 Create staff profiles and set their credentials.
 - 6.4.8.3 Authenticate user credentials to view profiles.
 - 6.4.8.4 Update and ensure overall staff profile information is up to date.

6.5 There will be a Knowledge Management Product & Project owner assigned by each directorate. This is not the creation of a new role; these responsibilities are to be embedded within a suitable existing role. The Knowledge Management Product & Project owner is responsible for:

- 6.5.1 Being an active champion of KM in each directorate.
- 6.5.2 Representing Directorates to receive/communicate knowledge products, thereby enabling knowledge flow.
- 6.5.3 Compiling knowledge outputs in the directorate.
- 6.5.4 Providing induction to new team members on the KM guidelines.
- 6.5.5 Uploading new knowledge products, research and reports on the knowledge portal.
- 6.5.6 Editing, deleting and removing outdated knowledge products from the knowledge portal.
- 6.5.7 Defining access levels of documents: high (confidential Bureau Head and Deputy Bureau Head only), medium (all OWERDB staff), public (accessible to WASH sector partners).
- 6.5.8 Providing updates on knowledge management status of the Directorate in quarterly and annual reports and providing updates to the Director.

6.6 System Administrator of Knowledge Management Portal is an assigned staff member from the ICT team responsible for:

- 6.6.1 Providing login access for internal staff and deleting access when staff leave the organization.
- 6.6.2 Backing up information according to the IT policy (link).
- 6.6.3 Monitoring performance of the KM portal.
- 6.6.4 Providing KM portal maintenance support to ensure it is properly functioning.

6.7 Government Communication Directorate is responsible for:

- 6.7.1 Supporting each directorate in documenting their work by producing high resolution photographs and high-quality video.
- 6.7.2 Uploading selected photos and videos to the KM portal.
- 6.7.3 Ensuring internal KM communication products are aligned with a cohesive “brand”.
- 6.7.4 Ensuring a formal KM communication is developed to manage KM messaging.
- 6.7.5 Ensuring basic concepts and benefits of KM are discussed by early adopters and KM advocates.

6.9 Planning Budget & Evaluation Directorate is responsible for:

- 6.9.1 Ensuring that Knowledge Management related tasks are included in the Directorates’ quarterly and annual plans and reports.
- 6.9.2 Summarizing Knowledge Management progress and challenges to Senior Management based on reports provided by Directorates.
- 6.9.3 Conducting/facilitating a yearly knowledge management audit to assess, benchmark and analyze KM efforts.

6.8 Human Resource Management Directorate is responsible for:

- 6.8.1 Ensuring that KM competencies are embedded across the Ministry.
- 6.8.2 Ensuring that KM resource requirements are determined collaboratively between the KM unit and directorates.
- 6.8.3 Ensuring that resigned or retired staff no longer have password access.
- 6.8.4 Ensuring that new staff have received a proper induction as per the Knowledge Management Guidelines and the Induction Template in Annex 1.
- 6.8.5 Ensuring that handover notes are completed/on file before OWERDB staff formally leave their role.
- 6.8.6 Organizing knowledge management trainings, in collaboration with the Knowledge Management Manager, at least twice a year for all OWERDB staff.
- 6.8.7 Developing annual succession, phased retirement and mentoring plans on an annual basis for review and approval by the senior management and each Directorate Director.

7. Approaches to knowledge management

Knowledge assessment review involves assessing existing knowledge resources in the organization. This process enables an organization to understand the knowledge resources it possesses and the knowledge it lacks to fulfil its policy and strategic goals (e.g. OWERDB Guidelines and Regulations, OWERDB GTP II and OWN Phase II). A knowledge assessment should aim to enhance organizational capabilities and related competencies to improve efficiency and effectiveness.

OWERDB will maintain a database/record of key documents produced such as policies, guidelines, strategic plans, annual plans/reports, OneWASH plans/reports, annual WASH plans, maps and research documents, etc. This database will enable a knowledge assessment as it stores regular records and documentation in one place, making it easier to access within the OWERDB.

7.1 Knowledge audit

OWERDB commits to conducting annual knowledge audits to identify gaps in knowledge management processes and make the adequate changes. The audit will be led by the Knowledge Management Unit in the Research and Development Directorate with full support from the senior management of OWERDB. The knowledge audit will include, but is not limited to:

- i. **KM strategy & leadership:** Does the organization use the Knowledge Management Guidelines? Does it have a knowledge vision and strategy actively promoted by the Bureau Head that clearly articulates how knowledge management contributes to achieving organizational goals?
- ii. **Roles and responsibilities for KM:** Have specific staff been identified as key point people (Knowledge Management Product & Project Owners)? Are roles and responsibilities for knowledge management clear?
- iii. **KM awareness and capacity:** Have all staff been briefed on the knowledge management guidelines of the organization, including new staff, when they join? Have senior managers and professionals been trained to enable knowledge management? Does the organization have adequate knowledge management and information management staff that coordinate knowledge repositories (library and knowledge management portal) and act as point people for the provision of information to support key decision-making?
- iv. **KM systems:** Does the organization have systematic processes for gathering, organizing, using and protecting key knowledge assets, including those from external sources? (main partners, Figure 2)
- v. **KM technology:** Is there a rigorously maintained catalogue of knowledge products on the Knowledge Portal that clearly identifies knowledge owners and is readily accessible across the organization? Can all important information be easily found and accessed by new users on the portal? Is knowledge properly maintained and protected? Does an policy exist so that copies of old documents are timely archived?
- vi. **Knowledge capture and sharing:** What knowledge is produced by the organization? Who produces and uses it? How frequently is it used? Where is the knowledge stored? Has knowledge that has already been produced been reviewed for quality and quantity? Does it link to strategic objectives and identified knowledge gaps? Is a knowledge update happening regularly? Does the organization know who the best experts are for different fields?
- vii. **Reflection:** Do planned and structured reflection processes routinely take place for key areas of work? Are lessons from reflection used to shape and improve future practice? Are staff encouraged to acknowledge, accept and learn from mistakes?

viii. Culture/Structure: Is knowledge sharing across departmental boundaries actively encouraged and rewarded? Does the workplace setting, and format of meetings encourage informal knowledge exchange? Is knowledge management discussed as part of staff performance and appraisal?

ix. Institutional memory: Is there a handover process for all instances of staff changing roles or leaving?

8. Knowledge capture and sharing

Knowledge management initiatives should be both a collective practice and responsibility that is part of everyday ways of working. It is essential to highlight that knowledge can and should come from anyone in the organization, from the most experienced employee to the most newly hired. Regularly scheduling knowledge sharing sessions, during which employees take turns presenting to the team about a learning issue, will encourage employees at all levels to capture knowledge on a regular basis.

8.1 Knowledge capture roles

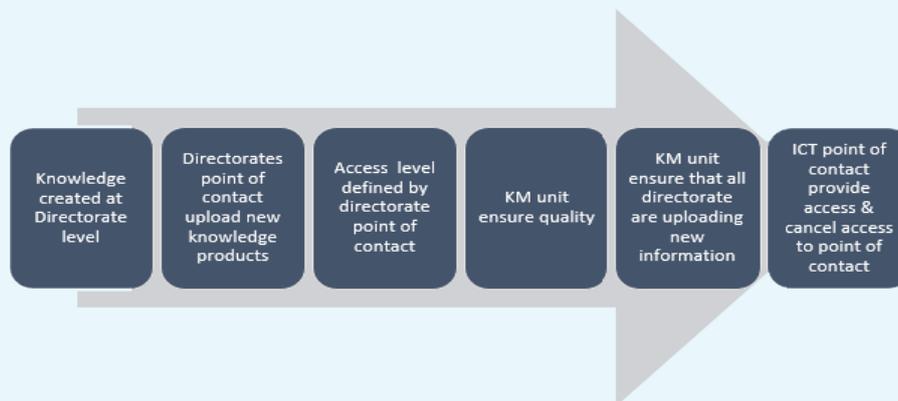


Figure 5: Knowledge Capture: overview of roles

8.2 Knowledge identification, capture and sharing in practice

Knowledge management will be embedded into the responsibilities of staff and processes. The process flow illustration below sets out how this happens in practice. Please see Annex 5 for explanation of where accountability and responsibility lie for the collaborative process of knowledge capture.

Each of the following five Directorates & processes will follow the process outlined below to identify, capture, share, communicate and apply knowledge:

- Water Supply Directorate
- Water Resource Management Directorate
- Water Facility Management Directorate
- Design and Study Process
- Community and Non-governmental Organization Coordination Process

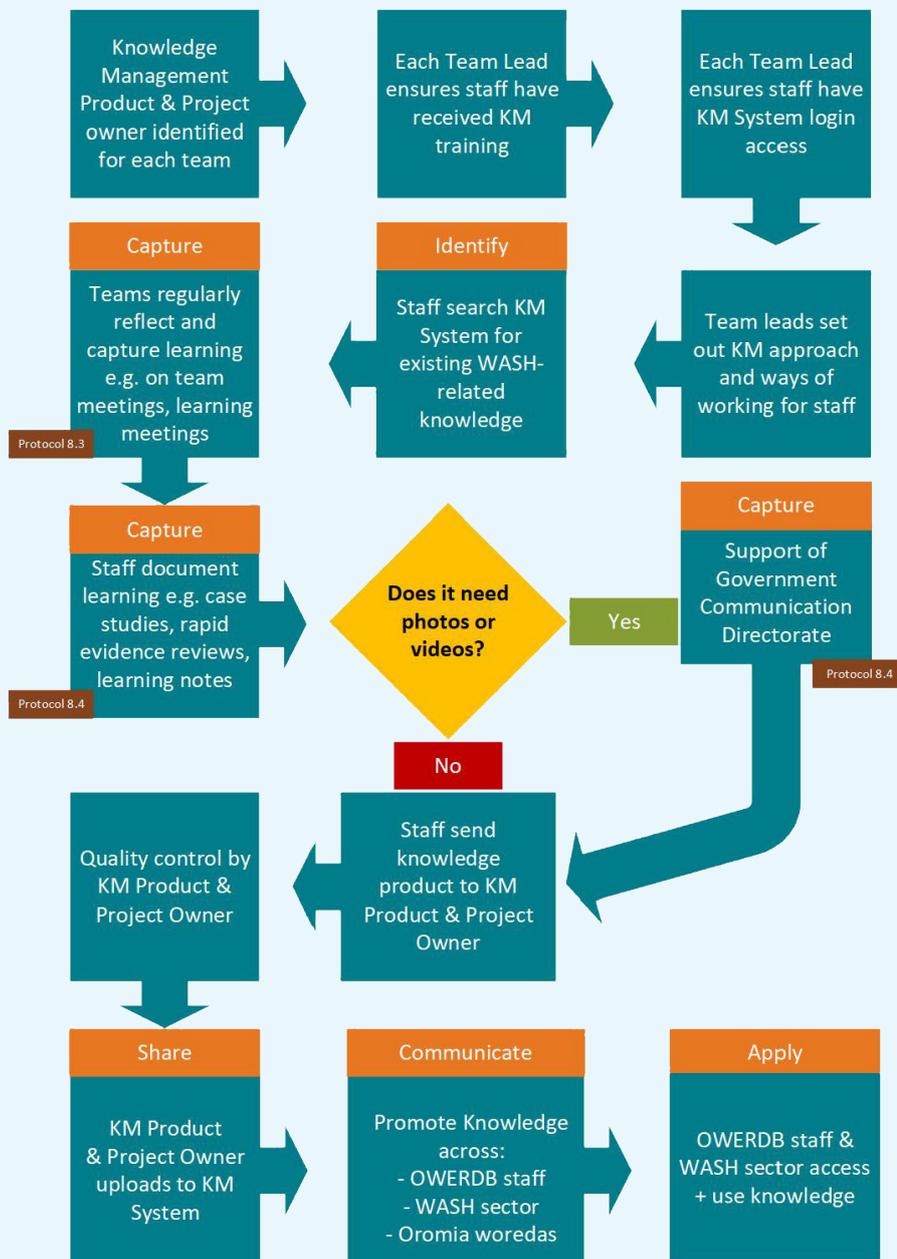


Figure 6: Knowledge capture in practice as part of the knowledge management process

8.3 Knowledge capture: recommendations for meetings and trainings

Several team meetings and trainings are conducted at OWERDB. Experts also attend various external trainings and meetings. To generate and track lessons, all directorates and departments are recommended to conduct internal monthly meetings and review programs, projects and activities. During the monthly internal meetings, experts will mainly discuss the following areas and record discussions and recommendations over time:

- i. What lessons were learned and why? Please explain.
- ii. During the process of the project, how were lessons learned adapted in practice?
- iii. What were the successes and why?
- iv. What aspects of this project/experience were most challenging?
- v. What made these changes happen?
- vi. What should be done differently next time?

8.4 Knowledge acquisition techniques

Knowledge capture is the responsibility of all staff. Directors and managers should be encouraged to organize cross-departmental and intradepartmental learning meetings where staff can share knowledge and learning. Line managers should encourage staff to collect stories and document learnings from projects and research studies. New work should always build on the foundation of previous knowledge. New knowledge should be captured and stored appropriately for others to access and learn from.

A variety of recommended knowledge acquisition techniques are listed below:

- i. Case study: Narrative recording of a project's progress and outcomes. A minimum of 3 case studies will be expected from each Directorate on an annual basis.
- ii. Rapid evidence reviews (RER): RER is a way of reviewing research and evidence on a particular issue. It looks at what has been done in an area and records the main outcomes, producing an overview of the knowledge base. Such reviews produce evidence that enables new projects to build on lessons learned from previously conducted projects.

- iii. intellectual capital that can be applied and reused in other situations. There is no specific format for the documentation, but a person can likely learn through the experiences of others when those experiences are articulated through an oral or written narrative. Managers can understand not only how to solve a problem, but also why the solution works. All project managers should ensure that their staff contribute to learning and are responsible in reflecting on lessons and capture that for sharing. Key questions can be: what did you learn? What are the successes and why? And what can be done differently?
- iv. Research: Evidence-based materials addressing a research problem or hypothesis are essential to capturing knowledge. The Research and Development Directorate at MOWIE produces various research documents and journals. Annual journals that are related to Oromia Region and to the WASH sector in general will be made available to users in OWERDB.
- v. Video and Photography: The Government Communication Directorate will assign a staff member to support each directorate in producing high-resolution stills/photographs and high-quality video showing the activity performed under a project or program. Videos should be saved in an editable and shareable format and shared widely in the Bureau Knowledge Management portal. The video should give a quick synopsis and depiction of the problem that the project/program is trying to resolve, how the outcomes can be sustained, and key lessons learned.

8.5 Learning meetings and forums

Learning meetings will be organized at the OWERDB level on quarterly basis and advertised in advance by email and in the advert board. The topic for discussion or the case story to be presented will be publicized. The Knowledge Management Unit will organize the learning event and record and share with all OWERDB staff.

8.6 Knowledge portal

Knowledge portals or banks are online platforms and resources which hold information, learning and support, thereby giving OWERDB staff the resources to review policies, guidelines, previous reports and case stories from various projects in the organization. These portals are typically used to showcase the work of an organization and provide signposts to documents, articles and toolkits.

OWERDB’s Knowledge Management Portal - www.knowledgemanagementOWERDB (to be developed) will soon be launched to provide updated resources to staff. It will be regularly updated by the Knowledge Management Unit and other assigned staff from each directorate. Directors at OWERDB will ensure that up-to-date resources, documents and manuals are regularly uploaded onto the KM portal.

8.7 Quality standards for knowledge captured

Developing and maintaining quality standards for knowledge management is essential. These apply especially to new content uploaded to the KM portal. Quality control ensures that newly uploaded content is relevant, useful, reliable, well-written and branded. Without quality control, content quickly becomes redundant and out-of-date, making useful knowledge hard to find. The following process flow illustration sets out the steps for maintaining quality. For details on accountability and responsibility for maintaining knowledge quality, see Annex 5.

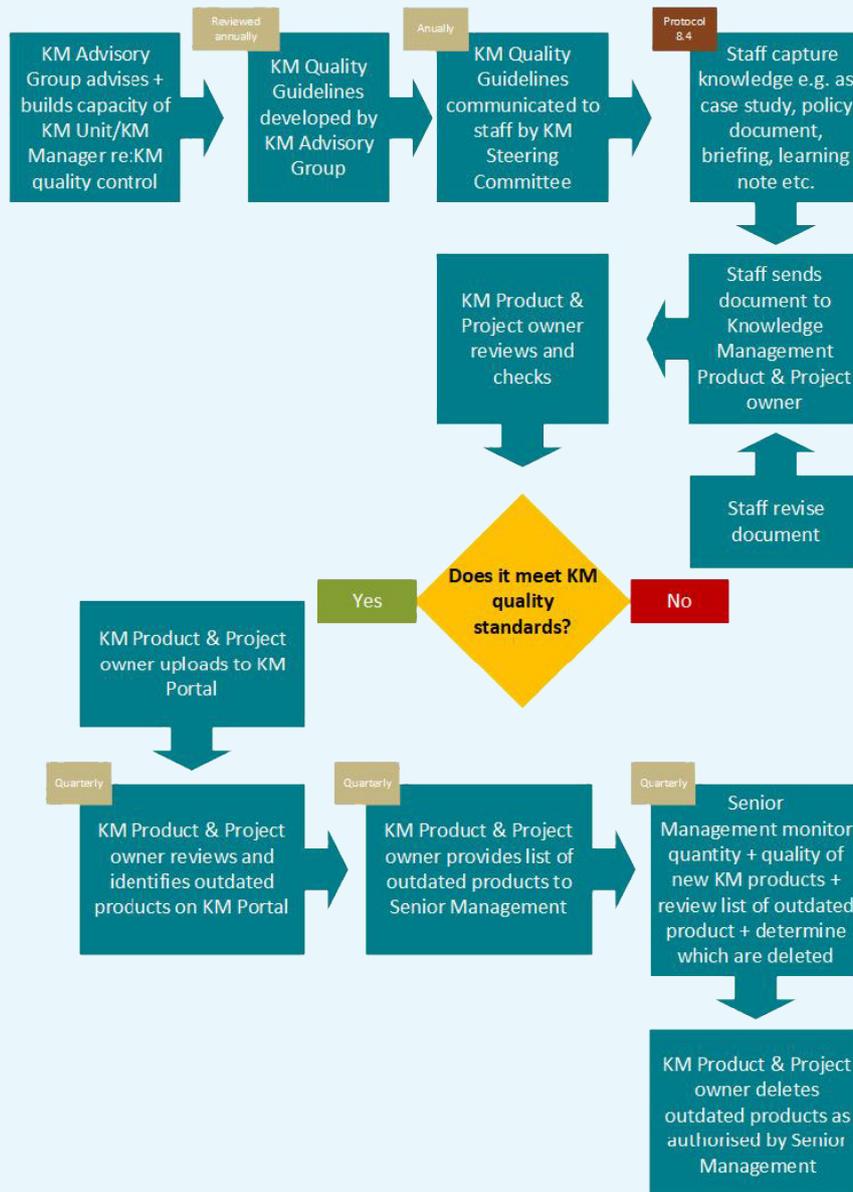


Figure 7: Knowledge Management Quality

8.8 Storytelling

Storytelling can be effective as a knowledge transfer technique in an organization where tacit knowledge is dominant. Storytelling has proven benefits in enabling organizations to uncover tacit knowledge as it is a natural learning process. Story-telling will support managers to ensure that operational knowledge is retained and that there is operational continuity when employees leave.

A knowledge sharing approach can be used when pairing staff for coaching. Directorates/departments are encouraged to organize informal “coffee meetings” during which useful stories about people, work, the organization, social bonding, the past, the future and how they relate to organizational operations can be discussed. Such “coffee meetings” could include informal presentations by staff on specific topics to share expertise with colleagues. These discussions can be recorded through meeting minutes and short videos and shared on the knowledge management portal.

9. Knowledge supporting processes & creating a knowledge management culture

Creating a knowledge management culture requires:

- Senior Management to provide an inspiring vision for KM and clarity for staff on what is required and expected of them to achieve it.
- Directors and line managers to reinforce this vision and provide guidance to staff on how to put KM into practice.
- HR to support staff to understand KM and reward them for putting it into practice.
- Monitoring, Evaluation and Learning (MEL) to monitor, measure and communicate progress, highlighting successes and areas for improvement.
- The KM Unit to support and collaborate across directorates to make KM a normal part of daily work culture.

Figure 8 highlights how creating a knowledge management culture involves these stakeholders (see Annex 5 for further detail on accountability and responsibility for knowledge management culture).

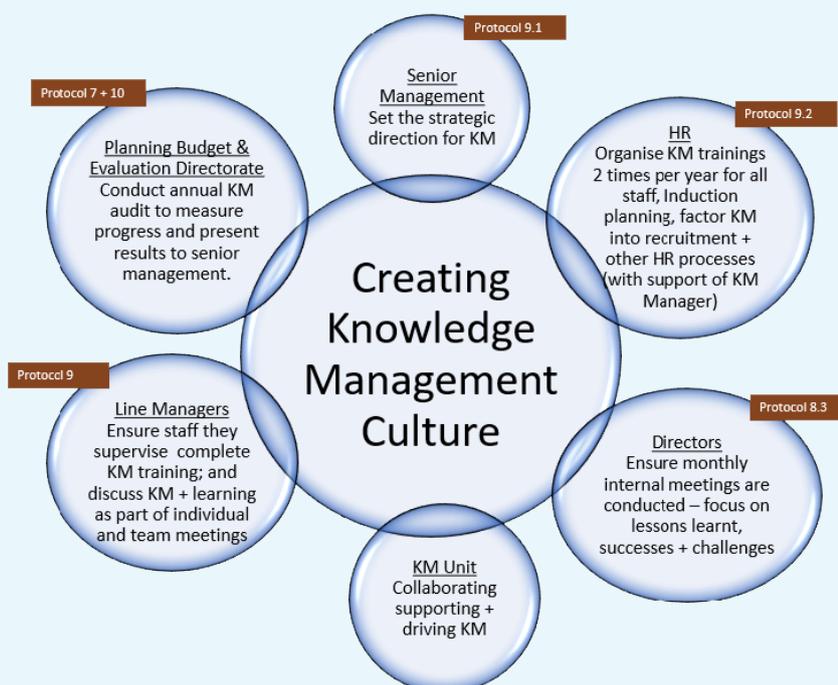


Figure 8: Collaboration for creating a knowledge management culture

9.1 Leadership

The ideal organizational environment for learning, KM and innovation is achieved through building a shared vision and establishing systems to achieve a common goal. The OWERDB leadership, at all levels, will play a critical role in institutionalizing and prioritizing learning and knowledge management. The senior and middle management of OWERDB will develop strategies and structures that will translate guiding ideas into business decisions and will create effective learning processes which will allow for continuous improvement in strategies and structures.

Leadership should help facilitate organizational culture to be more knowledge management friendly by:

- i. Acknowledging the existence and influence of organizational culture and addressing organizational culture that hinders sharing and learning.
- ii. Having a clear and persistent vision of what the culture should be and of what changes need to be applied; this vision must be understood by management at all levels and spread across the organization.
- iii. Consciously managing culture by using employee surveys to evaluate progress and direction or by using incentives to motivate employees.

9.2 Supporting HR processes

HR can play several roles in developing knowledge management systems. HR should help the organization articulate the purpose of their knowledge management system. HR must also promote a culture that embraces getting the right information to the right people at the right time. HR departments should function to create systems that allow transforming tacit knowledge into explicit knowledge through education, building employee skills, competencies and careers.

OWERDB HR Management should work with the senior management and all directorates/departments to formulate a strategy using the pillars of knowledge retention and the understanding the risk factors. Risks can occur when insufficient focus has been placed on knowledge capture, informal communication, mentoring programs and employee training and development.

- i. **Recruitment:** HR will take into consideration knowledge management skills and competencies in the overall process of attracting, shortlisting, selecting and appointing suitable candidates for jobs within the organization. HR will use knowledge management key competency requirements for the selection of all key technical candidates and managers. The KM Unit will also be strengthened by recruiting new qualified knowledge management team members as the existing team positions are not filled.

Collaboration between HR and the KM Unit is essential in the recruiting, training and rewarding of KM as part of performance and providing new staff with access to the KM portal. Focusing on KM from the perspective of the recruitment cycle - see Figure 9 below - highlights key touchpoints and steps that HR and the KM Unit should undertake to ensure that staff are equipped and incentivized to practice KM.

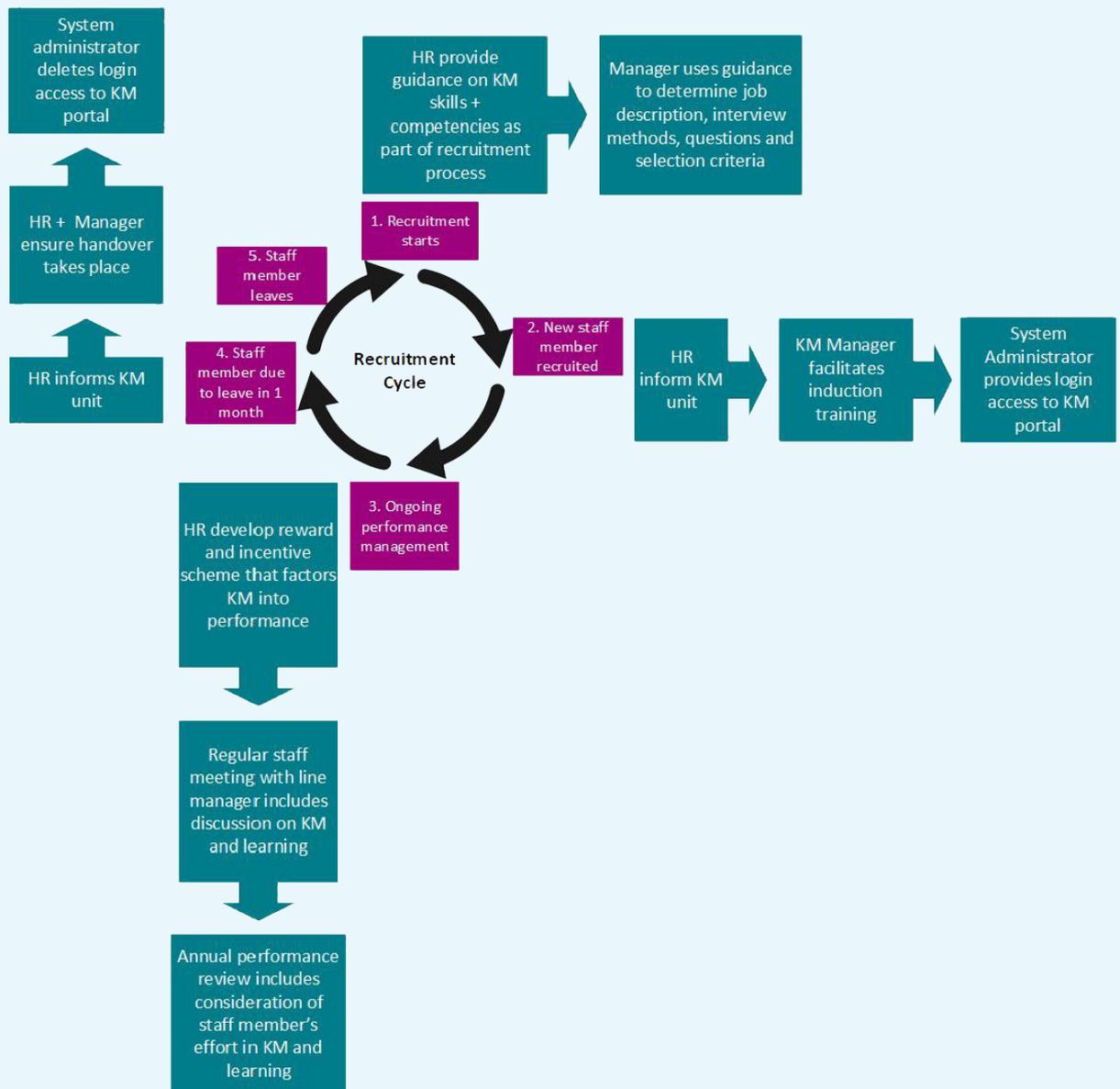


Figure 9: Embedding Knowledge Management into the recruitment cycle. (Accountability and responsibility for knowledge management and the recruitment cycle is summarized in Annex 5).

ii. Training and Development: HR will organize knowledge management trainings at least twice a year for all OWERDB staff. Training will focus on creating awareness on the goal and vision of the organization and the role of knowledge retention, organizational training and learning and culture in the organization. During the training, work and knowledge management processes will also be shared.

iii. Reward and Incentive Systems: To encourage a cultural shift in OWERDB, senior management should start by having a clear reward and incentive system. Rewards and incentives will be critical in changing the knowledge management culture of OWERDB. Experts that make additional efforts to innovate and share learning at any level should be rewarded. This will incite increased motivation, job satisfaction and involvement in organizational functions. Incentives are determined by organizational regulations. Monetary incentives that reward workers for performance include annual or semi-annual bonuses, such as mid-year and end-of-year rewards. These incentives encourage friendly competition between staff. Non-monetary incentives reward employee performance through providing opportunities. These rewards include training opportunities that allow workers to learn new skills and pursue advancement opportunities that benefit their career.

iv. Succession planning: Succession planning is a common knowledge transfer approach. Organizations that have a clear succession plan will proactively plan to empower new employees and avoid loss of knowledge. Succession planning is an ongoing and dynamic process that transfers knowledge from an experienced workforce to the new workforce. Succession planning will also require HR to identify and map out retirement schedules of key staff that are resigning. HR should also engage in talent identification and development with the support of the respective directorates.

v. Phased retirement: With regards to preserving organizational memory, much needs to be done since OWERDB regularly loses senior staff that hold significant institutional memory. There should be a fundamental change on how OWERDB transfers knowledge, especially that of long-serving public servants in an organization where most of the knowledge is not written or documented. Phased retirement provides incentives and a defined mechanism for senior staff to transfer their tacit knowledge over a year or two after or before their retirement linking them up with selected staff and identifying clear objectives of the support process.

vi. Mentoring: OWERDB will provide special guidance for line managers and individuals that request mentoring. Mentorship is a relationship in which a more experienced person in a field helps to guide a new or mid-career colleague. HR needs to facilitate mentorship processes and help directorates/departments identify certain areas of expertise. This will create a long-term partnership between senior staff with vast experience and more junior-level staff, through which the latter can receive critical support in their role, career guidance and role modeling. HR can request critical experienced staff to mentor junior staff during their phased retirement period, but also request that mentorship come from individual staff or their line managers during annual performance reviews.

vii. Coaching: Coaching can be used to boost team member's performance and develop them. It can be used to help individuals resolve challenges or problems, decide how to best take advantage of opportunities, and develop their potential. When coaching, a senior staff member is a partner not the expert. All directorate /departments will develop coaching plans for selected team members that are identified in directorates' annual plan. HR will also support coaching plans and follow-up, ensuring that they are implemented on a quarterly basis.

viii. Orientation/induction planning: At present, orientation and induction systems exist but are not rigorously implemented. HR needs to enforce staff induction, ensuring appropriate orientation is provided to new staff so they better understand their roles, the organizational strategies and policies and the roles of others on their team and in other directorates/departments. This process must be institutionalized through HR providing a full induction plan that includes one-to-one interactions with key staff, team meetings and an orientation booklet with an overview of all key information at OWERDB.

ix. Handing over: There are currently no established systems for handover at OWERDB. Experts should be requested to write handover notes that include key activities in the pipeline, key priorities, key documents, resource materials and contacts before receiving final clearance for departure. HR and managers should ensure that this is happening, and that handover notes are provided to the newly-appointed replacement.

10. Knowledge management assessment and benchmarking (MEL)

Oromia Water and Energy Resource Development Bureau (OWERDB) is responsible for implementation decentralized to regional, woreda and in some cases the community level. The successful roll-out and implementation of the knowledge management system should be monitored by OWERDB. Quarterly progress reports from each directorate/department will include one section on learning and sharing. Reported information can include number of staff trained on knowledge management, documentation collected, case stories written and/or number of documents shared on the knowledge management portal.

In addition, a strong monitoring system will review 1) the improvement of organizational culture for knowledge sharing and 2) the improvement of business processes and information technology solutions for knowledge capture, storage, and retrieval. The Planning Budget & Evaluation Directorate will conduct the KM Audit using the KM Audit Tool (Annex 6) to gather information across nine areas of knowledge management: 1. KM Strategy & Leadership, 2. Roles & Responsibilities for KM, 3. KM Awareness and Capacity, 4. KM Systems, 5. KM Technology, 6. Knowledge Capture and Sharing, 7. Reflection: Learning and Reflecting Upon Successes and Mistakes, 8. Knowledge Sharing Culture, and 9. Institutional Memory. The KM Audit results will be presented to management to benchmark and measure progress and inform future approaches.

11. Knowledge storage - information and communication technology

Information Technology plays a key role in facilitating knowledge creation and management. IT systems can be used to support communication, coordination and collaboration. Search processes enhanced through IT based functions are useful in converting tacit knowledge into explicit knowledge as well as in the transformation, analysis, and integration of available explicit knowledge. In general, managing explicit knowledge requires significant investment in IT browsing, presentation, search, location, and filtering functions.

OWERDB's information technology resources will be managed in accordance with its needs and priorities. These resources will include tangible investments like computer hardware, software, data, networks and data center facilities, as well as in the staff who are hired to maintain them. OWERDB will regularly ensure that the core IT infrastructures and people to manage it are in place, well-managed and up-to-date on new and emerging technologies, systems and processes.

12. Sign off procedures and confidentiality clause

To encourage information sharing and retrieval, all documents uploaded to the KM portal will be shared with the public, unless labelled as confidential by senior or middle management (i.e. transboundary mapping and/or hydrogeological data). The portal will have the functionality to classify documents by level of confidentiality.

13. Annex

13.1 Annex 1: Induction Template²

Induction Guide for new staff and line managers

These templates will be owned and issued by the Human Resources Directorate.

There are two templates:

- Induction Guide for New Staff – [Template](#)
- Induction Guide for Line Managers – [Template](#)

Purpose

The induction guides aim to ensure that:

- All staff are clear on what the induction of new staff involves.
- Line managers are clear on their responsibilities for new staff induction.
- Line managers organize smooth and effective inductions for new staff.
- New staff understand what their induction involves and engage with induction activities.
-

Please review these guides to ensure that all information is current and applicable. Then remove the reference to ‘template’ and issue as a formal guide. Ensure that all line managers receive the guide and that new staff members receive the ‘Induction Guide for New Staff’ on their first day at the Ministry.

Consider briefing line managers on the guides to ensure that they clearly know what is required. This would also be an opportunity for them to ask questions and for HR to provide any additional information.

- Induction Guide for New Staff - [Template](#)

Welcome

Welcome to the <insert directorate name>, Ministry of Water, Irrigation & Energy.

Introduction

A good induction will help you quickly settle into your new role, ensuring that you know what is expected of you and helping you to see where you fit in the organization.

- This document provides you with a list of induction activities to get you started.
- It is your responsibility to make sure you complete them – reach out to your line manager if you need support.
- It is your line manager’s responsibility to provide you with the support you need to complete your induction.

² Adapted from WaterAid Induction booklet

Activities for you to complete on your first day:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Introduced to your team.	<input type="checkbox"/>
Shown where facilities, such as kitchen, toilets, etc. are located.	<input type="checkbox"/>
Shown where the fire exits are located, the evacuation procedure and had the arrangements for entry and exit to the building explained to you.	<input type="checkbox"/>
Shown your desk, computer and telephone, and how to use them.	<input type="checkbox"/>
Given your induction plan.	<input type="checkbox"/>
Met with your line manager, and other team members, to go through plans for the next few days or weeks.	<input type="checkbox"/>

Activities for you to complete in your first week:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Introduced to colleagues and given a tour of the building.	<input type="checkbox"/>
Given access to the Ministry of Water, Irrigation & Energy Organizational Structure.	<input type="checkbox"/>
Given access to directorate or team organizational structure and had this explained by a colleague.	<input type="checkbox"/>
Given the Knowledge Management Guidelines and ICT Policy.	<input type="checkbox"/>
Read policies, strategies and directorate annual plan.	<input type="checkbox"/>

Activities for you to complete in your first month:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Meet internal stakeholders, HR, Finance and any relevant directorates as set out in your induction plan.	<input type="checkbox"/>
Meet any key external stakeholders as set out in your induction plan.	<input type="checkbox"/>
Complete induction training as defined by HR, for example Knowledge Management training.	<input type="checkbox"/>
Receive briefing or access and read relevant materials on organizational mandate, plans, objectives, mission, vision and core values.	<input type="checkbox"/>
Meet with line manager to review induction plan and make any necessary amendments.	<input type="checkbox"/>

Activities for you to complete in your second month:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Understand your role and what is expected of you. You have clear objectives set for at least the first 3 months/your probationary period, if there is one.	<input type="checkbox"/>
Regular (at least monthly) meetings booked with your line manager to discuss progress and learning.	<input type="checkbox"/>
Received training on both OWERDB and directorate strategic plans by a senior expert.	<input type="checkbox"/>
Understand your responsibilities for knowledge management and create a learning plan to identify the knowledge, skills and experience that you will develop.	<input type="checkbox"/>

- Induction Guide for Line Managers - Template

Introduction

This guide is made to ensure that new team members have a comprehensive induction to the Ministry of Water, Irrigation and Energy and understand that their role is vital.

As a line manager, it is your responsibility to induct new staff who you will be managing and welcome them to the organization. Use this document to help you provide an effective induction.

Before your new staff member arrives:

Tick off the activities as you complete them.

Activity	✓
Book time in your diary – especially on the first day and week that your new staff member arrives – to spend time on induction.	
Inform reception of the day/time that your new staff member will be arriving and make sure they know how to enter the building and find you.	
Make sure that your new staff member has a desk, telephone and any other necessary equipment when they arrive.	
Make sure that your team sets up induction meetings with your new staff member for the first week they arrive.	
<p>Arrange for the new staff member to be given a tour of the building in their first week, or plan in time to do this yourself.</p> <p>Develop an induction plan for your new staff member that includes:</p> <ul style="list-style-type: none"> - The names, titles, contact details and information on people (internal and external) that the new staff member should meet with as part of induction. - Make sure that the new staff member will be able to access information on strategies, policy and the Knowledge Management Guidelines. - Coordinate with HR to schedule any induction trainings they will need, for example Knowledge Management training. 	
Familiarize yourself with the Induction Guide for New Staff. During the induction period, make sure you are clear on what is expected of the new staff member and be ready to support them.	

On the new staff member's first day:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Welcome the new staff member and introduce them to the team.	<input type="checkbox"/>
Show them (or make sure a colleague shows them) where facilities, such as kitchen, toilets etc are located.	<input type="checkbox"/>
Show them (or make sure a colleague shows them) the evacuation procedure and explain the arrangements for entry and exit to the building.	<input type="checkbox"/>
Show them (or make sure a colleague shows them) their desk, computer and telephone, and how to use them.	<input type="checkbox"/>
Meet with the new staff member and give them their induction plan. Include any other team members that may be useful and go through plans for the next few days or weeks.	<input type="checkbox"/>

During the new staff member's first week:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Check that they have been introduced to colleagues and given a tour of the building. (If not, arrange this immediately).	<input type="checkbox"/>
Share (or arrange for a colleague to share) the Ministry of Water, Irrigation & Energy Organizational Structure.	<input type="checkbox"/>
Share and explain the directorate or team organizational structure (or arrange for a colleague to do this).	<input type="checkbox"/>
Share and explain the purpose of the Knowledge Management Guidelines and ICT Policy.	<input type="checkbox"/>
Share the policies, strategies and directorate annual plan.	<input type="checkbox"/>

During the new staff member's first month:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Check that they are meeting with internal stakeholders, HR, Finance and any relevant directorates as set out in their induction plan.	<input type="checkbox"/>
Check that they are meeting with any key external stakeholders as set out in their induction plan.	<input type="checkbox"/>
Check that they know about and are completing induction training as defined by HR.	<input type="checkbox"/>
Check that they have received a briefing or been given access to and read relevant materials on the organizational mandate, plans, objectives, mission, vision and core values.	<input type="checkbox"/>
Meet with them to review the induction plan and make any necessary amendments.	<input type="checkbox"/>

During the new staff member's second month:

Tick off the activities as you complete them.

Activity	<input checked="" type="checkbox"/>
Check that they understand their role and what is expected of them. Give or work with the new staff member to set clear objectives for at least their first 3 months/probationary period, if there is one.	<input type="checkbox"/>
Check that they have booked regular (at least monthly) meetings with you to discuss progress and learning.	<input type="checkbox"/>
Check that they have scheduled or received training on both OW and directorate strategic plans by a senior expert.	<input type="checkbox"/>
Discuss their responsibilities for knowledge management and support them in creating a learning plan to identify the knowledge, skills and experience that they will develop.	<input type="checkbox"/>

13.2 Annex 2: Handover Template

Guidance

The following documents, 1. Handover Guidance, 2. Handover Checklist and 3. Handover Note Template, will be owned and issued by the Human Resources Directorate.

Purpose

These handover documents aim to ensure that:

- All staff are clear on what handover involves and their responsibility to follow the handover procedure.
- Line managers can share the 1. Handover Guidance, 2. Handover Checklist and 3. Handover Note when it is determined that staff will be leaving.
- Line managers can monitor that the leaving staff member follows and completes the 1. Handover Guidance, 2. Handover Checklist and 3. Handover Note.

Please review the 1. Handover Guidance, 2. Handover Checklist and 3. Handover Note. to ensure that all information is current and applicable. Make sure that all staff receive these guides. Consider briefing staff on these guides to ensure that they are clear on what is required. This would also be an opportunity for them to ask questions and for HR to provide any additional information.

1. Handover Guidance

Introduction:

Handover notes and documentation are created by staff members who are about to leave their positions, either temporarily or permanently, to assist their successor in carrying out their duties.

Purpose:

To provide the staff member's successor with key knowledge and information regarding the position so that the transition period is as short and smooth as possible.

Who:

Any staff member who is about to leave his/her position permanently is required to write a Handover Note. They shall be written even when a staff member is leaving his/her position to assume new duties within the same directorate. A staff member who was temporarily covering job functions due to a colleague's absence shall also write a Handover Note to ensure a smooth transition.

When:

Handover notes shall be finalized the week before the staff member leaves his/her position. Ideally, there should be a period of overlap with the staff member's successor. If this is not possible, the staff member should send the Handover Note to his/her successor before departing and supplement the note with phone conversations or by e-mail. If the successor has not yet been appointed, the staff member should leave the Handover Note with his/her line manager. When staff members begin their new position, they should request a Handover Note from their predecessors, if one was not already given to them.

How:

Use the Handover Checklist to confirm that information has been added and use the Handover Note template to fill in relevant information in all sections.

Distribution, archive and access:

The new staff member (successor) shall maintain a copy of the Handover Note. If the information and knowledge is still valid and relevant, they may pass it onto the next successor, along with his/her own Handover Note. Handover Notes may be widely shared with the consent of the author. They are not intended to be confidential documents.

2. Handover Checklist

Make sure you include the following information within or in addition to your Handover Document.

Include the following in your handover documentation:	✓
Provide a brief overview of your responsibility and your involvement in the team.	
Describe key events that have happened over the last year.	
Describe key events/priorities that are coming up.	
Describe any immediate tasks that the new staff member will need to work on or address.	
Describe the key documents relevant to the activities you are handing over and indicate where/how they can be accessed.	
Describe the goals and objectives of the role and attach the job description.	
List all information related to contacts, important dates, events, information and reporting.	
List duties and responsibilities categorized by the level of importance/priority.	
Include links to or a map of the location of specific documents, forms and supplies.	

3. Handover Note Template

Name

Job title

Directorate

Date of Handover

Note

Brief description of the duties, goals and objectives of the role:

-
-

Key events over past year:

-
-

Key events/priorities that are coming up:

-
-

Supervisor and reporting procedures:

Regular/re-occurring meetings, reports or procedures:

-
-

- Key Documents/reference materials to read (attach if possible):

-
-

Status of recent and current projects/reports/meetings:

1. Name of project/report/meeting
 - Status
 - Action needed

- Partners
- Budget (if applicable)
- Critical issues/challenges/priorities

2. Repeat as many times as necessary. Indicate priority projects.

Where to find files (hardcopy and electronic):

Calendar/dates of major activities and/or events:

Contacts (internal and external):

Name	Organization	Phone	E-mail	Comments

- Your contact information after departure (optional):

-

Suggested attachments:

- Job description
- Key documents relevant for the position
- Ministry of Water, Irrigation & Energy Organizational Structure and directorate or team organizational structure (if available)

13.3 Annex 3: Guidance on documenting best practices³

This document provides guidance and a general framework of things to keep in mind when producing learning briefs and notes. The document is split into two sections:

- 1) **Template for documentation**
- 2) **Document planning checklist**

Before documenting a good practice, we need to identify the practice that we wish to focus on, and frame the process that will be followed by addressing these key questions:

- What? (Identify which experience/practice you will focus on)
- Why? (Define the purpose of the documentation process)
- For whom? (Understand the needs of your target audience)
- With whom? (Identify which stakeholders will participate)
- When? (Set a time frame for the process)
- How? (How the learning brief be shared)

Template⁴ for documentation

Key Elements of a Document

Title:

Date of Publication: e.g. May 2018

Authors and Acknowledgements: Who has written the document? Please acknowledge the people you have asked people to review and comment on the document.

Ideal Length: The ideal length of the document should be 2-4 pages. If you are sharing pictures and diagrams, think about increasing it to 6-8 pages. However, the shorter the document, the more people will likely read it, as long documents tend to discourage people from reading it.

1. **Summary:** At the beginning of the document or in a small box on the right, try to provide a summary of the document. The function of the summary is to build the interest of the reader. This should cover the following questions:

- What is the objective of the document?
- What is the subject of the document and the practice that it covers?
- What is the result?
- Next Steps

This should ideally be 100 -150 words.

³ Template adapted from WaterAid

⁴ This annexure is adapted from FAO (2016), Good practice template

2. Introduction: This should cover the following topics:

- Geographical coverage
- Context: What was the initial situation/specific context? What are the specific challenges the practice is trying to address?
- Who does the practice impact?
- Provide a short description of the good practice being addressed and specify the period during which the practice was carried out.

This should ideally be 150-200 words.

3. Stakeholders and Partnership: Who is the target group for the good practice? Who are the users of the practice? Who are the institutions, partners, implementing agencies, and donors involved in the good practice, and what is the nature of their involvement?

4. The Practice (methodology): This section should cover the “what, why and how”. In this section, describe the methodological approach step-by-step so that it can be easily understood and replicated by others (the steps can be listed as bullet points). Specify the period and implementation cost, if available. Also, talk about the participatory and inclusive nature of the approach.

5. Results: What are the outputs of this practice? This section reflects the level of evidence of the practice, so results should be presented clearly and supported by data.

6. Impact: What has been the long-term impact of the practice and how it has brought about a change?

7. Innovation: Share any particular innovations that would be helpful.

8. Lessons Learnt: This section should cover the success factors, challenges or any unintended outcomes. Some questions to consider:

- What are the conditions (institutional, economic, social and environmental) needed for the practice to be successful?
- What constraints/challenges were encountered when implementing the practice? How were they addressed?

9. Sustainability/ Replicability

10. Conclusion

Some things to keep in mind:

- a) Reference documents: Refer to specific documents, as this adds value to the publication.
- b) You will never have a short document from the beginning. Keeping the word limit in mind, write the document and then edit it to shorten the document.
- c) Use pictures, diagrams and graphs.
- d) Write short sentences and think about when it is beneficial to present sections in bullets.
- e) Add a human touch to your learning brief by putting a quotation from a community member or partner. Consider including a small case study to make the practice even more relevant.
- f) Think about how to share the document. With whom should you share it with and through what channels?

13.4 Annex 4: Individual KM Competencies and Indicators⁵

Competencies	Indicators of good learning and knowledge sharing practices
Curation – selecting, filtering and sharing information relevant to particular projects	<ul style="list-style-type: none"> • 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 format • Edit, synthesize and summarize content
Communicating effectively with others	<ul style="list-style-type: none"> • 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 guides as well as more formal publishable papers • Staff are purposeful and selective in what and how they share information, so as not to overload colleagues with information
Critically reflecting on current practices	<ul style="list-style-type: none"> • Monitoring data and evaluation reports are used by staff to reflect and find ways to improve practice • Staff listen to and have conversations with colleagues and stakeholders e.g. colleagues in Regional Bureaus and others we interact with through our work, see Figure 3: OWERDB relationship map and ensure these reflections feed into learning agendas • Encourage “Learning by Doing” activities
Continual networking and connecting	<ul style="list-style-type: none"> • Invest time in expanding networks of internal and external relationships to benefit our own work and to help others, including actively attending and participating in or presenting at conferences, meetings and workshops to share learnings
Take responsibility for learning and skills development	<ul style="list-style-type: none"> • Individual Performance Objectives include an agreed upon personal learning pathways linked to the role • Individuals, as standard work practice: <ul style="list-style-type: none"> ○ Check for prior work and learning from peers as part of launching a new effort ○ Reflect on lessons learned about both success and failure, and capture knowledge from projects as they finish ○ Integrate learning and knowledge sharing activities such as regular ‘learning exchanges’ into the project life-cycles ○ Seek out opportunities for developing ‘know how’ (e.g., on-the-job coaching, peer exchanges, and informal opportunities for sharing learning and knowledge with colleagues)

⁵ This was produced as part of the WaterAid UK Knowledge Management Review (2014)

13.5 Annex 5: Summary of collaboration for KM Implementation

The successful implementation of Knowledge Management requires effective coordination and collaboration between Directorates, Teams and Staff across OWERDB. To facilitate collaboration and coordination it is useful to look at KM from four perspectives:

- Knowledge capture in practice as part of the knowledge management process (Figure 6)
- KM Quality (Figure 7)
- Collaboration for creating a KM culture (Figure 8)
- Embedding Knowledge Management into the recruitment cycle (Figure 9)

The following table looks at each of the four perspectives and outlines activities and processes further depicted in figures 6-9.

	Knowledge Capture in practice (Figure 6)	KM Quality (Figure 7)	Collaboration for creating a KM Culture (Figure 8)	Embedding KM into recruitment cycle (Figure 9)
WHAT	Implementation of knowledge capture within the OWERDB'S work	Ensuring the quality, quantity and relevance of KM products	Developing a culture that encourages and values knowledge management and learning	Ensuring that KM is integrated into HR processes for managing staff recruitment, induction, performance and exit
WHO (Accountable)	Team Leaders & Directors of the Directorates & Processes	Senior Management	Senior Management	HR Director
WHO (Responsible)	Staff, KM Product and Project owner, Government Communication Directorate	KM Advisory Group, KM Product and Project owner, KM Unit, staff	HR, Line Manager, Planning budget and Evaluation Directorate, KM Unit, staff	HR staff (with support of KM Unit), Line Managers, KM Manager, System Administrator
WHEN	Regular and ongoing activity	Ongoing activity with quarterly and annual review	Ongoing activity. Evaluated on an annual basis through KM audit	Ongoing for each staff member (aligned to recruitment, ongoing management and departure)
WHERE	OWERDB	OWERDB	OWERDB	OWERDB

13.6 Annex 6: KM Audit Tool⁶

Methodology

The Planning Budget & Evaluation Directorate will conduct the KM Audit using the KM Audit Tool (Annex 5) to gather information across nine areas of knowledge management: 1. KM Strategy & Leadership, 2. Roles & Responsibilities for KM, 3. KM awareness and capacity, 4. KM systems, 5. KM technology, 6. Knowledge Capture and Sharing, 7. Reflection: Learning and reflecting upon successes and mistakes, 8. Knowledge Sharing Culture and 9. Institutional memory. The KM Audit results will be presented to management to benchmark, measure progress and inform the future approach.

Measuring KM performance across the above nine areas will require the use of several measurement approaches:

- Outputs from the KM Portal
- Outputs from Management Reporting

Plus, any one or combination* of:

- Facilitated workshop assessment: The tool may be applied using one or more workshops, during which participants are introduced to the tool and asked to self-assess against it.
- Staff interviews: Relevant staff are interviewed to complete the assessment tool – an aggregate of responses is taken as the final score.
- Staff survey: Questions from the assessment tool below are circulated to staff who complete it in the form of a survey.

*If using a combination of methods, it is necessary to aggregate and take the mean average of responses per KM area.

Methodology: Facilitated workshop assessment. Consider holding a 2-hour workshop. During the workshops every team member is allocated a number of stickers equal to the areas of the assessment (i.e. 9 stickers). Each KM area and the 4 levels are displayed on flipchart paper. Each team member then places a sticker on the level that they judged to be appropriate for each area. To derive overall assessments for each area, the mean average is taken (e.g. if there was 1 sticker on level 2, 3 stickers on level 3 and 4 stickers on level 4, then the overall rating would be 3.4).

Participant Selection

The Planning Budget & Evaluation Directorate will identify the most appropriate staff to attend the workshop(s), interviews and/or staff surveys. For facilitated workshops, consider the most appropriate workshop participant composition to get a meaningful response from various staff at different levels - For example, whether there should be a separate workshop for Directors/Senior Management or whether to hold one workshop per team/directorate (e.g. from water supply directorate, design & study process, water facility management directorate process, water resource management directorate, community & non-government organizations process).

⁶ Indicators adopted from IDS (Institute of Development Studies)
<https://www.ids.ac.uk/files/dmfile/Knowledgeindicatorsworkshopreport8thMarch2013.pdf>
And Knowledge Management Capacity Assessment Tool (KM-Cast), INGO KM&L Network

Alternative Audit Approach

The Planning Budget & Evaluation Directorate may also determine that the KM audit should be completed via peer assessment/peer assisted assessment. For example, MOWIE and OWERDB could support each other’s audits. Partnership with another peer organization to share expertise and knowledge enables greater impartiality and helps to validate results.

Creating KM Audit Benchmark

The Planning Budget & Evaluation Directorate will summarize audit findings in the following table which can then be used as a benchmark from year-to-year.

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
1. Knowledge Management Strategy & Leadership	<p>The Bureau head has spoken about knowledge management and referred to the Knowledge Management Guidelines. A Knowledge Management Strategy has been developed.</p> <p>Directors and Line Managers speak about and prioritize KM.</p>			<p>Select most applicable option:</p> <p>1 – I am not aware that knowledge management is a priority. I do not know about the Knowledge Management Guidelines, vision and strategy.</p> <p>2 – I know that knowledge management is a priority through my manager, Directors and the Bureau head, but I have not seen the Knowledge Management Guidelines, vision and strategy.</p> <p>3 - I know that knowledge management is a priority through my manager, Directors and the Bureau head. I have seen the Knowledge Management Guidelines, vision and strategy.</p> <p>4 - I know that knowledge management is a priority through my manager, Directors and the Bureau head. I have read and regularly refer to the Knowledge Management Guidelines, vision and strategy. I regularly discuss knowledge management with my line manager as part of supervision meetings and work.</p>

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
2. Roles and Responsibilities for Knowledge Management	Management staff include knowledge management in reports		<p>% of quarterly reports that include Information on KM learning and sharing e.g. number of staff trained on knowledge management, documentation collected, case stories written and/or number of documents shared on the knowledge management portal</p> <p>Which of the following directorates have assigned a staff member as Knowledge Management Product & Projects owner: Planning budget & Evaluation, Government Communication, Materials management & logistics, water supply, procurement, human resource management directorates</p>	<p>Select most applicable option:</p> <p>1 – We do not yet have defined roles and responsibilities for KM at any level. The KM guidelines are not being used.</p> <p>2 – Some staff have defined KM responsibilities at the Senior Management level. The KM guidelines are partially being used.</p> <p>3 – Most staff have defined KM responsibilities, including at the Senior Management Level, Director Level and the KM Unit; each directorate team has a KM Product & Projects owner. The KM guidelines are mostly being applied.</p> <p>4 - All staff have defined KM responsibilities, including at the Senior Management Level, Director Level and the KM Unit; each directorate team has a KM Product & Projects owner. KM responsibilities are included within job descriptions and captured and monitored within individual staff workplans. The KM guidelines are being fully applied.</p>

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
3. KM Awareness and Capacity	<p>Staff awareness of KM + completion of KM training</p> <p>The Knowledge Management Manager and System Administrator of Knowledge Management Portal roles are filled and equipped with the right level of skills and experience</p>		<p># staff completed KM training</p> <p># KM training sessions provided (guidelines require 2 per year)</p>	<p>Select most applicable option:</p> <p>1 - Our staff lack basic awareness of knowledge management concepts, methods and tools. They have not received KM training. There is no one for staff to turn to for support on KM.</p> <p>2 - Some staff have awareness of KM concepts, methods and tools. Only new staff have received KM training. Staff can turn to the KM Unit for support on KM.</p> <p>3 - Our staff have a good understanding of KM concepts, methods and tools, and apply them to their work. All staff have received KM training. Managers include KM as part of monthly team meetings.</p> <p>4 - Our staff have a good understanding of KM concepts, methods and tools, and apply them to their work. All staff have received KM training. Managers include KM as part of monthly team meetings. Our leaders drive KM activities and model good knowledge management behaviors.</p>

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
4. KM Systems	Improvement of knowledge management processes			<p>Level of agreement with the following statements:</p> <p>I have improved my knowledge management practice in the last year.</p> <p>The system and processes that we use for knowledge management have improved in the last year.</p> <p>1 – strongly disagree 2 – disagree 3 – agree 4 – strongly agree</p>
	System for gathering, organizing, using and protecting key knowledge assets		Quality standards policy exists with archiving requirements so that copies of old documents are archived in a timely manner; Knowledge product sign off procedures and a confidentiality clause is in place	

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
5. KM Technology	Ease of access to retrieve information	There is a rigorously maintained catalogue of knowledge products on the Knowledge Portal, that identifies knowledge owners and is readily accessible		<p>Level of agreement with following statements:</p> <p>I am able to quickly and easily find the knowledge I need.</p> <p>When searching for knowledge within the KM Portal and library, the knowledge I find is of good quality and meets my requirements.</p> <p>It is as easy to share knowledge with colleagues working in other locations as it is to share with those working at the same location as me.</p> <p>1 – strongly disagree 2 – disagree 3 – agree 4 – strongly agree</p>
	KM Portal + KM processes	<p># of staff accessing the KM Portal:</p> <ul style="list-style-type: none"> - Daily - Weekly - Monthly - Quarterly 		<p>Select most applicable option:</p> <p>1 - Our KM Portal and processes for managing organizational knowledge are not fit for purpose and are unused. There is inadequate guidance on the use of our knowledge systems.</p> <p>2 - Our KM Portal and processes for managing organizational knowledge are not fit for purpose and are unused. We have identified some of the problems but have no plan to implement improvements.</p> <p>3 - Our KM Portal and processes for managing organizational knowledge are mostly fit for purpose and used by some staff. We plan to implement improvements and promote the KM Portal to staff.</p> <p>4 - Our KM Portal and processes for managing organizational knowledge are fit for purpose and widely used by staff. We regularly promote the KM Portal to staff.</p>

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
6. Knowledge Capture and Sharing	Documentation/ knowledge (i.e. documentation, case studies, videos, etc.) produced by the directorate	# of knowledge products created # of downloads	# of knowledge products created per directorate, per team and included in quarterly reporting	Level of staff agreement with the following statements: <ul style="list-style-type: none"> • There are useful knowledge products on the KM Portal. 1 – strongly disagree 2 – disagree 3 – agree 4 – strongly agree
	<p>Monthly internal learning meetings to review programs, projects and activities conducted</p> <p>Does the organization know who the best experts are for different fields?</p>		<p>Y/N - Have monthly internal learning meetings to review programs, projects and activities conducted?</p> <p>Y/N - Have discussions been captured as knowledge products?</p>	<p>Level of staff agreement with the following statements:</p> <p>I know who the knowledgeable people and experts are in the organization for fields and topics related to my work.</p> 1 – strongly disagree 2 – disagree 3 – agree 4 – strongly agree

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
7. Reflection: Learning and reflecting upon successes and mistakes	Reflection from successes and mistakes	# of knowledge products that include reflection on successes and mistakes		<p>Select the most applicable option:</p> <p>1 - We do not prioritize reflection upon successes and mistakes to critically review and improve practice or strategy.</p> <p>2 - We use reflection in an ad-hoc and unstructured way to critically review and improve key practices, strategies or objectives.</p> <p>3 - Planned and structured reflection processes sometimes take place for key areas of work. Lessons from reflection are used to shape and improve future practice. We acknowledge and learn from our mistakes.</p> <p>4 - Planned and structured reflection processes routinely take place for key areas of work. Lessons from reflection are used to shape and improve future practice. We acknowledge and learn from our mistakes.</p>

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
8. Knowledge Sharing Culture	Knowledge sharing culture			<p>Level of agreement with the following statements:</p> <ul style="list-style-type: none"> • I feel encouraged to share knowledge with my colleagues • I have the time and opportunity to impart and receive knowledge to/from other people • I have shared knowledge, that is not confidential, with a colleague outside my immediate team an average of at least once a week • My organization encourages me to seek knowledge from colleagues • When I have knowledge needs, my organization designates a specialist to assist me • I know precisely who in my organization has the specific knowledge to help me with my work <p>1 – strongly disagree 2 – disagree 3 – agree 4 – strongly agree</p>

Knowledge Management Area	Key Indicator	Measurement Approach: Outputs from KM Portal	Measurement Approach: Outputs from Management Reporting	Measurement Approach: Workshop, Interviews + Staff Survey
9. Institutional Memory	Handover process		Y/N - HR has issued and communicated handover process and guidance for staff	<p>Select the most applicable option:</p> <p>1 - We do not have any processes or tools in place to adequately capture and share knowledge prior to staff changing roles or leaving. When staff leave their knowledge leaves with them. We have no plans to address this issue.</p> <p>2 - We are aware of the problem of institutional memory and ad-hoc attempts are made to capture and share knowledge prior to staff changing roles or leaving. We haven't yet produced organization wide guidance or processes. We are vulnerable to knowledge loss when staff leave.</p> <p>3 - We encourage staff to engage in informal knowledge sharing activities prior to staff changing roles or leaving. We have documented handover guidance for this however we don't have a systematic procedure for ensuring this guidance is followed.</p> <p>4 - We have a formal handover/ knowledge transfer process in place for all instances of staff changing roles or leaving. We have documented handover guidance and there is a process to make sure the guidance is followed.</p>

Creating KM Audit Benchmark

The Planning Budget & Evaluation Directorate will summarize audit findings in the following table which can then be used as a benchmark from year-to-year.

Benchmarking Score Table

KM Area	Outputs from KM Portal	Management Reporting	Workshop/ Interviews/ Staff Survey Score /4	Comments	Potential Actions/Next Steps for Senior Management to Consider
1. KM Strategy & Leadership					
2. Roles and Responsibilities for KM					
3. KM Awareness and Capacity					
4. KM Systems					
5. KM Technology					
6. Knowledge Capture and Sharing					
7. Reflection: Learning and Reflecting Upon Successes and Mistakes					
8. Knowledge Sharing Culture					
9. Institutional Memory					
Total:			/36		

The following levels can be attributed to the organization per KM area:

Score	Knowledge Management Level
1	weak/novice level
2	basic level
3	good level
4	advanced/expert level

