
**Human Resources Policies and Practices,
Knowledge Sharing and
Institutional Learning and Change
in the CGIAR**

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Abstract

This study assesses the role of human resources (HR) policies and practices in fostering knowledge sharing (KS), institutional learning and change (ILAC) in the CGIAR. It is based on interviews and reviews of HR documents in six CGIAR centers and six non-CG centers. In each case, links were explored between HR policies and practices on one hand and KS and ILAC on the other. Considerable variation was found in the depth of experience with OL, KS and KM in the twelve organizations studied. However, a number of common HR policies and practices were found that foster KS and ILAC. These can be grouped into six broad categories:

- Leadership and strategy
- Organization
- Staffing
- Learning and staff development
- Performance management
- Rewarding

Some of the organizations studied have developed what can be characterized as comprehensive, integrated approaches to fostering KS and ILAC in pursuit of their organizational strategy and objectives. Others have implemented smaller-scale and more ad hoc approaches. Whichever approach adopted, three factors prove to be crucial for success: top leadership support, strong internal communications and a conscious and formal link to the organization's strategy.

This report closes with a list of actions which could be taken by CGIAR Centers or other organizations that seek to promote KS and ILAC through their HR policies and practices.

Summary

The goal of this study is to add to our understanding of the links between human resources (HR) policies and practices, and a set of progressive knowledge management (KM) approaches that include institutional learning and change (ILAC), organizational learning (OL), and knowledge sharing (KS). The study reviews relevant HR policies and practices in 12 organizations, and identifies some possible ways to improve the CGIAR's HR policies and practices in support of knowledge management and organizational learning.

Six organizations known to be active and innovative in knowledge management were identified and invited to participate in the study: five international development agencies (Bellanet, BMZ, CIDA, SDC, the World Bank), and a private-sector corporation that asked to remain anonymous. From these, eight individuals were interviewed. Nine individuals were interviewed in six CGIAR centers (CIAT, CIFOR, IPGRI, ILRI, IWMI, and WorldFish). In all the participating organizations, interviews were conducted with HR professionals, and/or the KM/KS officer and the Manager of Information Services or the Director of Administration where such appointments existed.

The study also included a review of two types of documents: corporate documents describing the organization's mission, vision, values, and/or strategy; and human resources policies and practices. These documents were examined for language that referred to KM and learning and change,

Most organizations contacted for the study (both within the CGIAR and outside it) promote knowledge management to promote organizational learning, but vary in their experience and institutionalization of such practices. The World Bank and the private sector company have been working in this area for seven and five years respectively. Their initiatives are well embedded.. BMZ, SDC, and IWMI have been working on KM/KS for the past 2-3 years and some practices are in use for some time while others are more recent. In most of the organizations, the HR Unit supports KM and institutional learning and change efforts but does not lead these initiatives. Most interviewees feel that appropriate HR policies and practices can foster KM, KS, learning, and change at the institutional level. They note that as well as supportive HR policies and practices, a number of additional factors are essential. Primary among these is top-management commitment to organizational performance improvement through knowledge sharing and organizational learning.

There is a direct link between senior leadership support for knowledge management initiatives such as KS, ILAC and teamwork, and their successful implementation. High level communications and language in strategy and mission statements emphasizing KM/KS and organizational learning help propel initiatives forward. In some organizations (BMZ, SDC, CIDA, and the World Bank), the top manager has actively supported KM/KS and organizational learning as a priority for a number of years, and these practices now form part of everyday operations.

At IWMI and the World Bank, the mission, vision and strategy are clearly and directly linked to KS and organizational learning. At CIFOR, ILRI and WorldFish, references to KS and organizational innovation, teamwork and learning are written into the mission, vision, and strategy documents, providing a strong foundation for building on and developing a KS strategy.

Bellonet enjoys top-level support from IDRC allowing the unit autonomy and the possibility to innovate within a larger governmental organization. Within the CGIAR in general, there is a slower transition from an exclusive focus on outputs (for example, publications) and impact measures to an approach that includes taking time to learn from peers and partners, sharing information and recording lessons learned.

Strategy documents and mission statements of all 15 of the CGIAR Centers include language that supports and encourages knowledge sharing – referring, for example, to innovation, reliance on networks, partnerships and collaboration, generating and disseminating knowledge and technology, sharing knowledge, information exchange, and capacity building to position the Centers and their partners for success. However, language alone is insufficient. An explicit and operational strategy to manage knowledge is needed if efforts to become a learning organization are to have an impact on organizational performance. In several centers (most notably IWMI, CIAT, CIFOR and WorldFish), practical measures are being taken to implement ILAC principles and strategies.

The type of policy documents reviewed from participating organizations varied considerably, making direct comparisons difficult. Section IV (Findings and Discussion), includes specific

practices, value statements, codes of conduct, and lists of competencies supportive of organizational learning and knowledge sharing. However, CGIAR policy manuals do not provide evidence of consistent support for knowledge sharing and organizational learning. Some work units support the sharing of knowledge and learning and change at the level of the immediate unit. There is work to be done here in CG Centers (as there is in other organizations, to bring knowledge management and organizational learning to the institution-wide level.

In most organizations and Centers studied, the HR Unit is in transition. At IWMI, the World Bank, and the private corporation studied it is evolving from playing a purely administrative function to becoming an enabler of strategic change to help the organization reach its goals through the best use of its employees.

Training, development and learning are receiving attention by all organizations. The range of training varies considerably and includes technical and functional skill development to development of the 'softer' behavioral competencies. (Appendix 5 provides an example of behavioral competencies). Leadership development is on the increase and includes providing managers with guidelines and tools to manage their staff more effectively.

A more strategic approach to staffing has assisted IWMI and the World Bank to recruit staff who possess competencies that support knowledge sharing and organizational learning and change. IPGRI and IWMI include KS competencies in vacancy announcements. They also structure interview questions to probe for skills that relate to teamwork, communication, partnering, learning, and the ability to give feedback. In many CGIAR Centers some HR policies that support knowledge sharing, e.g. team-based work structures, training programs, and screening for KS qualities in recruiting, are already in place. The culture at IWMI and WorldFish encourages staff to challenge the *status quo*. Most interviewees claimed that in their organizations, it was considered important for staff members to learn from errors.

Most of the organizations studied continue to struggle with the challenge of how to evaluate team as opposed to individual performance, only the latter being common practice. Ways to evaluate team performance and the performance of team members is still being studied by the majority of organizations included in the study.

Not all CGIAR centers lag behind other organizations, in OL and KS. There are valuable experiences to learn from within the CGIAR.

Centers wanting to promote and mainstream knowledge sharing and organizational learning should consider the following strategies:

- The DG should communicate forcefully to management and staff, including by personal example, that knowledge sharing and organizational learning and change are key institutional strategies.
- Personnel policies, practices, performance management, values statements and codes of conduct should be developed to support knowledge sharing and organizational learning.
- As part of staff recruitment practices, the Center should define organizational competencies that fostering innovation, collaboration, partnerships, teamwork, knowledge sharing, and learning and change.

- Resources should be allocated to staff development in general, and to leadership development in particular.
- Organizational learning and KS practices (such as peer assists; after-action reviews, identifying and documenting lessons learned; establishing handover procedures related to staff transitions; and fostering communities of practice) should be constantly promoted.

With the assistance of the HR Unit and other players, a few simple practices can be incorporated into daily operations resulting in knowledge sharing and organizational learning having a positive impact on organizational performance.

I. Introduction

Recent research of the CGIAR has identified organizational learning and knowledge sharing as priority development areas. The Institutional Learning and Change (ILAC) Initiative, the CGIAR Knowledge Sharing (KS) Project and the Strategic Advisory Service for Human Resources (SAS-HR) all seek to promote improved performance within CGIAR centers.

KM and staff development policies aligned with the overall strategy and mission, can help the organization to reach its goals. HR policies and practices provide ways to motivate and guide employees and teams to work toward the organization's goals in such a way that each contributes based on their role profile.

Knowledge sharing and institutional learning and change are elements in a knowledge management strategy that contributes to continuous improvement leading to acquiring a competitive advantage. Knowledge sharing focuses on innovation and learning at the organizational, team and individual level. Sharing information within the organization and with external stakeholders and collaborators helps create new knowledge. With new knowledge, the organization can adapt to changing internal and external circumstances and can adapt or modify their goals and strategies. New knowledge helps the organization remain responsive and flexible.

There are many changes facing the CGIAR today. They include the changing environment of international agricultural research, the priorities of donor agencies, the needs of research partners and NARS, and technological and social changes. Centers require a more interconnected and response to poor farmers. Effective knowledge management can help the CGIAR to accomplish its strategic goals.

The policies and management practices of CGIAR Centers, including those of their HR units, must foster knowledge sharing, teamwork, innovation, organizational learning and institutional change in order to enhance their performance and contribute to sustainable poverty reduction.

Objectives of the study

The goal of this study is to add to our understanding of the links between HR policies and practices and a set of progressive management approaches that include institutional learning and change (ILAC), organizational learning (OL), knowledge management (KM) and knowledge sharing (KS). The study reviews relevant HR policies and practices in 12 organizations, and

identifies potential avenues for improving the CGIAR's current HR policies and practices in support of knowledge management, learning and change.

The study is intended to assist center managers in their efforts to encourage knowledge sharing and institutional learning and change, and to create work environments that are supportive of teamwork, collaboration, individual and institutional learning and innovation.

The study has four specific objectives:

- To review basic institutional documents (vision, mission, strategies, values) and HR policies in selected organizations outside the CGIAR that have progressive reputations to gain an understanding of how such documents and policies relate to their success with KS and ILAC;
- To review similar documents, policies and practices in selected CGIAR Centers;
- To learn, from strategically placed staff members in the organizations studied, how they perceive the relationship between HR practices and KS and ILAC; and
- On the basis of the above analyses, identify ways in which CGIAR Centers may be able to foster organizational learning and KS through use of appropriate HR policies and practices.

Organization of the report

Section II of the report covers definitions and key technical concepts utilized throughout the remainder of the report. Section III describes the study methodology and the six point star framework that represents an integrated approach to HR management. Section IV synthesizes the findings from the interviews and the documents provided from the twelve organizations studied. These findings are grouped under the components of the six point star model. Section VI concludes with some general recommendations as to how organizations can get started on the road to KS, KM and OL.

II. Definitions and Key Concepts

Institutional Learning and Change

A major goal of the institutional learning and change program (ILAC) is to transform CGIAR centers to be more successful at poverty reduction by becoming more interconnected and responsive to stakeholders. Changes in environmental, social and technological realms are accelerating globally and this rapid change has implications for the poor. Traditional approaches to technology transfer in agricultural research do not keep pace with the diverse requirements of clients. Recent research by the CGIAR has identified organizational learning and change, innovation, continuous improvement and collaboration as key areas for intervention if the research it conducts is to be better at serving the poor. (ILAC leaflet 2004)

Organizations, like individuals, have a need to learn and grow. Organizations inevitably face changing circumstances. Learning can involve: (1) obtaining knowledge to solve a problem and (2) establishing new perspectives to look at circumstances in new ways. Nonaka and Takeuchi (1995) believe knowledge creation results from the interaction of these two types of learning.

New knowledge is created by reconstructing existing perspectives, frameworks and premises on a daily basis.

The learning organization is not brought about just by training individual employees. It requires learning at the level of the whole organization. *A learning organization is one that facilitates the learning of all its members and continuously transforms itself.* (Pedler, Burgoyne, Boydell 1991).

In *The Fifth Discipline (1990)*, Peter Senge identifies a learning organization as one where (i) employees continually expand their capacity to create the results the organization truly desires, where (ii) new and expansive patterns of thinking are nurtured, where (iii) collective aspiration is set free, and where (iv) people are continually learning how to learn together. He lists five characteristics required by a learning organization: Systems thinking, personal mastery, mental models, building shared vision and team learning. It takes a lot of commitment to build a learning organization.

In **Systems thinking** the focus is on the whole, not the isolated components. People see the relationships between the parts which make up the patterns in system. The system is a conceptual framework to help us see patterns clearer and also how to change them effectively. Systems thinking encourages us to take responsibility for how our actions create our problems instead of blaming others. Individuals create their own reality and organizations learn only through individuals who learn.

Personal Mastery is the discipline of clarifying our personal vision, what matters to us, and where to focus our energies. There is a connection between personal learning and organizational learning and the reciprocal commitment between the two.

Mental Models are deeply ingrained beliefs and assumptions, generalizations, pictures or images of how we see and understand the world. Unquestioned assumptions and beliefs can prevent us from learning, but sharing assumptions openly can allow change and learning. Sharing begins with looking inward, making explicit and examining closely held beliefs.

Building Shared Vision. Once the leader has guided and bound employees to identify and understand the new vision, a common sense of purpose can grow and dramatic results can be produced.

Team learning begins with dialogue or free-flowing information and genuine thinking together by team members. Dialogue also helps members to recognize patterns in team work that undermine learning..

When learning assists the alignment employees to corporate goals, individual and organizational performance increase. Learning represents a strategic investment in an organization's workforce and employees constitute the long-term competitive advantage. Investment in learning therefore increases an organization's advantage. (Honold 2000)

When an organization invests in individual learning, it enjoys several benefits. Both the individual and the organization stay ahead of the competition and keep abreast of changes in the industry. There can be greater productivity, increased innovation and adaptability to change, growing competitive advantage, reduced barriers to communication, increased capacity to attract and retain employees, improved employee motivation, better use of education/training dollars, and integration of learning into work.

Knowledge Management and Knowledge Sharing

Knowledge management includes getting people together to share what they know, putting knowledge into practice, diffusing it throughout the organization, and placing emphasis on knowledge integration (McElroy 2003). KM entails capturing, distilling and sharing explicit knowledge, and building communities and a culture within the organization that get people together and keep them talking (Collison, Parcell 2001).

The practice of knowledge management evolves from an initial emphasis on technology, data warehousing, document management, imaging, data mining, and groupware to a second generation of practices with more emphasis on people, processes and social initiatives where the emphasis is not so much on knowledge production but on knowledge integration (McElroy 2003).

As knowledge and innovation have increasingly led to competitive advantage, executives have grown dissatisfied with traditional organizational structures (Von Krogh, Ichijo, Nonaka 2000). The more effective knowledge creating organizational structure is decentralized, fluid, simpler, flexible and less concerned with hierarchy and organizational charts (Von Krogh, Ichijo and Nonaka 2000). This structure helps promote and facilitate communication, relationships and collaboration among units. Interaction among units is critical for knowledge sharing and innovation. Collaboration is also needed between external and internal stakeholders. It is at this interface that challenges can be confronted and new issues resolved by insiders and outsiders working together (Prokesh 1997). In the new structure there is an emphasis on knowledge, both individual and organizational, and the need for enhanced teamwork.

Knowledge sharing comprises the processes by which the knowledge needed for an organization to succeed is created, captured, shared and utilized ("Knowledge Sharing in the CGIAR" website). It involves tapping existing knowledge in the organization (both explicit and tacit) and mobilizing it to improve the organization's performance. KS is also concerned with encouraging individual and organizational learning and innovation, through collaboration. "Effective collaboration also requires the capacity to adapt to a complex and rapidly changing environment" (Bellanet website)

Knowledge resides in people's minds and in an organization's culture. The transfer of knowledge goes beyond simply sharing information. A small part of what an individual knows is "explicit" or codified. Most knowledge is "tacit" and therefore is not in a codified form. Accessing the knowledge that is stored in an individual's mind – and finding ways of making it explicit – is a task that will require fundamental changes in the behavior of researchers and staff in the CGIAR, as well as in the Centers' policies and procedures.

There is a distinction between individual knowledge and organizational knowledge. New knowledge starts with the individual who contributes to knowledge creation for the organization (Nonaka, Takeuchi 1995). Dialogue, discussion, experience sharing and observation can amplify or crystallize knowledge at the group level. Teams play a central role in knowledge-creation as they provide a shared context for individuals to interact with each other. Teams create new points of view through discussion. Discussion by its very nature may involve conflict and disagreement. Disagreement can encourage employees to question existing mental models and to make sense of their experiences in a new way. This dynamic transforms personal knowledge into organizational knowledge (Nonaka, Takeuchi 1995).

Vision, Mission, and Value Statements

As part of this study, we first looked at the vision, mission and values statements of the participating organizations where available. We then asked more specific questions about HR policies and how these impact on knowledge sharing, institutional learning, and change.

An organization's vision, mission, and value statements make it clear what the organization is about. Among other things, these statements describe what business the organization is in, what it values are and how it views its clients, its stakeholders and its staff. How and what an organization will do to reach its goals forms the basis for developing its **business strategy**.

An organization's business strategy represents what it must do to accomplish its goals and reach its objectives. Business strategy in the early 1960's tended to be expressed in purely quantifiable terms consistent with the view that an organization was an information processing machine. The quantitative approach tended to result in a lack of competitiveness. Hence the business strategy process has evolved to include a humanistic aspect in addition to a quantitative one.

We begin by looking at the organization's vision statement. The organizational vision is an essential factor in building organizations that will endure. The vision becomes a guiding force for overall company direction as well as day-to-day behavior (Lipton 2002). The vision provides direction and is the directional focus in successful transformation efforts.

The mission statement defines the core of the organization's existence. Mission statements encapsulate purpose, and give direction to employees' efforts. (Brown 1997). It captures the essence of what the leaders want the organization to become and what it must accomplish with and for whom. An inspiring and challenging mission statement can be a powerful motivational tool to build committed effort from staff. If knowledge management is highlighted as an important part of the mission, staff members are more likely to be encouraged to take risks, share knowledge, and build partnerships.

An organization's values statement is a broad guide as to how staff members are to carry out their work. The values statement can orient staff to share knowledge, take risks, attend to partnerships, or innovate, depending on the values promoted. HR policies should reflect and operationalize the organization's values.

Mission and values statements help organizations develop rules, norms and conventions that frame decision-making and professional behaviour. They influence the management systems including the HR policies and practices.

Organizational Culture

Organizational culture refers to underlying beliefs, values, and assumptions held by managers and staff and the practices and behaviors that reinforce these. Organizational culture is directly related to its mission, value statement and strategy. Some aspects of organizational culture can be seen reflected in the behavior of employees. Other aspects are harder to observe directly. They reside in assumptions, values, and core beliefs that influence behavior in subtle ways (Amariles, Peralta, Johnson 2003).

'Strong' organizational cultures are those that fit well with and support business strategy. They can adapt as business strategy changes. Strong, adaptive cultures tend to produce the best

business results (Gubman, 1998). Adaptation, however, must be sensitive and agile. Dinosaurs adapted to the environment but could not adjust to finer changes in food availability and climate (Nonaka, Takeuchi, 1995). Organizations that learn and make changes based on what they learn to accommodate modifications in customer, requirements and variability in the internal and external environment, possess a competitive advantage for success.

Human Resources and HR Management

Increasingly it is recognized that organizational capacity is a source of competitive advantage (Becker & Gerhart, 1996; Horton et al, 2003). Capability includes, among other elements, the human resources available with the knowledge and skills to achieve the corporate vision. Goals are accomplished through the efforts of employees.

The HR unit works with management to align the organization’s members with the research strategy or the business strategy and the organizational objectives. HR appoints the right people with the right skills and propels them in the right direction to do the right things in order to accomplish the objectives in the organization’s strategic plan (Gubman, 1998). To do this, HR must possess the skills to craft policies and implement practices designed to achieve the results and impact sought by the organization.

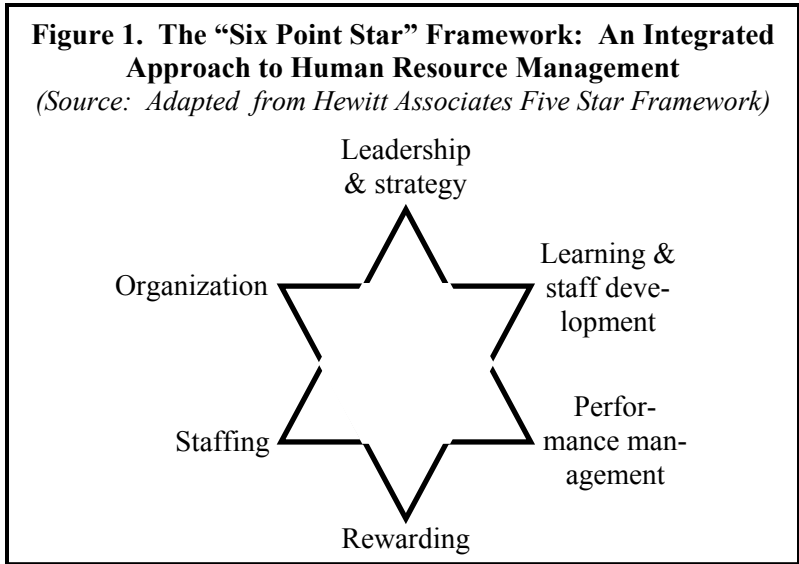
A human resources strategy includes looking at policies and practices related to staffing, performance, learning, rewards and organization. In this study all aspects of HR have an impact on knowledge sharing and institutional learning and change and organizational performance.

HR policies must be linked to and support the mission, vision, values, strategy or goals of an organization. If the KS and organizational learning aspects of a mission statement are to succeed then they should be evident in criteria used to select staff, in performance evaluation and the practices associated with providing incentives and rewards. Such HR polices and practices become an integral part of organizational culture.

III. Study Methodology

Six Point Star Framework

This study is guided by the “Six Star Framework” for Human Resources Management. It is adapted with permission from the “Five Star Framework” developed by the HR consulting firm of Hewitt Associates. The framework is employed to review HR policies and practices that influence innovation, institutional learning and change, teamwork and collaboration. It focuses our attention on six core



elements that must be closely aligned in an integrated approach to HR management (see Figure 1).

Figure 2. The “Six Point Star” Framework: Core areas and sub-areas

Core areas	Sub-areas
Leadership & Strategy	Top leadership driving issues Communication from top leadership Business Strategy
Organization	Organizational structure Teamwork/partnerships Communication Gender and diversity issues Internal Culture
Staffing	Workforce Planning Job descriptions and announcements Recruiting practices & selection criteria
Learning & Staff Development	Training Career Development Leadership Development Mentoring and coaching Institutional learning
Performance Management	Performance evaluation criteria Leadership Feedback
Rewarding	Compensation and rewards Opportunities, promotion Incentives and recognition

Each of these six areas will be discussed in turn.

Leadership and Strategy refers to top leadership’s vision and goals for the organization and how they intend to ensure that they will be reached. To demonstrate effective leadership and strategy top managers must accept responsibility for ensuring that there are:

- *Clear goals and direction.* Is the vision of the company clearly defined? Are all staff members knowledgeable about where the organization is going?
- *Goals and employees in alignment with strategy.* Does the people strategy complement the business strategy for maximum effectiveness to achieve the business goals?
- *Strong internal communication.* Is top leadership sending continuous and consistent messages about the direction of the company?

Organizing includes the way the organization is structured, how internal communications are handled between units, the philosophy on gender and diversity issues, and organizational culture.

- The *structure* of the organization. Does the structure of the organization support the business strategy? Does it allow for the flow of communication to facilitate work throughout the organization?
- *Internal communications*. Do the contents and frequency of internal communications align with top leadership's messages?
- The handling of *gender and diversity* issues. What is the philosophy regarding employees, gender and diversity?
- *Organizational culture*: the overt and covert beliefs and values held by members of the organization and behaviors that exemplify and reinforce them.

Staffing refers to identifying of staffing requirements and adopting procedures that will result in the recruitment of employees with the capacities necessary to accomplish the organizational strategy.

- Do current staff capacities serve the business strategy and goals? How are the gaps filled in? Are gap analyses routinely carried out? Are employees appropriately retrained or redeployed?
- What procedures and practices are used in recruiting and filling vacancies? This includes sources used to announce vacancies, screening and interviewing procedures and how decisions are taken and by whom.
- The staffing strategy includes developing candidates developed from within and a formal succession plan.

Learning refers to the company's philosophy on learning and training.

- To whom is training given? On what topics -- technical skills, behavioral competencies, personal development in line with organizational values? How is training provided -- by in-house specialists, invited consultants, off-site training courses?
- How does the organization learn as an entity? Are there after-action reviews providing opportunities to look at lessons learned within and across units?
- Is there assistance in career and leadership development?
- Is mentoring or coaching available to managers, individuals, and teams? Do the values of the organization support employees sharing knowledge so that they learn from one another?

Performing refers to the organization's approach to performance evaluation.

- What are the policies and procedures surrounding performance evaluation? With what frequency is it carried out? Who evaluates who -- top-down, 360 degree or multi-source assessment that includes external stakeholders?
- What are the criteria for the evaluation of both staff and managers? Is attention focused on individual achievements and outputs or does it include behavioral competencies such as teamwork, collaboration, and communication?
- What are the policies and practices for leadership development? Are leadership competencies clearly identified?

Rewarding and incentives should be compatible with corporate values.

- How are salary increases determined and who can make the decision? Are they tied to performance? How frequently can a salary be increased and by how much? Are bonuses awarded -- how and by whom?
- Are staff members given opportunities to join challenging new assignments or projects? How can employees grow internally? What is the policy for promotions?
- Is there a range of rewards and incentives that are motivating and meaningful to staff? ?

If suitably aligned with the organization's strategy, HR policies and practices can be powerful tools to support crucial behaviors – in this case, promoting innovation, sharing knowledge and individual and institutional learning.

The Methodology used in this Study

This study employed a three-fold approach to understanding the actual and potential links between HR, Knowledge management, organizational learning, knowledge sharing:

- *Interview HR professionals* to collect and classify human resources policies and practices that support and enhance knowledge sharing and institutional learning and change
- *Analyze vision, mission, values statements* to find the levers for knowledge sharing, innovation, collaboration, teamwork, institutional learning and institutional change
- *Review HR policy documents and manuals* that support knowledge sharing and institutional learning and change.

Eight CGIAR Centers were invited to participate and six accepted. Participating CG Centers included CIAT, CIFOR, ILRI, IPGRI, IWMI, and WorldFish.

All six of the external organizations invited to participate in this study accepted. We believe that they share sufficiently similar activities with CGIAR centers to permit comparisons to be made and useful lessons to be drawn. All have either declared their interest in or are known for promoting KS and innovation, organizational learning and change. The six external organizations were Bellanet (part of IDRC), BMZ, CIDA, SDC, and the World Bank. The sixth was a private-sector corporation that requested anonymity.

Data collection

As a first step, the mission, vision, values statements, where available in a public domain were consulted to learn more about each organizations' goals and interest in KS and organizational learning.

An interview guide with a cover letter of introduction and definition of terms was sent to all 12 organizations. Interviews were mostly conducted via telephone. The interview format consisted of a semi-structured set of questions. This approach permitted further questions to be asked in cases where the depth of experience of the interviewee or the quality of experience of his/her organization with a particular HR practice demanded deeper probing. A list of individuals contacted for the study and the interview protocol are included as Appendices 2 and 3.

The HR policies and practices of these organizations were obtained. These were classified according to the Six Point Star Framework for the knowledge management qualities that

constitute the focus of this study — knowledge sharing, institutional learning and change, innovation, teamwork and collaboration.

Following the interviews and document gathering and classification phase, the consultant conducted a thematic analysis of all documents and interviews. The analyses were shared with participating organizations to ensure that their practices and perspectives have been fairly and adequately represented. The findings are reported in the following section.

IV. Findings and Discussion

The main findings of the study are organized by the categories indicated in the Six Point Star Framework.

1. Leadership and strategy

a. Leadership from the Top

The most successful knowledge management initiatives have full support and leadership from the Chief Executive Officer or top corporate leader. Knowledge management, organizational learning and KS initiatives at SDC, BMZ, IWMI, CIDA, and the World Bank all enjoy top leadership support. Top level support is seen as crucial to their success

Bellonet has top support from within IDRC and has to follow the Human Resources policies that govern the super-ordinate organization. Within this context, Bellonet has shown innovation regarding how it works as a group, how it services its clients, and how it shares knowledge internally to ensure a smooth flow of work.

b. Vision, mission, strategy and values statements

This study suggests that if corporate documents include language that explicitly encourages knowledge sharing, collaboration, partnerships, teamwork, innovation, creativity, and continuous improvement, these initiatives are more likely to be realized. Appendix 4 provides examples of illustrative corporate statements from the organizations under study.

Vision. IWMI is clear about what kind of organization it wants to be by 2008. It expects to be recognized as a knowledge center. Such clarity of language signals to IWMI staff what is important to the organization and guides them in their work activities.

Mission. At the World Bank sharing knowledge, building capacity, forging partnerships are explicit in the Mission Statement. Their HR practices (recruiting, performance, organizational design, etc.) employ practices that support these elements. The Bank has been working at this since 1997 and continues to refine its efforts in these areas.

Strategy. The ILRI strategic plan identifies five research themes that will provide the focus for Center research for the foreseeable future. Each theme is comprised of a group of multidisciplinary research projects that contribute to a single objective. **Theme 2 – Enabling access to innovation: Adapting and delivering technology and information** – supports and guides innovation, knowledge sharing, partnerships, participatory approaches and making greater use of interdisciplinary teams.

Values. The values statement at WorldFish includes qualities that support knowledge sharing and institutional learning and change such as innovation and creativity, continuous improvement, teamwork, and sharing knowledge.

2. Organization

a. Communities of Practice

The private-sector corporation enjoys success with ‘communities of practice’. Initially sponsored by the Engineering division in 1999 as a grass-roots effort to pursue innovation and quality, thirty such communities were established. Due to their success, the number began to grow. In 2000 there were 100; today there are over 200.

The communities are supported by an overall coordinator and a technical tool. The coordinator teaches people how to initiate a community of practice and provides assistance. They are also supported by a steering committee of high level executives representing different divisions. An annual forum is held to bring the communities of practice together to share information. A speaker in a field relevant to the corporation’s aspirations is invited. Speakers have come from a software company, a non-profit research organization and the US Army.

BMZ, CIDA and SDC are piloting communities of practice for better sharing across units. BMZ report that participants discover that they are not alone in the challenges they face and can seek common solutions. The CG Centers have several formal and informal network groups both inter- and intra-center informal and with external partners without calling these communities of practice.

b. Knowledge Fairs or Marketplaces

CIAT, SDC (www.daretoshare.ch) and IWMI, to promote sharing of knowledge, arrange for employees to meet formally to talk about their work and activities in what they call a ‘knowledge fair’. The fair is held when Regional staff and the Board are visiting headquarters. Time is scheduled so that employees from different departments and units can share their work experiences and challenges with one another. Both research and administrative units display their work and activities, each in their own booth and by circulating, staff learn about the range of work activities within the center. Knowledge fairs have contributed to greater collaboration, a deeper understanding of what peers do and enhanced exchange of information.

c. “Yellow Pages,” Staff Directory

Several organizations have installed on-line staff directories or “yellow pages” where they can find out the range of jobs others have held their institutional experience, competencies, and areas of expertise. BMZ, SDC and the World Bank all have working staff directories to enable staff to connect, to encourage them to talk, and find colleagues engaged in similar work or facing similar issues.

d. Changing roles of HR units

The role of HR units can be included under organization as HR management is one of the ways work is organized. Results show that the HR function is evolving from a purely administrative unit towards becoming a major partner to serve senior leadership.

At IWMI, the HR unit dedicates itself to strategic issues related to staffing and advises the Director General and other leaders in the Center. HR consults with managers and directors and takes the lead on human resources issues. Many HR products have been produced. Examples include the rewriting of policy manuals, the identification of competencies required by researchers, the development, with the help of senior management, of a leadership training program, the coordination of the mentoring program, the establishment of staff development programs, guidance of the recruiting process, and an on-line HR data base.

IPGRI's approach has been to hire an HR Manager who reports directly to the DG. The former provides expert leadership, guidance and strategic direction in HR matters to facilitate achievement of the Center's scientific objectives.

The HR function at CIDA includes advisory services to staff and leaders. At BMZ, the HR unit is more aware of the importance of KM and what the unit can do to support and encourage it throughout the organization.

These examples show a shift in direction. Resources are being strategically invested in professional HR expertise to better meet the organizational goal of serving clients in developing countries.

e. Organizational Culture

With support from the Gender and Diversity program, CIAT carried out a "Culture study" in 2003 which produced a number of interesting findings. A key conclusion was that internal communications within CIAT were poor. Since then CIAT has looked at the internal communications policies and practices in well-run organizations around Cali, Colombia and elsewhere. It has found that in well run organizations where employees are enthusiastic, service oriented and committed to organizational goals, there is a solid, formal internal communications strategy. To ensure that the strategy is known and employed, there is a sound induction process for all new staff members. For more information contact Fabiola Amariles at F.Amariles@cgiar.org.

3. Staffing

a. Specialized roles

Four of the six participating external organizations and one of the six CG Centers have created a specialized Chief Knowledge Officer (CKO) role. This position reports to CEO or Director General. It is responsible for internal consulting among divisions. It provides guidance and helps divisions, units and managers resolve problems related to developing and carrying out all knowledge management related initiatives. It works closely with human resources. Its goal is to embed knowledge management programs into the policies and practices of the organization.

The World Bank also has well developed and graded role profiles for Chief Knowledge Officer. At SDC, the Knowledge Officer is responsible for assisting managers to organize their units for optimal information and knowledge exchange.

The 'Chief Knowledge Office Job Description' from IWMI is attached as Appendix 4.

b. Recruitment

Appendix 5 lists the 12 competencies used by the private-sector company. Typically, job profiles incorporate 4-5 of those competencies. Four of the competencies directly support knowledge sharing and organizational learning and change — communication, business acumen, change, and innovation. These competencies are used in performance evaluation and guide the requirements for individual professional development. Employees must reach a certain level of mastery of each competency listed in their role profile.

IPGRI's recruiting process looks at behavioral competencies which support knowledge sharing (e.g., collaboration, teamwork, and consensus building). In addition, technical competencies are screened for and exist alongside the "soft skills." Candidates for positions are scored on how well they meet the criteria, based on the job profile. The appropriate information is captured by purposefully crafted interview questions. This process has been well received by selection panels as it provides them with a systematic and organized way to assess candidates by focusing on desired competencies, not exclusively upon personality. This approach promotes equitable treatment of all candidates irrespective of gender and race.

To create a new role at SDC, managers must complete a competency profile for the position being filled. This profile constitutes the basis for the interviews. CIDA and BMZ act in a similar way. They also include competencies that encourage knowledge sharing. Some CG Centers are including competencies in role profiles and interview questions.

4. Learning and staff development

Training and development are receiving attention by all twelve organizations. The type of training offered varies greatly depending on needs and organizational priorities and includes technical and functional training, competency development with a focus on behaviors..

a. Training courses

Various methods are used to deliver training courses. Options include: hiring specialists to provide training in-house; sending staff out to training courses; the provision of e-learning modules; and asking a seasoned researcher to provide technical training in a specialized area for colleagues.

Induction and orientation programs for new staff are utilized at IPGRI, IWMI, ILRI, World Bank, SDC, and the private sector corporation. Staff members apply for training funds to take courses based on their development plan at ILRI.

At IWMI, staff training is implemented through a systematic TNA (training needs analysis) followed by publishing annual training calendars from which staff members select appropriate courses. (See appendix 8 for sample policy.)

b. Leadership development

Leadership development is prominent at several of the participating organizations. It is seen as both providing opportunities to develop new leaders and, at CIDA, IWMI, the private sector corporation, the World Bank and WorldFish, as a means of empowering line managers by equipping them with the tools necessary to lead and manage their staff.

IWMI, IPGRI, World Fish, CIAT and CIMMYT are part of the SAS-HR First Level Leadership Development Program (FLDP) pilot program. This includes a Core Program which provides a set of competencies required for all leaders. Additional modules include topics such as leveraging environment, process management and managing self.

Appendix 9 shows the IWMI leadership development policy which is well developed and documented. It is headed by the DG and has four main elements i) Individual development programs; ii) Structured mentoring program; iii) Training Interventions; and iv) Performance Monitoring and Feedback mechanisms.

c. Management Coaching

The management coaching program at The World Bank provides a coach for new managers during their first year. In subsequent years there is a charge if the manager wants to continue to receive coaching. This is a popular and successful program.

d. Mentoring

Mentoring provides a way of sharing knowledge and encouraging learning. Mentoring pairs a more experienced individual with a younger or less experienced, newly appointed one. The mentee benefits from the mentor's wisdom. The mentor may also gain fresh ideas. The organization is enriched because the pair is working together in an integrated way.

CIFOR, and IWMI have participated in the mentoring program as part of the Gender and Diversity program. In addition to passing on knowledge and wisdom it also helps integrate diverse staff. The mentoring program did not have the results desired in one organization because that organization does not value staff development, knowledge sharing. These activities are deemed to take time away from research and so are not valued. More information can be obtained from <v.wilde@cgiar.org> at the CGIAR Gender and Diversity Program.

At CIDA, and indeed in almost all organizations that have them, the demand for mentoring is greater than the supply. The World Bank has established that the provision of mentoring is a requirement for promotion.

e. Support for Teams

The World Bank has increased team productivity by providing learning coaches. They are Bank employees with full-time roles, usually in human resources. A coach is assigned to a team and is invited to team meetings to assist with process issues and problem solving. Learning coaches have a formal network within the Bank.

The CGIAR Gender and Diversity Program offers an Online Course for High Performance Research Teams available to CGIAR Center Staff. The need for this course has arisen due to limitations on resources, talent and funding. It is intended to assist teams produce faster results. Moreover, teams and centers are becoming more diversified in terms of language, culture, gender, country of origin, etc. The course objectives include promoting more effective work with partners, improving information sharing, clarifying decision-making dynamics, strengthening all team members' contributions, supporting multi-location teams with an online interaction tool and processes, and working with diversity issues on-line.

Further information about this course can be had from Vicki Wide, Program Leader, CGIAR Gender and Diversity Program at <v.wilde@cgiar.org>.

f. Organizational Learning

SDC has adopted a strategic focus and “promotes learning processes that are based on knowledge, ability and behavior, and that extend the possibilities of action to improve quality and effectiveness.” SDC incorporates the use of local knowledge and bases its cooperation with partners on mutual respect. Learning at SDC has been identified to happen at the individual, group, organization, partnership, and international system levels.

The Learning Organization at SDC embraces five principles that set the tone for human resources practices. Each individual is expected to take responsibility for developing the competencies related to his or her job. The manager is responsible for identifying and securing competencies required for the unit, providing coaching to help staff develop required competencies, and formulating lessons learned and good practices. Appendix 11 provides further information.

g. Peer assists

Bellonet uses peer assist when an employee is about to begin a new project. The employee invites colleagues with relevant expertise and experience to a meeting. The employee explains the project and receives the feedback, experience and knowledge of those attending. Peer assist has helped get projects off the ground faster and more efficiently and shortens the learning curve of the less experienced colleague. Users of peer assists feel that time invested in this way at the beginning can save time in the long run.

h. Review, evaluation and lessons learned

BMZ has implemented an after-action review after a major event. Individuals involved in the planning and execution of the event meet. They review and document lessons-learned at the level of the organization. They also assign follow-up to work based on lessons learned in preparation for the next event. At IPGRI, World Fish, and IWMI, employees are not afraid to make mistakes but are expected to learn quickly from their errors.

i. Procedures for retiring or departing staff

Knowledge Bridge was developed by BMZ to fill a specific need. A large number of staff, approximately 30%, was to be lost to retirement in a short period. The concern was that the years of accumulated knowledge experience would be lost. BMZ staff members rotate their jobs every 2-4 years and so accumulate knowledge in many different areas during their careers. Knowledge Bridge was designed to capture and pass on that knowledge. Appendix 6 provides details.

j. Hand over procedures

Closely linked to Knowledge Bridge is a related initiative called Handover Procedure. BMZ, CIDA, and SDC employees regularly rotate their jobs. They also may be required to take over a post that has been vacant for some time or leave a post that will be left vacant for a lengthy period. The handover procedures that BMZ have put into place promote institutional learning

and benefit both the Ministry and the individual. Formal handover procedures include emphasis on the quality of the information compiled for handover, time and place issues. Handover notes are very important and provide important detailed information for the holder of a new post. The ideal handover is via personal instruction. This allows for two way question and answer as well as clarification through discussion.

Handover procedures could be adapted by CG Centers and all organizations when staff transfer, leave or move to another area. Appendix 7 describes detailed BMZ procedures.

5. Performance Management

Three hundred and sixty degree evaluation is being used for management and leadership development and includes a feedback tool to encourage feedback up to the manager at the private-sector corporation and the World Bank. IWMI used 360 degree feedback initially for the Management Team in 2004. With the feedback, managers identify goals to develop new skills and are supported by training courses.

The 360 Feedback at the World Bank includes 9 dimensions for assessment of which some are mandatory and others optional. One of the 9 dimensions is ‘Creating an Environment for Learning and Knowledge Sharing’ and includes behaviors such as:

- Models a blame free environment, conducive to learning
- Shares knowledge and information
- Uses mistakes as learning opportunities
- Rewards knowledge creation and sharing

Feedback up to supervisor by staff is being implemented at BMZ. Staff is asked if they have the information they need to do their jobs. (Appendix 10 provides additional details.)

6. Rewards

Managers can give an award on the spot at the World Bank. It is a monetary award and the manager has discretion based on some loose guidelines.

Team recognition is usually once a year, and an honor if your team is selected. Several organizations do this have team awards, the World Bank, the private sector corporation, CIDA, For example, at the World Bank president annually awards a team award and conducts the ceremony where there is big exposure and a monetary award. This is very motivating for workers. Annual team awards are given at CIDA and each branch nominates the best team.

The “Mentor of the Year” award is a much appreciated reward at CIDA.

V. Conclusions and Recommendations

Conclusions

There are alternative routes to improve knowledge sharing, organizational learning, innovation, creativity, organizational effectiveness and institutional change. One is a comprehensive

integrated company-wide approach to managing knowledge. The other is a smaller scale, incremental, one project at a time approach. This finding, supported by the data collected in this study, confirms that by Rumizen (2002).

All initiatives, whether small-scale or integrated, require three sine qua nons components:

- **top leadership support**
- **a strong internal communications strategy**
- **a robust link to the business strategy.**

The more mature knowledge management initiatives at BMZ, CIDA, SDC, the World Bank, IWMI, and the private sector organization have built the architecture of a comprehensive knowledge management strategy. Their efforts began some years ago, driven by the need to resolve organizational problems. Each has the necessary support from top leadership. Each has created a specialized position or Chief Knowledge Officer to help promote the knowledge management strategy, and each has allocated the financial resources needed to support the efforts. The knowledge management initiatives of each organization are directly linked to mission, vision, values and business initiatives.

Nevertheless, despite comprehensive, big-picture, knowledge management strategies there is still work to be done to include organizational learning across units. Some divisions are more successful than others at learning and change within the division. The next challenge is to build in processes for inter-unit learning.

Other organizations have started small deliberately to focus on a single issue or a small number of issues. Bellanet is part of Canada's International Development Research Centre and was set up to promote collaboration and services to the international development community. Hence Bellanet operates under the policies, rules and regulations of a large governmental agency. However, Bellanet has been able to build in flexibility within these constraints. They have established procedures for working together and these procedures can be communicated to and modeled by others. Employees work as a team and more than one staff member is aware familiar with clients' needs and so can back each other up. Bellanet believes peer feedback is important to performance evaluation. Hence it employs this process although it is not formally part of the broader IDRC process.

WorldFish and CIFOR have begun by developing and implementing values statements and codes of conduct for staff. These are intended to guide behavior, decision-making and performance. The values link directly to mission statements and are supportive of the qualities required in knowledge sharing. Both centers have plans to expand these initiatives so that the values statements are reflected in HR policies, practices, and performance management.

A group has been set up at CIAT to work on internal communications issues. One outcome is the Knowledge Fair discussed above. The CIAT experience underlines the importance of internal communications and how they influence individual and business performance.

The private-sector corporation has acquired skill at setting up communities of practice and engages in other activities aimed at knowledge management in the organization.

HR can contribute where they possess the professional capacity and are afforded the opportunity and where the three essential components are in place.

It is acceptable to begin with a single initiative, do it well, and then expand efforts according to the needs of the organization.

Ways to foster KS and ILAC

Knowledge sharing and institutional learning and change can be woven together relatively easily if the organization is willing to provide the three essential conditions. The first is that top leadership offers explicit support; the second is that the organization possesses a strong internal communications strategy and puts it into practice; and the third is that there is an explicit and robust link between knowledge management and the organization's business strategy. The costs of engaging in and enjoying the benefits of knowledge management include time and money. Time is required to plan and implement knowledge management. A designated budget is required for various aspects of leadership and skill development.

Based on this study, it is recommended that CG Centers wishing to promote and mainstream knowledge sharing and organizational learning consider certain strategies.

To ignite the will to succeed with knowledge management, top management must:

1. Clearly state that knowledge sharing, organizational learning and performance improvement are key goals
2. Develop and subscribe to a strong internal communications strategy
3. Link knowledge sharing and organizational learning to business strategy
4. Involve Human Resources as a strategic partner in center change initiatives
5. Develop procedures to capture and preserve knowledge when staff leave or retire
6. Adopt strong staff and leadership development programs
7. Develop recruiting procedures, profiles and interview guides with defined corporate competencies that include knowledge sharing and organizational learning
8. Articulate value statements that include knowledge sharing, organizational learning and change competencies
9. Revise performance review procedures and criteria to support knowledge sharing and organizational learning
10. Adopt evaluation practices after major events and organizational change processes to document lessons learned and, based on these, to assign responsibility in preparation for the next challenge.
11. Mount strong orientation and induction programs for incoming staff, which emphasize the organization's vision, mission, values
12. Adopt organizational learning practices such as handover procedures, peer assist, after-action review and lessons learned exercises

13. Periodically implement an organizational culture study that can be used as a tool to promote knowledge sharing and organizational learning

Modern, professional HR units can be recruited to help implement the above activities that have been shown to promote knowledge management that encourages learning and change at the organizational level.

Some of these can be accomplished at relatively low cost and in a short period of time; others are more costly or require more time (Figure 3).

	Short-term	Medium – Long
Low resource requirement	<ul style="list-style-type: none"> • Top leadership support • Alignment with mission/strategy • Strong internal communications • Involve Human Resources as a strategic partner • Implement handover procedures when staff leave • Competencies for recruiting and interviewing 	<ul style="list-style-type: none"> • Values Statement to be implemented • Performance review and management system • Induction Program
High resource requirement	<ul style="list-style-type: none"> • Adopt (i) after action review; (ii) peer assist, (iii) handover procedures 	<ul style="list-style-type: none"> • Staff development program • Leadership development Program • Culture Study

Figure 3. Options for fostering KS and ILAC, depending on their cost and time requirements

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www.bellanet.org

www.ciat.cgiar.org/cgiar/knowledge_sharing/home.htm

www.genderdiversity.cgiar.org

Acronyms:

BMZ	German Federal Ministry for Economic Cooperation and Development
CGIAR	Consultative Group on International Agricultural Research
CIAT	Centro Internacional de Agricultura Tropical (International Center for Tropical Agriculture)
CIDA	Canadian International Development Agency
CIFOR	Center for International Forestry Research
CIMMYT	Centro Internacional de Mejoramiento de Maíz y Trigo (International Maize and Wheat Improvement Center)
HR, HRM	human resources, human resource management
IDRC	International Development Research Center (Canada)
ILAC	Institutional Learning and Change
ILRI	International Livestock Research Institute
IPGRI	International Plant Genetic Resources Institute
IWMI	International Water Management Institute
KM	knowledge management
KS	knowledge sharing
OL	organizational learning

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Appendix 1. – Persons and organizations who participated in the study

External Organizations			
	Organization	Contact	Telephone, email, webpage
1	Bellanet Part of International Development Research Centre (IDRC), Canada	Riff Fullan referred by Mark Faul	rffullan@bellanet.org Tel: +1-613-236-6163 x2021 www.bellanet.org
2	BMZ German Federal Ministry for Economic Cooperation and Development Tel +49-228-535-0 Fax +49-228-535-3500 Bonn, Germany	Holger Illi, former CKO Andreas Hartmann, Deputy for HR Development	Illli@BMZ.bund.de Tel: +49-228-535-3393 Hartmannandreas@bmz.bund.de Tel: +49-228-535-3642 www.bmz.de
3	CIDA Canadian International Development Agency Gatineau Quebec, Canada	Jevone Nicholas former CKO Current CKO Micheline Chartrand	jevone_nicholas@acdi-cida.gc.ca Tel: +1-819-994-4192 MICHELINE_CHARTRAND@acdi-cida.gc.ca www.acdi-cida.gc.ca
4	Private Sector Corporation Illinois, USA	Manager, Global HR Projects Manager Communities of Practice	
5	SDC Swiss Agency for Development and Cooperation Berne, Switzerland	Manuel Flury, CKO	manuel.flury@deza.admin.ch Tel: +41-31-322-34-75 www.sdc-gov.ch
6	World Bank Washington, DC, USA	Michele Egan KM Manager in HR	Megan@worldbank.org Tel: +1-202-473-0718 W Tel: +1-301-428-0591 H www.theworldbank.org

CGIAR Centers			
	Organization	Contact	Telephone, email, webpage
1	CIAT International Center for Tropical Agriculture Cali, Colombia	Gustavo Peralto, Head of HR	g.peralta@cgiar.org Tel: +57 2 445 0073 www.ciat.cgiar.org
2	CIFOR Center for International Forestry Research Bogor, Indonesia	Jennifer Crocker, Head of HR Lely Taulu, HR	j.crocker@cgiar.org l.taulu@cgiar.org Tel: +62 251 622 070 X602 www.cifor.cgiar.org
3	ILRI International Livestock Research Institute Addis Ababa, Ethiopia	Elizabeth Getachew Richard Fulss Information Manager	E.getachew@cgiar.org r.fulss@cgiar.org Tel: +251 1 463215 www.ilri.cgiar.org
4	IPGRI International Plant Genetic Resource Institute Rome, Italy	Koen Geerts, DDG Administration Bronte Jackson Interim HR Manager	k.geerts@cgiar.org Tel: +00-27-12-4601394 (Pretoria, S. Africa) b.jackson@cgiar.org Tel: +039-0661181 www.ipgri.cgiar.org
5	IWMI International Water Management Institute Colombo, Sri Lanka	Sharat Kumar, Head of HR Shanthi Weerasekera HR Development	sharatk@cgiar.org s.weerasekera@cgiar.org Tel: +94 11 278 7404 www.iwmi.cgiar.org
6	WorldFish International Center for Living Aquatic Resources Management Penang, Malaysia	Tan Khar Hoay	k.tan@cgiar.org Tel: +60-4-626-1606 www.worldfishcenter.cgiar.org

Appendix 2. Interview Guide used for the Study

Name of person interviewed	
Organization	
Number of employees in organization	
Role	

TOPICS	QUESTIONS	PROBES
General Questions	<ol style="list-style-type: none"> 1. To what extent have you been exposed to knowledge sharing and ILAC (Are you aware of the KS project and the ILAC Initiative?) 2. Is your organization working to introduce KS or ILAC? If so, how is it going about this? 3. To what extent do you believe that HR policies and practices could promote or facilitate KS and ILAC? 4. Do any specific current HR policies and procedures in the organization promote KS and ILAC? If so, which ones? And when were they instituted? 5. Have certain practices developed because of individual initiatives regardless of HR policies? 6. Can you tell me about specific HR policies & practices that are targeted for innovation, teamwork, collaboration, KS and ILAC? 7. What sorts of changes could / should be made to promote KS and ILAC in the organization? 8. Do you believe that the HR unit should take the lead in promoting KS and ILAC, or must the initiative come from other parts of the organization? 9. How is the domain of Human Resources defined? 10. How are gender and diversity issues handled? 	<p>What were some of the first steps? When did this occur? Tell me a bit about it...</p> <p>What are the top 1-2 practices?</p> <p>Are there staffing resources within the organization that encourage knowledge sharing and organizational learning and change and if so can you discuss the impact in qualitative terms to the business strategy and results?</p> <p>What is HR doing or what can HR do to support teamwork, innovation, OL and ILAC?</p>

TOPICS	QUESTIONS	PROBES
	Do you have a job description for Chief Information Officer? Chief Knowledge Officer? Chief Learning Officer? If so please attach a copy.	
Organizational Structure	11. In your view, does the organizational structure encourage or discourage knowledge sharing, learning and change?	Is the organization highly individualistic or is teamwork promoted?
Communication	12. In general, how effective are the organization's communications, in promoting KS and ILAC? Is feedback (both positive and corrective) encouraged and welcome at all layers of the organization?	Who communicates those messages? Are there messages that link KS an ILAC to the business strategy?
Staffing	13. Do position announcements include skills that are required to support knowledge sharing and institutional learning and change? 14. Does the organization do anything specific to ensure that new staff has needed knowledge, skills and attitudes for KS or ILAC?	Are there specific criteria that are standard in job descriptions encouraging KS and ILAC? What are the interview and selection criteria? Are skills such as teamwork, cooperation and collaboration, mentoring, facilitation skills required?
Training and learning	15. Does the organization provide training / HR development opportunities that promote KS or ILAC? If so, which ones?	Who receives training and what types of training are offered?
Mission, Vision, Values	16. To what extent do the organization's vision, mission and value statements support KS and ILAC?	Staff knows how their work aligns to the vision and mission of the organization?
Rewards	17. To what extent do staff rewards encourage or discourage KS and ILAC?	What types of rewards are given? Are there bonuses or incentive pay?
Performance	18. Are managers evaluated on mentoring, coaching and facilitating employees' learning? 19. How does the organization react when an employee makes a mistake? 20. Does the current appraisal system reward team learning, partnership building? 21. Is staff encouraged to take the lead in initiating change or doing something different?	Who evaluates leadership performance? What are the performance measures for leadership, teams? Are mistakes viewed as an opportunity to learn? Is initiating change a quality that is evaluated in performance criteria?

Appendix 3. Sample Vision, Mission and Values Statements

These statements include terminology and concepts that support knowledge sharing and learning and change at the institutional level. Values, vision and mission statements guide individual behaviour in the organization and language supporting collaboration, teamwork, innovation, communication directly link to and foster knowledge management and organizational learning and change.

Vision of IWMI in 2008 International Water Management Institute:

Source: www.IWMI.cgiar.org

In 2008, IWMI will be a world-class impact, performance, and service oriented [Knowledge Center](#), specialized in research on Water, Food and Environment.

Mission Statement: World Bank

Source: www.theworldbank.org

Our dream is a world free of poverty.

To fight poverty with passion and professionalism for lasting results. To help people help themselves and their environment by providing resources, [sharing knowledge, building capacity, and forging partnerships](#) in the public and private sectors. To be an excellent institution able to attract, excite, and nurture diverse and committed staff with exceptional skills who know how [to listen and learn](#). Our Principles Client centered, [working in partnership](#), accountable for quality results, dedicated to financial integrity and cost-effectiveness, [inspired and innovative](#). Our Values Personal honesty, integrity, commitment; [working together in teams — with openness and trust](#); empowering others and respecting differences; [encouraging risk-taking](#) and responsibility; enjoying our work and our families.

Last updated June 30, 2003

International Livestock Research Institute Strategy and Goals

ILRI Website www.ilri.cgiar.org

Following a well thought out process to develop the new strategic plan the outcomes for ILRI were Five Themes. Each theme is a group of multidisciplinary research projects and activities that contribute toward achieving a common objective. Theme 2 clearly supports and guides innovation, knowledge sharing, partnerships, participatory approaches and making greater use of interdisciplinary teams.

Theme 1—Supporting policy-making and priority-setting for livestock research and development: Current and future roles of livestock in poverty reduction

[Theme 2—Enabling access to innovation: Adapting and delivering technology and information](#)

Theme 3— Improving market access: Opportunities and threats from globalisation and the Livestock Revolution

Theme 4—Securing assets: Better livelihoods through the application of biotechnology

Theme 5—Sustaining lands and livelihoods: Improved human and environmental health

Values Statement: WorldFish

Source: Tan Khar Hoay, WorldFish Center; k.tan@cgiar.org

Our Values	
<p style="text-align: center;">Relevance: “Applicability to social issues”</p> <p style="text-align: center;">We value:</p> <ul style="list-style-type: none"> • Excellence in science applied to the welfare of the world’s poor and to the sustainability of the environment. • Focus & Efficiency in delivering genuine positive impacts to our beneficiaries in developing countries in a manner that makes the most of the resources available to us. • Innovation & Creativity in both our research and business operations. • Continuous Improvement to reduce cost and enhance the quality of our products and services. • Acceptance of the need for risk and of genuine mistakes as something to learn from. 	<p>Two Pillars for Success</p>
<p style="text-align: center;">Delivery: “The transfer of a specified good or service in order to meet the requirements of a contract or agreement.”</p> <p style="text-align: center;">We value:</p> <ul style="list-style-type: none"> • Commitment to set and achieve global standards of excellence in our operations and to honour all commitments.. • Teamwork over individual endeavour and the fostering and capitalizing upon inter-dependences between ourselves and among our partners. • Sharing knowledge openly among staff members, our partners, and stakeholders • Leadership at all levels in the organization • Empowerment and will give sufficient authority to individuals to allow effective performance and ensure accountability. We expect individuals to ask for the authority they need and to delegate what is required to be effective. 	
Foundation Values	
<p style="text-align: center;">Fairness and Equity: “Free of favoritism or bias”</p> <p style="text-align: center;">We believe in:</p> <ul style="list-style-type: none"> • Equal opportunity for all staff and the value of staff diversity • Policies that are fair, respect individual dignity and self-esteem, are clearly explained, and consistently applied. • Recognition and reward that is linked to achievements met in ways consistent with our values 	<p style="text-align: center;">Caring: “Concern or interest to provide needed assistance or watchful supervision:</p> <p style="text-align: center;">We:</p> <ul style="list-style-type: none"> • Care about the long-term health and safety of our people and their work environment and will encourage and help them achieve a healthy work-life balance. • Expect staff to be caring, compassionate and nurturing in their work relationships • Will support life-long employability through provision of professional learning and growth opportunities.
Bedrock Values	
<p>Integrity “Steadfast adherence to moral and ethical behaviour” Our most fundamental value. We expect all staff members to live by our core values, and challenge any breach of those values courageously.</p> <p>Trust “Firm reliance on the integrity, ability, or character of a person” We trust our people and believe they will honour the trust we place in them. Deliberate breaches of trust are unacceptable and we expect staff to report breaches of trust without fear or reproach.</p>	

Appendix 4. Sample Job Profile for a Chief Knowledge Officer

Source: Sharat Kumar, HRManager, IWMI; sharatk@cgiar.org



POSITION DESCRIPTION

JOB TITLE: Chief Knowledge Officer

FUNCTION: To lead and manage the development of IWMI's Information and Knowledge Group.

GENERAL RESPONSIBILITIES:

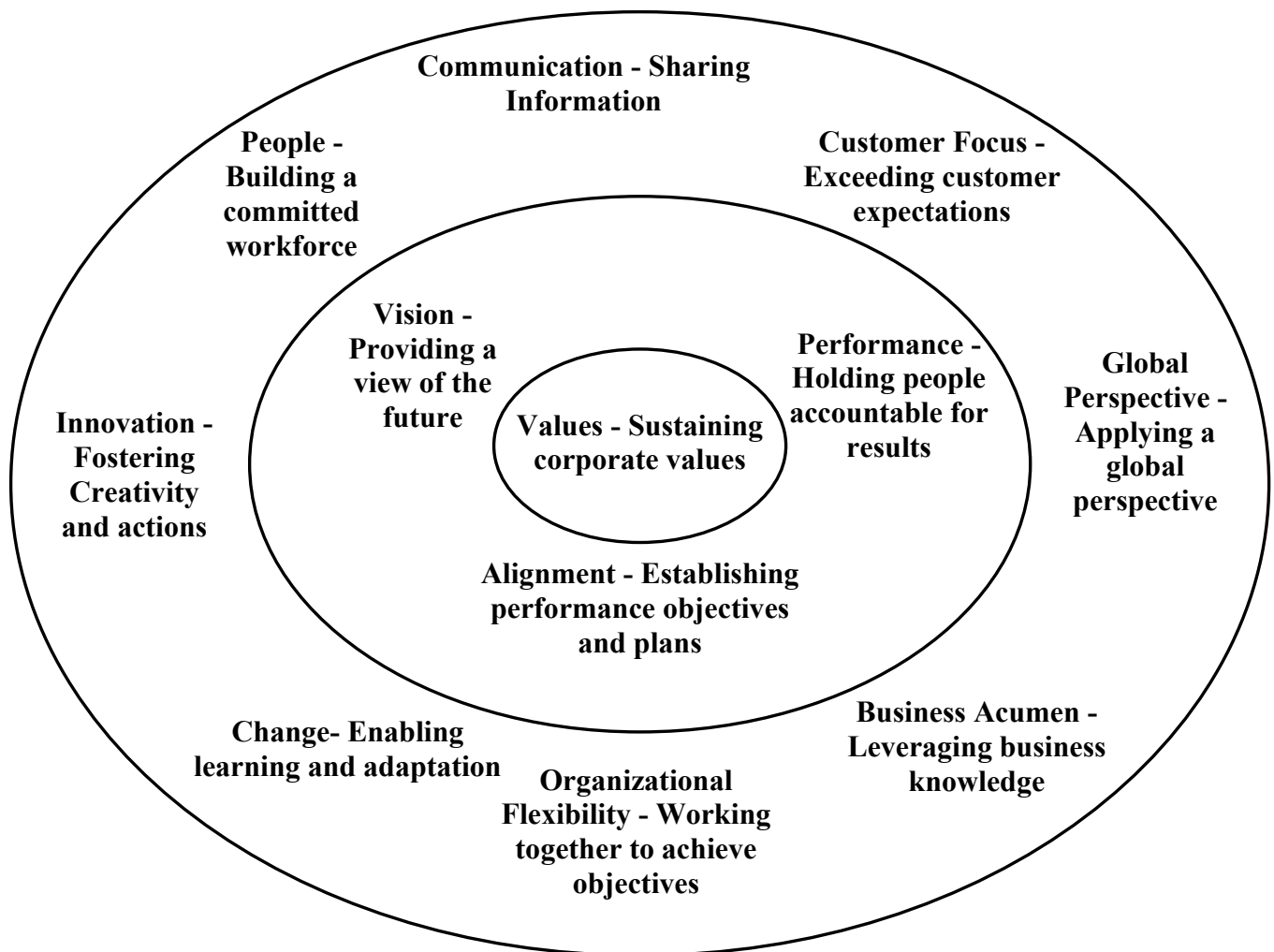
- Set targets and performance goals for the group.
- Give strategic input to IWMI's approach to knowledge sharing and management, create and implement knowledge services, practices and platforms that increase the flow of useful information between researchers in all IWMI offices. Help IWMI leverage its knowledge to become a better performing and more relevant research institute (impact driver):
- Create synergy between the communications, scientific publishing, layout/document creation and information and communications technologies, Library. Establish a set of services that is of use to the institute and its stakeholders and designed based on user needs. Establish service level agreements with all internal customers and put in place customer satisfaction indicators and feedback mechanisms to measure effectiveness.
- Contribute to increasing the institute's effectiveness in reaching its impact and goal as a knowledge center by helping define directions for knowledge sharing and application, to implement IWMI's strategy 2004-2008.
- Mobilize knowledge management/knowledge sharing across IWMI, with the aim of improving rapid access to useful information for researchers, across all IWMI offices and with external partners.
- Put in place the knowledge systems, practices and encourage a culture where IWMI professionals share what they know. Help IWMI leverage its knowledge to become a better performing and more relevant research institute (impact driver):
- Oversee and drive the creation of the delivery mechanisms for IWMI's knowledge and the creation and package of relevant knowledge products:
 - Marketing and communications strategy, products and services.
 - Scientific publishing strategy, products and services
- Be involved in the technology strategy for the institute, as a member of the IWMI management team and ICT committee
- Lead the coordination of donor information and be actively involved in fund raising.
- Be actively involved in building partnerships aimed at transferring IWMI's research knowledge to users and potential beneficiaries.

Appendix 5. Leadership Framework Used in a Private Corporation

Source: Private-sector corporation submission

These competencies are indicative of what the organization values and include many that support knowledge sharing and institutional learning and change. This company integrates the competencies for recruiting, performance evaluation and promotions and are included as an example of how they promote knowledge sharing and institutional learning and change.

Each job profile contains 4-5 of these twelve competencies which are used for recruiting, to evaluate performance as well as to identify areas for professional development. A certain level of mastery has to be reached on each competency for each role profile.



Appendix 6. "The Knowledge Bridge": BMZ

Source: Holger Illi, BMZ, Illig@BMZ.bund.de. BMZ, Germany. Hans-Dietrich Lehmann

Socrates: "Right action originates from right knowledge."

The "Knowledge Bridge" seeks to retain knowledge in the organization when staff leave. Retiring staff are sought out to share their knowledge and experience of the organization. Their contacts are included in a data base to be contacted for specific future assignments or consultation. The Knowledge Bridge captures knowledge held in the heads of retiring staff and makes it available for individual and organizational use.

Objective: Staff share knowledge before they leave or retire.

Process: This program contains three elements 1) A transfer and preparation discussion 12- 18 months before leaving/retiring 2) Thematic event to convey and discuss experiences 3) Contacts-database for former BMZ employees.

1. The **transfer discussion** is generally held among three people plus the retiring staff member -a member of the department or head, a member of the sub-department and the individual responsible for the contacts database.

The discussion takes place 12-18 months before the individual retires or leaves and consists of:

- Reviewing the experience and knowledge gained over their career
- Narrowing down topics, facts, circumstances which the retiring individual knows a lot about and is appropriate to convey
- Identify how the knowledge should be conveyed—lecture, presentation, article, E-learning module? The choice of an appropriate medium contributes to its usefulness. The HR department offers help in design and composition.
- Request the departing individual to stay involved with BMZ and invite them to be added to the contacts database for future engagements such as:
- Support Ministry in preparation of conferences, congresses and specialized talks
- Act as an advisor to the Ministry when needed
- Specialized, specific introductory events
- Honorary advisory function in projects
- Lectures about politics in schools, visitor groups
- Assistance to successor when needed

2. Transfer event

The transfer event has been previously agreed upon by the parties involved and the delivery may be a lecture, hands-on presentation, workshop an E-learning module or a training program.

3. Contacts database of former BMZ staff

The database is used to contact the departing employee and has been previously input for the types of engagements appropriate for their expertise. The departing staff will have access to the extranet as a thank you for their support.

Appendix 7. Handover procedures: BMZ

Source: Holger Illi, BMZ, Illli@BMZ.bund.de

Every 2-4 years employees at BMZ rotate their jobs. These handover procedures seek to ease the learning required for taking on a new assignment. Staff members taking on new duties and leaving their old post, prepare Handover Notes defining strategic and substantive aspects of the job. The individual and the Ministry benefit from shared knowledge about how to do the job and increased productivity and continuity of work.

The problem being addressed

The need for a quality procedure for job handovers within the BMZ is made particularly urgent by the fact that staff operate as “all-rounders” and frequently change jobs within the ministry. The “all-rounder” principle means that individuals have to be able to familiarise themselves rapidly with new subject areas. The faster this process of familiarisation can take place, the faster they can become operational in their new job. Staff statistics from 2000 and 2001 show that over 70 people in the executive and professional grades alone change job each year and must be familiarised with their new tasks. That is 20% of people working in these civil service grades. Statistically, the entire staff of the BMZ moves round once every five years. Handover procedures have, until now, varied widely and have not always done enough to ensure that knowledge is preserved.

Handover procedure

1. Before leaving a post, every member of staff shall prepare handover notes. The notes should be structured in accordance with the enclosed checklist. The structure may be adapted as appropriate for those in the clerical or manual grades.
2. Wherever possible, a handover meeting – or, if appropriate, several meetings – should take place. In structuring these meetings, the checklist should be taken as a guide.

Knowledge continuity as a management function

1. Superiors shall ensure the quality of the handover notes by checking that they are of the appropriate length, are factually accurate and are tailored to the specific characteristics of the division concerned.
2. Superiors shall create the necessary conditions for an appropriate handover by instructing the member of staff to draw up the handover notes. Before members of staff leaves, they shall be allowed the necessary time to draw up the handover notes. Superiors shall also ensure that new members of staff entering the division are able to conduct an adequate handover in their old division.

BMZ Checklist

Guideline questions for handover meetings and notes:

The handover between a person leaving a job and his or her successor should be structured in such a way as to cover the most important substantive aspects. The guideline questions contained in this checklist aim to help you structure your handover meetings and notes. The structure can be adapted in each case to the particular features of the job.

1. What strategically important processes are being dealt with at present?

The aim of this question is to prioritise tasks.

2. What time-sensitive processes are to be dealt with and what should be the next steps?

This question is aimed at putting current processes onto a time axis.

3. What should your successor know about the most important procedures? What tips can you offer?

Enable your successor to deal with the most common procedures and methods relevant for the job.

4. What are the constraints that are typically encountered and what can be done?

List the constraints that are often encountered both within the division and with organisations and ministries.

5. What sources of information are available?

In the handover meeting and handover notes, you should point the new person to the most important sources of information.

- 5.1 Useful contacts and job-specific telephone book

- 5.2 Ready reference files

- 5.3 Electronic documents

- 5.4 Internet bookmarks

- 5.5 List of important documents

6. Information specific to the particular division or directorate-general

As a result of the way work is divided amongst the various directorates-general and divisions, each one has its own particularly features.

- Important information that is used regularly should be documented on a day-to-day basis as work is being carried out.

The following can be useful in this kind of continuous documentation: 1. (strategically important processes); 5.1 (job-specific telephone book); 5.2 (ready reference files), 5.3 (electronic documents); 5.4 (bookmarks).

BMZ: Knowledge continuity following staff changes

Analysis of response to questionnaire on handovers in connection with staff changes in the BMZ in 2002

Summary:

- The proportion of questionnaires returned (86%) shows the relevance of the issue for staff and allows valid conclusions to be drawn.
- In 2002, 45% of all members of staff who took on a new post within the BMZ received no handover at all from their predecessor.

- Handovers consisting of both discussions and handover notes were judged to be particularly useful (with a mark of 1.4¹). The next best alternative was a handover consisting of a discussion only (2.1) and in third place was a handover consisting of only handover notes (2.3).
- A handover is judged to be equally useful when posts have been vacant for a long period of time (2.3), and indeed the average mark awarded by those in desk officer posts was 1.8.
- Conclusions: the findings that emerge from the staff questionnaire confirm that introducing an obligatory handover procedure was the right decision. The results of the survey will be compared with those from future surveys in order to assess the effectiveness of the measure.

A survey was conducted among BMZ staff between 23 April and 9 May 2003 to poll their experience of handover procedures. All those surveyed had taken on a new post within the BMZ in 2002 and they asked about whether they had received handover notes (question 1) or had handover discussions (question 2) and on how useful they had found the handover (question 3).

¹ On a scale ranging from 1 (highest mark) to 5 (lowest mark).

Appendix 8. Training and Career Development for IWMI Staff

Source: Shanthi Weerasakera, IWMI, HR , s.weerasekera@cgiar.org

INTRODUCTION

1. IWMI recognizes that its people are central to the successful functioning of the institute. Training and career development of staff are directly linked to IWMI's output, i.e., the successful achievement of the goals and objectives as laid out in IWMI's Strategic Plan.
2. IWMI considers staff training and development to be an important shared responsibility between the staff member and the Institute. For the Institute, staff development is an investment in IWMI's future: its capacity to develop and flourish in an environment of change and challenge. For the staff member, it is an investment to enhance his/her capacity to meet change and challenge at the personal level, and to maintain his/her employability.
3. **Training** is identifying and bridging the gap between the current and desired level of competencies* of individuals. Training aims to develop understanding, change attitudes, and develop knowledge and skills. Training can be both short-term to address immediate needs, and medium to long-term to address the growing needs of the Institute.
4. **Career Development** is identifying and supporting an individual's potential to take on new responsibilities, and/or to progress in his/her career path. Training is one of the key support mechanisms for an individual's career development.

POLICY

Objectives

5. IWMI's training and career development objectives are to:
 - a) Provide staff with knowledge, skills and understanding which, together with experience, improve their competence to meet their work objectives, tasks and responsibilities; and
 - b) Promote and facilitate individual staff members' career progression within the organization.

Nature of support to be provided

7. The support to be provided may take the form of:
 - a) payment of fees, subsistence and accommodation (as relevant) for approved training courses;
 - b) payment of travel costs (not local transport);

* i.e., knowledge, personal qualities, skills and abilities.

- c) allocation of working time for personal study associated with identified training;
- d) allocation of working time for on-the-job instruction and guidance;
- e) paid leave whilst attending training courses

8. Staff will be expected to make a reasonable contribution of their own in terms of cost and time associated with the training.

Funding

9. Training and career development will be funded through a centralized Institute-wide budget. This budget will be administered by Management to ensure optimum focus and maximum effectiveness of investment – both time and financial – in staff development.

Conditions

10. Staff members who fail to complete an approved training/development course, or who leave the Institute prior to completion of one full-year of service after completion of a major program, may be required to reimburse IWMI for costs associated with the training. Where relevant, any such conditions attached to the training will be jointly agreed prior to commencement of the training program.

PROCESS

Identifying needs and making requests

11. Training needs for individual staff members will be identified based on the actual need for such training. The Supervisor, in discussion with staff, will identify the training needs and submit requests/proposals to the Training Officer through the respective Director/Head of Office. Such proposals should normally be linked to the performance evaluation process. Training requests independent of the evaluation exercises should only be raised under exceptional circumstances.

12. The Training Officer will consult the relevant Directors, Heads of Regional and Sub-Regional Offices, Divisions, Departments, and Units, to identify priority training needs for their regions/offices

15. In assessing the level of support to be provided within the allocated training budget the Committee will base their decisions on the following criteria, namely that the training:

- a) will provide or enhance skills to improve the individual's performance in their current position, taking account of current and future projected work requirements;
- b) will equip the staff member with the required skills, knowledge and understanding to meet the needs arising from appointment to another position within the Institute;
- c) is relevant to achieving the Institute's overall goals, and supports the development and growth of the Institute in the longer term;
- d) will equip the staff member with knowledge, skills and understanding for career changes.

16. Finally, the Training Officer will finalize the Training Calendar and forward to the Director General and the Deputy Director General (Operations) for final approval.

Evaluation:

17. Training will be evaluated by the Training and Career Development Officer through feedback, both from participants and those that they work with as follows:
 - a) a report shall be provided by the trainee;
 - b) a training evaluation questionnaire shall be filled in by the trainee;
 - c) an impact/benefit report shall be provided by the trainee's supervisor and the trainee, some 3-6 months after the training.

18. On completion of the training the trainee may also be expected to make a presentation to other IWMI staff. The aim of the presentation will be to share some of the knowledge gained, and/or inform other staff who might benefit from similar training.

Appendix 9. Leadership Development Program: IWMI

Source: Shanthi Weerasakera, IWMI, HR, s.weerasekera@cgiar.org

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IWMI – Leadership Development Program

Introduction

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IWMI Leadership Development Program (LDP) is a two year comprehensive and intensive training program designed for high potential IWMI staff members. The objectives of the training program are to increase the skills and competencies of the staff. The success of this program is measured in terms of the overall development of the LDP participants and the promotions the participants achieve during the course of this program. This is one component in the overall training strategy of the institute. Programs like this are common in large organizations who often implement management and leadership development programs like this which are designed to offer high potential young hires a fast track opportunity to enter the management and senior positions in the organisation. In IWMI as an international organization there are a few special considerations and circumstances that will focus the leadership development program as explained hereafter.

IWMI is committed, as determined by its Board in November 2000, to move towards a "OneStaff" system, effectively bridging the divides among the traditional nationally and internationally recruited staff groups. As an interim measure a third group, regionally recruited, has been created to bridge the divide. To support and complement this vision of "OneStaff" the institute has put in place a comprehensive "staff classification guidelines", Performance Management Process and transparent compensation system. The goal is for every staff member to know why she/he is at a particular level and also at the same time know the competencies that are required to move to the next level. Training programs like this one will enable staff member to acquire the competencies required to move higher in the organisation

It is recognized by management, however, that the transitions between the three groups (nationally, regionally and internationally recruited staff groups) are still relatively big steps. While several individuals have made the transition, the rate at which this transition has happened is low. The IWMI Leadership Development Program (LDP) therefore will target individuals that have the potential to be promoted from one group to another, as well as develop to senior staff members in the international staff group, and support their development through targeted investments. The program will ask significant investments from its participants, i.e. the trainees, the mentors, as well as the institute.

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OBJECTIVES

The objective of this program is to identify the gaps in competencies and

develop individual (multi-year) development plans & provide targeted training support. In addition to this there is also a robust mentoring process in the design of this program. All these inputs together are designed to enhance the competencies of the participants and will enable them to contribute better and advance in their career.

The focus of the program is to develop the outlook, ability and skills which mark out the potential high performer – and which can be learned. The program will equip participants with:

- A self-reliant approach to learning from people and opportunities in the workplace.
- The ability to manage ambiguity, clarify requirements and deliver successfully, including when working with multiple stakeholders, and in unfamiliar environments.
- The ability to understand internal politics, and take positive action to manage these and get the required support.
- Well-developed skills in strategic challenging, tactical project management and operational action, and the ability to use each skill flexibly depending on the organizational needs.
- Solid organizational awareness and cross-functional networking skills which are required to operate successfully in a complex environment.
- The ability to drive ones own development and career plans.

This program has complete support and the commitment by all the management team. The Director General is the project manager and also one of the mentors. The other mentors in this program are either from the management team or senior staff members who have a flair for staff development.

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PROGRAM DESIGN

The LDP program design has four distinct components which are described as four pillars of development. All these four pillars contribute to the overall development of the LDP participant.

1. Individual Development Plans;
2. Structured Mentoring Process;
3. Training Interventions; &
4. Progress monitoring & feedback mechanisms

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Individual Development Plans:

The LDP trainee along with the mentor will identify the gaps in competencies and will jointly develop “individual development plans” that will address the gaps and key requirements for the LDP participant to achieve the desired promotion. These development plans will be transparent and will be monitored and "measurable" will

be identified to monitor progress towards these goals (e.g. numbers of publications in refereed journals, international experience, successful management of projects, successful completion of training modules etc.). Training (both formal and on the job) opportunities will be identified to allow the individual to make substantial progress. Continuous monitoring through mentoring, as well as formal evaluation twice per year, will determine progress. Annually it will be determined whether trainees have made sufficient progress to remain in the program and/or achieve their promotion. The average duration of the training program is expected to be two years, with exceptions possible one and three year programs.

Structured Mentoring Process:

Every mentee will be assigned a mentor who is not his/her direct supervisor (but may be working closely with the trainee). Mentors will take a close personal interest in the trainees, follow their progress, make themselves available for regular personal interaction and advice, and follow all the training sessions to increase their mentoring skills. Mentors should ideally work in the same location as the mentee, but for some mentees who are based in small regional offices this may not be possible and it is not considered a requirement. Mentors will get inputs during the program which will further enhance and build a culture of developing people for excellence, which include;

- Understanding the larger role as a mentor;
- Critical skills required for effective mentoring ; and
- Mentee progress monitoring & counseling.

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Training Interventions:

The design of the training interventions is a self directed one, this design will make the mentees work harder than the facilitators and will actively discourage passive consumerism. The broad course content covered includes the following, which will help the mentees in reaching new levels of learning.

- Understanding self, a journey of self exploration & one's role within the organisation in the larger context
- Understand competencies to perform ones' role
- Identifying individual competency gaps
- Attitudes for Self Mastery -Self Confidence, Self Reliance, Responsibility, Accountability, Positive Thinking
- Strategic Thinking, Visioning and Creativity
- Interpersonal Skills – Non-verbal communication, Active Listening & Assertive Communication
- Managing Politics and Resolving Conflicts
- Presentation Skills
- Managing time effectively

- Action planning for self development projects

Finally, on-the-job training is a crucial component of the program. This implies that the institute commits itself to provide the trainees with assignments that allow them to develop their skills and abilities. Given that IWMI is an international institute, this is likely to include international assignments. Trainees will have to accept these assignments as part of their development plan.

Progress monitoring & feedback mechanisms:

Progress monitoring & feedback mechanism process is continuous throughout the program. A formal Progress review monitoring of the mentees is done twice a year by the mentor and the project manager supported by the HR manager. In addition to this mid term evaluation is done through detailed essays by all the participants (mentees & mentors) and a final program evaluation at the end of the LDP program.

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SELECTION CRITERIA

All professional staff members of the institute are eligible for this program, although the expectation is that the majority of the participants will be relatively young staff with a high development potential. Selection is not based on seniority, devotion or loyalty shown to the institute. Participants may have joined IWMI recently. The bottom line is the potential of the individual to grow in their skills and competencies to a significantly higher level than they function today. In some cases the development of the individual may require obtaining a higher degree, but that is essentially outside the scope of this program (for those cases the capacity building program provides targeted support). The focus of this program is to develop the soft skills and experiences of the individual, allow them to grow in the independent exercise of responsibilities, show judgment and generally develop their management and leadership skills. Suitability for the program will have as much to do with personality and attitude as it does with formal degrees and length of experience. The program design will place high requirements on the participants and are expected to make serious commitments on their personal time and energies available in return for the significant investment the institute is willing to make in the individuals. Given the nature of the selection, the final call will be the judgment of individual suitability by the project manager, taking into account recommendations by the management team and follow-up reviews by Human Resources.

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Appendix 10. An Example of 360 Feedback: World Bank

Source: Michele Egan, Knowledge Manager, Human Resources, The World Bank, Megan@worldbank.org
360 FEEDBACK at the World Bank is implemented via an on-line form. Briefly 360 feedback includes 9 dimensions for assessment with both ratings (mandatory) and text (optional). For each dimension, the user can click on a button with provides illustrative examples of what that behavior might look like.

The 9 dimensions are:

1. Focusing on the big picture and overall framework for development
2. Inspiring trust and passion in the Bank's mission
3. Client orientation
4. Drive for results
5. Selecting, coaching and appraising staff
6. Planning and managing staff to achieve quality results
7. Encouraging innovation and an open, team-based, environment
8. Creating an environment for learning and knowledge sharing
9. Influencing and resolving differences across boundaries.

Here are the illustrative examples of positive behaviors for # 8 (Creating an Environment for Learning and Knowledge Sharing):

- Uses knowledge to equip clients and staff
- Models a blame-free environment, conducive to learning
- Builds partnerships for learning and knowledge sharing
- Shares knowledge and information
- Seeks best practice ideas as models
- Uses mistakes as learning opportunities
- Promotes a continuous learning environment
- Provides constructive criticism and feedback
- Rewards knowledge creation and sharing
- Agrees to share incomplete and imperfect information with Country Team (applies for Country Directors)
- Ensures knowledge transfer among core team members (applies for Country Directors)
- Ensures that country information and historical knowledge of Bank-client relations is shared and updated (applies for Country Directors)
- Promotes learning opportunities (applies for Sector Managers)
- Ensures that sector knowledge is updated and shared with Networks and within Region (applies for Sector Managers)
- Fosters cross-regional transfers (applies for Sector Board Chairs)
- Sponsors learning opportunities (applies for Sector Board Chairs)
- Challenges Board to be innovative in developing its Learning and Knowledge Sharing agenda (applies for Sector Board Chairs)

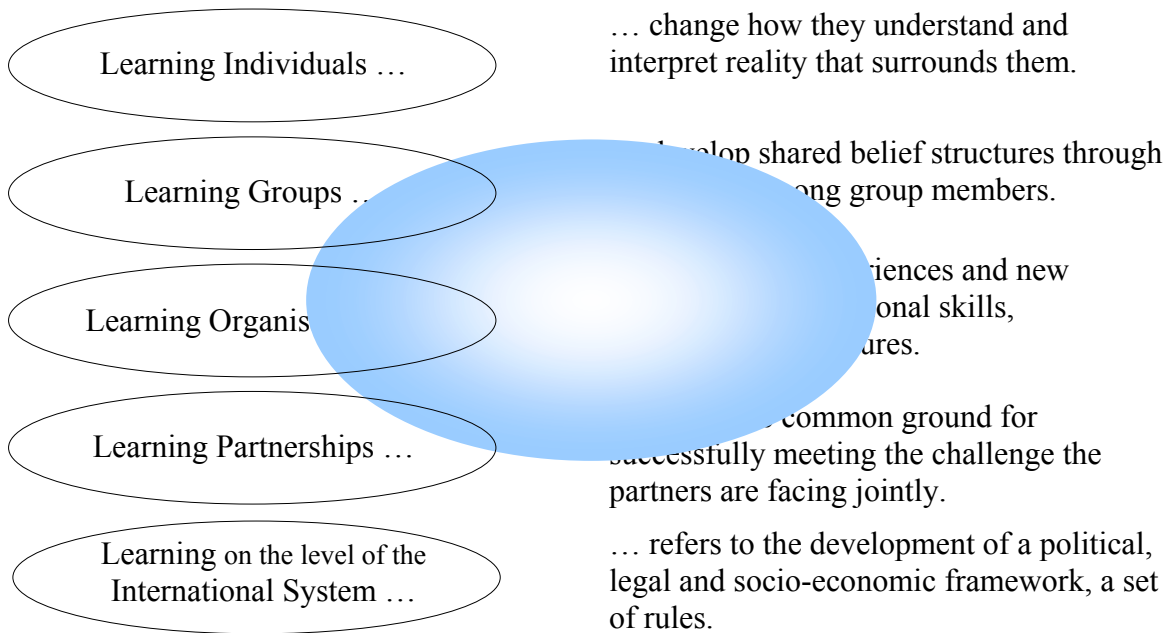
Illustrative examples of negative behaviors:

- Uses knowledge as power to control others
- Doesn't help staff to learn; doesn't arrange for training to meet staff needs
- Doesn't encourage knowledge sharing
- Doesn't build on pre-existing knowledge
- Uses mistakes to punish or demean

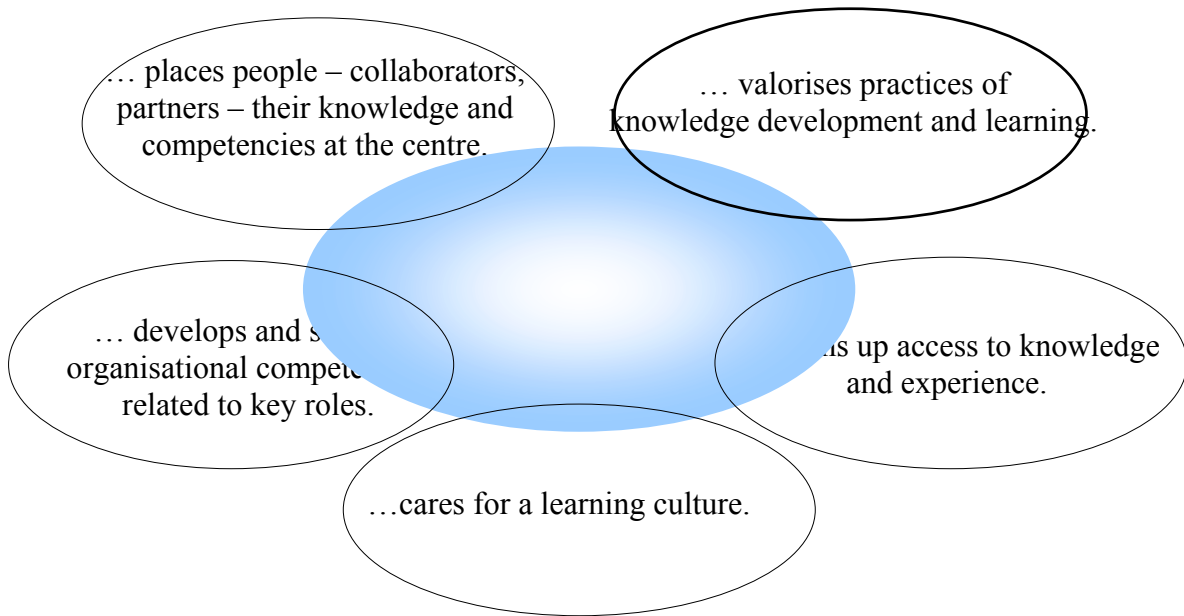
Appendix 11. Learning Principles and Levels: SDC

Source: Manuel Flury, Director, Specialized Knowledge Unit, SDC,
manuel.flury@deza.admin.ch

„Levels of Learning“



The five principles



Appendix 12: Definitions of terms referred to in the study

SAS-HR

The Strategic Advisory Service for Human Resources (SAS-HR) works to strengthen the human resources network of the Consultative Group for International Agricultural Research (CGIAR), devise strategies that recognize the diversity and autonomy of each participating CGIAR research organization, define short- and long-term needs with staff and management, create solutions, and help establish a virtual community of human resources professionals in CGIAR organizations, donor agencies, and partner organizations.

SAS-HR is sponsored by the Consultative Group on International Agricultural Research (CGIAR) and five CGIAR research organizations: the International Organization for Tropical Agriculture (CIAT), International Maize and Wheat Improvement Organization (CIMMYT), International Plant Genetic Resources Institute (IPGRI), International Water Management Institute (IWMI), and the WorldFish Organization.

One Staff

The OneStaff approach implies a single set of values, the same policies, compensation structure and human resources management process are applied to all staff. Effective HR policies and practices have to meet the needs of the organization and IWMI was the first center to implement OneStaff eliminating the two separate systems one for internationally recruited staff and one for nationally recruited staff. The OneStaff approach aimed and achieved eliminating inequities and instilling fairness, equal pay for equal work, open communication and a commitment to professional development.

Communities of Practice

A community of Practice is made up of a group of practitioners who share common interests in a specified discipline, field or area and volunteer to work together. Their passion for the subject is what brings members together. Members learn and work together and develop relationships of trust. Members generally do not produce deliverables together. The goals of a Community of Practice are broader and more loosely defined than a work group or team. The Communities create tools, documents, processes, a common vocabulary and shared ways of doing things. Many communities solve day-today work problems. Some develop best practices. Members may be like each other with similar jobs and skills or another common bond or interest. The community lasts as long as the members want them to last. (Clemmons Rumizen 2002.)

360° Feedback

360° Feedback or multi-source assessment or is a method for providing more complete information on an individual's performance from those who work most closely with the individual. 360 is a tool that is generally used for management and leadership development

Feedback is given in a survey form and may be requested from the supervisor, peers, direct reports, internal or external clients, team members and self. Based on the feedback report, the staff member is guided to select areas for professional development. A development plan serves as a strategy and is designed which will lead to positive change and guide efforts for improved performance of the individual. (Collins 2000)

Appendix 13: Sample Performance Management Form: CIFOR

Source: Jennifer Crocker, Lely Taulu, HR, CIFOR, j.crocker@cgiar.org
l.taulu@cgiar.org

This performance appraisal form includes sections for assessing such behaviors known to contribute to knowledge sharing and organizational learning as “Teamwork and Collaboration,” “Mentoring and capacity building,” “Management of Resources,” and “Good Citizenship.” The appraisal process also includes a review of 1-2 peers.

CIFOR 2005 – Performance Cycle

ANNUAL PERFORMANCE CONTRACT & PERFORMANCE APPRAISAL Research and Research Support (i.e. Scientist and Research Fellow, Research Assistant)

Year	:	
Name	:	
Position title	:	
Reports to	:	
Unit/Programme	:	
Location	:	Period Covered: Jan 1 – Dec 31, 200#

General instructions: Protocol for Developing a Performance Contract (PC)

All Performance Contracts will be completed on a calendar year (January – December)

Protocol for Performance Appraisal (PA) Process (Including Peer Review)

All Performance Appraisals will be completed on a calendar year (January – December)

1. Research staff members submit their completed performance appraisal to their immediate supervisor.
2. The immediate supervisor submits the review to at least two peers who are knowledgeable about the work of the research staff member.
3. When the supervisor receives the written peer review comments, the feedback is summarized so that it is not identifiable to a specific peer reviewer.
4. A personal meeting between the immediate supervisor and the staff member should be arranged to discuss the appraisal.
5. Following the meeting, if so desired, staff member may provide additional comments after reviewing the appraisal.
6. The appraisal document is then passed to the next in line supervisor for comments.

7. The Director should comment and appraise /rate following the staff's comments. Directors are encouraged to meet with staff (and with the immediate supervisor if they are available) to discuss the final review.

PERFORMANCE CONTRACT (PC) / APPRAISAL (PA)

Staff member describes and evaluates impacts, actual outputs and milestones reached with respect to planned impacts, outputs and milestones in the staff member's performance agreement for the period under review. Accomplishments carried out in addition to those included in the performance contract should also be described and appraised. Evaluations should consider both quantity and quality of output; individual and team contributions as appropriate and contributions to projects, departments/programmes, and CIFOR-wide. [\(To add projects, list brief instruction](#))

A. Doing Science

Planned Time weeks

Performance Contract [Date completed/ revised:]	Performance Appraisal - Self Appraisal [Date completed:]	
Planned impacts, outputs and milestones to be reached (list up to 5 critical issues)	Actual impacts, outputs and milestones reached (with respect to PC)	Evaluation of plan vs. actual
PROJECT #1	PROJECT #1	
Activities & Milestones	Activities & Milestones	
Publications	Publications (List title, where published, date and authors in order listed on publication/book/journal)	
Dissemination/Other Activities	Dissemination/Other Activities	

Supervisor appraisal (including relevant summary of peer feedback) (please tick)

Exceeded planned output

Fully met planned output

Failed to meet planned output

B. Task Management / Scientific Leadership

Planned Time weeks

Performance Contract [Date completed/revised:]	Performance Appraisal - Self Appraisal [Date completed:]	
Planned impacts, outputs and milestones to be reached (list up to 5 critical ones)	Actual impacts, outputs and milestones reached (with respect to PC)	Evaluation of plan vs. actual
PROJECT #1	PROJECT #1	
PROJECT #2	PROJECT #2	
PROJECT #3	PROJECT #3	

C. Mentoring/Capacity Building/Partnership

Planned Time weeks

Performance Contract [Date completed/revised:]	Performance Appraisal - Self Appraisal [Date completed:]	
Planned impacts, outputs and milestones to be reached (list up to 5 critical ones)	Actual impacts, outputs and milestones reached (with respect to PC)	Evaluation of plan vs. actual
Mentoring and Capacity Building		
Development of Partnerships and Networks		

D. Resource Mobilization

Planned Time weeks

Performance Contract [Date completed/revised:]	Performance Appraisal - Self Appraisal [Date completed:]	
Planned impacts, outputs and milestones to be reached (list up to 5 critical ones)	Actual impacts, outputs and milestones reached (with respect to PC)	Evaluation of plan vs. actual

Doing science

Task Mgmt/
Scientific
Leadership

Mentoring,
Cap. Building,
Partnership

Resource
Mobilization

Citizenship

At least
4 weeks

FACTORS AFFECTING PERFORMANCE

Staff member should identify and describe any factors of a personal, organizational or external nature which have materially affected his/her accomplishments with respect to the Performance Contract, and recommend changes, including training and development activities, to improve performance.

1. Self-appraisal

Factors affecting performance	Recommended actions
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2. Supervisor comments (including summary of relevant peer feedback)

ORGANIZATIONAL COMPETENCIES

Supervisor includes summary of relevant peer feedback, summarize the degree to which the staff member exhibits the behavior, skills and attitudes described in each of the following four organizational competencies.

TEAMWORK AND COLLABORATION: Collegiality exemplifies CIFOR's collaborative approach to research; demonstrates commitment to team goals and objectives; works well with others; seeks opportunities to achieve superior results through collaboration; shares credit and opportunities where appropriate; demonstrates good listening skills and is open to suggestions from others.

MENTORING / CAPACITY DEVELOPMENT: Demonstrates willingness to act as mentor to fellow scientists at CIFOR and at partner institutions in the development of their research and related skills; is sought out by colleagues and readily responds to requests for assistance, feedback or advise in professional matters

MANAGEMENT OF RESOURCES: Effectively manages resources entrusted to him/her, including own and collaborators' time and skills, as well as physical and financial resources, to achieve maximum output and impact in accordance with CIFOR's mission and objectives.

GOOD CITIZENSHIP: Recognizes and accepts roles and responsibilities in programme or center-wide administration and management; effectively and constructively carries out duties on center-wide or inter-organizational committees or task forces; demonstrates personal responsibility for center's mission, mandate and future.

OVERALL ASSESSMENT OF PERFORMANCE

1. Self-appraisal

Supervisor appraisal (including relevant summary of peer feedback)