



Invertir en la población rural

Comité de Evaluación

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Documento conceptual sobre la evaluación a nivel institucional de las prácticas de gestión de los conocimientos en el FIDA

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Preguntas técnicas:

Indran A. Naidoo

Director

Oficina de Evaluación Independiente del FIDA

Correo electrónico: i.naidoo@ifad.org

Johanna Pennarz

Oficial Principal de Evaluación

Oficina de Evaluación Independiente del FIDA

Correo electrónico: j.pennarz@ifad.org

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Resumen

1. Tal y como aprobó la Junta Ejecutiva durante su 134.º período de sesiones de diciembre de 2021, la Oficina de Evaluación Independiente del FIDA (IOE) está llevando a cabo una evaluación a nivel institucional de las prácticas del FIDA en materia de gestión de los conocimientos en el FIDA. En la evaluación se examinarán la pertinencia, coherencia, eficacia y eficiencia de las prácticas de gestión de los conocimientos a nivel institucional, regional y nacional durante el período 2016-2022.
2. La gestión de los conocimientos es un elemento fundamental de la estrategia del FIDA para lograr un desarrollo rural transformador. La generación de conocimientos, la difusión y la actuación en materia de políticas constituyen uno de los cuatro pilares que sustentan la consecución de los resultados de desarrollo del FIDA. En el Informe de la Consulta sobre la Duodécima Reposición de los Recursos del FIDA (Informe de la FIDA12) se hizo hincapié en la importancia de los conocimientos para lograr un cambio transformador.
3. En la evaluación se examinarán la diversidad de prácticas y tipos de conocimientos que tienen pertinencia para la labor del FIDA y se ofrecerá una interpretación uniforme y más coherente de la función que desempeña la gestión de los conocimientos en el programa de transformación rural del FIDA. Los hallazgos, conclusiones y recomendaciones servirán de apoyo a la Dirección del FIDA y a su personal en la adopción de buenas prácticas de gestión de los conocimientos y a la Junta Ejecutiva del FIDA en su función de rendición de cuentas, y servirán de base para las deliberaciones de la Consulta sobre la FIDA13.
4. Esta evaluación es singular, en el sentido de que se centra en la relación entre la gestión de los conocimientos a nivel institucional y las prácticas reales en los países. El proceso de descentralización en curso ha transformado profundamente la forma en que el FIDA genera conocimientos y los difunde entre sus asociados en los países y dentro del propio FIDA. La evaluación generará hallazgos sobre los factores que impulsan la gestión de los conocimientos en el contexto de la descentralización, como el creciente papel que desempeñan la presencia del FIDA en los países, la rotación de personal y la escasez de recursos disponibles para actividades no crediticias.
5. En la evaluación se analizará el desempeño del FIDA a nivel institucional mediante el examen de las estrategias, los planes de acción y los productos de conocimiento. Se estudiará en profundidad el papel que desempeñan las divisiones regionales a la hora de apoyar la gestión de los conocimientos en los programas en los países. Para la evaluación se han seleccionado 20 países como estudios de caso a fin de catalogar las prácticas de gestión de los conocimientos sobre el terreno y evaluar su contribución a los resultados de desarrollo transformadores en los países asociados del FIDA. Por último, en la evaluación también se examinarán las buenas prácticas de gestión de los conocimientos que se aplican en otras organizaciones internacionales.

Documento conceptual sobre la evaluación a nivel institucional de las prácticas de gestión de los conocimientos en el FIDA

I. Introducción

A. Justificación de la presente evaluación a nivel institucional

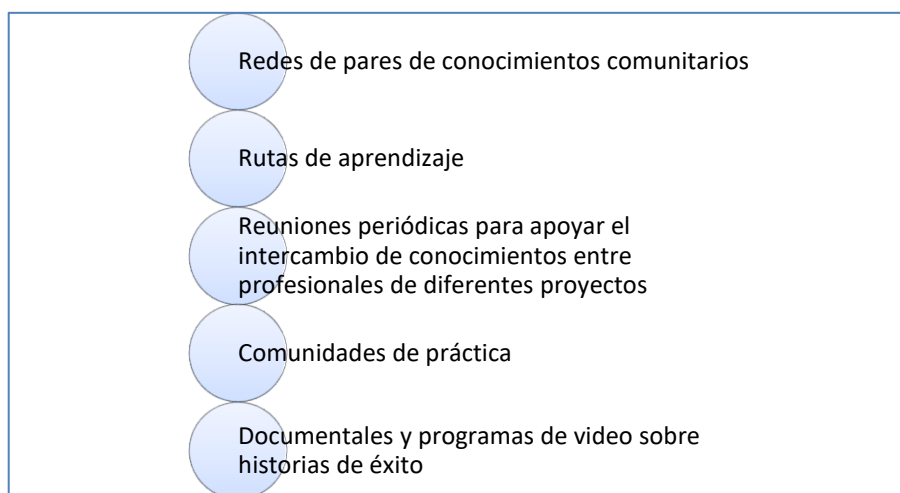
1. Tal y como aprobó la Junta Ejecutiva durante su 134.º período de sesiones en diciembre de 2021, la Oficina de Evaluación Independiente del FIDA (IOE) está llevando a cabo una evaluación a nivel institucional de las prácticas de gestión de los conocimientos en el Fondo. En la evaluación se examinarán la pertinencia, coherencia, eficacia y eficiencia de las prácticas de gestión de los conocimientos a nivel institucional, regional y nacional durante el período 2016-2022. Para preparar esta evaluación a nivel institucional, la IOE consultó con el Grupo de Garantía de Calidad (QAG), el Departamento de Estrategia y Conocimientos (SKD) y el Departamento de Administración de Programas. También se establecieron contactos con economistas principales y asesores de las carteras de las divisiones regionales para recabar sus aportaciones durante la redacción del presente documento conceptual sobre la evaluación. La metodología y el enfoque han sido revisados por el Grupo Consultivo de Evaluación de la IOE¹ y la asesora técnica independiente de la IOE Zenda Ofir.
2. **La gestión de los conocimientos es un elemento fundamental de la estrategia del FIDA para lograr un desarrollo rural transformador.** De acuerdo con el Marco Estratégico del FIDA (2016-2025), actualmente en curso, el FIDA se propone aprovechar al máximo su ventaja comparativa “de manera más inteligente, mejor y a mayor escala”: movilizará y aprovechará una inversión sustancialmente mayor en las zonas rurales; reforzará la calidad de los programas nacionales de desarrollo rural a través de la innovación basada en datos empíricos, el intercambio de conocimientos, las asociaciones y la actuación en materia de políticas, y obtendrá resultados en el ámbito del desarrollo más eficaces en función de los costos. La generación de conocimientos y su difusión y la actuación en materia de políticas constituyen uno de los cuatro pilares que sustentan la consecución de los resultados de desarrollo del FIDA. En el Informe de la Consulta sobre la Duodécima Reposición de los Recursos del FIDA (Informe de la FIDA12) se hizo hincapié en la importancia de los conocimientos para lograr un cambio transformador.
3. **La evaluación es singular, en el sentido de que se centra en la relación entre las prácticas de gestión de los conocimientos a nivel institucional y las prácticas efectivas de gestión de los conocimientos en los países, y en cómo contribuyen a mejorar el impacto del FIDA sobre el terreno.** El proceso de descentralización en curso ha transformado profundamente la forma en que se generan conocimientos y se difunden entre los asociados en los países y dentro del propio FIDA². En la evaluación a nivel institucional se examinarán el desempeño y los resultados de la gestión de los conocimientos en el marco de una estructura descentralizada durante el período comprendido entre 2016 y 2022. Por el momento se sabe poco sobre aspectos importantes que impulsan la gestión de los conocimientos en el FIDA en el contexto de la descentralización, como el creciente papel que desempeñan la presencia del FIDA en los países, la rotación de personal y la escasez de recursos disponibles para actividades no crediticias.

¹ <https://ioe.ifad.org/es/evaluation-advisory-panel>

² En la evaluación a nivel institucional de la IOE sobre la descentralización se examinan los efectos de estas reformas organizativas en la asociación, la gestión de los conocimientos y la actuación en materia de políticas.

4. Esta evaluación a nivel institucional se centra explícitamente en las **prácticas de gestión de los conocimientos*** y en cómo están configuradas y organizadas en el FIDA. Las prácticas de gestión de los conocimientos sitúan a las personas en el centro³: son ellas quienes establecen las prácticas, por ejemplo, al recopilar experiencias y relatos, crear herramientas de gestión de los conocimientos y hallar formas de dar respuesta a los problemas recurrentes (véase el gráfico 1 a continuación)⁴. La eficacia de la gestión de los conocimientos depende del compromiso y la motivación de cada uno de los miembros del personal y de las dependencias orgánicas que se esfuerzan por alcanzar la excelencia y la competencia, así como de su capacidad para acceder a los recursos (personal, herramientas) y capacidades necesarios.

Gráfico 1.

Ejemplos de prácticas de gestión de los conocimientos en el FIDA

B. Objetivos, alcance y efectos directos previstos de la evaluación a nivel institucional

5. **Propósito.** Con la evaluación a nivel institucional se tratará de ayudar al FIDA a reconocer la diversidad de prácticas y tipos de conocimientos que tienen pertinencia para su labor y llegar a una interpretación uniforme y más coherente de la función que desempeña la gestión de los conocimientos en el contexto del programa de transformación rural del FIDA. Los hallazgos, conclusiones y recomendaciones de la evaluación servirán de apoyo a la Dirección del FIDA y a su personal en la adopción de buenas prácticas de gestión de los conocimientos y a la Junta Ejecutiva del FIDA en su función de rendición de cuentas, y servirán de base para las deliberaciones de la Consulta sobre la FIDA¹³.
6. **Objetivos.** La evaluación a nivel institucional tiene tres objetivos generales:
- **Objetivo 1:** Evaluar la pertinencia, coherencia, eficacia y eficiencia de las prácticas actuales de gestión de los conocimientos a nivel institucional, regional y nacional.
 - **Objetivo 2:** Examinar y determinar las enseñanzas extraídas de experiencias anteriores, incluidas las de otras organizaciones de desarrollo, que el FIDA pueda utilizar para mejorar su desempeño futuro en materia de gestión de los conocimientos.

³ En el glosario (apéndice VIII) figura una lista más amplia de conceptos. Todas las expresiones recogidas en el glosario se identifican con un asterisco.

⁴ El apéndice III contiene una lista de las prácticas de gestión de los conocimientos que se identificaron en los estudios de caso piloto.

- **Objetivo 3:** Articular qué tipos de conocimientos y prácticas de gestión de los conocimientos se necesitan para ayudar al FIDA a cumplir los objetivos de su programa de transformación rural.
7. **Alcance.** La evaluación a nivel institucional abarca el período comprendido entre 2016 y 2022, que coincide con el Marco Estratégico del FIDA (2016-2025), actualmente en curso. La estrategia de gestión de los conocimientos del FIDA se preparó en 2019. La evaluación a nivel institucional abarcará el marco institucional de la gestión de los conocimientos y las prácticas de gestión de los conocimientos a nivel institucional, regional y nacional, así como los vínculos que existen entre ellos.
 8. El alcance de esta evaluación a nivel institucional no se limitará a la estrategia de gestión de los conocimientos del FIDA y su aplicación, sino que también se evaluará la forma en que la organización ha aprovechado los conocimientos externos e internos, en particular a nivel de los países, y en qué medida las estrategias, estructuras y funciones que existen han apoyado la aspiración del FIDA de contribuir a un cambio transformador en los países asociados.
 9. **Efectos directos previstos.** La evaluación a nivel institucional se propone subsanar las carencias en materia de conocimientos en torno a las cuestiones siguientes: i) el alcance y el valor de los conocimientos adquiridos a nivel institucional y regional a la hora de gestionarlos en su aplicación a nivel de los programas en los países; ii) el papel que desempeñan las divisiones regionales en la planificación y aplicación de la gestión de los conocimientos; iii) el valor de los conocimientos tácitos, las comunidades de práctica y la retención de los conocimientos, y iv) la identificación de incentivos que apoyen la priorización de la gestión de los conocimientos.
 10. La evaluación complementará el examen de mitad de período de la estrategia de gestión de los conocimientos del FIDA, que se llevó a cabo en 2022. El examen de mitad de período consistió en una evaluación rápida y cualitativa centrada en la idoneidad y eficacia de la estrategia y su aplicación en curso. No incluyó un análisis de los efectos directos de la gestión de los conocimientos en los programas en los países, las asociaciones en materia de conocimientos, ni una síntesis del uso de los conocimientos internos y externos dentro del FIDA y en los países asociados para lograr la transformación rural, que es lo que se pretende tratar en esta evaluación a nivel institucional.
 11. La evaluación a nivel institucional generará hallazgos concretos y recomendaciones prácticas sobre la forma en que podría mejorarse la gestión de los conocimientos en el FIDA. Se determinarán formas de fortalecer la gestión de los conocimientos a lo largo del modelo descentralizado, haciendo hincapié en la generación, el intercambio y el uso de los conocimientos a efectos de la actuación en materia de políticas. En la evaluación se prestará especial atención a los mecanismos y prácticas de gestión de los conocimientos que han contribuido a aumentar el impacto a nivel de los países, se determinarán qué prácticas de gestión de los conocimientos han resultado eficaces en los distintos contextos nacionales y, por último, se pretende evaluar la eficacia en función de los costos de las prácticas de gestión de los conocimientos.

II. Antecedentes y terminología de la gestión de los conocimientos

A. La gestión de los conocimientos en favor del desarrollo

12. Desde finales del decenio de 1990, la gestión de los conocimientos se ha generalizado en el ámbito del desarrollo internacional como subdisciplina de la gestión de los conocimientos para el desarrollo. También se ha implantado profusamente en las instituciones financieras internacionales (IFI) y los organismos de las Naciones Unidas, incluido el FIDA (véase el apéndice VI)⁵.

⁵ Dumitriu (2016); Bockock y Collinson (2022); Kalseth y Cummings (2000); Cummings *et al* (2013).

13. El sector internacional del desarrollo adoptó oficialmente la gestión de los conocimientos con la puesta en marcha de la primera estrategia de “banco de conocimientos” del Banco Mundial en 1996. El Programa de las Naciones Unidas para el Desarrollo (PNUD) puso en marcha su primera estrategia en 2004. En 2007, la gestión de los conocimientos en el sistema de las Naciones Unidas se encontraba en sus fases iniciales, de acuerdo con el primer examen sobre la materia realizado por la Dependencia Común de Inspección (DCI)⁶. En la segunda inspección⁷ de la DCI, la situación había cambiado considerablemente. En la inspección se comprobó que el PNUD, el Organismo Internacional de Energía Atómica (OIEA), el FIDA y la Organización Internacional del Trabajo (OIT) habían desarrollado prácticas exhaustivas y probadas a lo largo del tiempo y que habían hecho de la gestión de los conocimientos parte de su realidad operacional. También se constató que esos organismos destacaban porque sus estrategias de gestión de los conocimientos se ajustaban y reformulaban continuamente en función de las enseñanzas extraídas de su aplicación.
14. En 2018, se puso en marcha la alianza Multi-Donor Learning Partnership. Renombrada como Multi-Donor Partnership on Learning for Development Impact⁸ en 2022, es una iniciativa que reúne a organismos de las Naciones Unidas e IFI, incluido el FIDA, además de otros donantes⁹. El objetivo de la asociación es defender las inversiones en conocimientos y aprendizaje en todo el sector del desarrollo internacional, crear conexiones y movilizar conocimientos especializados, y promover una generación de conocimientos ética, uniforme y eficaz¹⁰.

B. Enfoques formales de la gestión de los conocimientos en el FIDA

15. La primera estrategia de gestión de los conocimientos del FIDA se aprobó en 2007 para el período 2007-2009. La estrategia fue una respuesta a la rápida evolución del contexto mundial, que exigía nuevos enfoques de aprendizaje, y un reconocimiento de que la eficacia en términos de desarrollo dependía de la adquisición de nuevas capacidades en materia de conocimientos. Posteriormente, tras algunos años sin una estrategia de gestión de los conocimientos, el FIDA adoptó un marco de gestión de los conocimientos (2014) seguido de su primer plan de acción (2016).
16. La segunda fue la Estrategia de Gestión de los Conocimientos del FIDA (2019-2025), aprobada por la Junta Ejecutiva en mayo de 2019 y se pretende que su aplicación no entrañe costos adicionales. La meta de la Estrategia es reunir conocimientos y transformarlos, especialmente por medio de asociaciones, en mejores resultados en materia de desarrollo para las personas pobres del medio rural y en un mayor impacto con respecto a la consecución de la Agenda 2030 para el Desarrollo Sostenible (Agenda 2030), en particular, el Objetivo de Desarrollo Sostenible (ODS) 1 (Fin de la pobreza) y el ODS 2 (Hambre cero). La Estrategia se está aplicando a través del Plan de Acción de Gestión de los Conocimientos (2019-2021), que se elaboró al mismo tiempo que la Estrategia.
17. En septiembre de 2022 se llevó a cabo un examen de mitad de período de la Estrategia de Gestión de los Conocimientos del FIDA (2019-2025). Las recomendaciones fueron las siguientes: una actualización de la estrategia de gestión de los conocimientos; la asignación de recursos adicionales a las actividades de gestión de los conocimientos (USD 1 527 000 a lo largo de un período de tres

⁶ Larrabure (2007).

⁷ Dumitriu (2016).

⁸ <https://www.mdlp4dev.org>

⁹ Además del FIDA, son miembros la Agencia Alemana de Cooperación Internacional (GIZ), la Agencia de los Estados Unidos para el Desarrollo Internacional (USAID), la Agencia Sueca de Cooperación Internacional para el Desarrollo (ASDI), el Banco Interamericano de Desarrollo (BID), el Banco Mundial, el Fondo de las Naciones Unidas para la Infancia (UNICEF), el Ministerio de Relaciones Exteriores, del Commonwealth y de Desarrollo y Wellcome Trust.

¹⁰ Bocock y Collinson (2022).

años); la adopción de los conceptos de “liderazgo intelectual” y “conocimientos para lograr impacto”; un sistema condensado de seguimiento de la gestión de los conocimientos, y un nuevo plan de acción en materia de gestión de los conocimientos.

Cuadro 1

Calendario de los principales hitos de la gestión de los conocimientos en el FIDA

Año	Estrategia/documento
2007	Estrategia del FIDA de gestión de los conocimientos (2007–2009)
2011	Informe de situación sobre la aplicación de la Estrategia del FIDA de gestión de los conocimientos y el programa de innovación
2011	Plan a medio plazo del FIDA para 2011-2013: Efectos de la labor de gestión de los conocimientos y diálogo sobre políticas, 2011-2013
2014	Marco de Gestión de los Conocimientos del FIDA (2014-2018)
2016	Informe anual sobre los resultados y el impacto de las actividades del FIDA evaluadas en 2015 : Tema de aprendizaje sobre la gestión de los conocimientos: aprendizaje en las operaciones sobre el modo de mejorar el desempeño
2016	Marco Estratégico del FIDA (2016– 2025)
2016	Plan de Acción de Gestión de los Conocimientos del FIDA (2016– 2018)
2019	Estrategia de Gestión de los Conocimientos del FIDA (2019–2025)
2019	Plan de Acción de Gestión de los Conocimientos del FIDA (2019– 2021)
2021	Estrategia de Cooperación Sur-Sur y Triangular del FIDA 2022-2027
2022	Estrategia de Gestión de los Conocimientos: examen de mitad de período.

C. Terminología

18. En esta sección se definen algunos conceptos fundamentales que se han adoptado a efectos de esta evaluación a nivel institucional. En el glosario (apéndice VIII) figura una lista más amplia de conceptos. Todas las expresiones recogidas en el glosario se identifican con un asterisco.
19. Por conocimientos* se entiende la percepción, el entendimiento o la información que se ha obtenido mediante la experiencia o el estudio, y que está en la mente de una persona o poseen las personas en general¹¹. En el FIDA existen diferentes tipos de conocimientos. Los **conocimientos internos*** comprenden conocimientos explícitos, implícitos y tácitos. Estos conocimientos se encuentran en cada uno de los miembros del personal en forma de prácticas, pero también se transmiten mediante herramientas y productos de gestión de los conocimientos. También hay **conocimientos externos***, como los conocimientos sobre políticas*, los conocimientos científicos*, los conocimientos técnicos*, los conocimientos locales* y los conocimientos Indígenas*. Las asociaciones del FIDA son fundamentales en el proceso de generación e intercambio de conocimientos. Las prácticas innovadoras que promueven otros asociados para el desarrollo, en particular las ONG, pueden hacer una importante contribución a la transformación rural. Un ejemplo es el Sistema de Aprendizaje Activo de Género (GALS), que el FIDA promovió en colaboración con una ONG neerlandesa y que apoya las prácticas que contribuyen a transformar las relaciones de género en los países.

¹¹ Cambridge Advanced Learner's Dictionary & Thesaurus (n.d). Knowledge. En el diccionario de Cambridge.org. Consultado el 4 de noviembre de 2022, en <https://dictionary.cambridge.org/dictionary/english/knowledge>.

20. En su estrategia de gestión de los conocimientos, el FIDA adoptó “una definición sencilla”¹² dirigida a reflejar la concepción común de la gestión de los conocimientos dentro del FIDA, a saber¹³, la gestión de los conocimientos como un conjunto de procesos, herramientas y comportamientos que conectan a las personas y las motivan a generar, intercambiar, utilizar y reutilizar los conocimientos. A los efectos de esta evaluación a nivel institucional, se ha optado por una definición ligeramente diferente debido a que la evaluación se centra explícitamente en las prácticas de gestión de los conocimientos y el impacto de la gestión de los conocimientos a nivel de los países.

21. Por esta razón, para esta evaluación a nivel institucional, la **gestión de los conocimientos** se define como:

La gestión sistemática de la generación, el intercambio, la utilización y la intermediación* de conocimientos sustantivos* mediante herramientas y prácticas a nivel institucional e individual con miras a potenciar la función y la contribución del FIDA a la transformación rural a nivel mundial y en los países asociados.

22. Esta definición no pretende invalidar la definición del FIDA. Simplemente es más adecuada para esta evaluación a nivel institucional, que se centra en las prácticas de gestión de los conocimientos que tienen un impacto a nivel de los países. Esta definición más restringida tiene por objeto contrarrestar la atención que se presta al sistema interno de gestión de los conocimientos en la definición actual del FIDA y complementar el alcance del reciente examen de mitad de período.

23. Las prácticas de **gestión de los conocimientos** se definen como:

Un repertorio común de recursos generados por profesionales, que comprende experiencias, relatos, herramientas y formas de afrontar problemas recurrentes e integrar las enseñanzas extraídas. Las prácticas de gestión de los conocimientos se refieren a la forma en que el FIDA genera, intercambia, utiliza y media en los conocimientos. Estas prácticas entrañan opciones, comportamientos y percepciones personales y de la organización por parte de cada miembro del personal, de las dependencias orgánicas y de la organización en su conjunto, tanto formal como informalmente.

III. Enfoque y metodología de la evaluación a nivel institucional

A. Preguntas principales de evaluación

24. La evaluación a nivel institucional abordará tres preguntas de evaluación generales.

- **Pregunta de evaluación 1:** ¿En qué medida es pertinente y coherente el marco institucional del FIDA para la gestión de los conocimientos, teniendo en cuenta el mandato y las necesidades de la organización y dentro del contexto mundial, regional y local en que trabaja el FIDA? (Pertinencia y coherencia)
- **Pregunta de evaluación 2:** ¿En qué medida ha contribuido eficazmente el FIDA con sus prácticas de gestión de los conocimientos a la transformación rural y qué factores pueden explicar su actuación? (Eficacia)
- **Pregunta de evaluación 3:** ¿Hasta qué punto ha sido eficiente el uso de los recursos disponibles (financieros y humanos) para aplicar las prácticas y los resultados de la gestión de los conocimientos? (Eficiencia)

25. Cada pregunta general va acompañada de una serie de subpreguntas, recogidas en el marco de evaluación (apéndice I).

¹² Gillman (2022): 100.

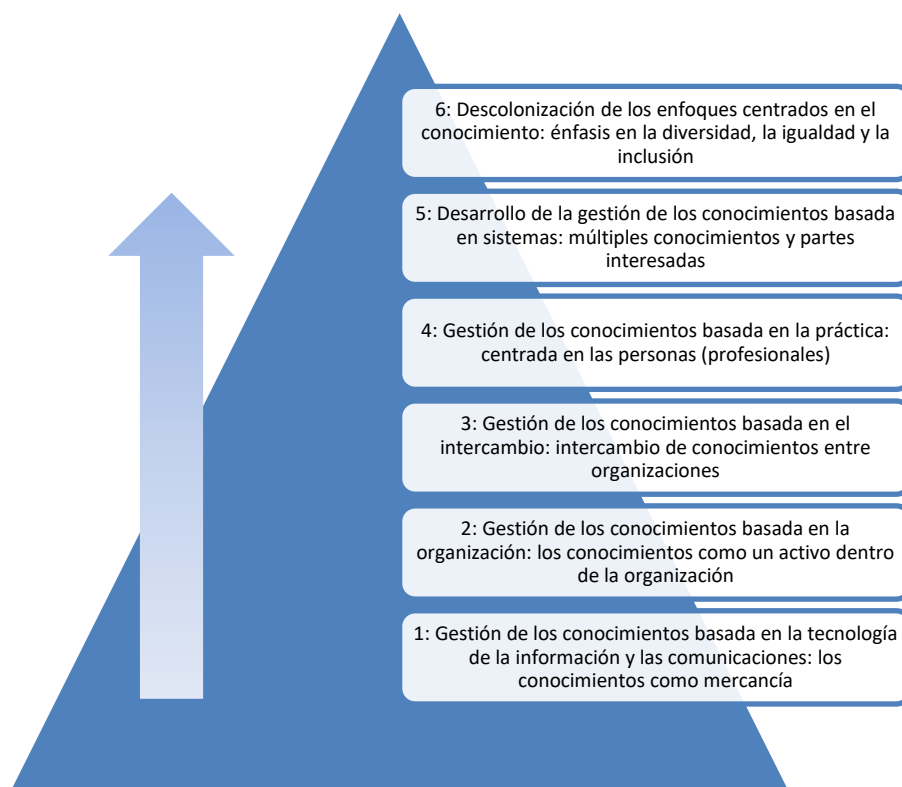
¹³ La formulación en 2018 de la estrategia actual de gestión de los conocimientos del FIDA fue un proceso inclusivo y consultivo (Gillman, 2022). En este proceso, el equipo responsable de la elaboración de la estrategia pidió al personal del FIDA que eligiera entre tres aspectos diferentes: conexiones, creación de conocimientos y captación de conocimientos.

B. Marco conceptual

26. Dentro del pensamiento actual se identifican seis enfoques generacionales de la gestión de los conocimientos para el desarrollo que coexisten entre sí. Cada uno de ellos ha introducido nuevos conceptos y herramientas de gestión de los conocimientos para comprender mejor la gestión de los conocimientos para el desarrollo (véase la figura 2)¹⁴. La presente evaluación se centra en las **prácticas de gestión de los conocimientos** de tercera y cuarta generación. La gestión de los conocimientos de tercera generación se centra en las herramientas de intercambio de conocimientos, como la revisión después de la acción, la ayuda entre colegas*, los estudios de caso y las mejores prácticas, y hace más hincapié en el conocimiento tácito. La gestión de los conocimientos de cuarta generación comprende enfoques basados en la práctica y centrados en las personas, y supone el establecimiento de comunidades de práctica entre organizaciones, así como un mayor papel de las redes sociales.

Gráfico 2

Marco generacional de la gestión de los conocimientos para el desarrollo, que muestra cómo se construyen unas generaciones sobre otras



Fuente: Elaborado por el equipo de evaluación, basado en Cummings *et al* (2013).

27. La **quinta generación**, con su enfoque más holístico sobre la ecología o el sistema del conocimiento para el desarrollo, se ha desarrollado con el entendimiento creciente de que se necesitan muchos tipos diferentes de conocimiento, como el local o el técnico, para resolver problemas complejos¹⁵ y perversos*, y de que el conocimiento es un bien público mundial. Más recientemente, está surgiendo una **sexta generación de gestión de los conocimientos para el desarrollo**, actualmente denominada “descolonización del conocimiento”, que reconoce el valor del conocimiento Indígena, así como los actuales esfuerzos institucionales para atender a la diversidad, la igualdad y la inclusión del personal¹⁶. Las generaciones

¹⁴ Cummings *et al* (2019); Bocock y Collinson (2022); Cummings *et al*, en prensa.

¹⁵ Brown *et al* (2010).

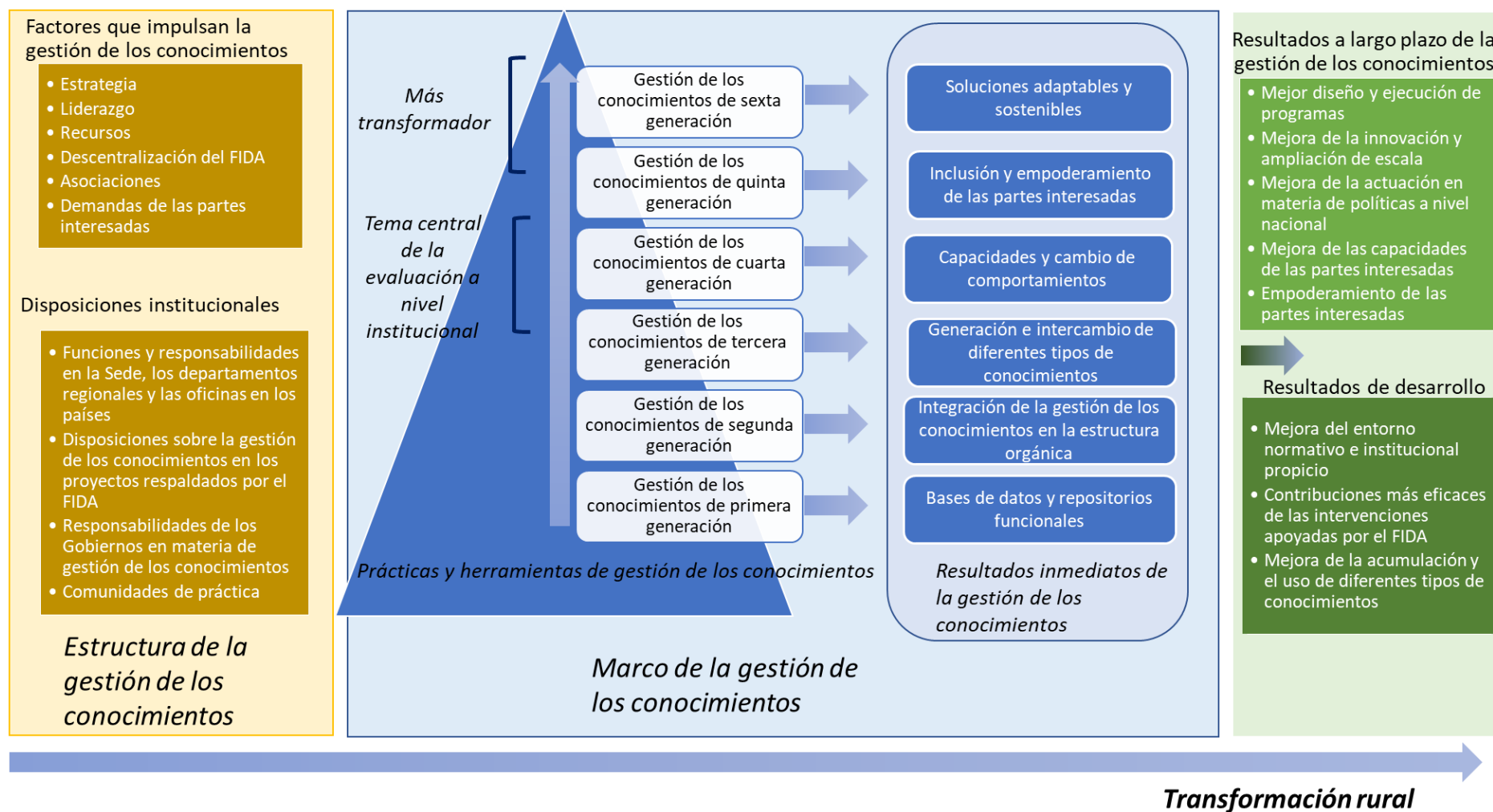
¹⁶ Cummings *et al*, en prensa.

quinta y sexta parecen más propicias para la transformación rural, ya que reconocen explícitamente la importancia de las partes interesadas locales, así como de sus conocimientos y su lengua en los procesos de desarrollo. Aunque la atención se centra en las prácticas de tercera y cuarta generación, en esta evaluación a nivel institucional también se determinará la gestión de los conocimientos de quinta y sexta generación por su potencial para la transformación rural.

C. Teoría del cambio

28. En la evaluación a nivel institucional se utiliza una teoría del cambio para mostrar los vínculos entre los factores que impulsan la gestión de los conocimientos, las disposiciones institucionales y los resultados de la gestión de los conocimientos. En el gráfico 3 se presenta un resumen esquemático de la teoría del cambio. La teoría del cambio (incluida en el apéndice II) ilustra en detalle los procesos que se llevan a cabo en el FIDA para generar, utilizar, intercambiar e intermediar en los conocimientos y cómo se espera que estos contribuyan a los resultados en materia de gestión de los conocimientos, a los resultados en materia de desarrollo y, en definitiva, a la transformación rural.
29. Las prácticas de gestión de los conocimientos deben adecuarse tanto al mandato y las estrategias del FIDA como a los de sus asociados, y deben ser coherentes con la comunidad más amplia de las Naciones Unidas y las IFI (pregunta de evaluación 1). Entre los **factores que impulsan la gestión de los conocimientos** figuran factores internos, como la estrategia de gestión de los conocimientos, el liderazgo, los recursos financieros y humanos y los incentivos para la gestión de los conocimientos. Entre los factores externos figuran las asociaciones y la demanda de los Gobiernos de los conocimientos del FIDA. Juntos crean el contexto en el que se desarrolla la gestión de los conocimientos.
30. Entre las **disposiciones institucionales** se encuentran las funciones y responsabilidades de gestión de los conocimientos en los diferentes niveles de la organización (Sede, divisiones regionales y oficinas en los países). También incluyen las comunidades de práctica que trascienden las divisiones administrativas. También se espera que los proyectos apoyados por el FIDA y los asociados gubernamentales hayan establecido responsabilidades claras con respecto a la gestión de los conocimientos.
31. Entre los **resultados de la gestión de los conocimientos** figuran los resultados inmediatos, los resultados a largo plazo y los resultados de desarrollo a los que se espera que contribuya la gestión de los conocimientos (pregunta de evaluación 2). Los resultados inmediatos están relacionados con el tipo de gestión de los conocimientos (según el marco generacional). Entre ellos figuran la generación e intercambio de diferentes tipos de conocimientos, la mejora de las capacidades y aptitudes, y la inclusión y empoderamiento de las partes interesadas. Entre los resultados a más largo plazo figuran la mejora de los resultados y la ejecución de los programas, una innovación y ampliación de escala más fructíferas y una mayor actuación en materia de políticas.
32. Por tanto, una gestión de los conocimientos eficaz debería contribuir a tres resultados de desarrollo más amplios: i) un entorno **normativo** e institucional **propicio**; ii) la **eficacia de las operaciones**, y iii) el **uso de diferentes tipos de conocimientos** (pregunta de evaluación 2). En conjunto, estos tres resultados de desarrollo contribuyen a la transformación rural y aceleran el progreso hacia la realización de la Agenda 2030. En particular, se espera que las prácticas de la quinta y sexta generaciones contribuyan a los procesos de transformación. La valoración de los conocimientos locales y la inclusión de las partes interesadas apoyan en mayor medida las soluciones adaptables y sostenibles necesarias para la transformación rural.
33. Los vínculos y conceptos plasmados en la teoría del cambio desembocaron en la elaboración del marco de evaluación (véase el apéndice I).

Gráfico 3
Teoría del cambio

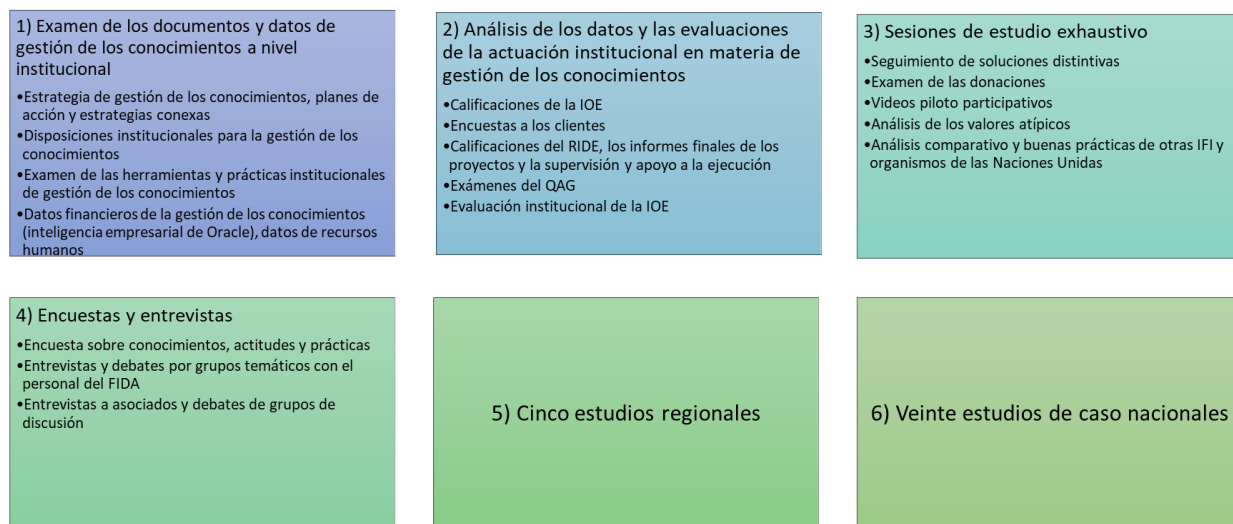


D. Recopilación de datos

34. El marco de evaluación relaciona las preguntas de evaluación, las subpreguntas, los indicadores y las fuentes de datos empíricos en forma de bloques de fundamentación empírica.
35. La evaluación a nivel institucional incluye seis bloques de fundamentación empírica, que se explican con más detalle en los párrafos siguientes.

Gráfico 4

Bloques de fundamentación empírica de la evaluación a nivel institucional



36. El primer bloque de fundamentación empírica consiste en un **examen de los documentos y datos de gestión de los conocimientos a nivel institucional (1)**. Esto supondrá un examen documental de las políticas, estrategias y directrices institucionales que han guiado la gestión de los conocimientos durante el período de evaluación, así como un examen de las disposiciones institucionales relativas a la gestión de los conocimientos (estructura de la gestión de los conocimientos). La evaluación a nivel institucional se basará en el extenso análisis preparado como parte del examen de mitad de período de 2022. También se examinarán las herramientas y prácticas institucionales de gestión de los conocimientos, como los productos de conocimiento del FIDA, las comunidades de práctica y los recursos financieros y humanos asignados a la gestión de los conocimientos. Los ejercicios interactivos, como la representación participativa de los flujos de conocimientos, pueden ayudar a profundizar en la comprensión de las funciones y los mecanismos institucionales de la gestión de los conocimientos.
37. El **análisis de los datos y las evaluaciones de la actuación institucional en materia de gestión de los conocimientos (2)** entrañará un examen de las evaluaciones pertinentes de la IOE –incluidas las evaluaciones a nivel institucional, los informes de síntesis de evaluación y las evaluaciones de las estrategias y los programas en los países (EEPP)–, así como de las calificaciones atribuidas por la IOE en función de los resultados en materia de gestión de los conocimientos. Podrá obtenerse información adicional de los exámenes internos del FIDA y del seguimiento de los resultados de la gestión de los conocimientos, como el Informe sobre la eficacia del FIDA en términos de desarrollo (RIDE), los informes de supervisión de proyecto y los datos de las encuestas a clientes. El QAG también ha preparado algunos exámenes útiles de la gestión de los conocimientos en el FIDA.
38. En los **análisis temáticos en profundidad (3)** se adoptará un enfoque temático para examinar determinadas prácticas transversales a las divisiones organizativas y geográficas. Ello supondrá un examen de las donaciones y los mecanismos de

financiación destinados a actividades de gestión de los conocimientos y una investigación en profundidad de los flujos de conocimientos a través de “soluciones distintivas” que representen la tecnología y los conocimientos más avanzados desarrollados por el FIDA para la transformación rural, como el GALS. Mediante evaluaciones participativas remotas a través de video se examinarán los conocimientos Indígenas y locales en el contexto de las operaciones del FIDA. Un examen cualitativo de los valores atípicos de desempeño de la base de datos del Informe anual sobre los resultados y el impacto del FIDA (ARRI) aportará más información sobre los factores que contribuyen a los buenos y malos resultados en la gestión de los conocimientos. El examen de las prácticas de gestión de los conocimientos que se aplican en otras IFI y organismos de las Naciones Unidas brindará nuevas posibilidades de aprendizaje.

39. La IOE realizará **encuestas y entrevistas (4)** para recopilar datos primarios. La encuesta sobre conocimientos, actitudes y prácticas, puesta en marcha en 2022, se complementará con entrevistas de seguimiento y reuniones de grupos de discusión con una selección de encuestados. Hacia el final de la evaluación a nivel institucional se iniciará una segunda encuesta electrónica para validar los hallazgos de la evaluación.
40. Las divisiones regionales del FIDA se examinarán mediante **cinco estudios regionales (5)**. Estos estudios permitirán comprender mejor las estrategias y enfoques regionales de la gestión de los conocimientos, que engloban la responsabilidad de la gestión de los conocimientos en las oficinas regionales, las oficinas multipaís y los centros de cooperación Sur-Sur y triangular y de conocimientos, así como la manera en que apoyan los flujos de conocimientos entre los ámbitos regional, nacional e institucional.
41. Los **20 estudios de caso de países (6)** permitirán comprender con mayor profundidad los factores que contribuyen a la eficacia de las prácticas de gestión de los conocimientos a nivel nacional y cómo pueden contribuir a los resultados de desarrollo. Los estudios de caso se basarán en un examen documental y en entrevistas con los equipos del FIDA en los países, el personal de los proyectos y otras partes interesadas para comprender cómo se aplican las prácticas de gestión de los conocimientos y cómo se utilizan los conocimientos en el país. Estos estudios permitirán elaborar un relato exhaustivo del cambio, en el que se describa cómo se han producido los cambios y la contribución de las prácticas de gestión de los conocimientos aplicadas.
42. El equipo de evaluación ha seleccionado cuatro programas en los países por cada división regional con el fin de abarcar una amplia variedad de prácticas de gestión de los conocimientos dentro de sus contextos nacionales específicos. Los criterios que se han empleado en la selección de los países en los que se han realizado estudios de caso han sido la calificación en función de los resultados en materia de gestión de los conocimientos (IOE) en las EEPP, el nivel de ingresos del país, el tamaño de la cartera y la presencia en el país (véase el apéndice V). En la selección final de los países, el equipo de la evaluación a nivel institucional también tendrá en cuenta la evaluabilidad de los programas en los países, sobre todo la disponibilidad del personal de los programas para realizar las entrevistas. Esta disponibilidad puede verse afectada por la reciente reasignación de personal y los cambios que puedan producirse en la situación de seguridad local. Además, el equipo de la evaluación a nivel institucional tratará de reducir los solapamientos con otras evaluaciones en curso para evitar la fatiga de la evaluación.
43. Durante la fase de determinación del alcance realizada en 2022, la IOE llevó a cabo estudios piloto de tres países (Kirguistán, Malawi y Sudán). La experiencia adquirida en estos estudios piloto ha servido de base para la elaboración definitiva de la metodología de los estudios de caso y las preguntas de evaluación.

Cuadro 2

Selección de los países que se utilizarán en los estudios de caso¹⁷

APR	ESA	LAC	NEN	WCA
Viet Nam	Malawi	Argentina	Kirguistán	República Democrática del Congo
Filipinas	Madagascar	Perú	Túnez	Sierra Leona
Pakistán	Angola	Brasil	Sudán	Nigeria
China	Kenya	México	Egipto	Côte d'Ivoire

E. Síntesis

44. El equipo de la evaluación a nivel institucional sintetizará y estructurará los hallazgos de los **seis bloques de fundamentación empírica** para formar una imagen de la gestión de los conocimientos a nivel de sistema en el FIDA que muestre de qué manera la gestión de los conocimientos contribuye a lograr los impactos en el desarrollo establecidos en el marco conceptual, y determinar la situación de las prácticas actuales de gestión de los conocimientos con relación al modelo de seis generaciones y sus repercusiones de cara a la transformación rural.
45. El **análisis de los estudios de caso** incluirá la correspondencia de las prácticas de gestión de los conocimientos con el marco generacional para determinar qué prácticas pueden considerarse transformadoras. Las prácticas de las generaciones quinta y sexta se consideran más transformadoras. En los estudios de caso se evaluará la eficacia de las prácticas de gestión de los conocimientos del FIDA y cómo han contribuido al desarrollo rural transformador a través de los tres resultados de desarrollo de la teoría del cambio. En los estudios de caso también se pondrán a prueba las hipótesis sobre los factores que impulsan la gestión de los conocimientos y los supuestos vínculos entre los distintos niveles de la organización (véase el apéndice III) en los que se generan e intercambian los conocimientos, a fin de validar la eficacia de los vínculos entre los distintos niveles.
46. El análisis transversal de los 20 estudios de caso permitirá determinar patrones en función de las variables que afectan a los resultados, como la tipología de la práctica de la gestión de los conocimientos, la región o el contexto nacional. A partir de este análisis, la IOE estudiará en qué medida los resultados de la gestión de los conocimientos han contribuido a los procesos de transformación rural.
47. El enfoque reconoce el hecho de que coexistirán diferentes tipos de prácticas, y que estas han sido elegidas y adaptadas a los diferentes contextos que caracterizan la labor del FIDA. Esto también supone que una "buena" estrategia de gestión de los conocimientos tendría que incorporar aspectos de cada una de las distintas generaciones, seguir desarrollándolas y adaptarlas a medida que evolucione la necesidad de conocimientos.
48. **Generalización y validación.** Los principales hallazgos y conclusiones extraídos del análisis transversal de casos de países o regiones se validarán mediante una encuesta en la que participarán todos los gerentes de los programas en los países o directores en los países; una serie de debates por grupos temáticos a nivel regional e institucional y la triangulación con los hallazgos de la encuesta sobre conocimientos, actitudes y prácticas, y otras fuentes como las EEPP o los datos de seguimiento institucionales. La encuesta se utilizará para recabar los conocimientos, opiniones y experiencia del personal directivo y operacional del

¹⁷ División de Asia y el Pacífico (APR), División de África Oriental y Meridional (ESA), División de América Latina y el Caribe (LAC), División de Cercano Oriente, África del Norte y Europa (NEN), División de África Occidental y Central (WCA).

FIDA, así como del personal técnico de los organismos gubernamentales, los gerentes de los proyectos financiados por el FIDA y otros asociados pertinentes. Las preguntas irán enfocadas específicamente a cada grupo de interesados.

F. Limitaciones

49. **Falta de datos en los sistemas institucionales del FIDA.** Con el fin de cuantificar los recursos financieros que se utilizan para la gestión de los conocimientos, la evaluación a nivel institucional se basará en los datos sobre donaciones y costos de los proyectos (de la base de datos de inteligencia empresarial de Oracle). El análisis preliminar de los datos ha indicado que existen importantes carencias de datos con respecto a la forma en que se presupuesta y financia la gestión de los conocimientos. También existen carencias en los datos disponibles sobre recursos humanos para la gestión de los conocimientos. Aparte de los especialistas dedicados a la gestión de los conocimientos del SKD y los funcionarios de contacto en materia de gestión de los conocimientos a nivel institucional y regional, el tiempo que el personal dedica a la generación, el uso y la difusión de los conocimientos no se presupuesta, sino que se integra en las descripciones ordinarias de los puestos de trabajo dentro del FIDA. Para subsanar la falta de datos existente, el equipo de la evaluación a nivel institucional tendrá que utilizar información (cualitativa y cuantitativa) procedente de encuestas y entrevistas.
50. **Limitaciones en las prácticas de otras IFI de interés.** El examen inicial de organizaciones comparables como el Banco Mundial, el Banco Asiático de Desarrollo (BASD), el Fondo para el Medio Ambiente Mundial (FMAM) y el Banco Europeo de Reconstrucción y Desarrollo (BERD)¹⁸ muestra que la comparación de los enfoques de gestión de los conocimientos por medio de evaluaciones anteriores no resultará un ejercicio inequívoco. Las respectivas evaluaciones de la gestión de los conocimientos se centran principalmente en los sistemas de aplicación de la gestión de los conocimientos y el aprendizaje dentro de la organización. La IOE las utilizará para empezar a elaborar una evaluación de las prácticas de las cuatro IFI y determinar qué han hecho para hacer frente a las dificultades. Las evaluaciones del BASD y del Banco Mundial serán las más valiosas para este ejercicio. Las evaluaciones del BERD y el FMAM tienen un enfoque diferente debido a sus modelos operacionales y, por tanto, pueden ser menos pertinentes. Ninguna de las evaluaciones se centra en el uso del conocimiento tácito, y solamente en la evaluación del BASD se vinculan los conocimientos internos con lo que desean las partes interesadas a nivel de país y se examina cómo se utilizan los conocimientos en los programas en los países.

IV. Proceso, funciones de ejecución y calendario de la evaluación a nivel institucional

A. Proceso de la evaluación a nivel institucional

51. **Proceso de aprendizaje.** Parte del propósito de esta evaluación a nivel institucional es llegar a una interpretación uniforme y más coherente de la función que desempeña la gestión de los conocimientos en el contexto del programa de transformación rural del FIDA. Por consiguiente, el equipo colaborará estrechamente con las partes interesadas a lo largo de todo el proceso para facilitar la reflexión y el aprendizaje. Los debates por grupos (como parte del proceso de recopilación de datos) ofrecerán posibilidades de intercambio y reflexión.
52. La revisión después de la acción será el primero de estos debates por grupos dirigidos a fomentar la reflexión, junto con el SKD, sobre la estrategia de gestión de los conocimientos y el examen de mitad de período, y también proporcionará una fuente de datos adicional para la evaluación a nivel institucional. Otros debates por

¹⁸ Para más información sobre esta metodología, véase el apéndice IV.

grupos, como parte de los estudios nacionales y regionales, se centrarán en las prácticas de gestión de los conocimientos a nivel nacional y regional y en los vínculos y el flujo de conocimientos entre esos niveles. Estos debates incluirán una evaluación participativa de las prácticas eficaces y transformadoras de la gestión de los conocimientos, utilizando las categorías de gestión de los conocimientos preparadas para esta evaluación a nivel institucional (véase el apéndice III).

53. Además, durante el proceso de evaluación a nivel institucional, se celebrarán reuniones periódicas con determinadas partes interesadas (por ejemplo, los funcionarios de contacto en materia de gestión de los conocimientos y los equipos en los países) para fomentar la reflexión sobre las prácticas de gestión de los conocimientos en todos los niveles dentro del FIDA. Los temas de debate podrán incluir lo siguiente:
 - Financiación de la gestión de los conocimientos: análisis preliminar de la evaluación a nivel institucional con debate.
 - Catalogación de las prácticas de gestión de los conocimientos con arreglo al marco generacional.
 - La gestión de los conocimientos en subregiones y contextos nacionales específicos.
 - ¿Qué significa una "gestión de los conocimientos transformadora" y cómo podría apoyarse?
 - Vías hacia los resultados de la gestión de los conocimientos: identificación de las teorías del cambio para las prácticas de gestión de los conocimientos.
 - Asociaciones para intercambiar conocimientos en países de ingreso mediano alto: el papel de la cooperación Sur-Sur y triangular.
 - Enseñanzas de una comunidad de práctica eficaz.
 - Captación de conocimientos de las comunidades locales e Indígenas.
54. El equipo de la evaluación a nivel institucional se propone utilizar las herramientas más avanzadas de intercambio de conocimientos para fomentar el aprendizaje y la reflexión dentro de la organización y en los equipos específicos con el fin de aprender del proceso de evaluación. Entre ellas figuran la indagación apreciativa, la capitalización de experiencias, el café del conocimiento y la narración de historias. Estas herramientas están diseñadas para aprovechar el conocimiento tácito de las personas y los equipos, y permitir el desarrollo de un entendimiento común de procesos cruciales como la gestión de los conocimientos y la transformación rural. El FIDA ya utiliza las herramientas propuestas, que pueden encontrarse en el conjunto de herramientas de gestión de los conocimientos del FIDA¹⁹.

B. Funciones y responsabilidades de ejecución

55. **Equipo de evaluación.** La evaluación a nivel institucional estará a cargo de Johanna Pennarz, Oficial Principal de Evaluación de la IOE, bajo la dirección estratégica de Indran Naidoo, Director de la IOE. El equipo contará con dos consultores superiores: Mike Reynolds, experto superior en evaluación con experiencia en la dirección de varias evaluaciones a nivel institucional para otros organismos de las Naciones Unidas, guiará la recopilación y síntesis de datos y dirigirá la preparación del informe final; y Sarah Cummings, experta en gestión de los conocimientos para el desarrollo, que orientará al equipo sobre los aspectos conceptuales y metodológicos. Cuatro investigadores especializados en evaluación con sede en Roma llevarán a cabo los estudios de caso y los exámenes de documentos, junto con los exámenes de la cartera de programas y las donaciones, y la administración y el diseño de la encuesta sobre conocimientos, actitudes y prácticas.

¹⁹ <https://ifadkmcentre.weebly.com/tools.html>

56. Según la práctica habitual, un experto superior internacional en evaluación actuará como asesor independiente para formular observaciones sobre el borrador del informe y el informe final, así como para prestar apoyo técnico adicional según sea necesario. Zenda Ofir ha trabajado como asesora para diversas organizaciones e iniciativas internacionales y también fue asesora especial sobre gestión de los conocimientos para el órgano ejecutivo de la Unión Internacional para la Conservación de la Naturaleza (UICN) en Suiza. Actualmente es residente principal para temas de impacto en la Fundación MasterCard.

C. Calendario de la evaluación a nivel institucional

<i>Actividad</i>	<i>Fecha</i>
Examen <i>inter pares</i> del documento conceptual	
Taller con el Grupo Consultivo de la IOE	14 de julio de 2022
Encuesta sobre conocimientos, actitudes y prácticas	Septiembre de 2022
Examen de los productos de conocimiento	Septiembre – octubre de 2022
Estudios de caso piloto (documental)	Noviembre – diciembre de 2022
Documento conceptual para comentarios de la Dirección	Diciembre de 2022
Recopilación de datos	Enero – junio de 2023
Comité de Evaluación: presentación del documento conceptual	Marzo de 2023
Estudio de validación	Junio de 2023
Síntesis final y validación	Julio de 2023
Redacción del proyecto de informe	Agosto – septiembre de 2023
Examen <i>inter pares</i> del informe principal a cargo de la IOE	Octubre de 2023
Presentación del informe a la Dirección	Noviembre de 2023
Comentarios de la Dirección	Diciembre de 2023
Finalización del informe	Enero de 2024
Actividades de aprendizaje	Marzo de 2024

CLE evaluation framework

Overall evaluation question 1: How relevant and coherent is IFAD's institutional framework for knowledge management given the mandate and needs of the organization and within the global, regional, and local contexts in which IFAD works (relevance and coherence)

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
1.1 Is there a clearly articulated strategy guiding KM (at corporate and regional level)? KM STRATEGY	1.1.1 Do IFAD's <u>corporate KM strategy</u> and action plan provide clear orientation on KM?	• IFAD's KM strategy aligned with IFAD's mandate • IFAD's KM strategy reflects contemporary good practice on KM • KM strategy objectives and targets are aligned with the allocated budget • Corporate KM strategy makes explicit the types of knowledge involved for rural transformation • The KM strategy clarifies the roles of different levels of IFAD and different units • The KM Action Plan results framework has clear metrics for knowledge uptake, quality, and influence that are actively tracked, and the results used to adjust future actions on KM	(1) Corporate review of KM strategy and action plan (4) Corporate level: HQ interviews and Focus Group Discussions (FGDs)
	1.1.2 Do <u>regional KM strategies</u> provide clear orientation on KM?	• Regional KM strategies aligned with the corporate KM strategies • Regional KM strategies foresee clear roles and responsibilities on KM • Regional KM strategies clarify links with country-level KM	(5) Regional division studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		Regional KM strategies include priorities, actionable areas and related budgets for KM	
1.2 Is there visible and effective corporate leadership on KM in IFAD and clear strategic direction for corporate, regional, and country levels? LEADERSHIP	1.2.2 Does IFAD corporate leadership show strong and visible commitment to KM?	- The Executive Management Committee acts as IFAD's KM champion. KM regularly discussed at EMC meetings and EMC minutes and decisions reflect the importance of KM - Importance of KM reflected in leadership speeches and presentations (for example, to the Executive Board) - KM delivery is prioritised against other key demands by management?	(1) Review of corporate documents and data: speeches, EMC minutes/decisions (4) Corporate level: HQ interviews and FGDs
1.3 Are IFAD's institutional arrangements for KM fit for purpose, functioning and well understood? KM ARCHITECTURE	1.3.1 Are there appropriate institutional arrangements for relevant and effective KM in place at the corporate level?	- Communities of practice (CoPs) and networks are in place to connect IFAD staff at country/ regional/corporate levels, and with external partners and strengthen access to technical expertise and knowledge required to deliver the KM plan - Approaches and tools that support knowledge flows and joint learning, especially user-oriented technologies and platforms combined with targeted communities of practice support faster access to the collective knowledge of staff, more efficient problem solving, and increased knowledge retention - The KM Coordination Group is effective at: (i) identifying opportunities to change incentives, behaviours, and IFAD's	(1) Review of corporate documents and data: KM strategies, action plans and related strategies (4) Corporate level and partner interviews and surveys: HQ interviews and FGDs (5) Regional division studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		organizational culture to support prioritisation of KM (ii) tracking IFAD's performance in KM across the organisation through the KM Action Plan results framework. • KM Coordination Group effectively develops solutions to KM challenges as they arise, identifies gaps, proposes new initiatives, and contributes to the development of KM guidelines and capacity-building activities • The KM Coordination Group works as an effective link to convey country and regional concerns and demands to corporate level partners and access to corporate KM resources for use in country programme delivery	
	1.3.2 Are the appropriate institutional arrangements for relevant and effective KM in place at the regional level?	• KM tools developed at regional division level align with and effectively support delivery of strategic objectives in COSOPs • Formalized processes to connect IFAD country programme staff with each other, staff at regional/corporate level, and with external partners through communities of practice (CoPs) and networks are in place and strengthen access to technical expertise and knowledge required to deliver the KM plan • There is scope to deliver an effective KM strategy in a cost-neutral way at regional division level	(5) Regional division studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		- Regional KM Focal Points or KM and Communication Specialists, prioritise supporting KM - Mechanisms to support coordination and exchange among KM staff in place - The role of the regional division is well understood at regional, country and corporate levels	
1.4 Are types of IFAD knowledge aligned with its strategic objectives and relevant to stakeholder needs? RELEVANCE OF KNOWLEDGE	1.4.1 How relevant was the knowledge produced at HQ, regional and country levels to three strategic objectives set out in the IFAD Strategic Framework 2016-2025? To what extent are the substantive types of knowledge²⁰ aligned with IFAD Strategic Framework? INTERNAL RELEVANCE	- Different types of knowledge (tacit knowledge, codified knowledge, scientific knowledge, evidence for policy, best practices, indigenous knowledge, local knowledge, and others) are being curated and used. - Knowledge products sufficiently address cross-cutting themes of environment and climate, gender, nutrition and youth, and private sector engagement aligns. - Knowledge products address evidence gaps in IFAD's knowledge on rural development (for example, using IFAD knowledge gap maps) - The corporate decision to prioritise curation of knowledge in the cross-cutting themes of environment and climate, gender, nutrition and youth, and private sector engagement aligns with key knowledge needs of country programmes and partners at country level	(1) Review of corporate documents and data: KM strategies, action plans and related strategies; Review of KM products (4) Corporate level and partner interviews and surveys: KAP survey (5) Regional division studies (6) Country case studies

²⁰ tacit knowledge, codified knowledge, scientific knowledge, evidence for policy, best practices, indigenous knowledge, local knowledge, and others

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		Effective system in place to capture lessons learned within country programmes and curate it at corporate level	
	1.4.2 How relevant was the knowledge produced at HQ, and regional levels to the needs of beneficiaries, partners and clients? Are there differences in the relevance of different KM products? EXTERNAL RELEVANCE	- The knowledge products found in corporate knowledge repositories are useful and relevant to IFAD stakeholders. - IFAD KM products and practices rely on and integrate the voices of the rural people, and build on local and indigenous knowledge - Knowledge generation, and curation, has been closely informed by the knowledge gaps and priorities identified by SKD, in the broader context of rural development.	(1) Review of corporate documents and data: Review of KM products (4) Corporate level and partner interviews and surveys: KAP survey (5) Regional division studies
	1.4.3 Are diverse types of knowledge found in corporate knowledge repositories? SUPPLY OF DIVERSE TYPES OF KNOWLEDGE	- Many different types of knowledge (tacit knowledge, codified knowledge, scientific knowledge, evidence for policy, best practices, indigenous knowledge, local knowledge, and others) - Partners' knowledge effectively leveraged at global level	(1) Review of corporate documents and data: Review of corporate KM tools and practices
	1.4.4 What are the factors explaining the presence of different KM practice types?		
1.5 Are IFAD's knowledge products and tools targeted to and accessible for IFAD's key stakeholders?	1.5.1 How effective is the access to IFAD knowledge products and tools by staff posted in different parts of the organisation? ACCESS/TARGETING	- IFAD Staff store knowledge in accessible ways - IFAD knowledge platforms and repositories are easily accessible by IFAD staff - Ease of access in line with those of other IFIs and development organisations	(1) Corporate level KM documents and data review: Review of corporate KM tools and practices; Review of KM products

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
TARGETING KNOWLEDGE AND ACCESSIBILITY		- IFAD knowledge platforms and repositories store information in an efficient way with limited fragmentation, gaps and overlaps - Search tools are easy to use and reliable	(4) Corporate level and partner interviews and surveys: KAP survey; HQ interviews and FGDs
	1.5.2 To what extent are products targeting external audiences accessing and using the knowledge products and tools? ACCESS/TARGETING	- IFAD knowledge platforms and repositories are easily accessible by external users - IFAD active in ensuring its knowledge is available on external platforms	(1) Corporate level KM documents and data review: Review of corporate KM tools and practices; Review of KM products
	1.5.3 Do KM tools make it is easy to find knowledge relevant to demands at country programme level? EASE OF ACCESS	- Existing knowledge within IFAD's systems is easy to locate, - Existing knowledge within IFAD's systems is maintained and updated through curation to remain valuable	(1) Corporate level KM documents and data review: Review of corporate KM tools and practices; Review of KM products (4) Corporate level and partner interviews and surveys: Partner interviews (5) Regional division studies
1.6 How coherent are IFAD's KM practices, internally and externally? COHERENCE	1.6.1 How coherent is IFAD's internal approach and understanding of knowledge management? INTERNAL	- Regional and global grants provide consistent support to IFAD KM strategic objectives and to the integration of the four mainstreaming themes in IFAD's operations - There is a shared understanding of KM practices and processes across divisions, at national, regional and central levels	(3) Thematic deep dives: Grants review (4) Corporate level and partner interviews and surveys: HQ focus group discussions and interviews

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		- IFAD KM approaches and understanding are consistent with approaches and understanding in the areas of SSTC, communications, monitoring, evaluation, digitalization (ICT4D), and country level policy engagement - Coherent monitoring and lessons sharing	(5) Regional division studies (6) Country case studies
	1.6.2 How coherent are IFAD's KM practices with external partners, especially the UN system and the IFIs and the wider KM4Dev community? EXTERNAL	- IFAD strategy and approaches to KM are consistent with those produced by other UN entities (especially the RBAs), and IFIs - IFAD understanding of KM is consistent with other UN entities (especially the RBAs), IFIs and the KM4Dev community - At the country level, IFAD engages with the members of the UN country team in KM and related areas, including membership of system wide working groups and sharing knowledge for system wide programming processes.	(2) Analysis of corporate Performance data and evaluations: Review of relevant KM evaluations; Review of UN organisations and IFIs (4) Corporate level and partner interviews and surveys: HQ focus group discussions and interviews (6) Country studies
1.7 What are IFAD's comparative strengths in KM? IFAD COMPARATIVE STRENGTH	1.7.1 What advantage does IFAD have as a knowledge provider relevant to the goals of rural transformation, within the landscape of development organizations?	- A focused, prioritized approach to knowledge development and mobilization at corporate level that aligned with investment opportunities and in areas where IFAD has a comparative advantage over other IFIs and relevant UN agencies that in place and operating effectively. - IFAD has been able position itself as a stakeholder at global level as a "knowledge provider and partner" with UN organizations, IFIs and donors through its participation in key networks, such as MDLP and KM4dev	(1) Corporate Level Documents Review (2) Analysis of corporate performance data and evaluations: IOE Corporate evaluations (CSPE Review; CLE Synthesis) (4) Corporate Level: Partner interviews and FGDs (3) Thematic deep dives: Comparative analysis of

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		IFAD's comparative strengths are recognized by its development partners	good practices of from other IFIs and UN entities. (6) Country case studies
	1.7.2 Does IFAD make full use of its comparative strengths when designing its strategies and developing its practices and tools at country level?	- IFAD's comparative strengths on KM clearly articulated in COSOPs and/or KM strategies - Evidence of assessment of comparative strength at the country level in developing the COSOP	(6) Country case studies
	1.7.2 Does IFAD recognize the comparative strengths of external partners and effectively use the most up to date global knowledge?	- References to recent research from external sources in KM products - Use of recent peer-reviewed scientific knowledge in KM products	(4) Corporate level and partner interviews and surveys: Focus group discussions with UN and IFI KM staff; review of knowledge products
1.8 Other factors and lessons learned	1.8.1 What could IFAD learn from comparable UN organizations and IFIs to improve its KM relevance and coherence in the future?		(3) Thematic deep dives: Comparative analysis and good practices from other IFIs, UN partners. (4) Corporate level and partner interviews and surveys: Focus group discussions with UN and IFI KM staff.
	1.8.2 What other factors can explain the relevance and coherence of IFAD's KM practices?		All evidence blocks

Overarching Evaluation Question 2: To what extent has IFAD, through its KM practices, effectively contributed to rural transformation in a sustainable manner and what factors can explain its performance? (effectiveness criterion)

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
2.1 How effective were KM practices in supporting development results? DEVELOPMENT RESULTS	2.1.1 How effective were KM practices in supporting the country-level enabling environment for rural development, including policy development and implementation? Which types of practices have been most effective? (Development Result #1)	• Robust and relevant knowledge is available for stakeholder engagement at the country level. • Lessons learned from operations are systematically documented and shared for country level policy engagement (CLPE) and scaling up advocacy. • Knowledge generated through SSTC contributes to CLPE at country level • Lessons learnt from IFAD program to support the scaling up of successful initiatives in country and through SSTC. • Consistently high scaling up ratings at supervision missions and evaluations (ratings 5 and above) - if available • Forums for policy dialogue between the government and its development partners (such as sector working groups) or communities of practice effectively mainstream innovation experiences for scaling up	(1) Review of corporate documents and data: Review of corporate KM products; SSTC programme review. (3) Thematic deep dives: Grants analysis (4) Corporate level and partner interviews and surveys: HQ focus group discussions and interviews (5) Regional division studies (6) Country case studies
	2.1.2 To what extent have KM practices contributed to strengthen IFAD-funded interventions? Which types of practices have been most effective? (Development Result #2)	• Processes that bring people together to openly reflect, discuss and share their ideas and lessons learned are regularly used and include an openness to discussing failure. • Effective mechanisms are in place to support the principles of proximity and adaptability, thereby emphasising IFAD staff's ability to learn, respond and adapt on a continuous basis (this may relate for example to IFAD country presence, staff turnover,	(1) Review of corporate documents and data: SSTC programme review (2) Analysis of corporate KM performance data and evaluations: QAG publications; climate

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		dedicated staff and resources to KM at project and office levels; but also to efficiency of Monitoring & Evaluation (M&E) and innovative management approaches such as modules) • Tacit knowledge and know-how of staff and consultants is consistently used and maintained • Systematic processes are in place to support cross-learning and innovation from both lending and non-lending activities • Strong evidence that lessons from success and failure are fully embedded in IFAD's operations and informed new strategies and project design • Evidence that KM practices are contributing to IFAD's organisational learning at corporate, regional and country levels ○ Improved quality of project designs ○ Improved quality of supervision ○ Improved performance of M&E systems ○ Adaptive project management	change evaluation; CLE review (3) thematic deep dives: tracking signature solutions (4) Corporate level and partner interviews and surveys: HQ interviews and FGDs (5) Regional division studies (6) Country case studies
	2.1.3 To what extent did KM enable and facilitate the assembling and use of different types of knowledge at country-level? Which types of practices have been most effective? (Development Result #3)	• Systematic curation of different types of knowledge enables stakeholder access and sharing experience and lessons beyond individual projects. • Co-creation of knowledge: Local stakeholders and beneficiaries fully engaged in the design, generation and dissemination of knowledge through practice-based learning and participatory action research in lending and non-lending initiatives. They are perceived as primary contributors of knowledge and active partners in dissemination. • Participatory, qualitative methods are used in consultation processes with national and local stakeholders. There is some evidence that priority is increasingly being given to local and indigenous	(6) Country case studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		knowledge and languages, reflecting 6th generation KM4Dev. • 'Multiple knowledges' of all stakeholders are taken into account in efforts to address the 'wicked' or complex problem of rural transformation, characteristic of 5th generation KM4dev. • Multi-stakeholder processes are evident in which KM practices go beyond the scope of the project/programme, or the administrative boundary, and reach out to other stakeholders, also using a community or a landscape dimension, consistent with 5th generation KM.	
2.2 How effective were KM strategies is supporting the development and implementation of transformative KM practices? KM STRATEGY	2.2.1 To what extent did IFAD's corporate and regional knowledge management strategies address the conditions for effective generation and use of knowledge in partner countries?	• IFAD's KM practices met the demand from key partners, principally within Government, for knowledge. • Systematic curation of project level documentation that allows stakeholders to both easily access and share experience and lessons learned from the project portfolio that can also be used by the IFAD country programme in scaling-up and country level policy engagement • Existing knowledge within IFAD's systems is easy to locate and country programme staff are willing to search for it • Ways to effectively link/coordinate support through global and regional grant outputs with contribution to the country programme strategic objectives is possible • Knowledge that is shared is not context specific and useful in other environments	(6) Country case studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
	2.2.2 To what extent did IFAD's COSOPs and, where available, country knowledge management strategies, address the conditions for effective generation and use of knowledge in partner countries	• IFAD's KM practices met the demand from key partners, principally within Government, for knowledge. • Systematic curation of project level documentation that allows stakeholders to both easily access and share experience and lessons learned from the project portfolio that can also be used by the IFAD country programme in scaling-up and country level policy engagement • Existing knowledge within IFAD's systems is easy to locate and country programme staff are willing to search for it • Ways to effectively link/coordinate support through global and regional grant outputs with contribution to the country programme strategic objectives is possible • Knowledge that is shared is not context specific and useful in other environments	(6) Country case studies
2.3 Is IFAD engaging in effective knowledge partnerships at the country level? PARTNERSHIPS	2.3.1 How effective are country-level partnerships to generate, share, broker and use knowledge?	• IFAD's partnership approach embedded in consultative policy processes in the agricultural sector. • Knowledge partnerships established with other development organizations including NGOs • Knowledge partnerships established with international research organisations • Knowledge partnerships established in-country with local partners including government and local NGOs • Communities of practice are active at inter-organisational level and beyond	(2) Analysis of corporate performance data and evaluations: IFAD client surveys (6) Country case studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		IFAD makes full use of external knowledge to meet it's needs	
	2.3.2 Is there demand from key partners, principally within Government, for IFAD knowledge? DEMAND FOR KNOWLEDGE	- Government at different levels expresses demand for knowledge from IFAD - Government at all levels using and/or engaging with IFAD KM practices and tools, including through using KM platforms, attending KM events, participating in communities of practice - Consultative policy processes exist in the agricultural sector which provides opportunities for IFAD to engage in the process - Processes that bring people together to openly reflect, discuss and share their ideas and lessons learned are regularly used and include an openness to discussing failure. - Effective operational partnerships for knowledge management - Knowledge co-creation, involving multiple knowledges and external stakeholders is used for resolving "wicked" problems	(6) Country case studies
	2.3.3 Does government have the capacities for effective KM?	- Adequate capacity for/approaches to policy formulation and implementation exists in relevant institutions of government (in the ministry of agriculture and beyond, as relevant) responsible for policy development and implementation - Government's ability to engage in effective dialogue not affected by high staff turnover within the institutions responsible for implementation, irregular fulfilment in providing counterpart funds, and problems with monitoring and assessing the impact of operations	(6) Country case studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
		Sufficient know-how on knowledge management and how to use KM tools to support effective curation of project level documentation	
2.4 Did IFAD share, broker and use the best available knowledge for effective in-country engagement? SUPPLY OF KNOWLEDGE	2.4.1 Was the knowledge generated, shared, brokered and used developed based on strong evidence?	- Robust and relevant knowledge is available and provided in a way that is accessible to country programmes in an unfragmented manner. - KM tools developed at regional division level align with and effectively support delivery of KM to delivery of strategic objectives in COSOPs - KM Coordination Group (KMCG) effectively develops solutions to KM challenges as they arise, identifies gaps, proposes new initiatives, and contributes to the development of KM guidelines and capacity-building activities - Monitoring, Evaluation and Learning (MEL) tools set milestones and track changes over a sufficient length of time, allowing to capture long-term, iterative processes beyond project time and physical boundaries	(1) Corporate level KM documents and data review: review of KM products (5) Regional division studies (6) Country Case Studies
	2.4.2 Was the knowledge generated, shared and brokered relevant to the needs of users, in IFAD and externally including in other countries (SSTC)	- Evidence of use of IFAD knowledge platforms and products by external actors - Evidence of direct learning of external actors of IFAD project interventions	(6) Country Case Studies
2.5 How sustainable have been the IFAD KM practices, tools and results? SUSTAINABILITY	2.5.1 Did IFAD undertake efforts to ensure the sustainability of the KM practices and tools it developed?	- Projects explicitly consider sustainability of KM practices in design, for example in an exist strategy. - Finance and staffing in place to ensure continuity - KM partnerships such as platforms, forum and Communities of practice (CoPs) are sustainable after external economic support ends	(6) Country Case Studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
	2.5. Has IFAD considered and undertaken actions to ensure the sustainability of KM results?	- Projects explicitly consider the sustainability of results - Integration of KM practices and products into national structures	(6) Country Case Studies
2.6 Other factors and lessons learned	2.17 What other factors can explain the effectiveness of IFAD's KM practices?		(3) Thematic deep dives: Comparative analysis and good practices from other IFIs, UN partners. (4) Corporate level and partner interviews and surveys: Focus group discussions with UN and IFI KM staff.
	2.16 What can IFAD learn from its partners to improve KM effectiveness at country level?		All evidence blocks

Overarching Evaluation Question 3: How efficient has been the use of the available (financial and human) resources to deliver the intended knowledge practices and outcomes? (efficiency criteria)

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
3.1 Are human resources for KM efficiently and appropriately deployed and is sufficient staff capacity in place? HUMAN RESOURCES AND CAPACITY	3.1.1 Are human resources for KM efficiently and appropriately deployed at the <u>corporate level</u> and is sufficient staff capacity in place?	• Sufficient and qualified staff in relevant corporate units • Effective approach in place to retain tacit knowledge with low turnover of staff • Adequate seniority of staff with KM responsibility • Incentives for corporate staff to engage in KM practices • KM training opportunities for staff and other possibilities for KM capacity development	(1) Review of Corporate Documents and data: Human Resources Data (4) Corporate level: HQ interviews and FGDs; KAP Survey
	3.1.2 Are human resources for KM efficiently and appropriately deployed at the <u>regional level</u> and is sufficient staff capacity in place?	• Sufficient and qualified staff in RDs. • Effective approach in place to retain tacit knowledge with low turnover of key regional division staff • Regional team resources available to fill gaps in skills of the country team • Access to a specific budget allocation for knowledge management activities • KM focal points with clear job descriptions in RDs • A good balance is achieved between using IFAD staff and consultants for KM activities (to promote sustainability) • Adequate seniority of staff with KM responsibility • Incentives for RD staff to engage in KM practices and prioritize KM against other demands	(5) Regional Division Studies

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
	3.1.3 Are human resources for KM efficiently and appropriately deployed at the <u>country level</u> and is sufficient staff capacity in place?	• Sufficient country presence and qualified staff in IFAD-Country Office (ICOs). • Country programme staff can clearly identify knowledge needs that can be filled by IFAD and that will make significant contributions to delivery of COSOP strategic objectives • Effective approach in place to retain tacit knowledge with low turnover of country directors and other key country programme staff • A good balance is achieved between using IFAD staff and consultants for KM activities (to promote knowledge retention and sustainability) • Access to a specific budget allocation for knowledge management activities by country offices • KM focal points with clear job descriptions in ICOs • Sufficient know-how on knowledge management and how to use KM tools to support effective curation of project level documentation • KM expertise present on IFAD supervision missions • Adequate seniority of staff with KM responsibility • Incentives for ICO and project staff to engage in KM practices	(6) Country case studies
3.2 Are financial resources adequate and appropriate for supporting effective and	3.2.1 To what extent were grants used to support KM at the regional and country levels? What funding patterns emerge?	• The use of country grants in delivery of KM plan fully considered at the regional corporate levels and well channelled to the country level • Global and regional grants offer an effective alternative pathway, than through the country programme, for	(3) Thematic deep dives: Grants review (5) Regional division studies

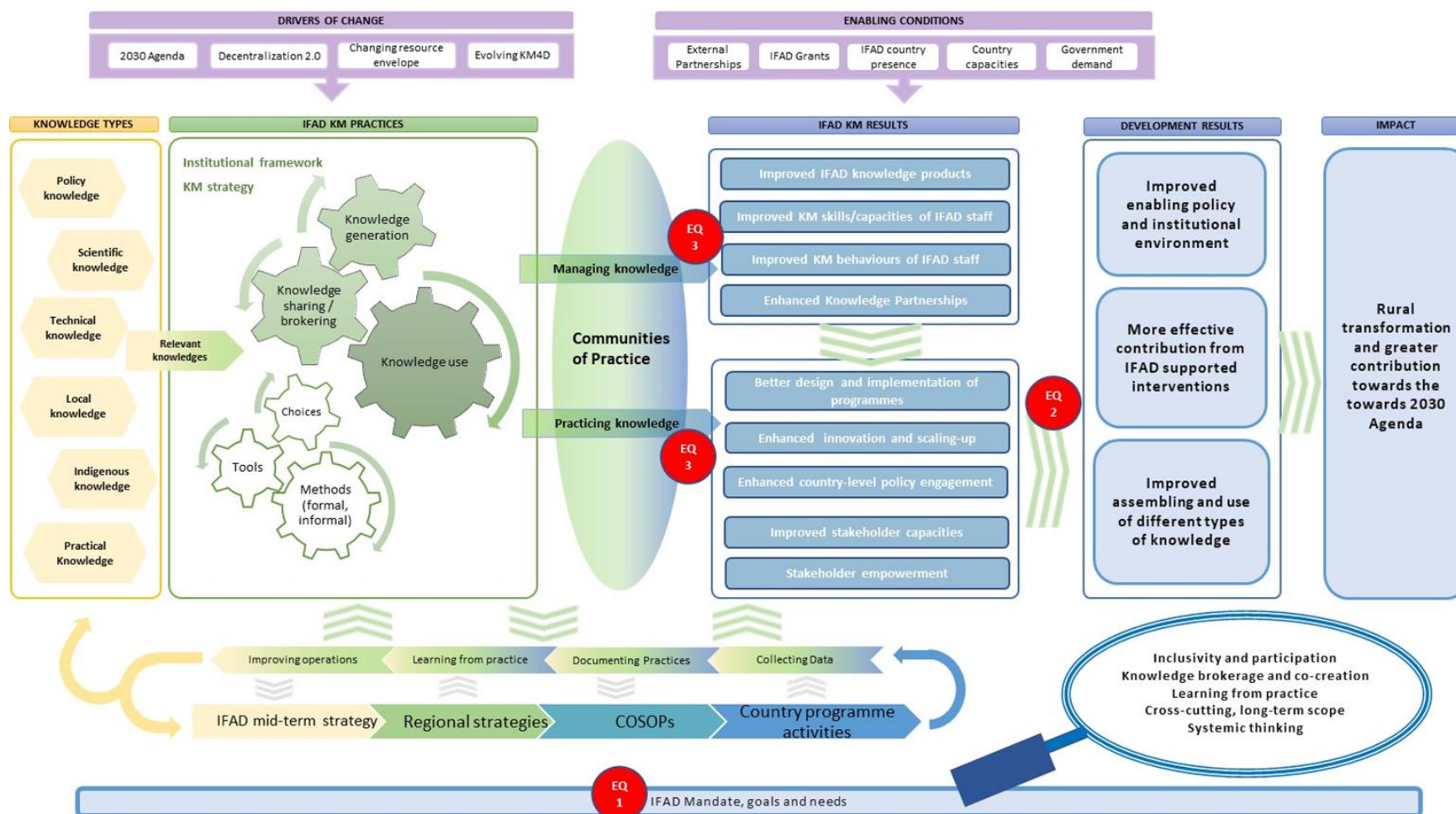
<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
sustainable KM practices		using knowledge to contribute to IFAD's strategic goals in the Mid-term Strategic Framework	
FUNDING	3.2.2 Are grant resources allocated for KM sufficient and appropriately targeted?	- Country programmes that make good use of grants to support generation and use of knowledge in line with country programme objectives - Global and regional grants effectively leveraged to support KM contribution to COSOP strategic objectives	(6) Country case studies
	3.2.3 Did IFAD mobilize other resources to support its KM practices?	- Access to a specific budget allocation for knowledge management activities by country offices - Reimbursable technical assistance is available to fill key knowledge gaps	(5) Regional division studies (6) Country case studies
3.3 How cost effective are the KM architecture, practices and tools? COST EFFECTIVENESS	3.3.1 Are IFAD knowledge products and tools cost effective ²¹ ?	- Costs for knowledge products and tools are in line with those of other IFIs and development organisations - Number of downloads (disaggregated by country) and costs - Number of printed copies disseminated (disaggregated by country) and costs - Number of citations by type of document	(1) Review of Corporate Documents and data: review of KM tools and practices; review of KM products (4) Corporate level and partner interviews and surveys: HQ interviews and FGD; KAP survey
	3.3.2 Is the KM institutional architecture cost effective?	The relationship between the costs and the benefits show that the investment is worthwhile	(1) Review of Corporate Documents and data: review of KM tools and

²¹ a consideration of proportionality in terms of the expected benefits deriving from a product or tool relative to the cost

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
			practices; review of KM products (4) Corporate level and partner interviews and surveys: HQ interviews and FGD; KAP survey.
	3.3.3 Did IFAD make full use of partnerships in the generation, sharing, brokering dissemination and use of knowledge to improve cost effectiveness?	Evidence of greater cost effectiveness from partnerships	(1) Review of Corporate Documents and data: review of KM tools and practices; review of KM products
	3.3.4 Do IFAD staff conduct KM activities with a clear idea of what they will be used for and their added value?	- IFAD staff are clear about the purpose of their KM activities - KM activities make clear the expected results and added value	(1) Review of Corporate Documents and data: review of KM tools and practices; review of KM products (6) Country Case studies
	3.3.5 Did IFAD put in place mechanisms to effectively measure the costs and benefits of KM practices and products?’	- Clear reporting of costs of KM practices and tools - Efforts to assess benefits of KM practices and tools in place	(1) Review of Corporate Documents and data: review of KM tools and practices; review of KM products
	3.4.1 What other factors can explain the efficiency of IFAD’s KM practices?		(3) Thematic deep dives: Comparative analysis and good

<i>Sub-question</i>	<i>Specific questions</i>	<i>Indicators</i>	<i>Data sources</i>
3.4 Other factors and lessons learned			practices from other IFIs, UN partners. (4) Corporate level and partner interviews and surveys: Focus group discussions with UN and IFI KM staff.
	3.4.2 What can IFAD learn from its partners to improve KM efficiency at country level		All evidence blocks

Theory of change



Assumptions underpinning the ToC

Corporate level

Assumptions	Probe
There is visible and effective leadership of the KM agenda which means that relevant prioritised by staff within IFAD	1. Executive Management Committee acts as IFAD's KM champion.
	2. The KM Coordinating Group is effective at: (i) identifying opportunities to change incentives, behaviours, and IFAD's organizational culture to support prioritisation of KM; and (ii) tracking IFAD's performance in KM across the organisation through the KM Action Plan results framework
	3. The KM Action Plan results framework has clear metrics for knowledge uptake, quality, and influence that are actively tracked and the results used to adjust future actions on KM
	4. Leadership focus on enhancing organizational effectiveness through effective KM and helping business units at corporate and regional level to deliver greater collaboration across relevant groups within IFAD and focus on KM within the country programmes
Relevant KM Tools mean that it is easy to find knowledge relevant to demands at country programme level	5. Partners' knowledge effectively leveraged at global level
	6. Existing knowledge within IFAD's systems is easy to locate, and is maintained and updated through curation and adaptive learning to remain valuable
	7. Formalized processes to connect IFAD country programme staff with each other, staff at regional/corporate level, and with external partners through communities of practice (CoPs) and networks are in place and strengthen access to technical expertise and knowledge required to deliver the KM plan
	8. Approaches and tools that support knowledge flows and joint learning, especially user-oriented technologies and platforms combined with targeted communities of practice support faster access to the collective knowledge of staff, more efficient problem solving, and increased knowledge retention
	9. Effective system in place to capture lessons learned within country programmes and curate it at corporate level
The diverse types of knowledge are found in corporate knowledge repositories	10. A clearly described approach to how achieved a focused, prioritized approach to knowledge development and mobilization at corporate level that aligned with investment opportunities and in areas where IFAD has a comparative advantage over other IFIs and relevant UN agencies that in place and operating effectively.
	11. Many different types of knowledge (tacit knowledge, codified knowledge, scientific knowledge, evidence for policy, best practices, indigenous knowledge, local knowledge, and others) contribute to the IFAD Strategic Framework. Knowledge generation, and curation, has been closely informed by the knowledge gaps and priorities identified in operations under the leadership of PMD, as well as by identification, led by SKD, of evidence gaps in the broader context of rural development.
	12. The corporate decision to prioritise curation of knowledge in the cross-cutting themes of environment and climate, gender, nutrition and youth, and private sector engagement aligns with key knowledge needs of country programmes and partners at country level
	13. KM Coordination Group (KMCG) effectively develops solutions to KM challenges as they arise, identifies gaps, proposes new initiatives, and contributes to the development of KM guidelines and capacity-building activities
	14. IFAD has been able position itself as a stakeholder at global level as a "knowledge provider and partner" with UN organizations, IFIs and donors through its participation in key networks, such as MDLP and KM4dev
	15. What resources have been allocated to KM at corporate level.

Assumptions	Probe
Resources are appropriate to deliver an effective KM tools in a cost-effective way at corporate level	16. Visible and effective leadership of the KM agenda which means that its delivery is prioritised against other key demands by staff at corporate level
	17. Assumptions on availability of resources needed to implement the KM Action Plan have been upheld.

Regional level

Assumptions
The KM Coordinating Group works as an effective link to convey country and regional concerns and demands to corporate level partners and access to corporate KM resources for use in country programme delivery
KM tools developed at regional division level align with and effectively support delivery of KM to delivery of strategic objectives in COSOPs
Formalized processes to connect IFAD country programme staff with each other, staff at regional/corporate level, and with external partners through communities of practice (CoPs) and networks are in place and strengthen access to technical expertise and knowledge required to deliver the KM plan
There is scope to deliver an effective KM strategy in a cost-neutral way at regional division level
KM Focal Points prioritise supporting KM

Country programme (Conditions for effectiveness)

Assumptions	Probe
The COSOP is an effective tool in delivering clear strategic orientation on knowledge management in a country programme	1. Rural transformation implies considerable use of knowledge and it is important to make explicit what knowledges are involved.
	2. Country programme staff can clearly identify knowledge needs that can be filled by IFAD that will make significant contributions to delivery of the strategic objectives identified in COSOPs.
	3. IFAD KM objectives and processes in the COSOP respond to the needs of national actors, bringing the voices of the rural people, building on local KM practices, and providing training and resources (where necessary).
	4. An operational KM plan within the programme with full ownership and implementation of the plan by all stakeholders is required.
Robust and relevant knowledge is available from country programme	5. Project level M&E systems are designed to support development of knowledge products through development of relevant lessons that applicable at both project level and for country level policy engagement and scaling up advocacy.
	6. Systematic curation of project level documentation that allows stakeholders to both easily access and share experience and lessons learned from the project portfolio that can also be used by the IFAD country programme in scaling-up and country level policy engagement.
	7. Existing knowledge within IFAD's systems is easy to locate and country programme staff are willing to search for it.
	8. Much of the IFAD support for knowledge and learning work at country level comes from grants. Ways to effectively link/coordinate support through global and regional grant outputs with contribution to the country programme strategic objectives is possible.
Availability of sufficient dedicated staff in ICO are competent in use of KM within the country programme	9. No ICO/ICO with non-resident country director/ICO with resident country director.

Assumptions	Probe
	10. Effective approach in place to maintain tacit knowledge with turnover of country directors and other key country programme staff.
	11. Regional team resources available to fill gaps in skills of the country team.
Resources, outside of grants, for KM are available	12. Access to a specific budget allocation for knowledge management activities by country offices.
	13. It is feasible to use reimbursable technical assistance to fill key knowledge gaps.
	14. Tacit knowledge and know-how of staff and consultants is consistently used and maintained.
Grants effectively leveraged to support KM contribution to COSOP strategic objectives	15. The use of country grants in delivery of KM plan fully considered upstream and well channeled downstream.
	16. Global and regional grants effectively leveraged to support KM contribution to COSOP strategic objectives.
	17. Global and regional grants offer an effective alternative pathway, than through the country programme, for using knowledge to contribute to IFAD's strategic goals in the Mid-term Strategic Framework.
There is sufficient capacity to implement a credible approach to KM within country programmes	18. Sufficient know-how on knowledge management and how to use KM tools to support effective curation of project level documentation.
	19. Formalized processes to connect IFAD country programme staff with each other, staff at regional/corporate level, and with external partners through communities of practice (CoPs) and networks are in place and strengthen access to technical expertise and knowledge required to deliver the KM plan.
Country programmes' partnership approaches to use of knowledge are effective	20. Sufficient know-how on knowledge management and how to use KM tools to support effective curation of project level documentation.
	21. Formalized processes to connect IFAD country programme staff with each other, staff at regional/corporate level, and with external partners through communities of practice (CoPs) and networks are in place and strengthen access to technical expertise and knowledge required to deliver the KM plan.
	22. Processes that bring people together to openly reflect, discuss and share their ideas and lessons learned are regularly used and include an openness to discussing failure.
	23. Effective operational partnerships for knowledge management.
	24. Knowledge co-creation, involving multiple knowledges and external stakeholders is needed for resolving complex problems, such as rural transformation.
There is demand from key partners, principally within Government, for knowledge provided through IFAD's partnership approach	25. The extent to which responsibilities for policymaking and implementation are decentralized (to state/provincial/district levels) and there is an effective and relevant link between policymaking at the different levels.
	26. Adequate capacity for/approaches to policy formulation and implementation exists in relevant institutions of government (in the ministry of agriculture and beyond, as relevant) responsible for policy development and implementation.
	27. There is a history and culture of consultative policy processes in the agricultural sector which provides

Assumptions	Probe
	opportunities for IFAD's partnership approach to use of knowledge and Government buy-in into IFAD objectives.
	28. High staff turnover within the institutions responsible for implementation, irregular fulfilment in providing counterpart funds, and problems with monitoring and assessing the impact of operations have affected the government's ability to engage in effective dialogue.
	29. Forums for policy dialogue between the government and its development partners (such as sector working groups) or communities of practice that mainstream innovation experiences for scaling up by others, or farmer field schools and participatory planning at the district level are active and within which opportunities to discuss lessons learned are found.

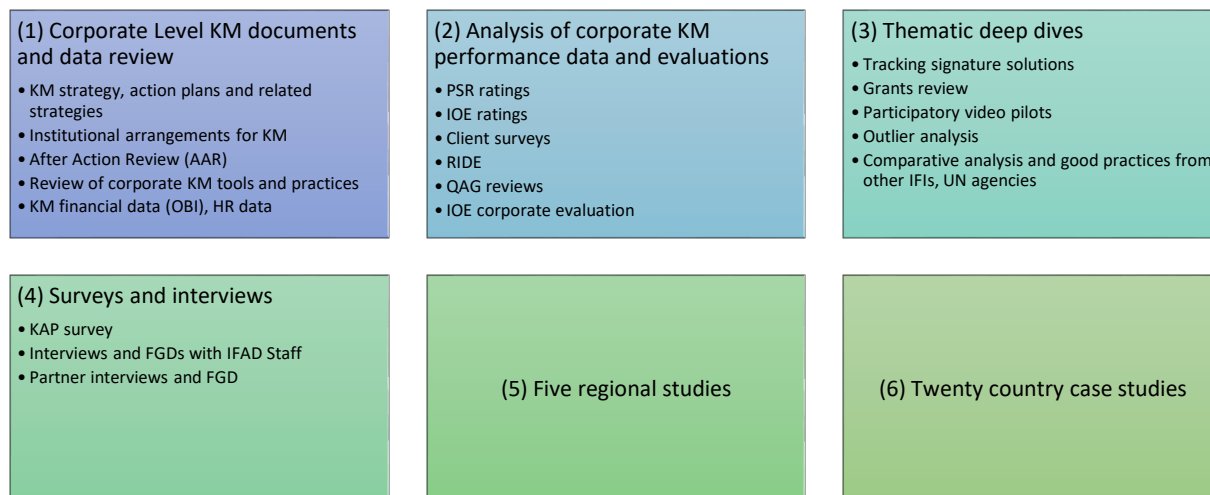
KM practices identified through pilot case studies

Corporate KM practices in the framework of generational approaches

Generation Title		Identifying concepts	Diagnostic practices	KM practices identified through pilot case studies
6th	Decolonization of knowledge	Coloniality and decoloniality, Epistemic justice	New relationships with partner organizations and their knowledge	Experience capitalization Community-based knowledge peer networks
5th	Development knowledge ecology	Multiple knowledges Global public good and knowledge commons Emergence and complexity	Valuing knowledge from multiple stakeholders Taking an ecosystem-wide perspective	Learning routes Collaboration with Universities for training and staff exchange- Involvement of multiple stakeholders in policy processes (government, business etc) Inclusive events and conferences organized
4th	Practice-based; People-centric	Knowledge processes embedded in organizational processes	Practice-based knowledge reflects cumulative knowledge and learning acquired by practitioners	Project social media account and use Regular meetings to support knowledge sharing among practitioners from different projects Use of digital tools such as tablet and mobile apps to deliver information on rural finance
3rd	Knowledge sharing-based	Knowledge sharing between organizations	Taking part in peer assists, developing case studies, developing best practices, membership of CoPs	Establishment of CoPs, including those with members from other organizations Best practices and lessons learned are documented and shared KM strategies for projects with a focus on knowledge sharing Documentaries and video programmes based on success stories, broadcasted in different TV stations
2nd	Organization-based	Knowledge as an asset within organizations	Methods developed to assess the value of knowledge to the organization	Storing and collating information in National Management Information System (NMIS)
1st	ICT-based	Knowledge as a commodity	Uploading onto databases, consulting databases, creating portals	Intranet Websites providing access to information about the organization Databases of projects for internal use

Source: Evaluation team

Elaboration on the methodological building blocks



Corporate-Level KM documents and data review (1)

The review of IFAD's KM strategy and its implementation will draw its evidence from corporate-level documents and data.

Desk Review of corporate policies, strategies and guidance that have been guiding KM over the period. This will include an analysis of the 2014-2018 and the 2019-2025 KM strategies as well as their associated Action Plans. It will also look at strategies adjacent to KM such as the SSTC strategy and the Guidebook on Country-level Policy Engagement as well as corporate guidance on COSOP creation, Grants, and financial frameworks.

The review of **institutional arrangements** for KM includes an assessment of the relevance and effectiveness of the "KM Architecture" outlined in IFAD's KM Strategy as well as the evolution of the architecture since 2016. The CLE will review the functioning of the formal arrangements for KM (see Appendix VI on key players) and how their interaction in the generation, sharing and use of knowledge contributes to development results.

SKD completed the **Mid-term review of IFAD's 2019-2025 Knowledge Management Strategy** in September 2022. The MTR is an important source of information for the CLE as it was based on a) quantitative data from the KM Strategy Results Measurement Framework (RMF) indicators; b) multiple interviews and focus groups with a broad range of stakeholders at corporate, regional, and country levels; and c) triangulation of insights from ARRI, RIDE, PRISMA and IOE's independent evaluations.

As a standard IOE tool, the CLE will include a self-evaluation session with the Strategy and Knowledge Department (SKD). It is therefore proposed that the CLE may add value to the MTR, by reviewing the implementation of the strategy, using an **After-Action Review (AAR)** methodology. AAR is a tool used to capture reflection and learning, prompted by discussion of what was intended to happen, what actually happened, why it happened, and what can be learned.

Review of corporate KM tools and practices. The purpose of this review would be to identify and locate corporate KM tools and practices within the framework of generational approaches presented earlier. The review will look at the available knowledge platforms and products to examine how knowledge is generated, shared and used through the existing tools and practices.

IFAD staff and consultants (as well as partner organizations and others) access knowledge products through many different **platforms**, many of which overlap in terms of content. The IFAD KM Resource Centre provides a resource for IFAD staff and consultants, project staff and partners who want to learn more about KM.

For the review of **knowledge products**, the evaluation will draw evidence on from the MTR, which included a review of KM series and PMI KM products.²² The CLE team will identify a sample of knowledge products for review with greater focus on knowledge generation, sharing and use. It will use a standardized evaluation matrix to assess the generation, substance, intended audience and (to the extent possible) use, as well as map their dissemination across IFAD data systems and outside IFAD. In a second step the team will undertake interviews with authors and other identified stakeholders, such as potential users at country-level.

The assessment will thus focus on the value of IFAD's knowledge products in terms of their ability as a resource for learning and to support country programmes in delivering their results. The analysis will benefit from a recent SKD study, which has reviewed how knowledge is exchanged within IFAD using an Organizational Network Analysis (ONA).

There are a number of (formalised) **Communities of Practice** (CoPs) which are managed through IFAD's D-Groups platform²³ or highlighted by the Resource Centre. This includes, amongst others, the IFAD Development Practices Community, the IFAD Innovation Network (856 Members), the Gender Network (57 Members), the CoP for geospatial application (193 members), the IFADASIA (11,600 members) and FIDAfrique (16,300 members).

The CLE team will analyse available grants and project cost data (from OBI database), to quantify **financial resources for KM** at corporate, regional and country levels. This includes: costs associated with development of tools and systems directly supporting KM; budgets allocated for the curation and delivery of knowledge products; and staff time. From OBI databases allocation of costs to KM component in Loans and grants can be identified; KM related activities funded from other components would be difficult to track through the system.

A review of **HR data on** KM related roles from the PeopleSoft platform - and with assistance from HRD and SKD - would enable the team to identify the dedicated KM specialists and Focal Points at corporate and regional level and how staffing patterns have changed over the period covered by the evaluation. It will also illuminate the personnel resources from SKD assigned to project countries. The CLE will use the country Case Studies to identify those with KM mandates and quantify their knowledge-related activities through a review of project budget, implementation plans, and staff ToRs, likely available through the review of project documentation.

Analysis of Corporate KM performance data and evaluations (2)

Review of existing survey data, such as the Global Staff Survey and the biannual Stakeholder/Client survey, representing the views of partners and governments will also provide a baseline on the engagement with IFAD's knowledge management practices both at organizational and project/country level. The stakeholder survey specifically evaluates the perception of partners in other multilateral or bilateral organizations, civil society, governments, and private sector to assess the favourability of different aspects of IFAD's operations and provide reflection on improving. At the same time, the Global Staff Survey provides insight into how IFAD staff members working life and organizational culture may affect knowledge management practices. These two bodies of data provide perspectives from different groups as to how IFAD leverages knowledge in

²² IFAD classifies its explicit knowledge products in the following categories: [Advantage Series](#), [Impact Assessment](#), [Research Series](#); Results from the Field, and [Toolkits](#))

²³ <https://ifad.dgroups.io/g/IFAD>

relation to partnerships and SSTC along with how it is integrated into project implementation.

Project Supervision Ratings (PSR) (from the ORMS) include ratings for KM at project level. The CLE team would analyse the ratings on the project performance of KM from 2016 to 2022 based on IFAD's Supervision and Implementation Support (SIS) Reports. Relevant analyses include the trend analysis of KM performance overtime, comparison of KM performance by regions and countries, and correlation and outlier analysis.²⁴

Report on IFAD's Development Effectiveness (RIDE) is a yearly internal evaluation and assessment produced by PMD and OPR. The most recent three years (2019-2021) the RIDE reported on the implementation of the IFAD KM Strategy.

The **Quality Assurance Group (QAG)** has produced reviews and learning papers in relation to KM, highlighting the role of knowledge in project design and the continued challenges in embedding and mainstreaming knowledge management consistently across IFAD's portfolio. A QAG discussion paper in 2021²⁵ reviewed how project proposals integrated learning and knowledge generation within the project architecture. The "QAG Views" on KM and on Embedding SSTC in project design highlighted Knowledge management's connection with CLPE and South-South and Triangular Collaboration and reviewed their integration in the design of country level projects. A paper on IFAD regular grants²⁶ showed that grants were one of the primary vehicles for country and regional-level KM activities and for sharing and piloting scale-able innovations for rural transformation.

IOE evaluations. Country Strategy and Program Evaluations (CSPEs), produced by IOE evaluating country programs on relevance, sustainability, innovation etc., as well as Knowledge Management. IOE performance ratings for KM would enable the team to see trends and patterns over the evaluation period (see Chapter II. D.). in addition, IOE has produced corporate-level evaluations and synthesis which are related to KM, such as the CLEs on grants, innovation, value chains and decentralisation, the ESRs on SSTC, policy performance, government performance and others.

Thematic Deep Dives (3)

The thematic "deep dives" will take a horizontal approach to reviewing selected practices, cutting across the organisational and geographic divides. This will enable the evaluation team to obtain a broader understanding of KM in practices and complement the (vertical) sampling for case studies.

Review of Grants: Due to the challenge of financing KM through investment activities, Small-scale grant making at IFAD has been identified as a primary mode by which funds are allocated toward non-lending activities and a main tool for supporting KM. During the period covered by the evaluation, explicit reference has been made to the use of grants to enhance policy engagement and to generate and disseminate knowledge for development impact. A QAG paper highlights the important role of grants to fund activities that are important but difficult to include in loan-funded investments, such as capacity building, global advocacy, knowledge work and partnership-building.²⁷

The CLE will undertake an assessment of grant funding specifically earmarked for knowledge management activities as identified through the grants database. This will allow the team to evaluate the efficiency and effectiveness of resource allocation in supporting KM practices and whether grants have provided an added value in the countries where they are utilized. In addition to single grants, the evaluation will assess

²⁴ These are self-rating and subjective. There is also a question on whether the ratings were based on the adequate understanding of KM.

²⁵ A discussion paper on the quality at entry of project designs in 2020: country-level policy engagement and knowledge management

²⁶ IFAD Regular Grants: A synthesis of results, lessons and future directions

²⁷ QAG: A discussion paper on The quality at entry of Project designs in 2020: country-Level Policy engagement and knowledge management

the role of funding facilities such as the China-IFAD SSTC Facility and the Indigenous Peoples Assistance Facility (IPAF) in generating, using, and sharing knowledge across IFAD's program countries. This approach will be strengthened by the use of grants as an evaluative component in the CLE's country case studies, which will help to more clearly articulate and identify grant availability and use.

Tracking Knowledge through IFAD's Signature solutions: The CLE mapped IFAD's signature solutions in order to track how specific knowledges are shared both within and outside the organization. This methodology helps to understand to what extent knowledge is shared across organisational divides. The term "signature solutions", developed by the CLE team, indicates specific programmatic initiatives, championed by IFAD, that aim to improve the lives of rural people, such as GALS, leasehold forestry and others.

The CLE is using **Remote Participatory Video Evaluations (Remote PVE)** to explore indigenous and local knowledge in the context of IFAD's. Remote PVE is a hybrid approach in which the evaluator obtains new footage (either from semi-structured video-interviews or self-filmed recordings) and merges it with old footage and photos from participants to help the evaluation expand its scope to include people it may not otherwise be able to engage with due to resource constraints. The piloting of this cost-effective approach is currently underway in two countries, Brazil and Peru.²⁸ In-depth interviews remotely with farmers and members of different ethnic groups explore how they generate, capture, and share knowledge and how this has been shared and/or expanded with IFAD.

Outlier Analysis: Performance outliers, identified through the ARRI database, provide further insights on good or poor KM practices. Analysis of CSPEs conducted between 2016 and 2021, will allow the evaluation to more broadly explore the qualities and types of practices at country level which contribute to either good or poor KM performance and supplement the more in-depth analysis provided by the Country Case Studies.

Analysis of relevant experience in comparable organizations framed within which KM generation is being practiced. A number of international organisations with business models similar to that of IFAD have completed evaluations of KM in the past three years, including: The European Bank for Reconstruction and Development (EBRD);²⁹ World Bank;³⁰ Asian Development Bank;³¹ and the Global Environment Facility.³² There has also been a cross-cutting, independent evaluation of KM in the UN system³³. The focus of these evaluations is on corporate KM systems and they do not generally reach down to the country level. In addition, they do not focus on KM practices. Despite these differences in focus, the evaluative evidence available will allow the CLE to identify lessons that could inform IFAD's KM strategy.

Surveys and Interviews (4)

An **electronic survey** has been launched through Survey Monkey at an initial stage of this CLE, using the **Knowledge, Attitude and Practice (KAP)** survey format. KAP surveys focus on knowledge, attitudes and practices which means they are well-suited to

²⁸ In Brazil, the selected IFAD-funded project is the Semi-Arid Sustainable Development Project in the state of Piauí (PVSA), which focuses on the reduction of extreme poverty, emphasizing the elevation of income, productivity, employment opportunities and the strengthening of rural institutions. In Peru, the selected IFAD-funded project is the Public Services Improvement for Sustainable Territorial Development in the Apurimac, Ene, and Mantaro River Basins (PDTs).

²⁹ Evaluation Department (2021) Learning and knowledge management at the EBRD. European Bank for Reconstruction and Development, London.

³⁰ Independent Evaluation Group (2019) Knowledge Flow and Collaboration Under the World Bank's New Operating Model. World Bank, Washington DC

³¹ Independent Evaluation (2020) Knowledge solutions for development: an evaluation of ADB's Readiness for Strategy 2030. Asian Development Bank, Manila.

³² Independent Evaluation Office (2020) Evaluation of Knowledge Management in the GEF. Global Environmental Facility

³³ Joint Inspection Unit (2016) Knowledge management in the United Nations system. Geneva: UN

analysis of KM practices (Jackson, 2019). The survey was sent to IFAD staff in Headquarters and 83 responses were received. Following the conclusion of the KAP survey, the CLE team is holding focus group meetings and individual follow-up interviews with respondents who elected to be contribute to the CLE.

Key informant interviews and focus group discussions will be held with IFAD staff at the headquarters level as well as with relevant external partners.

Five Regional Division studies (5)

The regional divisions have adopted different approaches to KM and its practice³⁴, and also how they deliver on their key role in support of KM at the level of country programmes. The CLE team will therefore conduct five regional studies to evaluate the differing regional KM strategies, whether formalised in a document and action plan or informal, and how effectively they have been guiding practice within the regional division and in support of the country programmes. In addition, whether and how lessons from regional practice have been adopted at corporate level or spread between regions will be explored, as will the effectiveness of the KM Coordination Group as a link between corporate and regional level.

The CLE will look at all of the five IFAD regional divisions and analyse how knowledge flows at the regional and sub-regional levels, including via Regional Offices (ROs), Multi Country Offices (MCOs) and SSTC & Knowledge Centres (SSTC&KC). At each level, the analysis will aim at mapping and evaluating: (i) human resources dedicated to KM, their specific roles and responsibilities; (ii) financial resources allocated to regional or multi-country KM initiatives; (iii) available systems for knowledge exchange, such as regional newsletters, knowledge packs, non-lending trackers; (iv) KM and policy relevant products produced; (v) knowledge platforms in place, including CoPs and other formal/informal platforms; (vi) physical events hosted or co-hosted by the respective offices, including conferences, training, study tours. Wherever formal strategies and action plans are in place (as is the case in LAC and APR, existing practices will also be evaluated against the objectives set therein.

Ultimately, the focus of the analysis will be to understand how regional practices support the flow of information between projects and HQ, fuelling a feedback loop between the country and global levels. The regional studies will also aim at complementing the grant review by providing deep dives in selected grants (tentatively two per region), with the aim of shedding light on their role in promoting and sustaining KM and policy engagement efforts at the regional level. Existing partnerships with a focus on KM will also be mapped and evaluated, alongside IFAD's engagement with external regional structures such as UN Knowledge Hubs and Issue-Based Coalitions on relevant themes.

As for the other evidence blocks, the evidence collected through the regional studies will be eventually fed into the overall evaluation framework of the CLE and contribute to answer the evaluation questions and sub-questions contained therein.

Twenty Country Case Studies (6)

Purpose and focus of country case studies. The case studies will be used to answer the evaluation questions, partly through testing the hypotheses in a range of countries, identify which contribute to good KM by the country programme, and document cases of good practice. The evidence will be used to answer the sub-questions in the evaluation framework (Appendix I). Case study findings will fill important evidence gaps in terms of the contribution of the formal IFAD KM architecture at corporate and regional division level to delivery of effective KM within the country programmes. Evidence gaps include the availability of resources (e.g. grants, personnel), and how they are used for KM, as well as the contextual conditions, systems and partnerships that are driving (or inhibiting) effective KM. The CLE will derive its evidence from in-person and virtual interviews with IFAD country teams and partner organisations and a review of relevant

³⁴ For example, some regions have developed regional KM strategies

country programmes (COSOPs/Country Strategy Notes and reviews of the country strategy) and project documents. The country case studies would provide the CLE with robust evidence on the effectiveness of KM practices, obtained through direct engagement with country teams, and their contribution to development results.

Case study analysis. Initial mapping of the KM practices and communities of practice in the 20 case study countries will lead to the identification of case studies that require further follow up to explore in further depth the practice types and how they would contribute to the three development results. These studies will allow the development of a comprehensive story of change, describing how the changes came about and the contribution of the KM practices. Within-case analysis will be complemented by cross-case analysis, as explained in the following section.

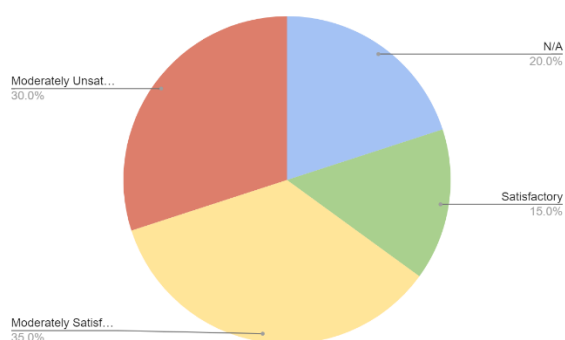
Selection criteria of country case studies

Case study purpose. The purpose of the case study was to cover a range of countries and portfolios that could provide deeper insights into the KM drivers and outcomes within certain contexts. IOE used the four criteria to identify country and portfolio types: (1) KM performance ratings; (2) country income status; (3) country portfolio size; and (4) country presence.

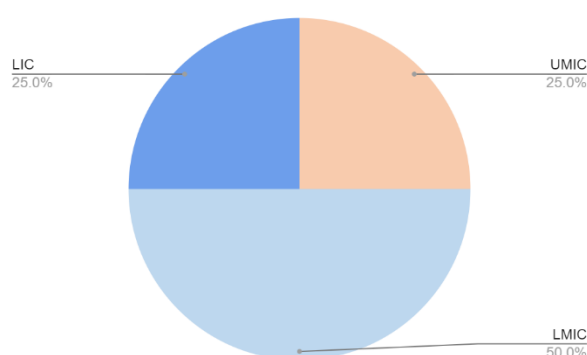
Selected countries. The evaluation team selected four countries from each regional division. This provided a total sample of 20 country cases.

APR	ESA	LAC	NEN	WCA
Viet Nam	Malawi	Argentina	Kyrgyzstan	DRC
Philippines	Madagascar	Peru	Tunisia	Sierra Leone
Pakistan	Angola	Brazil	Sudan	Nigeria
China	Kenya	Mexico	Egypt	Côte D'Ivoire

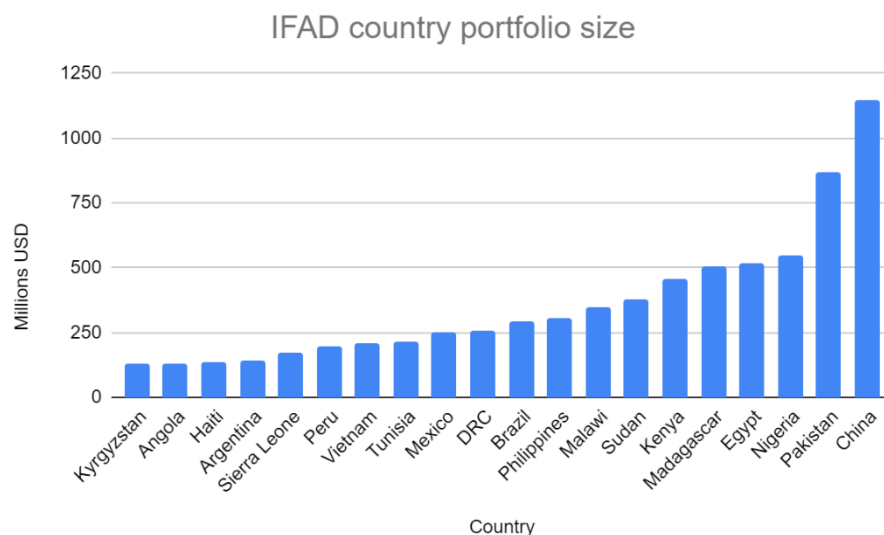
KM performance ratings (IOE) in country programmes. Ratings from country-strategy and programme evaluations (CSPEs) on KM show that both well performing and poor performing countries are represented in the sample.



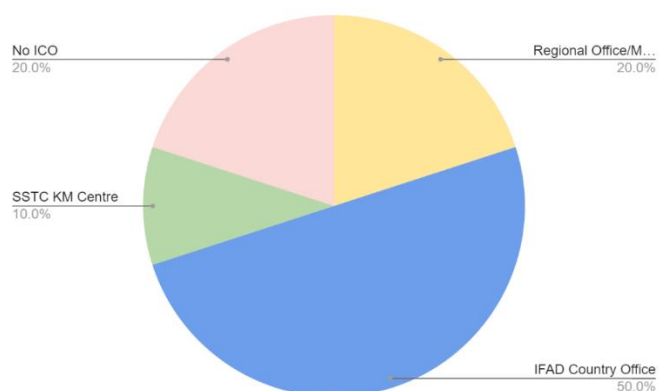
Country income status. The sample includes an even divide between low-income countries (LICs) and middle-income countries (MICs) as shown in the graph below:



IFAD country portfolio size. The sample covers all sizes of portfolios, from small (Kyrgyzstan) to large (China).



IFAD country presence. Country presence varies strongly throughout IFAD due to the decentralization process. The basic rationale under-pinning Decentralization 2.0 was that IFAD presence will enhance performance on non-lending. The sample covers countries with and without country presence. It also covers regional offices and SSTC/KM centres.



Key players on KM in IFAD

Due to its decentralized nature, the mandates of knowledge creation, use, and dissemination are undertaken throughout IFAD's corporate and country-level architecture; divisions and staff often have overlapping mandates on this front. As part of preparation of this CLE Approach Paper, a preliminary mapping of this structure has been carried out, identifying the key divisions and actors engaged in KM from each level.

The **Programme Management Department (PMD)** and its respective regional divisions (APR, ESA, NEN, LAC, WCA) act as the front-line implementors of IFAD's knowledge management strategy, through operationalizing KM at the project and programme levels, for example through regional KM strategies. The KM focal points within regional departments would support the knowledge sharing; the portfolio advisors would collate lessons learned as part of the annual portfolio reviews.

Ongoing decentralization efforts have continued to expand IFAD's country presence, with 33 per cent of staff working outside of the Rome HQ. Because of this process, the bulk of project knowledge is being generated and shared at the country and regional levels.

SSTC and Knowledge Centres in three regions correspond with these ongoing efforts. Regional officers, portfolio advisors, and regional economists assess knowledge needs of country programmes in addition to their day-to-day responsibilities

Country offices and country programmes are the main users for IFAD's Knowledge management. At country level, knowledge is produced and shared based on project activities. This includes: data regularly collected for M&E, baseline and end-line surveys, supervision missions, mid-term and end of project reports; but also brochures, documentation of good practices, proceedings of workshops and other communication activities. Some projects may foresee the establishment of forum and platforms, or the participation into local and national networks of farmers, local councils, etc. There are multiple ways through which country programmes produce, share or leverage knowledge (either from the project or from other stakeholders, including farmers and indigenous groups). The way this knowledge is then systematised and integrated into IFAD KM processes at higher levels also vary a lot. Bottlenecks exist in the flow of knowledge from the country to the central level, and the other way around.

As elaborated in the 2019 strategy, the Executive Management Committee is responsible for modelling and prioritizing Knowledge Management overall at IFAD, while the **Strategy and Knowledge Department (SKD)** explicitly leads the development of guidelines, tools and outreach support for implementing KM strategies and action plans.

A senior KM Specialist from SKD heads the **interdivisional Knowledge Management Coordination Group (KMCG)**, which provides the technical backing of the strategy's implementation with the support of its members across IFAD. Composed of staff from regional and thematic division and KM focal points, KMCG is responsible for reviewing and reporting on the implementation of KM action plans, as well as contributing to new guidelines and developing solutions as challenges arise. In recent years, the group has also launched learning events to support targeted issues, such as responding to the COVID-19 pandemic.

The Environment, Climate, Gender, and Social Inclusion Division (ECG) and the Sustainable Production, Markets and Institutions Division (PMI) lead the bulk of technical knowledge generation around their respective fields and work to mainstream them into country programmes. They also act as knowledge brokers to determine where knowledge generation is needed while facilitating Communities of Practice.

The **Change, Delivery, and Innovation (CDI) Unit**, established in 2019, also has a mandate explicitly in line with our definition of KM at the corporate level. Its mission is to "embed a culture of change, enhanced delivery and innovation at IFAD by serving as a centre of expertise and strategic, evidence-based support to drive behaviour change, improve the performance of delivery systems and promote the identification and scaling

up of rural poverty innovations.” CDI does this through, among other activities, piloting KM initiatives with SKD.

The **Global Engagement, Partnership and Resource Mobilization Division (GPR)** leads IFAD’s engagement in South-South and Triangular Cooperation (SSTC), with which the KM strategy has strong synergies. It also engages with global stakeholders to play a role in policy discussions by transmitting knowledge products and enhancing partnerships. It is both a generator and a user of knowledge.

Quality Assurance Group (QAG) has a strong role to play in evaluating KM at the program level and determining where knowledge generation is needed to enhance the design of operations. The **Research and Impact Assessment Division (RIA)** also contributes to this by generating insights and gleaning lessons from projects in order to feed them back into operations and inform IFAD’s priorities. The **Operational Policy and Results Division (OPR)** promotes the use of knowledge in decision-making and keeps management focus on operational learning and M&E.

The **Independent office of Evaluation (IOE)** also plays a substantive role in IFAD’s Knowledge Management system through conducting independent evaluations of IFAD’s operations and supporting learning and accountability processes. The office works to disseminate and capitalize on knowledge from their evaluations both within and outside IFAD.

Other units and divisions play a role in this process to various degrees, including the Human Resources Division (HRD), the Communications Division (COM) and the Office of the Secretary (SEC).

KM partnerships. Beyond its Member governments, IFAD works with a wide range of partners. The most relevant types of partnership with regard to KM are those with multilateral development organisations, NGOs and academic and research and institutions. IFAD partnerships with academic and research organisations primarily aim to produce and share knowledge. Within the UN system, IFAD has established a partnership with the other Rome-based agencies (RBAs), WFP and FAO, which articulates across global, regional and country levels. IFAD also partners with NGOs and with agricultural research institutions and academic institutions in a number of ways. At the local level, IFAD-funded initiatives often seek to leverage the experience of NGOs.

Outline of CLE report

<i>Report chapter</i>	<i>Responsibility</i>
I. Background and the evaluation	
A. Background	
B. Objectives	
C. Methodology	
D. Process	
E. Limitations	
II. IFAD's experience of KM (2016-2022)	
III. Main evaluation findings	
A. Relevance and coherence:	
a. KM strategies at corporate, regional and country levels	
b. Leadership on KM	
c. KM architecture	
d. Relevance of knowledge	
e. Access to knowledge	
f. Coherence of knowledge practices	
B. Effectiveness	
a. KM contribution to development results at country level	
b. Effectiveness of KM strategies	
c. Effectiveness of KM partnerships	
d. Sustainability of KM practices	
C. Efficiency	
e. Human resources for KM	
f. Financial resources for KM	
g. Cost-effectiveness of KM tools and practices	
D. Synthesis of findings	
IV. Lessons learned from other organisations	
V. Lessons learned	
VI. Conclusions and Recommendations	
VII. Annexes	

Glossary of terms used³⁵

Appreciative inquiry	A KM Method for Learning and exchange involving a positive approach of reflection and discover that focuses on the strengths, rather than the weaknesses of a particular intervention. ³⁶
Brokering	Brokering or knowledge brokering is concerned with linking many different types of knowledge – multiple knowledges – which are important in international development. Knowledge brokers act as cognitive bridges between these different types of knowledge but many actors are knowledge brokers without necessarily identifying themselves as such. [Do we want to include references for this?]
Coloniality of knowledge	Coloniality is defined as the entrenched power dynamics that have emerged from the historical power relations of colonial domination. These power dynamics continue to have implications for patterns of knowledge creation and use, such as the undervaluing of local knowledge and indigenous knowledge. [Do we want to include references for this?]
Communities of practice	Informal (spontaneous) and formal (intentionally created by organizations) groups of professionals – practitioners – within a specific thematic domain. They develop a practice - the how - a shared repertoire of resources: experiences, stories, KM tools, ways of addressing recurring problems, namely a shared practice. This takes time and sustained interaction.
Epistemic justice	A form of social justice specifically concerned with justice relating to issues of knowledge, understanding, and participation in communicative practices. [Do we want to include references for this?]
Experience capitalization	A KM method for learning and exchange involving a process by which a specific project or programme (or “an experience” in general) is described and analysed, and from which lessons are identified, shared and used. ³⁷
External knowledge	Policy knowledge, scientific knowledge, technical knowledge, local knowledge, and indigenous knowledge
Indigenous knowledge	Cumulative, complex bodies of knowledge, knowhow, practices and representations that are maintained and developed by indigenous peoples with extended histories of interaction with the natural environment. These cognitive systems include language, attachment to place, spirituality and world view (derived from UNESCO, 2021). Indigenous communities also have specific local knowledges. Indigenous knowledge is usually not written down or codified but can be captured on video.
Internal knowledge	Explicit (written down, accessible and easy to share), implicit (practical application of explicit) and tacit (organizational, based on personal experience and context, less easy to express) knowledge. This knowledge is invested in individual

³⁵ The definitions in this glossary have been purposely collected for this CLE and do not always have universal application.

members of staff as practices but also carried by KM tools and products.

Knowledge	Awareness, understanding, or information that has been obtained by experience or study, and that is either in a person's mind or possessed by people generally
Knowledge café	A KM method for learning and exchange which brings together a group of people for an open, creative conversation on a topic of mutual interest to surface their collective knowledge, to share ideas, and to gain a deeper understanding of the issues involved. It can also take place online.
Knowledge management	For this CLE, knowledge management is defined as the systematic management of the generation, sharing, use and brokering of substantive knowledge through tools and practices at organizational and individual levels to improve IFAD's efficiency, credibility and development effectiveness at country-level on rural transformation. Founded on efforts to improve organizational performance through the management of knowledge as a key organizational resource, knowledge management is an evolving interdisciplinary field that interweaves economics, business sciences, information systems, sociology of knowledge, biological systems and complexity theory (Carayannis et al, 2021).
Knowledge management for development	Since the late 1990s, knowledge management has been widely adopted in international development as the sub-discipline of knowledge management for development (KM4D*) (Kalseth and Cummings, 2000; Cummings et al, 2013). It has also been widely implemented by IFIs and UN organizations, including IFAD (Dumitriu, 2016; Bocock and Collinson, 2022). It includes a prominent community of practice of the same name, KM4Dev.
Local knowledge	A dynamic system of knowledge which belongs to a living community and which is relevant to local society, although it may express itself in local and ethnic modes. It is social and people centred, represents a community's distinctive resources and capacities, and recognizes the importance of multiple knowledges (Cummings, 2016). Synonyms include endogenous knowledge, rural people's knowledge and traditional knowledge. This knowledge is often not written down or codified but can be captured on video or through conversations with local people.
Multiple knowledges	Different types of knowledges (local, indigenous, technical, scientific, practical etc.), derived from different knowledge cultures, which are needed to address complex problems of sustainable development in a holistic manner. This conception does not recognise a hierarchy in these different knowledges but rather argues that all are needed to solve complex problems (derived from Brown, 2008, 2011).
Peer assist	A peer assist is a KM method that brings together a group of peers in conversation to elicit feedback on a problem, project

	or activity, and draw lessons from the participants' knowledge and experience. ³⁸
Policy knowledge	For the purposes of this CLE, policy knowledge has been defined as a form of external knowledge, derived from policy processes and documents.
Practices	A shared repertoire of resources developed by practitioners, including experiences, stories, tools, and ways of addressing recurring problems. KM practices relate to 'how' knowledge is generated, shared, used and brokered by IFAD. These practices involve personal and organization choices, behaviours and insights of individual staff, organizational units and the organization as a whole, both formally and informally.
Rural transformation	Comprehensive socio-economic changes, embedding considerations of equity and power relations, in areas where IFAD has been investing heavily, namely: promoting diversification and resilience; advancing gender equality and empowering women; building sustainable food systems by creating opportunities for smallholders; and enhancing rural-urban connectivity and linkages. It involves changes which reach beyond project boundaries, generating multi-level (local, subnational, national and global) and cross-sectoral links which can ultimately contribute to systems-change.
Storytelling	A KM method for learning and exchange which is employed to create an authentic, experienced based narrative to illuminate complex problems and deeper truths. ³⁹
Indigenous knowledge	Cumulative, complex bodies of knowledge, knowhow, practices and representations that are maintained and developed by indigenous peoples with extended histories of interaction with the natural environment. These cognitive systems include language, attachment to place, spirituality and world view (derived from UNESCO, 2021). Indigenous communities also have specific local knowledges. Indigenous knowledge is usually not written down or codified but can be captured on video.
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Multiple knowledges	Different types of knowledges (local, indigenous, technical, scientific, practical etc.), derived from different knowledge cultures, which are needed to address complex problems of

³⁸ <https://conversational-leadership.net/peer-assist/>

³⁹ <https://ifadkmcentre.weebly.com/storytelling.html>

sustainable development in a holistic manner. This conception does not recognise a hierarchy in these different knowledges but rather argues that all are needed to solve *wicked problems* (Brown, 2008, 2011).

Practical knowledge	Knowledge acquired by day-to-day hands-on experiences, gained by doing things. It is often not written down but can be written into how-to manuals. Experts, for example, will acquire practical knowledge over time to add to their store of technical and scientific knowledge. Farmers also have practical knowledge.
Scientific knowledge	Knowledge derived from the sciences (including social and technical sciences), based on the observation and classification of facts with the goal of establishing verifiable knowledge derived through induction and hypothesis. It represents the knowledge accumulated by systematic study and organized by general principles, and is published in scientific articles and books. Although itself scientific, new trends of transdisciplinary study are increasingly recognizing the importance of multiple knowledges to solve complex problems, undermining the hierarchy in which scientific knowledge alone is seen as the best knowledge in all contexts (Brown et al, 2010).
Substantive knowledge	For the purposes of the CLE, 'substantive' refers to knowledge which is of particular priority for IFAD, based on the assumption that some knowledges are more important than others.
Tacit knowledge	Knowledge that one gains from experience, e.g. by working in an organisation. Tacit knowledge is not recorded or stored; it is therefore difficult to transfer.
Technical knowledge	Professional knowhow of experts for solving agricultural challenges in the field or in policy. Examples of technical knowledge include, for example, IFAD's signature solutions. Technical knowledge is often founded on scientific knowledge but includes additional aspects of practical knowledge from implementation in the real world. It is published as best practices and technical notes.
'Wicked' problems	Originally designated by Rittel and Weber (1973), 'wicked' problems are socially embedded, complex problems, such as climate change and sustainable development, which cannot be solved with linear solutions and often require <i>multiple knowledges</i> .

List of IFAD key people met during scoping phase⁴⁰

Alessandra Garbero, Lead Regional Economist, NEN
 Alessia Maria Di Genova, Quality Assurance Group
 Amira Mekheimar, Country Programme Analyst, NEN
 Arno Boersma, Consultant, Strategy Knowledge Department
 Cintia Valdivia Guzman, Programme Officer, LAC
 Claus Reiner, Country Director SSTC & KC, LAC
 Cristiana Sparacino, Quality Assurance Group
 Dagim Kassahun, Country Operations Analyst, ESA
 Daniel Anavitarte, Regional Specialist, LAC
 Daniel Higgins, Project Specialist, ESA
 Donal Brown, Associate VP, PMD
 Fabrizio Bresciani, Lead Regional Economist, LAC
 Frederico Lucerda, Country Operations Analyst, LAC
 Ibrahima Bamba, Lead Regional Economist, WCA
 Ilenia Firmian, Regional Specialist, APR
 Indran Naidoo, Director, Independent Office of Evaluation
 Isaac Mensah, Logframe Analyst, WCA
 Isabelle Stordeur, Regional Analyst Analyst, NEN
 Ivan Cucco, Quality Assurance Group
 Jose Caceres Martinez, Country Technical Analyst, PMI
 Julio Worman, SSTC Analyst, GPR
 Jyotsna Puri, Associate VP, Strategy Knowledge Department
 Laura Sollazzo, Strategy Knowledge Department
 Liam Chicca, Lead Portfolio Advisor, APR
 Liliana Miro Quesada, Country Programme Officer, LAC
 Maine Astonitas, Senior Portfolio Advisor, LAC
 Ndriana Rahaga, Country Programme Analyst, ESA
 Paraskevi Peglidou, Consultant, APR
 Patricia Bustamante, Country Operations Analyst, LAC
 Sara Aya Kouakou, Lead Portfolio Advisor, ESA
 Shirley Chinien, Lead Regional Economist, ESA
 Sumaira, Country Programme Analyst, APR
 Tarek Ahmed, Senior Portfolio Advisor, WCA
 Thu Hoai Nguyen, Country Programme Analyst, APR

⁴⁰ The List does not yet include the country teams met during the pilot case studies. These will be part of the complete list of persons met in the final report.

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