



Approach Paper for the Independent Evaluation of Knowledge Management and Institutional Learning in SDC

Feb. 19, 2008

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1. Background

At SDC knowledge management (KM) and a culture of learning are viewed as a means to enhance the quality and the effectiveness of international cooperation. KM is seen as a conscious strategy aimed at getting the right knowledge to the right people at the right time and helping people share and put information into action in ways that strive to improve organisational performance.

SDC's explicit focus on KM and institutional learning (IL) goes back at least to the late seventies / early eighties with the introduction of project cycle management including monitoring and evaluation. In its Strategy 2010, SDC anchored "knowledge" as one of four core processes: "For the countries and partners of the South and East, knowledge is a central prerequisite for development. SDC promotes learning processes that are based on knowledge, ability and behaviour and that extend the possibilities of action. To this end, it incorporates the use of local knowledge and bases its cooperation with partners on mutual respect. "

SDC views KM and learning as everyone's responsibility. SDC's directors are responsible for determining the strategy for knowledge management and allocating resources, fostering a culture of learning and setting priority action lines. SDC Department and Division Heads are responsible for defining the core competencies required of their staff, identifying competence building measures and promoting a culture of learning. Every staff member is responsible for developing his / her competencies, sharing knowledge and anchoring his / her knowledge within SDC. SDC also recognizes the importance of sharing knowledge with and learning from its partners.

Nurturing and developing the knowledge base in their realm is one of the key functions of all organizational units in SDC, namely

- operational units: on regions, countries, institutions, cooperation modalities, sectoral orientations etc.
- multilateral cooperation units: on multilateral institutions, their programs, (governance) processes etc.
- thematic units: on themes, thematic policy, thematic support etc.
- support units: on methods, procedures, rules etc.

Over the years, various ad hoc projects and working groups have proposed measures for fostering learning processes and establishing a "mémoire institutionnelle". In 2001, SDC created a staff position for promoting knowledge management within the organisation. One year later, the Thematic Service "Knowledge and Research" with 4 part-time staff positions was established in the Thematic Department. Its stated role is to

- introduce methods and practices of KM in SDC,
- advise SDC and its partners in the design of learning and KM processes,
- foster and support capitalization of experience.

In addition to the Thematic Service "Knowledge and Research", the Human Resources Department, the Evaluation + Controlling Division, InfoDoc (library), InfoReg (archives), SAP and DMS (Data Management System) Teams, the OneWeb (SDC's IntraWeb) Team and the ICT4D Division are particularly involved in strengthening KM / IL and/or providing support functions for it.

In 2004, senior management endorsed the strategic orientation for SDC's knowledge management. Five principles were defined for SDC as a learning organization, namely SDC

1. develops and secures organizational competencies related to its core tasks and roles. It secures the knowledge needed to successfully meet the challenges of the future;
2. recognizes that its staff and personnel are bearers of knowledge;
3. valorises practices of knowledge development and learning;
4. opens up access to knowledge and experience;
5. cultivates a learning culture.

The KM Strategy lays down 6 priority action lines:

<i>"Yellow Pages"</i>	The People Directory located on the IntraWeb (launched in March 2005) includes the "yellow page" profiles with the competencies of SDC collaborators. These profiles facilitate rapid access to key experiences.
<i>"Communities of Practice" (CoPs)</i>	CoPs - internal or external networks - promote knowledge sharing and learning. Training courses, coaching, experience sharing and capitalisation, guidelines assist collaborators, units and partners in establishing and facilitating CoPs.
<i>"Good Practice"</i>	All units at all levels care about and establish learning from practical experiences and integrating new insights and innovations in their activities.
<i>"Instruments"</i>	The SDC anchors its knowledge in a "coherent architecture" of policy documents, strategic guidelines, and operational guidelines.
<i>"Strategic Knowledge"</i>	The SDC secures the knowledge that it needs in order to meet the challenges of the future. For that purpose, SDC identifies the methodological, thematic, geographic and other relevant knowledge that has strategic importance for efficient and effective development work.
<i>"Incentives"</i>	Designing an enabling learning environment includes institutional measures that support and promote individual contributions to knowledge management. The appropriate design of learning processes is of particular importance in this regard.

Implementation of the priority action lines is well under way and in parts completed.

Although evaluation and learning are well anchored in SDC and in many areas SDC's knowledge management is professional, it also faces significant challenges:

- SDC is involved in a very large number of knowledge fields while lacking clarity about which "strategic knowledge" it requires to fulfil its mandate professionally.
- SDC has developed an impressive array of KM/IL learning support tools, but KM/IL are only weakly anchored in core business processes and a coherent incentive structure for KM/IL is not in place.
- Although all units and individuals are involved in KM and IL in one way or another, tasks and responsibilities are not explicit.
- SDC's organizational culture strongly values creativity. The desire to develop, innovate and share knowledge is stronger in SDC staff than the desire to learn from others.
- Although many experiences are being capitalised, many get lost and others remain in the "inner circle" of those involved and are not shared with "outsiders" and "newcomers".
- Although data and information management, including securing knowledge, are well established and follow the regulations of the federal administration, they mainly serve accountability and archiving purposes and are only useful for knowledge sharing and learning to a limited extent.

In the forefront of this evaluation, the Evaluation + Controlling Division (E+C) mandated a review of the most significant evaluations on institutional learning and knowledge

management conducted by other donors as well as selected research studies¹. SDC staff were asked to reflect on the findings of the report at a workshop.

2. Why an Evaluation and Why Now? – Rationale

An evaluation on KM and IL is relevant because these topics will continue to gain in importance for SDC. As a donor with modest financial resources in a context of alignment and harmonisation, SDC needs to be a learning organisation with good knowledge management in order to enable it to contribute productively in the concert of donors and earn a place at the table.

KM and IL have been a priority in SDC for a long time. The Thematic Service "Knowledge and Research" was created. A strategy as well as many flyers, tools and instruments have been developed and implemented over the years. It is time for these to be evaluated.

Senior Management has requested the E+C Division to conduct an independent evaluation on KM before the person filling the post created in 2001 rotates and in time for the revision of the Medium Term Strategy on Knowledge Management (evaluation results available by mid-2008).

In its Approach workshop on January 24th 2008 (APW CLP) the CLP (see chapter 6.1) discussed the relation between this independent evaluation and the elaboration of the next Medium Term Strategy on KM. The CLP puts an emphasis on the independence of this evaluation, but also on the usability of the results of this evaluation for the formulation and the priorities of the next Strategy. Therefore a careful harmonisation of the timetables of both activities is important; the Thematic Service KM+R confirms that their Midterm Strategy shall take into account the conclusions and recommendations made in this evaluation. Whether both activities (evaluation report and Midterm Strategy Paper) will be submitted to COSTRA during the same meeting on September 4th 2008 will be decided following the ACP in June. ²

3. Purpose, Objectives and Focus

3.1 Purpose

The purpose of the evaluation is twofold:

- to render accountability by submitting SDC activities to independent assessment,
- to improve future SDC performance with regard to KM and IL through learning.

3.2 Objectives

- SDC's Senior Management is informed by means of well documented, robust evidence about where SDC stands with regard to its stated objective of being a "learning organisation" (implementation of the 5 principles and 6 action lines).
- SDC's Senior Management is aware of how it could improve the framework conditions for KM and IL in SDC and how it could successfully meet the challenges it is facing with regard to KM and IL.

¹ Zingerli, Claudia: Learning from Evaluations: Knowledge Management and Institutional Learning in International Development Agencies. August 2007

² The notes of discussions and conclusions by the CLP during the APW had been formulated by the Leader of the Evaluation Team and the E+C Officer.

- The evaluation results are a useful input towards defining the next SDC medium term strategy KM / IL. The APW-CLP confirms this intention.
- The Thematic Service Knowledge and Research is informed about its strengths and weaknesses and has received a useful input for its future work.
- Targeted and actionable recommendations have been formulated which can be implemented by the relevant stakeholders to improve KM / IL in SDC.

3.3 Focus and Scope:

The evaluation will focus on

- the effectiveness of **practices** and **processes** for KM and IL,
- the major **actors** and **factors** (framework conditions, organisational issues) which play a significant role in promoting or hindering KM and IL in SDC,
- the **outcomes / impacts** of KM / IL on SDC's performance in fulfilling its mandate on the ground.

These six priority areas identified by SDC (processes, practices, actors, factors, outcome and impacts) define the six vertical dimensions for structuring the key questions (see the Key Questions Matrix in Annex 2)

Firstly, the evaluation team will examine the sphere of influence of SDC's Thematic Service Knowledge and Research. It will assess the role the Service has played in anchoring KM and IL in SDC by examining

- the strategies and policies it has developed,
- the instruments it has introduced and
- the activities it has undertaken

between 2001-2007 against the DAC evaluation criteria of relevance, effectiveness, efficiency and impact.

It will also examine the interface and the cooperation between the Thematic Service Knowledge and Research with Web-Communication, the Information and Documentation Division and with IT-Integration as it relates to KM / IL..

Secondly, the evaluation team will also examine the strategic anchoring of SDC's KM and IL as well as selected areas, related strategies and instruments outside the sphere of influence of SDC's Thematic Service Knowledge and Research.

Relevant areas will include:

- Human Resources issues: Human Resources Development policies and activities, rotation system, staff performance assessment (MAP, incentives and rewards), personnel policy; Particular emphasis will be placed on assessing the effects of the rotation system and of the staff performance assessment on KM / IL.
- Organisational issues: The role of the Thematic Department as a service provider / advisor / dialog partner to other Departments and as a developer of SDC-wide normative guidance on thematic issues as it relates to KM / IL will be assessed. The repercussions (positive and negative) on KM / IL of SDC's decentralised structure into HQs and COOFs and its organisational structure of 6 separate departments will be assessed. ;
- Management Culture: leadership, values (what is declared vs. what is lived).

The purpose of KM / IL is to improve performance on the ground. The evaluation should go beyond assessing processes, instruments and organisational issues. Therefore, **thirdly**, the evaluation should also focus on demonstrating whether or not SDC actually learns from its experience and from available knowledge and thereby improves its development cooperation performance (the outcomes / impact of KM / IL on operations). The Evaluation Team is

expected to develop a methodology for robustly assessing this aspect, for example through tracer studies.

While it is acknowledged that knowledge sharing and learning with partners and other stakeholders as well as the question of whose knowledge is recognized and valorised are very important issues which warrant evaluation, they are not within the scope of this evaluation. This evaluation will focus on SDC Headquarters and to a limited extent on the interaction between Headquarters and the COOFs. There will not be any field missions. Contacts with the COOFs will be through IntraWeb, e-mail or by phone. During the APW the CLP recognizes that the evaluation team will interview and collect data from the staff of SDC in Switzerland and abroad within the COOF, but will not involve other partners and the final recipients of SDC activities. The CLP also agrees with the fact that the Evaluation Team will not perform a cost-effectiveness / efficiency analysis, firstly because of the complexity of the determination of the respective scope of KM/IL costs, and secondly because of the lack of an adequate product-cost-accounting within the Federal Administration. Cost-effectiveness / efficiency will be evaluated in a qualitative way.

The CLP expressed its wish during the APW to make transparent in the Final Report which areas of KM / IL activities had been evaluated and which areas had been out of scope, as the potential “field of interest” is at any rate larger than the possible evaluation scope defined.

4. Key questions

SDC KM / IL performance is to be evaluated against the DAC evaluation criteria of relevance, effectiveness, efficiency and impact (sustainability is not deemed relevant in this context).

The Evaluation Team will tailor the evaluation by taking into account the objectives, the focus areas and the scope defined by SDC in this Approach Paper and by setting priorities for the evaluation streams in the following six dimensions:

1. Strategy
2. Culture
3. Processes
4. Systems
5. Organisation
6. Measurement/Metrics

An explanation of these six evaluation dimensions identified by the Evaluation Team is provided in Annex 1. The CLP wished in the APW that such information would be available in the Final Report.

The key questions the evaluation will address are summarised in the Key Question Matrix in Annex 2. The six priority areas identified by SDC (processes, practices, actors, factors, outcome and impacts, see Chap. 3.3) and the six evaluation dimensions above (strategy, culture, processes, systems, organisation, measurements/metric) constitute the vertical and horizontal axis of the table.

Based on the evidence gathered through the evaluation methodology, the Evaluation Team will answer the key questions in the Key Questions Matrix in Annex 2. Based on the answers to the key questions, the Evaluation Team will draw conclusions regarding SDC performance in the three focus areas described under 3.3 (sphere of influence of the Thematic Service KM, strategic anchoring and outcomes / impact on operations). The CLP confirmed during

the APW that this approach will – with a high probability – cover the priority areas of KM / IL and that the evaluation should therefore be based on this methodology and on answering the key questions in Annex 2.

The CLP underlined in the APW that they expect the Evaluation Report to address – to the extent possible within the defined scope and methodology – the KM / IL issues at the level of SDC as an institution (including KM / IL issues between HQs and the COOFs) as well as the effectiveness of SDC KM / IL practices in improving SDC's performance in its operations (outcomes / impact of KM / IL). In consultation with the Resource Person, the Evaluation Team will develop a means of assessing such outcomes within the proposed methodology (interviews of SDC staff, electronic survey of SDC staff and the desk study of relevant documents, e.g., through tracer studies).

See Chapter 7.2. for further information on the methodology.

5. Expected Results

5.1 At Output Level

By the Evaluation Team:

- Approach Workshop and Finalisation of the Approach Paper (in collaboration with the E+C Evaluation Officer). This version of the Approach Paper including the feedback from the CLP represents the final Approach Paper.
- Debriefing on Emerging Findings at SDC HQs including Aide Memoire
- Synthesis Workshop (in collaboration with the E+C Evaluation Officer)
- A fit to print Final Evaluators' Report in English consisting of
 - Final Evaluation Report not exceeding 40 pages plus annexes and including an executive summary
- A DAC Abstract according to DAC-Standards not exceeding 2 pages

By SDC:

- Review of the findings and conclusions, and development of recommendations based on the findings and conclusions.
- An Agreement at Completion Point containing the Stand of the Core Learning Partnership and of Senior Management regarding the implementation of the recommendations
- Lessons drawn by the Core Learning Partnership
- Dissemination of the evaluation results

5.2 At Outcome Level

The independent evaluation is expected to contribute the following:

With regard to KM / IL practices and processes:

- a better understanding of what works and what does not work,
- clarification regarding the utility of instruments.

With regard to organisational issues:

- a better understanding of the appropriate roles and responsibilities of the various actors (e.g., the Thematic Dept. Divisions, Management, Human Resources Dept., etc.),
- clarification of Senior Management future priorities with regard to KM / IL and Senior Management decisions regarding improvements of KM / IL based on the implementation of recommendations.

With regard to SDC's policy development and strategic orientation:

- learnings leading to improved KM / IL so that SDC is better able to fulfil its mandate,
- learnings reflected in the next medium term strategy KM.

With regard to SDC staff in general:

- better awareness among staff regarding KM / IL and their responsibilities,
- Members of the CLP internalize learnings applicable to their sphere of influence and thereby improve their KN practice.

With regard to KM / IL in general:

- the importance of KM / IL is better acknowledged,
- knowledge is better anchored when staff rotate or leave.

6. Partners

6.1 Organisational Set-up and Respective Roles

- A **Core Learning Partnership (CLP)** will be constituted at SDC HQs to accompany the evaluation. The CLP comments on the evaluation design and the key questions in the Approach Workshop. This APW was held on January 24th 2008; major conclusions are integrated in this final version of the Approach Paper. Based on the Debriefing by the Evaluation Team on their emerging findings, the CLP can give feedback. During the Synthesis Workshop, the CLP receives and validates the evaluation findings and conclusions and under the guidance of the E+C Evaluation Officer and the Evaluation Team elaborates lessons learned and recommendations for SDC which will be noted in an Agreement at Completion Point during the workshop.
- **Department-level Management** and the **Director General** of SDC are invited to be interviewed by the Evaluation team. They comment in COSTRA on the Agreement at Completion Point. Their standpoint is noted under Senior Management Response in the Agreement at Completion Point.
- **Consultants** contracted by SDC's E+C Division elaborate an evaluation work plan, the evaluation methodology with evaluation matrix and carry out the evaluation according to DAC and SEVAL evaluation standards. They will conduct an Approach Workshop with the CLP and revise the Approach Paper to reflect the results of the workshop including the finalized key questions and a description of their methodology (in lieu of an inception report). At an appropriate phase of the evaluation process, they will conduct a debriefing for the CLP on their preliminary findings. Following submission of their draft report, they will conduct a Synthesis Workshop with the CLP in which they will present their conclusions and guide the CLP in elaborating lessons learned and recommendations for SDC in an Agreement at Completion Point. The Evaluation Team will have their own recommendations ready to mirror back to SDC. In finalizing their evaluation report, they will follow up on the CLP's feedback as appropriate and submit the Evaluators' Final Report in publishable quality as well as an Evaluation Abstract according to DAC specifications. The consultants may be asked to debrief Senior Management at the end of the evaluation process.

- **Evaluation + Controlling Division (E+C Division)** commissions the independent evaluation, finalizes the Approach Paper with the inputs from the Core Learning Partnerships and the Evaluation Team, drafts and administers the contracts with the Evaluation Team, ensures that the evaluators receive appropriate logistical support and access to information and facilitates the overall process with respect to i) discussion of evaluation results, ii) elaboration of the Agreement at Completion Point , iii) publication and iv) dissemination.

6.2 Core Learning Partnership (CLP)

Department for Thematic and Technical Resources (F-Dept.)

- Jürg Benz, Deputy Head of the F-Dept.
- Manuel Flury, Head of Service, Thematic Service Knowledge and Research
- Adrian Gnägi, Program Officer, Thematic Service Knowledge and Research
- Guido Beltrani, Evaluation + Controlling Officer, F-Dept.

Department for Bilateral Development Cooperation (E-Dept.)

- Olivier Berthoud, Head of Division, Courses and Grants Division
- Ilaria Dali-Bernasconi (or other staff member of division), Middle-East – North Africa Division (MENA) and / or
- Laura Bott, Program Officer, West Africa Division

Department for Cooperation with Eastern Europe and CIS (O-Dept.)

- Beat von Zenker, Evaluation + Controlling Officer, O-Dept.
- Denis Bugnard, Program Officer, West Balkan Division

Department for Development Policy and Multilateral Cooperation (M-Dept.)

- Marie Therese Karlen, Program Officer, Development Policy Division (EPOL)
- Alexander Widmer, Program Officer, Information and Communication Technologies for Development Division (ICT4D)
- Heidi Meyer, Head of Division, Information and Documentation Division (Infodoc)

Department for Humanitarian Aid (H-Dept.)

- Yves Mauron, Evaluation + Controlling Officer, H-Dept.

Division for Media and Communication (MUK)

- Sabine Schumacher, Program Officer for Web-Communication (Intraweb, Webshare, How-Tool)

Department for General Services (A-Dept)

- Francesco Cattaneo, Legal Advisor, Legal Affairs Division
- Markus Studer, IT Coordinator, IT Integration

Human Resources Division:

- Martina Wüthrich, Head of Division. Personnel Planning

7. Process

7.1 Approach

The evaluation process will be iterative with periodic engagement of the Core Learning Partners and will include the following milestones:

- Approach Workshop with the CLP conducted by the E+C Evaluation Officer and the Evaluation Team at SDC HQs (held on January 24th 2008) to:
 - o introduce the Evaluation Team,
 - o develop a common understanding of the evaluation process, scope and focus,
 - o introduce the theory/model of KM / IL;
 - o provide input for finalisation of the Approach Paper (contribution to the research design including key questions through stakeholder input).
- Debriefing of the CLP by the Evaluation Team on their key emerging findings at an appropriate phase of the process (e.g. after interviews at SDC HQs) to
 - o update the stakeholders on where the evaluation is headed
 - o provide a sounding board for the evaluation team (Any factual errors? Difficulties of comprehension? Opportunity to ask additional questions, etc.).
- Synthesis Workshop with the CLP conducted by E+C Evaluation Officer and the Evaluation Team (one day retreat outside Bern, from 14:00 to next day 14:00) to
 - o present the draft evaluation report to the CLP for feedback,
 - o present the Evaluation Team's conclusions on SDC's practice regarding KM / IL
 - o conduct a process for the CLP to generate lessons learned and recommendations for SDC and take a stand on the implementation of the recommendations (Agreement at Completion Point ACP).

An innovative feature of this evaluation is that the Core Learning Partnership will be actively involved in generating the lessons learned and the recommendations for SDC. In the APW the members of the CLP confirmed their interest in this approach. Evaluation research shows that involvement of those responsible for implementation in generating recommendations leads to a higher rate of implementation. In the Synthesis Workshop, the Evaluation Team will present their conclusions and will be responsible for assisting the CLP to identify lessons learned and develop recommendations by facilitating an effective process of consideration of possible actions. The Evaluation Team, assisted by the E+C Evaluation Officer, will be responsible for the process for generating and recording recommendations.

7.2 Methodology

In the Approach Workshop, the Evaluation Team described the **theory/model of KM / IL** against which it will measure SDC.

The Evaluation team will base the evaluation mainly on three sources:

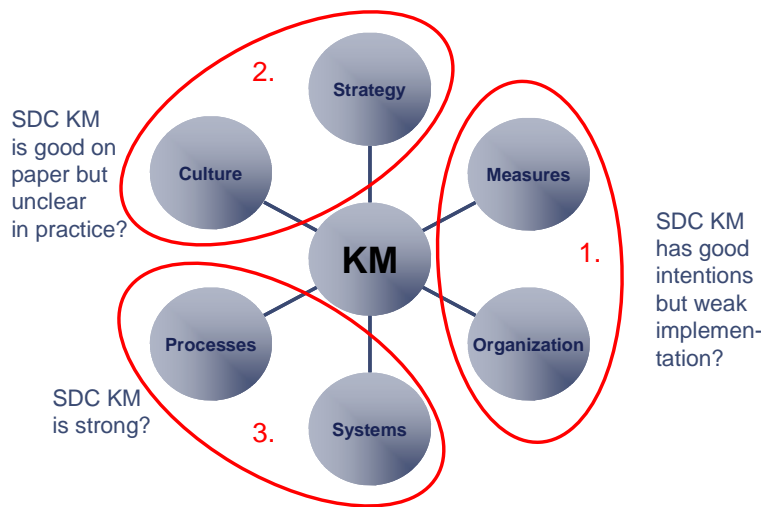
1. Analysis of information available on the IntraWeb of SDC and in important documents (i.e. Strategy papers and practice reports);
2. A total of 22 interviews conducted with a selection of a maximum of 15 members of SDC staff in three phases: input interviews in preparing the evaluation; fact finding interviews with management and specialists; validation interviews with a selection of members of the management and specialists (preparing the final report);
3. A survey (electronic questionnaire) of a large number of SDC staff at HQ and COOF (including National Program Officers) (requested participation for some functions and voluntary participation for the majority of staff), with tailored questions addressing the issues of the evaluation, using a software tool allowing the attribution of respondents and their answers in many combinations while respecting confidentiality. Time investment for SDC staff asked to respond to the survey is estimated at 15 - 30 minutes. The CLP took note in the APW that the Evaluation Team expects a high percentage of feedback (in a recent PwC survey the level was 73 %) and that the

Evaluation Team counts on the active support by management and members of the CLP to reach an intensive response.

The evaluation methodology and structure will be based on the following approach:

Dimensions of the KM / IL evaluation based on the Evaluation Team methodology:

The Evaluation Team will evaluate KM / IL along the six dimensions of strategy, culture, processes, systems, organization, measures (see Annex 1 for an explanation of each dimension). The general priority scale (1/2/3) indicates the existing Evaluation Team assumptions – which will be challenged during the evaluation process – about the existing quality of the activities in general and the possible gap between (ambitious) intentions and (pragmatic) reality of KM / IL in SDC.



Priority analysis in the evaluation of the focus and scope areas defined by SDC:

Based on the Evaluation Team assumption on useful priorities for the evaluation, the Evaluation Team intends to carry out more detailed analysis in the matrix fields in dark colour than in the fields in light colour.

Focus	Scope	Sphere of influence of KM / IL service	Strategic anchoring in SDC	Actual learning practice in SDC
Processes				
Practice				
Actors				
Factors				
Outcomes				
Impact				

Accountability (diagonal arrow from top-left to bottom-right)

Performance (diagonal arrow from bottom-left to top-right)

Combination of the SDC priority areas (focus and scope) and the Evaluation Team evaluation dimensions:

The following illustration indicates which areas (focus and scope, priority areas identified by SDC) will be analysed more in depth (dark colours). The basic analysis (especially of the IntraWeb and documents) will cover all priority fields; the survey (questionnaire) and the interviews will concentrate mainly on the fields with the respective indications.

D* / F* / S*	Strategy	Culture	Processes	Systems	Organization	Measures
Processes			Survey	Survey	Survey	
Practice		Survey	Survey	Survey		
Actors	Interviews	Interviews			Interviews	
Factors		IntraWeb / Documents			IntraWeb / Documents	IntraWeb / Documents
Outcomes	Interviews		Interviews			Interviews
Impact	Interviews / Survey		Interviews / Survey			Interviews / Survey
Sphere of influence						
Strategic anchoring						
Learning practice						

F* = Focus, S* = Scope, D* = Dimensions

7.3 Main steps (Any changes to the dates below will be mutually agreed between the E+C Evaluation Officer and the Evaluation Team)

Activity	Date	Actors
Draft Approach Paper	Sept. 2007	E+C Evaluation Officer
Call for offers	Oct. 2007	E+C Evaluation Officer
Formation of CLP	Nov. 2007 / Jan. 2008	E+C Evaluation Officer, Thematic Service Knowledge and Research
Selection of Evaluators	Nov. 2007	E+C Evaluation Officer
Contracts signed with Evaluators	Dec. 2007	E+C Evaluation Officer and Secretariat
Scoping and Methodology Workshop	Dec. 19, 2007	E+C Evaluation Officer, Thematic Service Knowledge and Research, Evaluation Team
Approach Workshop with the CLP	14:00-16:30, January 24, 2007	E+C Evaluation Officer, Evaluation Team, CLP
Finalisation of Evaluation Design and Approach Paper	Early Feb. 2008	Evaluation Team in consultation with E+C Evaluation Officer
Logistical and administrative preparations	ongoing	Evaluation Team Administrative Support., E+C Secretariat, Secretariat Thematic Service Knowledge and Research
Electronic Survey of KN Practice	Feb.-March 2008	Evaluation Team and targeted SDC staff
First Round of a few interviews at SDC HQs (factual and context input)	Jan. 2008	Evaluation Team and targeted SDC staff t
Second Round of ca. 10 interviews at SDC HQs including Senior Management and specialists	March 2008	Evaluation Team and targeted SDC staff including Senior Management
Debriefing to the CLP on Emerging Findings (3 hour meeting, 14:00-17:00)	17 April, 2008	Evaluation Team, CLP, E+C Evaluation Officer
Third Round of Interviews at SDC HQs for validation (including bilateral discussions with members of Senior Management and specialists on emerging conclusions)	End of April / early May 2008	Evaluation Team and targeted SDC staff, possibly including Senior Management
Evaluation Team delivers Draft Report to E+C	May 15, 2008	Evaluation Team
Synthesis Workshop (1 day retreat outside Bern, 14:00 to 14:00 next day) - Feedback and validation of Draft Report - CLP identifies lessons learned, elaborates recommendations and Agreement at Completion Point	June 4-5, 2008	Evaluation Team, E+C Evaluation Officer, CLP
Final Report, incorporation of final comments	June 30, 2008	Evaluation Team
Presentation and Discussion in COSTRA (Comité stratégique)	Sept. 4, 2008	E+C Evaluation Officer, Evaluation Team (participation to be decided at end of process depending on developments at SDC)
Publication and Dissemination		E+C Evaluation Officer and Secretariat

During the APW the CLP confirmed its willingness to cooperate with the Evaluation Team during the two other planned meetings.

7.4 Evaluation Team

The Evaluation Team consists of 4 members of the core team and two sector specialists. It brings together the following skills mix:

- Critical distance from SDC
- Evaluation skills
- Expertise in Knowledge Management and Institutional Learning
- Knowledge of Development Cooperation
- Gender balance
- English, French, German language
- Analytical and editing skills, ability to synthesize
- Communication skills
- Ability to conduct a process to elicit recommendations from SDC staff

Estimated total person-days: ca. 90 days (detailed in budget in Form 8B)

8. Reference Documents

- SDC Strategy 2010 (published in 2000, SDC's overall strategy for 2000-2010)
- Lernen und Wissensmanagement in der DEZA (published in 2004, SDC's main KM/IL strategy; available in German only)
- Flyer "Wissensmanagement" (available also in English, French, Spanish and Italian)
- Flyer "Wissensmanagement in der Praxis – Die fünf Grundsätze" (available also in English, French, Spanish)
- Glossar „Wissensmanagement“ (available also in English)
- „Thematische Erfahrungskapitalisierung – eine Orientierungshilfe (available also in English, French, Spanish)
- Flyer „Thematische Erfahrungskapitalisierung“ (available also in English, French, Spanish)
- „Geschichtenhandbuch“ (available also in English, French, Spanish)
- Flyer „Geschichten erzählen“ (available also in English, French, Spanish)
- „Communities of practice (CoP)“
- Flyer „Community of Practice (CoP)“ (available also in English, French, Spanish)
- Shareweb www.communityofpractice.ch
- Shareweb www.daretoshare.ch
- "Learning Practices" (collection of process descriptions on SDC IntraWeb)
- "Prozess der Erfahrungskapitalisierung" (description of SDC standard business process on SDC IntraWeb)
- "Focus on knowledge" (newsletter on SDC IntraWeb)
- PwC proposal (November 2007)

For copies of the above SDC documents, go to [SDC Web](#)

(if the link doesn't work, go to :

http://www.deza.ch/en/Home/Activities/Process_and_methodic_competencies_research/Knowledge_Management)

Annex 1: Explanations of the Six KM Evaluation Dimensions

The 6 dimensions of our KM evaluation

Strategy

It is well known and agreed best practice, that successful organizations are good at sharing knowledge to solve practical business problems and achieve specific results. The corporate strategy sets the initial boundaries for all subsequent activities related to better use of knowledge from within or outside the organization to be successful.

The strategy dimension of the KM evaluation refers to questions about the existence of a formal organizational strategy, the role knowledge plays within this strategy for the organization, the strategic drivers identified, the existence of a formal knowledge (management) strategy, the organizations strategy development and refinement process and the role of the individual knowledge worker and leadership. Overall, this dimension addresses the subject of the importance of knowledge and it's management to the ability of the organization to reach it's strategic objectives (in a mid- to long term view).

Culture

One of the most powerful influences of behaviour is the culture that already exists in an organization, specifically core beliefs and assumptions of the organization. These are particularly influential because they are often fairly invisible to people. They are based on years of experience on which behaviour within an organization is appropriate and which not. Changing beliefs and assumptions is extremely difficult and time consuming.

The culture dimension refers for that reason to elements like norms, values, beliefs (the cognitive context) and the current behaviour of people in comparison to the required behaviour following the strategy. This dimension addresses the question of the likelihood of success of knowledge management driven activities given the current reality of individual and collective behaviour in an organization. An important element of this dimension is the leadership culture and the level of trust among people.

Processes

The processes dimension refers to core and support processes put in place by the organization to better manage knowledge. We specifically focus on a series of issues starting with the simple availability of defined and documented processes, their fit with the day to day activities of the members of an organization, the question of their obligation, the integration of core and support processes, the way processes are developed and later on improved and ultimately the question of whether or not the organisation learns with respect to their processes or not.

Systems

The systems dimension contains elements that influence the behaviour of people with respect to knowledge driven by rules, regulations, incentives, disincentives, rewards, recognition, performance appraisal, training and others, frequently originating in different parts of the organization. Systems tend to build the backbone for knowledge sharing, either formal or informal, either also supported by IT or not. Sometimes, despite the fact that such systems are in place, people do not use or follow them without consequences. In some organizations, the entire KM is focussed on only one element of systems, that is to say IT solutions. While systems are an important element of a holistic KM approach, their pure existence will not solve the knowledge management challenge on its own. Equally critical to the success of KM is the level of logical integration of the different systems to guide a common behaviour in one direction (are the different systems targeting at the same type of behaviour, e.g. sharing, or are they contradicting one another).

Organization

The dimension of organization refers to two key elements: first the organizational setup of the entire organization (line vs. matrix vs. any other form of structure) and its overall fit with the knowledge sharing objectives and second the setup of Knowledge Management as a distinct function within an organization. It also includes questions of the availability of specific job profiles for KM, the job descriptions, the clear assignment of responsibilities for task related to the management of knowledge and the structure and management of KM within a geographically distributed organization.

Measures

Measures finally are the sixth dimension of the KM evaluation focussing on the question of the availability, definition, selection and impact of adequate indicators/measures, e.g. for quality, quantity, impact or level of application of KM solutions or services. The measures act as the final level of granularity of the strategy helping to assess the impact and success of KM activities and finally enabling corrective action and learning.

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Annex 2: Key Questions Matrix

Key questions	Strategy	Culture	Processes	Systems	Organization	Measures
Processes	Is managing organizational knowledge central to SDC's strategy?	Are people at SDC lead to work in accordance to predefined processes?	Are KM processes built onto or into the core processes of SDC?	Are processes supported by tools to ensure compliance and performance?	Does clear ownership for processes and policies exist?	Are adequate process measures (e.g. quality, time, application) in place?
Practice	Is there a compelling knowledge vision that is actively followed?	Do people at SDC follow predefined processes or are they viewed and lead as empowered individuals?	Is the practice within SDC to continuously improve processes based on real live experience?	Are such tools being used or rather worked around?	Are people in place to enforce the use of processes and policies?	Are process measures being used to assess the performance of individuals, teams and for the entire SDC?
Actors	Is there board level representation for KM?	Do people at SDC show their willingness to share knowledge widely among colleagues, even from different groups?	Are processes being regularly reviewed by a mixed team of process experts and practitioners?	Are individuals hired, evaluated and compensated for their contribution to the development of knoweldge?	Are qualified KM/IL rersources identified and held accountable in the entire network of the SDC?	Do people at SDC accept KM measures to be an integral part of their work?
Factors	Is the role of knowledge clearly articulated in SDC's mission, objectives and plans?	Is sharing part of the individual goals and performance measures?	Are all processes accessible to everyone at SDC for use?	Is training availabe to use tools and do people go there?	Is doing KM/IL upvaluing the people or taken as an unattractive side job?	Are such measures being used to take corrective actions (e.g. promotion or degradation)?
Outcome	Is an explicit KM strategy available and widely known within the entire SDC organization?	Do people at SDC view knowledge as their own property or do they perceive it as organizational asset?	Are processes seen as a hurdle to daily activities in the field / development cooperation performance?	Is information in SDC's intraweb up to date and frequently used?	Is there a clear KM/IL organization including roles and responsibilities up to the board level?	Are KM measures trustful sources of information and as such accepted?
Impact	Is the impact of KM services being monitored and reported as required the SDC strategy 2010?	Do partners report back a significant change in behavior of SDC staff on the ground since 2001?	Is experience of local cooperation projects actively shared between various COOF's following the experience capitalisation process?	Are local and global incentives for knoweldge development and sharing aligned to strengthen a common behaviour of openness and learning?	Are SDC staff members in the COOF's perceived by partners to be significantly more skilled, open and willing to share than before 2001?	Did the quality and efficacy of the programmes SDC supports improve? What metrics are used?

Key questions	Strategy	Culture	Processes	Systems	Organization	Measures
Sphere of influence	Is KM/IL considered to be a back-office service or a key organizational function?	Are the solutions developed and introduced by KM/IL being used by SDC's staff globally or in HQ only?	Have processes improved since KM/IL was put in place at SDC?	Is KM/IL in a position to change any system that does not comply with KM/IL objectives and/or asks for wrong behaviours?	Is KM/IL visibly a top topic and it's people/organization considered to have an institutional impact?	Are measures put in place by KM/IL in line with SDC's strategy?
Strategic anchoring	Is KM/IL accepted to exercise influence across the entire SDC organization?	Is working with KM/IL seen as an important job that delivers a substantial contribution to reach SDC's overall goals?	Do processes at SDC remain the same even if the tasks are slightly changing? Are they anchored in real life?	How are KM/IL actions linked to the SDC strategy and how well understood is it by staff?	Is the KM/IL organization visible in the strategy and in the org charts at the top level?	Are measures being regularly reviewed and improved based on performance targets (KPI's)?
Learning practice	Is the strategic setup regularly revisited and revised based on actual results?	Do leaders reinforce the right behavior and act as role model?	Who is in charge of changing processes to fit with new requirements? How do they know?	Are all elements of systems (e.g. performance schemes, IT systems, promotions, ..) regularly reviewed and revised?	Is the organizational setup being periodically reviewed and improved?	Are results published and consequences beared?