

***Exploiting Our Knowledge to Eliminate Poverty:***  
**A Knowledge and Information Management**  
**Strategy for DFID**

**November 2009**

**Version 2.5 Final Version approved by the Management Board**

# ***Exploiting our Knowledge to Eliminate Poverty: A Knowledge and Information Management Strategy for DFID***

## **Executive Summary**

A recent independent assessment found that compared with other government departments:

*“DFID is managing its knowledge and information well. It has clear leadership from the top, and has put considerable effort into embedding knowledge and information management into the culture of the department.”<sup>1</sup>*

However, we will need to sustain and build on our achievements if DFID is to exploit its knowledge effectively to meet the challenges ahead, and there is a strong view among staff that they need better and more intuitive systems for managing information if they are to deliver effectively across the range of DFID business. Following the recent publication of a KIM Strategy for Government<sup>2</sup>, there is recognition across government of the need for all departments to raise their game on Knowledge and Information Management (KIM).

In response to these drivers we have developed a new KIM Strategy for DFID for which the vision is:

*To develop a culture where we value our evidence base, experience and expertise, manage it well, and actively help people apply it in their daily work. This will enable us to make better decisions, present a consistent story about our activities, and influence the international development community more effectively in order to tackle world poverty.*

This vision links closely with many themes in the new White Paper<sup>3</sup>, and a *KIM Programme* has been established under the *Systems* workstream of *Making it Happen* to drive the improvements needed to realise this vision. But better management of knowledge and information is not just something for the *Systems* workstream to deliver; it is integral to the delivery of all *Making it Happen* work streams, and underpins successful implementation of many aspects of the White Paper. Achieving this vision for KIM in DFID means changing culture and behaviour across the organisation. It is **not** primarily about IT, though IT is an enabler for some of the changes we need to make.

The top five priorities for change in DFID’s KIM are:

- Ensuring that we make better use of existing information management tools including QUEST and Teamsite to achieve better compliance, develop a stronger and more useable evidence base, and to meet our transparency commitments including systems for review and transfer of electronic records to The National Archives.

---

<sup>1</sup> *Information Management Assessment*, DFID. The National Archives: November 2009.

<sup>2</sup> *Information Matters: Building Government’s Capability in Managing Knowledge and Information*. December 2008.

<sup>3</sup> *Eliminating World Poverty: Building Our Common Future*. Cm 7656. TSO: 2009.

- 
- Improving our information management systems and processes and where necessary developing new systems, so DFID staff are supported by the best possible tools to meet the challenges they face.
  - Embedding lesson learning and effective use of sound evidence and research to ensure effective policy making, evaluation and delivery of Results.
  - Strengthening our performance and capability by effectively capturing and sharing key knowledge, expertise and experience of our staff, especially during induction and when people change roles or leave DFID.
  - Developing a more effective collaboration within DFID and in our work with our Whitehall and international partners, in which sharing of knowledge, information and best practice is recognised and practised as an integral part of effective delivery.

We aim to deliver these changes through the KIM Programme, but to succeed:

- We need senior managers to provide leadership in developing a more collaborative culture in which knowledge capture and sharing is valued and practised as a core part of the way we do business.
- We need to better understand what learning and development needs DFID staff have in relation to KIM - including training on better use of corporate systems such as QUEST - and what the gap is between the needs and what is actually delivered. We need to better understand what is currently being spent on this from local budgets, and we then need to agree how we can best resource and meet these learning and development needs across DFID.
- We need all Heads of Department, Country Office and other senior managers to make a visible commitment both themselves and through their teams to better use of existing information management systems including QUEST and Teamsite, and to helping improve them.
- We must continue to invest in improving our information management systems to achieve more efficient and effective business processes for all our staff.

Improving our management of knowledge and information is not an end in itself. It is a means of enabling staff across DFID to work more effectively and efficiently in delivering poverty reduction. As such the time and effort needed to implement this KIM Strategy is key enabler to achieving DFID's corporate priorities rather than something to be prioritised against them.

The main risks to successful delivery of the KIM Programme are change fatigue across DFID coupled with failing to recognise that it is an essential part of responding effectively to the challenges DFID faces. To alleviate this we will work where possible through existing initiatives as part of *Making it Happen*, engaging and communicating with staff about specific benefits and changes affecting them. We will draw on best practice from other government departments and beyond to shape our approach. The

Programme will be overseen by the KIM Programme Board chaired by the Director of Business Solutions, reporting to the Capital Portfolio Board.

## Contents

Executive Summary .....	2
1 Background and Strategic Context .....	7
2 A Vision for Knowledge and Information Management in DFID .....	9
3 Drivers for Change.....	10
4 Developing DFID's KIM Capability.....	17
5 Delivering the KIM Strategy .....	22
Annex A: DFID's Information Management Assessment	
Annex B: KIM Maturity Model	
Annex C: KIM Governance Model	

## Definitions

Collaborative Working	Joint working between individuals or organisations in pursuit of a common goal. This will often involve sharing or creation of knowledge or information.
Communities of Practice	A group of individuals sharing expertise and experience in pursuit of a common goal.
Evidence Base	Information held by or accessible to DFID that can be used to evaluate or demonstrate the effectiveness of an activity or initiative aiming to reduce poverty in poorer countries.
Information Assurance	A set of systems and procedures to manage information-related risks in line with the Cabinet Office Security Policy Framework
Information Management	The systematic management of information assets to enable an organisation to operate effectively and comply with information legislation.
Information Management Assessment	A programme of reviews carried out by The National Archives to assess the effectiveness of information management systems and procedures in UK government departments.
KIM Professional Skills Framework	A set of competences and skills for KIM specialists working in government departments.
KIM Programme	A group of related projects and initiatives being undertaken by DFID to improve its management of knowledge and information.
Knowledge Capture	Recording the knowledge of an individual or team in a tangible medium to enable it to be exploited by others.
Knowledge and Information Management (KIM)	The development of systems, procedures and a culture in which people manage information assets, collaborate, and share their skills and experience to enable an organisation to achieve its goals.

Knowledge Management	Development of a culture in which people collaborate and share their skills and experience to enable an organisation to achieve its goals.
Knowledge Council	Body responsible for ensuring that knowledge and information are managed effectively across UK government.
Knowledge Sharing	An activity in which knowledge is exchanged between individuals or groups within or between organisations.
Lesson Learning	Critical review of a project or activity to enable future projects and activities can be carried out more effectively.
Making It Happen	An organisational change programme initiated at DFID in 2008.
Records	Information held by DFID to support its operations, provide evidence of decisions and activities, and to comply with information legislation.
The National Archives (TNA)	Official archive of the UK government to which DFID has a legal obligation to transfer records worthy of permanent retention and release to the public.

# 1 Background and Strategic Context

- 1.1 DFID's prime focus remains poverty elimination in poorer countries and achievement of the Millennium Development Goals, but the context in which it operates is changing rapidly. The global economic downturn, climate change, conflict and fragility present new challenges which will require DFID to work differently, as set out in the new White Paper. In a climate of tighter public spending DFID needs to operate with a falling administration budget and under increased scrutiny from Parliament, NGOs and the UK public. Through *Making It Happen* DFID aims to bring about the change needed to deliver effectively in this demanding environment. We need to manage our resources more effectively including not only human and financial resources, but the knowledge and information assets that we have at our disposal. To succeed DFID must exploit the experience and expertise of its staff and the information that forms its evidence base more effectively.
- 1.2 Previous initiatives to develop DFID's KIM capability<sup>4</sup> have delivered substantial information management systems and procedures, using QUEST and Team site as core tools. We need to build on this investment where possible. Recent Gartner research<sup>5</sup> suggests that traditional Knowledge Management initiatives often involved a centralised effort to organise resources and content, but missed the point that expertise and experience resides with people and is difficult to access and use without collaboration. Users need to be put at the centre of the process, with help to find and use existing content easily, as well as creating new content from the bottom up. Gartner also suggests that successful Knowledge Management initiatives require a top down commitment from senior management combined with a bottom up approach to developing specific projects that will deliver the most business benefits. Too many bottom-up initiatives will, however, lead to an uncoordinated approach.<sup>6</sup>
- 1.3 DFID's recent Information Management Assessment (see Annex A) found that:
- "DFID has embraced the challenges of information management and has taken real strides to ensure that its information is well managed. In recent years, the department has driven forward significant changes across the organisation to make staff aware of their information management responsibilities and has put in place processes to help embed the cultural shift."*
- 1.4 At the same time the report highlights a number of areas requiring improvement. Embedding a culture and practice of good Knowledge Management across DFID has proved difficult, and while there are many examples of good knowledge sharing, the Information Management Assessment highlights this as an area for

---

<sup>4</sup> *Doing the Knowledge*, 2000 and *Doing the Knowledge II*, 2002.

<sup>5</sup> *Socialization of Knowledge Management Drives Greater Reuse*. Gartner, May 2009.

<sup>6</sup> *Organise Knowledge Management from the Top Down while Executing from the Bottom-up*. Gartner, November 2007.

development. A recent review<sup>7</sup> of the Heads of Profession (HOPs) in Policy Division found that there is a need to improve the way HOPs deliver on their responsibilities for Knowledge and Information Management, and identified a “lack of effective processes to support Knowledge Management...”

- 1.5 Across government there are a number of drivers for better KIM. A recently published review of policy making capability *Engagement and Aspiration: Reconnecting Policy Making with Front Line Professionals*<sup>8</sup> outlines a new concept of modern policy which is grounded in evidence and experience. This requires policy makers to become experts at assessing both evidence and experience, and taking a pro-active networking and facilitative approach to policy-making.
- 1.6 The recent NAO report *Helping Government to Learn*<sup>9</sup> stresses the importance of organisational learning in achieving value for money from public services. It argues that departments need to do more to learn from success and failure. A new KIM Strategy for government as a whole has recently been published.<sup>10</sup> In his preface the Cabinet Secretary comments:

*“This strategy is designed to help government departments develop the frameworks, tools and culture needed to raise our capability. By improving professionalism in this essential field, in the same way that we have done in other government functions such as finance, IT and communications, we will be ready to seize emerging opportunities, and meet the evolving challenges, of managing information in an information age.”*
- 1.7 Many aspects of DFID’s KIM are common with the rest of government including: the need to find information quickly and easily; basing our policies and interventions on a sound evidence base; having good record keeping and audit trails for decision making in line with our legal obligations; the need to meet stringent standards for information security; and the need to capture, use and share expertise and experience more effectively. Other aspects are more specific to DFID: ensuring that high quality development research is exploited by DFID and the wider development community; and sharing knowledge and information in a globally distributed organisation. DFID has not achieved the maturity in its management of knowledge and information of leading departments in this area such as GCHQ, and needs to improve its knowledge management considerably to match leading organisations in the wider development community and the private sector.
- 1.8 The FOI Act has been in operation for some time and is now having a significant impact including release of sensitive information about administrative costs. There are likely to be important precedents set over the next few years as the Act beds down further. Implementation of the Dacre review of the 30 year rule will increase

---

<sup>7</sup> *Heads of Profession Review*. Hewitt Associates, February 2009.

<sup>8</sup> *Engagement and Aspiration: Reconnecting Policy Making with Front Line Professionals*. Sunningdale Institute report for the Cabinet Office, March 2009.

<sup>9</sup> *Helping Government Learn*. HC: 129 2008-2009, February 2009.

<sup>10</sup> *Information Matters: Building Government’s Capability in Managing Knowledge and Information*. December 2008.

the volume of older records released to the public, and will require departments to re-prioritise resources to carry out an increased volume of file reviews.

- 1.9 An important development is *The Power of Information review*<sup>11</sup>, which focuses on the emergence of online tools that allow people to use, re-use and create information in new ways. It encourages public sector bodies to make information available in formats and under terms which allow it to be re-used, and has already resulted in a number of innovative new services. The recent appointment to the Cabinet Office of a Director of Digital Engagement means that this trend is likely to continue.
- 1.10 Against this background of business drivers in DFID and a recognition across government that departments need to raise their game on KIM, it is a good time to take stock of what we have achieved in DFID, and to establish a new vision for how better KIM can enable DFID to deliver more effectively in the rapidly changing environment we face. Delivering on this vision will in part require IT-enabled change involving improvements to our information management systems. But the greater challenge will be to bring about the cultural and behavioural change needed to manage information more effectively, and to create and embed a culture of good practice in managing, using and sharing knowledge.

## **2 A Vision for Knowledge and Information Management in DFID**

- 2.1 During late 2008 and early 2009 we ran a series of consultation workshops and discussions with a cross section of DFID staff. These aimed to develop an understanding of what aspects of our KIM are working well, where there are gaps, and what needs to be improved. These were supplemented by discussions with key stakeholders, and we have also been able to draw on best practice from OGDs through the cross government Knowledge Council. We have used this work to develop a vision for DFID's KIM for the next three years.

### **Summary and detailed Vision**

- 2.2 We can summarise the Vision for KIM within DFID as:

'To develop a culture where we value our evidence base (information), experience and expertise (knowledge), manage it well, and actively help people apply it in their daily work to enable us to make better decisions, present a consistent story about our activities, and influence the international development community more effectively in order to tackle world poverty.'

- 2.3 The full vision is as follows:

---

<sup>11</sup> *The Power of Information: An independent review by Ed Mayo and Tom Steinberg. June 2007.*

---

We want our KIM vision to reflect our values of ambition and determination to eliminate poverty, to work effectively with others, and to listen, learn and be creative through our professionalism and knowledge.

So, our vision is to:

- Build a sound, robust and secure evidence base (our information)
- Develop and preserve our experience and expertise (our knowledge)
- Help people apply information and knowledge in their daily work (our tools)
- Build an environment where taking time to network, share, reflect and learn is encouraged and valued with strong leadership from all levels (our culture)
- Be joined up in our information and knowledge activities

to enable us to:

- Make better informed and more effective decisions
- Develop evidence based policies
- Develop more efficient business processes
- Achieve greater influence and engagement with other UK government departments and the international development community
- Present a consistent story about our activities
- Meet our obligations as a government department by complying with legislation and government policy on records, information and knowledge management

in order to:

Tackle world poverty through the delivery of the Millennium Development Goals in a rapidly changing environment.

Elements of this vision are closely interlinked with various aspects of *Making it Happen*. We will use this vision to guide our KIM activities and to shape the changes needed to develop our KIM capability within the framework of *Making it Happen*.

### **3 Drivers for Change**

3.1 This section provides evidence and analysis of DFID's KIM capability and of improvements that we need to make. The evidence comes from a number of sources:

- A series of consultation workshops supported by external consultants
- Assessment against the cross-government KIM Maturity Model
- The recent independent Information Management Assessment
- Discussions with key stakeholders in DFID

- 3.2 The key findings from the consultation workshops are summarised below. Many of them are closely linked to the various *Making it Happen* work streams against which they have been mapped.

Issue / Opportunity	Making it Happen Workstream
We need to ensure that we improve compliance with information management standards so that we have full audit trails for key decisions.	Systems.
We need to improve the quality of our Programme data and information if we are to improve our effectiveness and meet the transparency commitments set out in the White Paper without reputational damage from publishing poor quality data and information.	Systems, Money, Results, Communications
The costs of business processes can be reduced by structuring and managing our data and information more effectively.	Systems, Money
We need to ensure that we have effective systems for capturing and disseminating information on DFID's achievements to ensure continuing support for development from the tax payer.	Systems, Results, Communications
There is a problem of inconsistent information from different sources such as QUEST, Aries, Team site, inSight, and the Web site. This wastes time and can lead to poor decision making.	Systems, Results, Communications, Money
Evidence needs to be captured, evaluated and synthesised more systematically to support better and more consistent policy formulation and operational decision making.	Results, Systems
We need to develop more consistent processes for lesson learning, capturing and sharing expertise and experience, including during induction and when individuals leave or move within DFID.	Systems, People, Results
We need senior managers to provide leadership for more effective KIM, and to increase understanding of how good KIM can help deliver objectives.	Systems, People, Communications
We need to increase people's motivation and incentives for managing knowledge and information more effectively.	Systems People,
We need to help people manage information overload by developing their information management skills and providing better tools and guidance.	Systems, Communications
We need to improve the skills of our staff in managing knowledge and information and searching for information on	Systems, People

Issue / Opportunity	Making it Happen Workstream
QUEST and other systems. This will avoid re-inventing the wheel and support more effective compliance.	
We need to improve our information management systems. A successor to QUEST needs to be more intuitive and easier to retrieve information.	Systems
We need a joined up approach to KIM across DFID to avoid different areas going in inconsistent directions and waste of resources.	All work streams and Divisions.

### DFID's level of KIM maturity

- 3.3 The Knowledge Council – the cross departmental body co-ordinating the development of the KIM function in government - has developed a KIM Maturity Model which is being used by government departments to assess themselves against a range of KIM-related criteria. These are assessed against a 5 point scale representing the departments' level of maturity in its adoption of good KIM practice:

Level of maturity	Features
Naïve	Department wakes up to KIM
Aware	Department tries out KIM
Defined	Department starts implementing KIM
Managed	Department "gets" KIM
Embedded	KIM is part of the department's good business practice

- 3.4 DFID's assessment (Annex B) shows an inconsistent level of maturity. Overall it has broadly reached the *Defined* level of maturity, though some areas differ markedly, with the Information Security rated as *Embedded*, while the sharing knowledge and managing our content and intellectual capital indicators are rated as *Naive*. Other areas most in need of development are Training and Skills, and Staff Motivation and Reward for good KIM practice.

### DFID's Information Management Assessment

- 3.5 In November 2008 The National Archives carried out an assessment of DFID's KIM as part of a cross government programme. Overall DFID was assessed as managing its knowledge and information well, with ratings of *Good* or *Best Practice* on 15 of the 20 assessment criteria. However, the benchmark for the

assessment was other government departments, and there is a need do considerably more if DFID is to match leading knowledge-based organisations. The 5 areas identified for attention are:

Areas for attention in the Information Management Assessment November 2008		
Knowledge Management		Satisfactory
Training for Knowledge and Information Management		Satisfactory
Appraisal, disposal and transfer of electronic and paper records		Development needed
Sustainability of digital records		Satisfactory
Resourcing for Knowledge and Information Management		Satisfactory

- 3.6 Action is in hand to begin addressing the weakest of these - appraisal, disposal and transfer of electronic records to The National Archives. Fully addressing this will take some time, especially following the government's recent decision to reduce the date at which records are released to the public from 30 to 20 years after creation. We have recently taken part in a National Archives' pilot to assess the sustainability of our digital records in more detail, and DFID has been assessed as low risk compared with other government departments. Plans are being developed to address the points identified in this digital continuity assessment. The other three issues identified in the Information Management Assessment are addressed by this KIM Strategy.

### Key Stakeholders

- 3.7 Consultation and discussions within DFID have identified a number of stakeholders for whom more effective KIM is essential to delivering their business objectives, or who are key to delivering improvements in KIM across DFID:

- ***Making it Happen Results* workstream**

- 3.8 The Results workstream of Making it Happen has a goal of *Better results for poor people – and the evidence to prove it*. There is a strong emphasis on improving our evidence base by various means including:

- Generating concrete and reliable information for communications

- 
- Making more use of quantitative information on outputs and outcomes in our interventions
  - Stepping up the quality and pace of evaluation in DFID and internationally and incorporating the lessons learned from it.
- 3.9 There are widespread problems in finding information to support and demonstrate Results - for example in synthesis of PCR reports for evaluation purposes. There is a need to strengthen our information management systems that hold our evidence base, and make it easier to retrieve and exploit this evidence to support Results and communications.
- 3.10 In Policy area there are a number of drivers for developing more effective KIM. In the Policy Groups:
- Developing policy based on evidence and research from both internal and external sources.
  - Supporting and developing networks for knowledge sharing including people within DFID and those outside.
  - Need to be share information more effectively between parts of DFID to support better policy making
  - Need to support networks of professional cadres within DFID
  - The need to develop Knowledge Management within the professional cadres.
- 3.11 In the Research area there are a number of key requirements:
- To ensure that research commissioned by DFID is exploited effectively within DFID and within the wider development community.
  - Using the Web to manage, present and disseminate research more effectively. The R4D site, which is hosted under an outsourced contract, acts as the main source of information on DFID funded development research. Under government policy to rationalise the number of government Web sites there is a need to bring this within the framework of the re-designed DFID Web site.
  - Research Fellows are seconded to DFID for 2 years before returning to academic institutions. DFID needs to achieve a two-way knowledge transfer process, making full use of Research Fellow's expertise during their secondment, and ensuring that key expertise and experience is captured so that we can continue to benefit from their expertise when they have left DFID.
- 3.12 Under the DFID Research Strategy there is a commitment to developing a Knowledge Management Strategy for Research. This should be aligned with the current DFID KIM Strategy, taking advantage of wider cross cutting initiatives being implemented under the KIM Strategy.
-

- 3.13 Evaluation Department has recently launched a new evaluation strategy *Building the Evidence to Reduce Poverty: DFID's Evaluation Delivery Strategy 2009-2012*. One of the 4 pillars of the strategy is to develop a culture of learning to support better evaluation:

<b>Pillar 3: A culture of learning across DFID</b>
<ul style="list-style-type: none"> <li>• <b>Key staff across DFID will be trained in evaluation</b> management and sharing and using evaluation results.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>DFID senior managers and committees will increase the level of challenge regarding the use of evaluation:</b> checking whether new proposals for policy or programming have adequate plans for evaluation as well as evaluation evidence and recommendations.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Evaluation Department will take on a stronger role</b> in supporting and synthesising lessons from evaluations across DFID.</li> </ul>
<ul style="list-style-type: none"> <li>• <b>DFID management will reward good evaluation work</b> through including evaluation skills and experience as a criterion in posting and promotability, and through showcasing good examples.</li> </ul>

- 3.14 The need to develop a culture of learning to improve the practice and use of evaluation is a specific example of a more general requirement identified in the consultation process. There is scope to work closely with Evaluation Department to do this, and to generalise the approach to developing a culture of lesson learning and critical reflection to benefit other areas of DFID's work.

- 3.15 There are also significant problems in finding and managing information to support monitoring and evaluation<sup>12</sup> which need to be addressed.

- ***Making it Happen People Workstream***

The People Workstream of *Making it Happen* has a goal of *A leaner, fitter, higher performing, more capable DFID*.

- 3.16 Consultation and discussions about this Strategy identified a number of ways of improving our KIM that have a strong "People" aspect to them including:

- Rewards, incentive and competences relating to Knowledge and Information Management including sharing knowledge and information.

<sup>12</sup> Baseline Audit of the State of Monitoring and Evaluation in DFID. March 2008.

- Action learning sets
- Improved learning and training for KIM
- Developing a more professional approach to Knowledge and Information Management through a cadre of KIM specialists in line with the KIM strategy for government.

3.17 DFID current spends over £7M annually on learning and development for its staff. Although there is strong demand and evidence of a clear need for more training to improve KIM skills including better use of QUEST, Teamsite, knowledge sharing and reuse, almost none of this £7M is devoted to this. We need to better understand people's learning and development needs in relation to KIM, and to get a better picture of what is actually being spent from local budgets. We then need to agree at a corporate level how we can resource and deliver learning and development in a more cost effective way.

- ***Making it Happen Communications Workstream***

3.18 A key part of the Communications Workstream involves DFID staff contributing to demonstrating impact and achieving good media coverage. To do this we need to exploit KIM tools and techniques to tap into our staff's knowledge to tell an effective story in support of the Communications Strategy. We also need to ensure that staff exploit key knowledge bases, including CHAPTER and the Standing Briefs system, to ensure that DFID presents consistent and effective information in its external communications with the media, Parliament and other stakeholders.

### **Other Corporate requirements**

- **Information Assurance**

3.19 An important aspect of DFID's KIM capability is Information Assurance. DFID has devoted considerable effort to gaining accreditation to the ISO 27001 standard for Information Assurance, but we need to ensure that this is maintained and that we respond effectively to on-going Cabinet Office requirements.

- **Green working**

3.20 DFID is committed to reducing its carbon emissions and adopting increasingly environmentally friendly ways of working. Good KIM can help deliver this by supporting flexible working, reducing travel and paper consumption by handling information more effectively in electronic format.

## 4 Developing DFID's KIM Capability

4.1 Realising our vision for KIM in DFID will require a range of activities and a sustained programme of change involving all DFID staff to varying degrees. This section summarises the proposed activities and changes needed, and indicates the impact each change will have and the difficulty of achieving it. A separate Delivery Plan showing time scales and responsibilities will be developed.

### Managing, using and sharing knowledge and information securely

4.2 We will take forward initiatives to manage, use and share our knowledge and information more securely by:

Activity	Making it Happen	Impact	Difficulty
Further developing our knowledge base and systems for correspondence and external communication under the CHAPTER project	Systems Comms	Medium	Medium
Developing a better understanding of Knowledge and Information requirements in Policy Division, and implementing a programme of work to support more evidence based policy making and support for the professional cadres.	Results Systems	High	High
Improving the quality of our Programme data and information to enable us to meet transparency commitments and to support more effective monitoring and evaluation.	Results Systems Money	High	High
Establishing mechanisms to transfer expertise and experience when people move between posts or leave DFID	Systems People	Medium	Low
Making better use of existing information management systems and internal communications tools including QUEST, Teamsite and inSight and the eLibrary.	Systems Results	Medium	Medium

### Leadership for good KIM

4.3 We will ensure effective leadership for good KIM by :

Activity	Making it Happen	Impact	Difficulty
Securing buy-in from all levels of management for good practice in KIM	Systems	High	High
Developing support for good KIM practice by working with existing networks and KIM enthusiasts across DFID	All	High	Medium

### Developing a collaborative culture in the way we work

4.4 We will develop a more collaborative culture in the way we do business across DFID by:

Activity	Making it Happen	Impact	Difficulty
Providing better support for networks and communities of practice	All	Medium	Medium
Encouraging best practice in use of existing collaborative tools including Teamsite and the pilot Wiki	All	Medium	Low
Assessing and where appropriate exploiting social media tools effectively for collaboration within DFID, with other government departments and our partners.	All	Medium	Medium
Encouraging people to connect with others with relevant knowledge and skills within DFID.	Systems People	Medium	Medium

### Managing content and intellectual capital

We will ensure more effective management and exploitation of information content and intellectual capital by:

Activity	Making it Happen	Impact	Difficulty
Working with the Research Division to develop better Knowledge Management by:	Results, Systems		

<ul style="list-style-type: none"> <li>• Transferring the R4D site to the DFID Web site</li> <li>• Rationalising and providing better access to DFID funded research consortia sites</li> <li>• Mapping and quality assessing development research</li> </ul>		Low	Low
		Medium	Medium
		High	High
Improving inSight to support better internal communications	Systems Comms	Medium	Medium

### Meeting our legal obligations

4.5 We will meet our legal obligations by:

Activity	Making it Happen	Impact	Difficulty
Ensuring that our electronic documents and records remain usable in the context of digital obsolescence	Systems	Medium	Medium
Developing systems and procedures for review, retention, destruction and transfer of electronic records and documents to The National Archives	Systems Comms	Medium	High
Implementing changes following the Dacre review of the 30 year rule	Systems Comms	Low	Medium

### Capturing and exploiting knowledge more effectively

4.6 We will capture and exploit our knowledge more effectively by:

Activity	Making it Happen	Impact	Difficulty
Supporting more effective lesson learning and evaluation	Systems Results	High	Medium
Developing an initiative to encourage reflective learning as an integral part of the way we work	All	High	Low
Developing more effective processes	All	Medium	Medium

Activity	Making it Happen	Impact	Difficulty
for capturing and sharing knowledge, identifying best practice and presenting our evidence base in a more usable format.			
Developing case studies for KIM and using them to disseminate best practice	Systems Comms	Medium	Low
Sharing expertise through Action Learning Sets	All	Medium	Medium
Addressing technical, security and cultural barriers to sharing information across government.	All	High	High

### Exploiting and developing our tools and technology

- 4.7 Our KIM capability is underpinned by a number of corporate information management tools. We will take forward a number of projects to improve existing tools and develop new ones as follows:

Activity	Making it Happen	Impact	Difficulty
Improving the QUEST file plan and search engine, and improving its functionality through a software upgrade	Systems	High	High
Planning for a next generation system to replace QUEST with a more intuitive solution	Systems	High	High
Developing CHAPTER to achieve more efficient business processes for handling submissions, public enquiries and FOI / Data Protection requests.	Systems	Medium	Low
Reviewing our collaborative working tools and considering how best to use social media tools and to manage information overload.	Systems Comms	Medium	Medium
Reviewing tools to support networks and communities of practice and	Systems	Medium	Medium

Activity	Making it Happen	Impact	Difficulty
implementing appropriate changes			
Developing tools to support sharing of information with other government departments and external delivery partners.	Systems	Medium	Medium

### Motivating and rewarding staff for effective KIM

4.8 We will motivate and reward staff for effective KIM behaviours by:

Activity	Making it Happen	Impact	Difficulty
Building knowledge sharing and information management into the competency, individual performance objectives and promotion frameworks	Systems People	High	Medium
Analysing KIM related learning and development needs and agreeing how these can be resourced and met cost effectively. Better use of QUEST and Teamsite and management of information overload are key priorities.	Systems People	High	Medium

### Developing professional KIM skills across DFID

4.9 In line with the KIM Strategy for Government we will develop specialist capability in KIM both in the central KIM team and where appropriate in Divisions by:

Activity	Making it Happen	Impact	Difficulty
Developing DFID's KIM professional cadre	Systems People	Medium	Medium
Developing the role of the KIM Head of Profession	Systems People	Medium	Medium

## Top priorities

4.10 The top five priorities from this range of deliverables are:

- Ensuring that we make better use of existing information management tools including QUEST and Teamsite to achieve better compliance, develop a stronger and more useable evidence base, and to meet our transparency commitments including systems for review and transfer of electronic records to The National Archives.
- Improving our information management systems and processes and where necessary developing new systems, so DFID staff are supported by the best possible tools to meet the challenges they face. In particular inSight needs to be improved to support more effective internal communications and employee engagement.
- Embedding lesson learning and effective use of sound evidence and research to ensure effective policy making, evaluation and delivery of Results.
- Strengthening our performance and capability by effectively capturing and sharing key knowledge, expertise and experience of our staff, especially during induction and when people change roles or leave DFID.
- Developing more effective collaboration within DFID and in our work with our Whitehall and international partners, in which sharing of knowledge, information and best practice is recognised and practised as an integral part of effective delivery.

## 5 Delivering the KIM Strategy

### The KIM Programme

- 5.1 This KIM Strategy sets out a vision and an associated set of business change activities affecting the whole of DFID. We will co-ordinate and drive this change process through a KIM Programme, set up and run in line with OGC best practice for change Programmes in UK government. The Programme will be overseen by a Programme Board for which the Senior Responsible Owner will be the Director of Business Solutions, with membership drawn from a cross section of senior representatives from DFID, plus the Head of Knowledge and Information Management at The Treasury to provide an expert external view.
- 5.2 The KIM Programme Board will formally report to the Capital Portfolio Board, and the Programme will sit within the *Systems Workstream* of Making It Happen, but will deliver benefits across all workstreams..
- 5.3 The KIM governance matrix at Annex C shows more broadly how we will govern our KIM across DFID.

## Resourcing the KIM Programme

5.4 Centrally allocated funding for the KIM Programme is as follows:

Year	Type	Amount
2009/10	Admin capital	£1.6M
	Admin	£0.11M
2010/11	Admin capital	£1.6M
	Admin	£0.11M

- 5.5 This is anticipated to provide adequate funding for capital investment in IT up to March 2011, but work to achieve many of the proposed Knowledge Management related changes will need to be funded on admin. We will use the small admin funding allocation for one or two central Knowledge Manager posts in the KIM team. Many of the activities are closely linked to existing work such as business as usual activities within the KIM Team or implementation of the Evaluation Strategy, and it will be possible to work with existing funded staff to implement change. In the Research area a number of dedicated are being created using Programme funding, and it will also be possible to work with a range of individuals across the department who have Knowledge Management as part of their responsibilities. We will need to review the provision of admin resource to supporting effective KIM in the context of the next Comprehensive Spending Review. Further capital funding will be needed beyond 2010/11 if we are to invest in essential re-fresh and improvements for our core information management systems.
- 5.6 DFID does not currently hold significant funds for learning and development in the centre, with most of the annual £7M spend coming from divisionally held budget. Under these funding arrangements we will need to deliver most of the learning and development activities outlined above on a cost recovery basis, with funding coming from divisional training budgets. Training of Information Managers in relation to the QUEST upgrade can legitimately be funded on capital. In some cases it is likely that training will be mandatory to ensure compliance with essential practice in information management even where it needs to be funded by Divisions. We need to give further thought to whether a larger proportion of training funds should be held in the centre to provide essential training for use of our core information management systems.

## Business case, evaluation and benefits realisation

- 5.7 The KIM Programme will develop a business case covering both the centrally funded capital investment and costs associated with staff and other resources engaged in implementing the KIM Strategy. It will also develop a strategy to identify, measure, evaluate and realise benefits in line with OGC best practice.

## Communications and stakeholder engagement

5.8 DFID is currently undergoing a substantial amount of business change and this has generated a lot of communication to a point where it is difficult to engage attention for further change initiatives. There is also a concern that corporate processes should be streamlined and that the centre should not add unnecessarily to demands on the front line. Delivering the KIM Strategy will require substantial communication and engagement with staff across the department. In particular:

- We need senior managers to provide leadership in developing a more collaborative culture in which knowledge capture and sharing is valued and practised as a core part of the way we do business.
- We need all Heads of Department, Country Office and other senior managers to make a visible commitment both themselves and through their teams to better use of existing information management systems including QUEST and Teamsite, and to helping improve them.

5.9 We will undertake communication in a practical way relating to specific initiatives and benefits to staff. Where possible we will link communication and changes to other existing initiatives to minimise demands on the front line. We will not undertake a large amount of Programme level communication and awareness raising, because this is already taking place through Making It Happen. We will develop a Communications Strategy for the Programme based on these principles.

## Managing risks

5.10 In line with OGC best practice we will manage and alleviate risks to delivery of the KIM Strategy. Risks and counter measures relating to IT aspects of the Programme should be relatively straightforward to manage, but risks relating to cultural and organisational change are likely to be more challenging and will need careful management. The top 4 risks to the Programme are:

Risk		Counter measure
1.	Change fatigue in DFID	- Align changes with Making it Happen and communicate specific benefits of changes in a way that is relevant to staff.
2.	Staff too overloaded to devote sufficient time to more effective knowledge and information management	- Identify and communicate where more effective KIM can save staff time and enable them to work more effectively
3.	Staff lack the necessary skills to manage knowledge and information more effectively.	- Work with HR to build KIM skills into competence and performance assessment






Risk		Counter measure
		systems. - Secure senior management commitment to make training for better KIM a corporate priority.
4.	IT aspects of the Programme adversely affected by lack of key technical resources or roll out clashes with other projects.	- Plan and manage resources effectively, liaising with other project managers, and exploiting. Supplement in-house technical resources with contractors where necessary.

### Embedding and sustaining good KIM practice






5.11 Previous KIM initiatives in DFID have not realised their full potential partly because support for business and cultural change was not sustained and resourced beyond the end of the formal Programmes. We will need to guard against this by ensuring that change is firmly embedded in business processes and culture, and maintaining sufficient capability in the centre to act as an on-going catalyst for good KIM practice beyond the end of the KIM Programme.

## Annex A: DFID's Information Management Assessment, November 2008




### Governance and Leadership

Strategic management		Best Practice
Business objectives		Good
Management controls		Best Practice
Resourcing		Satisfactory
Risk management		Good

### Records Management

Creation		Best Practice
Storage		Good
Appraisal, disposal and transfer		Development needed
Sustainability of digital records		Satisfactory
Management		Good

### Access

FOI/Data Protection		Best Practice
Re-Use		Best Practice
Security		Best Practice

### Compliance

Staff responsibilities and delegations		Good
Policies and guidance		Best Practice

---

Training		Satisfactory
Change management		Good
<b>Culture</b>		
Commitment		Best Practice
Staff understanding		Best Practice
Knowledge Management		Satisfactory

## Annex B: KIM Maturity Model

	<b>NAIVE</b>	<b>AWARE</b>	<b>DEFINED</b>	<b>MANAGED</b>	<b>EMBEDDED</b>
	<b>Department wakes up to KIM</b>	<b>Department tries out KIM</b>	<b>Department starts implementing KIM</b>	<b>Department 'gets' KIM</b>	<b>KIM is part of department's good business practice</b>
<b>Managing, using &amp; sharing information &amp; knowledge securely</b>	Recognition of need for improved tools, processes and training.	Ad hoc development and piloting of tools, processes and training.	Planned developments for identifying, protecting, distilling, securely storing and sharing knowledge and information.	Some implementation of tools, processes and training for identifying, protecting, distilling, securely storing and sharing knowledge and information.	Widespread application of corporate tools, processes and training is delivering real benefit.
	Disparate information systems.	Recognition of need for a strategic approach to information management	Consistent use of information management tools	Knowledge and information management tools are supported by effective processes and training.	Information managed throughout its life cycle.
	No formal knowledge and information sharing system; people use their personal network to learn what they can.	People cast around to find out "who knows what"; lessons documented but not used.	Some application of information management and knowledge sharing tools and techniques.	Technology and tools support increased collaboration and improved ability to locate staff with specific knowledge and expertise	Systems and services support learning before action; externally linked, self-sustaining communities of practice
			Need for technology and tools to support collaboration and locating staff with specific knowledge and expertise is recognised and being addressed.		Assured information security.
<b>Strategy &amp; Governance</b>	Need for KIM strategy identified.	KIM strategy under development.	KIM strategy developed but not linked to business model.	KIM adopted as part of Department's corporate strategy.	KIM recognised as strategically important and integral to Department's business model.
	Head of KIM role identified.	Dedicated team set up & gets to work.	KIM oversight in place.	KIM governance incorporated into business model.	KIM governance routinely enacted as part of business model.
	CIO role identified.	KIM metrics patchy & not widely reported.	Corporate benefits & metrics identified & agreed by oversight body.	Corporate KIM metrics start to be collected and reported to Board or equivalent committee in organisation.	Value of KIM to the business regularly measured and reported. Board or equivalent committee comments on report at agreed times in the year.

	<b>NAIVE</b> Department wakes up to KIM	<b>AWARE</b> Department tries out KIM	<b>DEFINED</b> Department starts implementing KIM	<b>MANAGED</b> Department 'gets' KIM	<b>EMBEDDED</b> KIM is part of department's good business practice
	Need to measure the value of KIM identified.		Many people say that KIM is important to the Department's success. Head of KIM and CIO in place reporting to Board. There is support for KIM at Directorate level and increasing support from other leaders and managers.	The majority of staff understand the benefits of KIM to the Department. There is demonstrable and widespread commitment to KIM from senior leadership & middle management.	
	-				
<b>Culture &amp; leadership</b>	Isolated people with a passion for KIM begin to talk about doing it here.	A few people say KIM is important to the department	Many people say that KIM is important to the Department's success.	The majority of staff understand the benefits of KIM to the Department.	Department is recognised internally and externally as a 'Knowledge & Learning Organisation'.
	Most leaders & managers are unaware of the benefits of knowledge sharing and good information management.	Some leaders & managers see the benefits of KIM but there is little visible support from the top.	Head of KIM and CIO in place reporting to Board. There is support for KIM at Directorate level and increasing support from other leaders and managers	There is demonstrable and widespread commitment to KIM from senior leadership & middle management.	Senior leadership & middle management actively & consistently demonstrate their commitment to KIM.
	-				
<b>Managing content &amp; intellectual capital</b>	It is difficult to find out what the Department knows, where the information is kept (what systems) and/or who knows it	There is access to lots of captured knowledge but it is not coherently managed or distilled; expertise is still difficult to locate.	There is corporate and individual recognition of the need to constantly refresh and distil knowledge and information	Responsibility for distilling and refreshing information is taken both at the individual and corporate level; people routinely find out 'who knows' and talk to them.	Department has clearly identified its information assets; the means are in place to locate & map important knowledge within the organisation.
	-				

	<b>NAIVE</b>	<b>AWARE</b>	<b>DEFINED</b>	<b>MANAGED</b>	<b>EMBEDDED</b>
	<b>Department wakes up to KIM</b>	<b>Department tries out KIM</b>	<b>Department starts implementing KIM</b>	<b>Department 'gets' KIM</b>	<b>KIM is part of department's good business practice</b>
<b>Information legality</b>	The need for tools processes & training to enable compliance with information legislation is recognised.	Capability, processes & training are developed to enable compliance with information legislation.	Capability, processes and training are implemented to enable compliance with information legislation	We have the capability and processes in place, and use them, to enable compliance with information legislation.	We comply with information legislation to the satisfaction of external oversight authorities.
<b>Knowledge sharing &amp; exploitation</b>	Networking happens in an adhoc and un-controlled way. Its value is not fully recognised by the business.	Some lessons learned are captured but these are not managed. Re-use of knowledge is patchy.	There is a suitable range of systems and processes to support appropriate knowledge sharing and collaboration, eg. Knowledge harvesting and use of wikis.	There is coherent adoption of systems and processes for internal communication and collaborative working.	KIM networks are organised around business needs and form a central plank of good business practice.
	People are conscious of the need to learn lessons and re-use knowledge but there is little time or encouragement to do so.	The value of networks & communities is recognised by Department.	Corporate tools and processes for the capture and re-use of knowledge are developed and implemented.	There is widespread adoption of KIM processes which support the capture and re-use of knowledge eg. harvesting knowledge and lessons learned	Learning before, during & after are integral to corporate business processes.
<b>Technology &amp; tools</b>	Some technology available to support KIM.	Some Programmes accept the need to deliver KIM compliant tools.	Set of principles for new tools devised by central team.	A comprehensive portfolio of corporate KIM tools and technologies is available. Its use is widely communicated and understood	Corporate KIM tools are routinely used as part of everyday business.
	KIM principles are not considered when new tools are introduced.	Department pilots KIM tools & technologies.		When new tools are developed they are expected to incorporate KIM principles.	The KIM strategy has a major influence on the IT strategy.

	<b>NAIVE</b>	<b>AWARE</b>	<b>DEFINED</b>	<b>MANAGED</b>	<b>EMBEDDED</b>
	<b>Department wakes up to KIM</b>	<b>Department tries out KIM</b>	<b>Department starts implementing KIM</b>	<b>Department 'gets' KIM</b>	<b>KIM is part of department's good business practice</b>
<b>Staff motivation &amp; reward</b>	Department's system seems to reward knowledge hoarding.	Department recognises that good KIM should be rewarded.	KIM competency is part of formal staff performance evaluation	Leaders set expectations for good KIM by asking the right questions and rewarding the right behaviours.	KIM is an expected management competency.
<b>Training &amp; skills</b>	Need for KIM skills unrecognised.	KIM skill set identified but only required for dedicated team.	Need for KIM training/skills across Department identified.  Staff using information tools are IT literate.	Departmental training & development activities encourage the development of better KIM capabilities.	The workforce is highly skilled in KIM and regularly update and refresh skills.

## Annex C: KIM Governance Model

### Governing Bodies

Areas of Responsibility

	Knowledge Council	The National Archives	Management Board	Business Owner	Capital Portfolio Board	ISD	SRO & KIM Programme Board	Programme Director/ Manager	KIM Team Leaders	Project Manager	Steering Group	IT User Groups
<b>Legal Obligations and Pan Governmental Strategy</b>	Provide direction and assessment tool	Provide details on the legal requirements for Knowledge Management and assessment tool						Ensure the KIM Board are aware of current and future guidance and legal etc	Provide input to Programme Director/ Manager			
<b>Programme Strategy</b>			Making it Happen Agenda	Provide ideas	Approved as a strategic fit for DFID		Develop and champion strategy	Develop and coordinate strategy	Provide input			Provide input
<b>Projects</b>				Provide Mandate, allocate resources, support benefits realisation		Provide resources for: Development CAB Architectural review Testing Environment	Approve Projects	Direct and monitor Project Managers	Provide input	Deliver projects	Assurance of deliverables and advice to the KIM Board	Review Requirements and Test Plans
<b>Funding</b>					Approve Programme Budget		Approve Project Budgets	Report and secure		Manage and monitor		
<b>Embedding KIM</b>			Champion programme and projects	Champion Projects	Champion programme and projects	Deliver relevant tools	Champion programme and projects	Champion and manage programme and projects	Champion in business as usual	Deliver projects	Champion Projects	Provide input
<b>Developing KIM skills across DFID</b>	Champion skills development	Champion skills development	Champion skills development	Support and fund training and development			Reinforce the need for skills development	Establish training programme	Provide input and deliver	Manage	Provide input	Provide input and review