# MANUAL FOR POST-PROJECT KNOWLEDGE CAPTURE

with Case Application on the Project :

Citizen-Led, Citizen-Responsive and Citizen-Owned Governance

through Bridging Leadership

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# Introduction

## Rationale

During its normal course, a project generates useful work templates, directories, reusable forms and other **knowledge products** (or sometimes referred to as knowledge objects or knowledge artifacts). Project team members learn useful lessons and develop good working relationships with organizations and individuals outside the project. All this knowledge is potentially useful to next similar projects, but if this potential value is not recognized, then this knowledge is not used. Project team members disband and move on to other work elsewhere. They forgot lessons learned. Project documents are filed somewhere and after months and years no one in the organization is aware of their existence or utility.

If a similar project is started by other people in the organization or elsewhere, the new project team starts without the benefit of what were learned in the previous project. They waste time and resources by starting from the bottom of the project learning curve because of the absence of **cross-project learning**.

Cross-project learning is best accomplished if it is embedded in project design and project implementation. However, after a project had been started or even recently finished and managers belatedly realized the value of cross-project learning, they can still achieve it through **post-project knowledge capture** (PPKC). This manual seeks to help organizations and project teams implement PPKC.

# Knowledge Management

## 1. Definition, scope and purpose of KM

According to leading KM practitioners, the term "**knowledge**" means capacity for effective action.[1] From an asset perspective, there are three types of knowledge assets: human, internal and external. All three types are **intangible** assets, that is, they are non-physical, create value for a firm but are often not entered in the accounting system. From an intellectual capital perspective, the three types of intellectual capital or knowledge assets are **human capital**, **structural capital** and **relationship capital**, respectively.[2] The three types can also be described as embodied knowledge, embedded knowledge and enculturated knowledge, respectively.

All three forms of knowledge must be captured in a PPKC.

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[1] Here are some definitions from leading KM practitioners:

*"Knowledge is information that changes something or somebody — either by becoming grounds for action, or by making an individual (or an institution) capable of different or more effective action"* – Drucker, Peter. The New Realities. Harper & Row, 1989.

*"Justified belief that increases an entity's capacity for effective action"* – Nonaka, Ikujiro. Organization Science 5(1):14-37 (1994).

*"Knowledge… should be evaluated by the decisions or actions to which it leads."* – Davenport, Thomas and Prusak, Laurence. Working Knowledge: How Organizations Manage What They Know. Harvard Business School Press, 1998.

*"Knowledge is the understanding of relations and causalities, and is therefore essential in making operations effective, building business process, or predicting the outcomes of business models."* – Kluge, Jurgen, Wolfram Stein and Thomas Licht. Knowledge Unplugged: The McKinsey & Company Global Survey on Knowledge Management. Palgrave MacMillan, 2002.

*"I define knowledge as a capacity to act"* – Sveiby, Karl Erik. The New Organizational Wealth: Managing and Measuring Knowledge-Based Assets. Berrett-Koehler Publishers, 1997.

*"Knowledge is information in action"* – O'Dell, Carla and Grayson, C. Jackson Jr. If Only We Knew What We Know. The Free Press, 1998.

[2] For reviews and discussions of the meanings and varying usages of these terms, see for example: Talisayon, Serafin and Leung, Vincent. An Expanded Intellectual Capital Framework for Evaluating Social Enterprise Innovations, Proceedings of the 6th International Conference in Knowledge Management. Hongkong, 2008. Also: Talisayon, Serafin and Suministrado, Jasmin. Knowledge for Poverty Alleviation. Proceedings of the Conference on Knowledge Architectures for Development. Singapore, 2008.

The purpose of KM is effective (individual or group) decision or action. KM is good KM if the result is better performance, greater productivity, better learning and innovation, more revenues or faster revenue growth, or greater value creation.

## 2. KM Framework A

A KM framework consistent with the definition of knowledge is diagrammed below.[3]

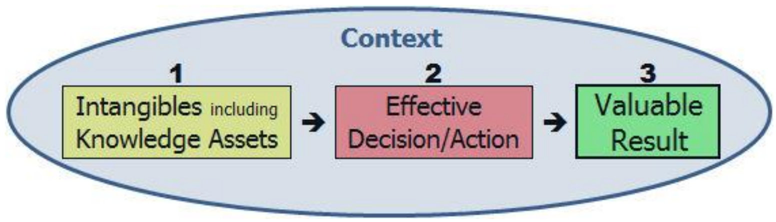



**Figure 1: KM Framework A**

Framework A is a results or output-oriented framework suited for: (a) linking KM to project results, (b) identifying knowledge assets to support each major action in a project logframe, and (c) monitoring and evaluation of the impact of KM.

## 3. KM Framework B

Research on the ingredients of effective action reveals that there are four categories of ingredients, and a fifth category – **motivational factors** – that cuts across the first four.[4] The resulting input-oriented KM framework consistent with the definition of knowledge and the three categories of intellectual capital is diagrammed below.

[3] Talisayon, Serafin. "Overview" in Knowledge Management in Asia: Experience and Lessons. Asian Productivity Organization, Tokyo, 2008.

[4] Talisayon, Serafin. "Some Stories about How Personality and Culture Come into Our Knowledge Management Practice" read at the Conference on Innovation in Managing Knowledge for the Competitive Edge, Kuala Lumpur, Malaysia, June 30- July 2, 2008.

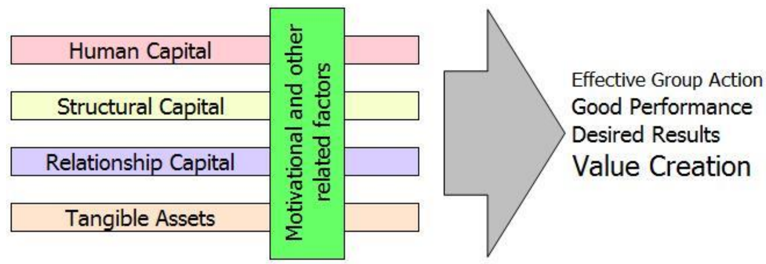



**Figure 2: KM Framework B**

According to Framework B, knowledge transfer procedures such as post-project knowledge capture (PPKC) should be results-oriented. A good PPKC is one which enables a user (the implementors of a next similar project) to achieve better results.

## 4. Tacit and Explicit Knowledge

**Explicit knowledge** is documented or encoded knowledge, such as formulas, recipes, manuals, work templates, process flow diagrams, and other knowledge products. **Tacit knowledge** is undocumented knowledge such as skills, expertise and experience in people's heads. There is generally more tacit than explicit knowledge in an organization. Explicit knowledge such as a knowledge product is an abstracted or de-contextualized form of knowledge; applying explicit knowledge requires adapting it to a particular context.

## 5. Information versus Knowledge

**Information** and knowledge overlap. Only actionable information is knowledge. While information is "know what" or "what is," knowledge is "know how" or "what works."

## 6. Levels of Learning

A PPKC should include other forms of learning besides "what works" for the effective action in next similar projects. Learning and knowledge transfer can occur at three levels: conceptual learning, learning of practical skills or what works, and learning of paradigms. In a PPKC, new concepts in the form of new **terminologies**, acronyms, phrases and constructs must be collected and defined. A **paradigm** is a framework that determines what and how a person views and thinks about how the world works. This manual uses a case project on "bridging leadership" that illustrates how to capture a new paradigm. (Annex A: The Bridging Leadership Project and Results)

## Difference between PPKC and Conventional Project Evaluation

Table 1 summarizes the difference between PPKC and the conventional project evaluation.

| | Conventional Project Evaluation | Post-Project Knowledge Capture |
|---|---|---|
| Purpose | To assess outputs against objectives | To document learning gained and know-how developed/tested |
| Intent | Effectiveness of development program, better program or project design | Greater capacity of community for self-assessment, more effective design and execution of next projects |
| User | Administrators, Donor/funding agency | Practitioners, people's organizations, project staff/implementors |
| Focus | Outputs, outcomes, impacts | Workable tools, templates, processes, useful relationships |
| Learning | Vertical feedback: administrators, donors and funders learn | Horizontal feedback: field practitioners, communities, project staff learn |
| Viewpoint | Etic or external to the community, mainstream discourse | Emic or internal to the community; grassroots discourse |
| Dynamics | Donor-driven or top-driven, preserves top-down divide, disempowering | Driven by field-level practitioners and communities, mutual learning across top-down divide, empowering |
| Owner | For but not of or by the people | For, of and by the people |
| A Tool of | Project management | Knowledge management |

# Users Guide

## Intended Users

The central guidelines in PPKC are: (a) capture whatever knowledge will be useful for more effective action in the next project, and (b) present this knowledge in the form most convenient for the user. The user of a PPKC manual is the next project team who will re-use the knowledge gained from the previous similar project:

- those who will negotiate and design the project
- the project managers and others who will implement the project

Program managers, project evaluators and program management specialists who want cross-project learning, better program design and better guidelines for project identification and design are also possible users.

## Scope of a PPKC

PPKC generally contains the following:

- Terminologies;
- Re-usable knowledge: lessons learned by project staff, organized collection of knowledge products and record of useful external relationships;
- Motivational factors found effective; and
- New or improved frameworks.

In a PPKC, the process of eliciting and documenting tacit knowledge is called a **lessons-learned session** (LLS). Structural capital is mostly explicit knowledge which can be captured through organized collection of knowledge products generated or developed by a project.

## Level of Effort for a PPKC

After a 12-month long project, a PPKC will require about 2-4 weeks for collecting and organizing knowledge products, 1 day for an LLS by everyone involved in project design and implementation and about 2 weeks to document the LSS and to put together all outputs in a convenient form.

## How to Use and Contribute to this e-Manual (see also Section 7.2)

A separate webpage with its own comment field is provided for each chapter. If you would like to participate in actually practicing a PPKC and contributing what you learned in terms of additional suggestions for improving this e-Manual, you are welcome to write a comment under the appropriate chapter. You become a co-author in the continuing improvement and evolution of this e-Manual, who will be duly acknowledged in subsequent revisions of the e-Manual.

## Conditions of Use

This e-Manual is copyrighted jointly by the Center for Conscious Living Foundation and the AIM TeaM Energy Center for Bridging Societal Divides. However the two organizations are freely sharing this work with the development community. Accordingly it is also licensed under the Creative Commons, under an “attribution-non-commercial-share alike-3.0 unported” license, or users are free to reproduce portions of this e-Manual for non-commercial purposes provided they attribute or acknowledge the source as the Center for Conscious Living Foundation and the AIM TeaM Energy Center for Bridging Societal Divides each time or in each document where the quotation or reproduced portion appears. They are also free to add new knowledge provided they also freely share the result to other users – preferably through the PPKC website.

# Capture of Explicit Knowledge

## Definition and Examples of Knowledge Products

**Knowledge products** are the reusable "tools" for better project performance. They are the explicit and actionable descriptions of the project implementors' procedures and systems that have been developed, tested and proven workable. These constitute the structural capital built by the project team. Incentive systems and empowering policies are examples of **motivational factors**; if found effective, they must also be documented and included with knowledge products.

Below is an illustrative list of re-usable knowledge products:

- Work templates: forms, spreadsheets with or without embedded formulas or macros, standard letters
- Manuals, guidelines or description of a procedure
- Description of a best/good practice
- Model work output such as a successful project proposal
- Blueprint, formula
- Flow charts
- Checklists and Directories
- Course plan, lesson materials, teacher's guide, presentations, videos
- Decision protocols
- Software, computer program

## Collecting Knowledge Products

Involve both the staff and the stakeholders. Start by briefing the project staff on the purpose of KM, why knowledge products are useful, and examples of knowledge products. Once they recognize what a knowledge product is, the staff can perform the collection of the knowledge products from their individual and project files. Stakeholders can be similarly involved. Review and screen the resulting collection. Take the perspective of the user and ask, *"Will this serve as a useful tool for the next project team?"* Remove those items that would not pass the test.

(**Annex B: Selecting Reusable Knowledge Objects from Project Files**)

## Organizing and Tagging Knowledge Products

A useful way to organize knowledge products is by stage in the project cycle. This way is useful because different expertise and usually different staff are required in each stage of the project cycle. It is a user-oriented categorization.

- Project development
    - Negotiation with funder and local partners (starting with formal expression of interest or request for proposal)
    - Project design, including proposal drafting/redrafting (up to contract signing)
- Project implementation (from contract signing to formal project termination) including stakeholder relationships
- Project evaluation

A **tag** or **keyword** can be agreed upon to make it easy for each knowledge product to be classified. If the knowledge products will be stored in a web-based **knowledge repository**, the tag will facilitate retrieval through a search engine. The structured collection of standard keywords constitutes the project's **knowledge taxonomy**. The taxonomy must be adapted to the specific nature and requirements of an organization, and the words should be aligned not only with standard usage but with the current usage within your organization.

If your organization uses a **content management system** (CMS) or a CMS-oriented intranet, consult your system's tagging rules in the construction of your knowledge taxonomy.

## Examples of Knowledge Products by Project Stage

1. **Negotiation Stage**

   Checklist of requirements and criteria of each funding institution

   Name and contact data of key decision makers in the funding institution

   Talking points or agenda with funders and with prospective partners

2. **Project Design Stage**

   Procedure for scoping including site selection

   Winning project proposal

   Budget template

   Contract or memorandum of agreement with funder

3. **Project Implementation Stage**

   Directories, checklists, templates

   Practical tips

   Risk factors

   New concepts and terminologies learned

   Improvisations, tools developed and tested

   Innovations from the project

4. **Project Evaluation Stage**

   Monitoring and evaluation templates and forms

   Survey questionnaires

# Some Useful Tips

In building directories, checklists and templates, the challenge is in completing the details that will make it more useful and workable for users. For directories, for example, to contact a high-level government official, the directory information should also include the names, nicknames and contact information of the official's executive assistants and/or secretary. A "**Who Knows Who**" directory should indicate who in the organization is personally or professionally closest or is most trusted by the government official. In future dealings with that official, the organization can achieve better results if the staff member who is known to the government official will be assigned to liaison with the latter.

In collecting practical tips and risk factors, the key in the effort is identifying the learning and describing its context. The idea is for the next project user to be able to recognize a similar situation and be able to apply learnings from the past in this new situation.

An experienced project manager has, through several project experiences, collected considerable amount of tacit knowledge on what went wrong or what could go wrong in the types of projects he or she had managed. This tacit knowledge enables him or her to make good preparatory, pre-emptive or preventive decisions that a less experienced manager won't be able to make. This tacit knowledge can be documented into a project **risk management guideline** which can be a simple categorized list of project risks and mitigation measures corresponding to each risk.

In the course of designing and implementing a project, a few decisions stand out as most crucial because the decision, compared to other project decisions, greatly affects project success. What these decisions are and when they are made depends on the nature of the project. These **critical decision points** and how they were successfully made (or failures experienced) must also be documented. These are critical knowledge that the next project manager will appreciate knowing.

# Capture of Tacit Knowledge: The Lessons-Learned Session

According the CCLFI research more than 50% of a typical knowledge worker's knowledge was gained from the workplace. We learn whenever we do something but this learning is often semi-conscious unless it is documented soon after an action is performed.

Officers and staff members who successfully negotiated (or prepared the tender including project proposal) and won a project possess tacit knowledge that can be valuable for winning the next project. Project staff members involved during implementation also possess tacit knowledge that can be valuable to staff of next similar projects. The tacit knowledge of these people can be captured through various methods such as interview and documentation, work diaries, storytelling and lecturing. The most efficient way is through a **lessons-learned session** or LLS among project team members where they answer a few well-directed trigger questions.

Tacit knowledge gained from a project is resident in the minds of individual project team members and external staff who participated in project conception, design, supervision and evaluation. Therefore LLS participants should cover these people as much as possible. Other terms used are after-action review or post-mortem. The process is the same: tacit knowledge gained from action is converted to explicit knowledge that can be re-used by others performing similar actions.

## Capturing High-Value Tacit Knowledge

Tacit knowledge is captured by documentation or by mentoring or coaching – processes which take much time (weeks and months), particularly for busy executives or officers. If an officer is too busy to attend even a half-day or whole-day LLS, a quick way to capture his or her high-value tacit knowledge is by asking one question and recording the answer: "*What most important advice can you offer people who will do a similar project?*"

(**Annex C: High Value Tacit Knowledge**)

## Purpose and Simple Procedure for Conducting an LLS

An LLS is not aimed at recording everything that happened, or evaluating whether an action achieved its purpose. An LLS is aimed at generating actionable information. A few but precisely-phrased trigger questions are employed to generate such information. Table 2 shows the trigger questions and how they are phrased to generate intellectual capital.

| | Good/Best practices<br>Positive | "Next practices"<br>Negative |
|---|---|---|
| Within the organization<br>• human capital<br>• structure/process capital | What worked well? What tools or templates can be re-used? What skills/ qualities were useful? | What did not work? Why? What improvements can be adopted next time? |
| Outside<br>• stakeholder capital | What were the facilitating or success factors? Who/what external linkages helped? | What were the hindering or failure factors? What partners did not perform well? |

**Table 2: Trigger Questions in a Lessons-Learned Session**

The questions are answered by the project staff divided into functional groups: project development group, project implementation group, etc. The answers are documented.

The groupings can be adapted to the scale and nature of a project. In a big international project across several centers in many countries and involving participation by several community and other local stakeholders, the groupings decided by the project team were (see Table 3):

1. Project design
2. Project management and operation
3. Inter- and intra-center coordination
4. Stakeholders' participation

| | STRUCTURAL CAPITAL | | | | HUMAN CAPITAL | | RELATIONSHIP CAPITAL | | |
|---|---|---|---|---|---|---|---|---|---|
| | What Worked Well | What Did Not Work Well | Tools and Template/s Used/ Developed | Value Added, Innovations & Learning | New Expertise of Centre Staff | Communities' New Skills and Capabilities | Success/ Facilitating Factors | Failure/ Hindering Factors | Other Stakeholders Important to the Project |
| Project Design | | | | | | | | | |
| Project Management & Operation | | | | | | | | | |
| Inter- and Intra-Centre Coordination | | | | | | | | | |
| Stakeholders' Participation | | | | | | | | | |
| | Direction: Make simple lists or bullet points in each cell | | | | | | | | |

**Table3: LLS Template for a Complex Project**

## How to Handle Sensitive Questions

Note that on negative outcomes, the trigger question was not “what went wrong” or “who did wrong”. The correct phrasing of the trigger questions is “what did not work” because the focus is on the work process and on how to improve our knowledge about how to do it well or how to do it better. The focus is not on the person or on the mistake.

In KM mistakes are regarded as opportunities for learning. Knowing what did not work is knowledge because the next project implementors will know what to avoid doing. In KM, making a mistake is OK as long as the team learns from it. What is not OK is making a mistake twice, which means no learning or no transfer of learning took place.

The question "what worked well" can occasionally lead to something that worked exceptionally well – a candidate best practice. However, "what did not work" can lead to improvement or even innovation or "next practice". Reminding the project team about this possibility and the constructive purpose of inquiring on negative outcomes can reduce the likelihood of counterproductive blaming-and-defense behaviors.

(**Annex D: Documenting LLS Process: Using Trigger Questions**)
(**Annex E: Lessons learned as Voiced by the Project Team**)

## Storytelling and Story Listening: Life Changes and Changes in Perspectives

A project can sometimes result in changes in paradigms, frameworks and perspectives on the part of project staff. It can occasionally result in life changes. Learning a new framework is an important kind of learning because a new framework enables the learner to see something in a new and superior way, and thence to make decisions and actions that are more effective.

The workshop process of eliciting these changes in perspectives, if any, requires establishing an open, accepting and trustful atmosphere. Firstly, it must be open. This means fully listening to a participant's story of his or her experience. It means the facilitator sets up an atmosphere of openness and respect for whatever are the perspective and terms of the story teller, and not imposing any preconceived structure or framework. The framework, if any, would be gleaned from the story; it would be the framework and perspective of the story teller and not of the facilitator or of the workshop. Secondly, the facilitator must develop an accepting and trusting environment. Thus, this module is better placed near the end of the workshop. From past experience of CCLFI in this module, we found that the choice of facilitator is very important.

(**Annex F: Changes in Perspectives**)

## Selecting Appropriate Format and Media

We know more than we can tell or write. Therefore, documenting tacit knowledge will fail to capture the full nuances and contexts of the experiences that produced the tacit knowledge. For example, a recipe for a gourmet dish cannot fully capture the expertise of a master chef in preparing that dish.

For knowledge with high tacit content and that is difficult to capture in text format, other format and media are available to convey the knowledge to the next user:

- Video capture of a story telling session; or
- Open-ended interview or story telling followed by selection of quotations into a "vignette" that better captures the learning than answers to trigger questions that are structured by the interviewer.

# Other Lessons Learned

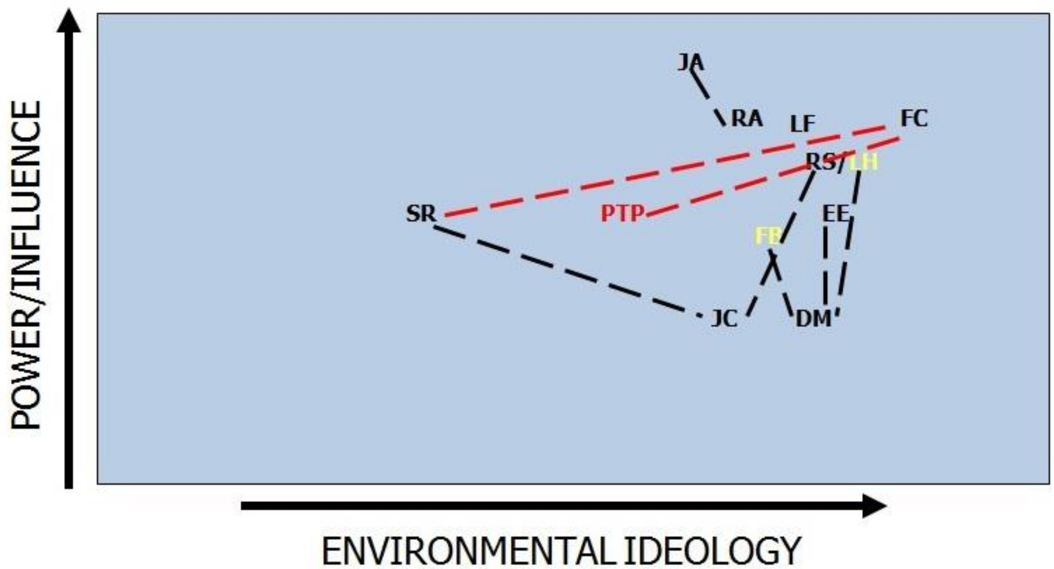
1. Solutions to problems can be described, tagged and logged. A solution that worked is knowledge. A **problem-solution logbook** can be reconstructed by the project team.
2. Certain **skills and aptitudes** may be found to be specifically suited to certain project tasks. If these skills and aptitudes are not captured in resumés or curriculum vitae, then it must be described. The description must be action oriented. For example, the description must be in a form that is directly useful to the next project manager in his selection and recruitment of the project staff suited for such tasks.
3. The nature of a project may be such that its success is dependent on **good relations** with an external stakeholder. The project team must document what the next project staff must or must not do in order to achieve effective relationship with the right stakeholder. Depending on the personality and position of the stakeholder, this document may contain advice on how best to communicate and deal with a particular stakeholder. The procedure may entail introduction of the staff of a new project to the stakeholder by the former staff of the ending project who was close to or trusted by the stakeholder.
4. Knowledge of the **right and wrong language** in communicating with l**ocal communiti**es or stakeholders may be important for certain projects. **Cultural do's and don'ts** are similarly important to pay attention to.
5. In general, any piece of information gained from a project that can (a) shorten the learning curve of staff of next projects, (b) result in more effective action, (c) avoid mistakes, and (d) reduce project risks, should be elicited and documented.

# Improvements or Innovations

If a project developed a more **improved work process** or tool or innovated something clearly new and useful, then the improvement or **innovation** must be similarly captured. If tacit knowledge of project staff can be captured in a novel and useful fashion, then this too must be described. If the innovation is patentable, then it must be documented according to prescribed rules so that a patent application can be submitted. If a written work is original and the project charter or contract with the funding agency allows it, the written work can be copyrighted by the organization according to applicable rules of the national government agency concerned.

The case project on bridging leadership aims at desirable social outcomes such as bridging societal divides. A way of graphically visualizing whether societal divides were bridged or narrowed is by the use of a **sociogram**. A sociogram is a graphical way of conveying who are the stakeholder groups and personalities affecting or affected by a project, and what is the nature of their interrelationships in terms of relative power, position in an issue, frequency of communication or degree of goodwill/ill will. A sociogram can reveal presence of factions, alliances, isolates and bridges between factions. The process of producing a sociogram is called **social network analysis**.

Below is an actual sociogram of a multi-sectoral group of stakeholders of an environment related project. The dashed red lines shows two conflicts observed during meetings of this group. The two stakeholders at the top possess formal authorities as well as informal power over the group.




Sample Sociogram

(**Annex G: Process for Sociogram Making**)

Improvement or innovation may also result if a PPKC identifies **knowledge gaps** such as areas that need improvement in the future or certain problems that, for some reasons uncovered through the project require better or improved tools. Answers to the LLS trigger question "what did not work?" can identify knowledge gaps.

# Making the e-Manual a Living, Learning Manual

## Validation of the Usefulness of the Manual

The utility of this PPKC Manual will vary depending on the nature and scope of a project, the specific needs and requirements of the organization and the funding agency, and the local context of the project. Applying explicit knowledge generated elsewhere often requires adaptation and re-contextualization. Certain steps may be added for certain types of projects or project contexts. It can happen also that a step may for some local reason be invalid or inapplicable. The user of the Manual should be free to adapt, improve or innovate to suit project needs.

## Mechanism to Continuously Update the e-Manual: Feedback from Manual Users

New knowledge generated by every user of this Manual must benefit the next users. The organizations that sponsored the writing of this Manual, namely the Center for Conscious Living Foundation and the AIM TeaM Energy Center for Bridging Societal Divides, decided to collaborate and place this Manual to be freely accessible via the Internet to the development community for the same reason: so that knowledge can be available to users in the development community who can build upon and share knowledge on PPKC. We envision a living, learning e-Manual.

A webpage will be devoted to each chapter where a discussion or comment thread will be available for feedback from users. Users are requested to give their complete name, designation or position and organizational affiliation together with their comments so that they can be acknowledged in the next cycle of revision of the e-Manual.

## Next e-Manual

A PPKC manual is used to implement cross-project learning after a project had been started. If cross-project learning is the intent from the beginning of a project, then KM must be embedded in project design and implementation. This is a different process that will require a second manual, tentatively entitled, "Embedding Learning and Knowledge Management in the Project Life Cycle."

If you have experience in this area or have actually written one, and you are willing to collaborate with us in producing another e-manual to be shared freely with the development community, please communicate with us.

# Annexes

# ANNEX A:
# The Bridging Leadership Project and Results

**Project Title:** Citizen-Led, Citizen-Responsive and Citizen-Owned Governance through Bridging Leadership

**Sites:** Municipalities of Bayombong and Santa Fe, Nueva Vizcaya

**Project Period:** July 2006 to October 2008

**Proponents:** Asian Institute of Management (AIM) – Team Energy Center for Bridging Societal Divides and Jollibee Foundation

**Brief Description:**

This project on local governance sought to apply Multi-Stakeholder Processes and the Bridging Leadership framework as the means to build authentic collaboration among local actors and thus respond to the developmental needs of people in the area. Ultimately, the project results were about achieving a better quality of life specifically in the areas of health, education, and livelihood.

As a **pilot project** using the two social technologies, the opportunity was not only to validate, improve, and add to the programs addressing the development and human security needs of the communities, but also to make the planning and eventual implementation of these **programs more community-driven and owned by involving the different stakeholders and sectors.** With community ownership of the programs, program sustainability could be ensured.

**About the Bridging Leadership Framework**

Bridging Leadership is appropriate to promoting multi-stakeholder processes to address social inequities. It is about leading collaborative action to bring about social change. The leadership involves three main segments—**Building Ownership of the response**, **Developing Co-Ownership** with other stakeholders and together **engaging in the Co-Creation of a new reality**.

The framework was taught and used in the two project sites. The Bridging Leaders were trained and coached, in order to guide and facilitate the critical task of empowering the various stakeholders to reach a common understanding of the issues that they faced and to act together to address these issues.

**Why PPKC?**

Because of the new social technologies applied in this project and the promising project results after two years, the AIM-Team Energy Center for Bridging Societal Divides is confident that **explicit and tacit knowledge gained from the project** will be useful to its succeeding projects. PPKC was done to capture both.

# Project Results

Summary results after two years of project implementation:

1. Two **municipal governments worked collaboratively** and openly with stakeholders and citizens of the area. Of note, Sta Fe's Mayor Florante Gerdan was a very proactive leader; he also pursued a Fellowship at AIM-Team Energy Center for Bridging Societal Divides.

2. Two **multi-stakeholder coalitions were** organized and in the process of responding to the articulated needs and priorities of its citizens. Each coalition

was led by a **Core Change Team** per municipality composed of the Mayor, the local secretariat, and the various Committee co-Chairs. The Core Change Team was likewise mentored and coached to be able to develop effective programs and use dialogic and collaborative processes as they implemented their programs. The training included monitoring programs through the use of Performance Indicators.

3. A **three-year Municipal Development Roadmap** per municipality was created with the participation of stakeholders.

4. **A number of mechanisms, structures and collaborative processes as introduced by the Core Change Teams were formally adopted** by the municipal governments and stakeholders.

**Elaboration:**

**YEAR 1 KEY RESULTS**

1. **Stakeholders** of the two municipalities were convened and **engaged in authentic dialogue** and participatory processes, together **with their respective municipal governments,** with the view of responding more effectively to the development needs in their areas.

   These participatory processes were undertaken through:

   - <u>Pre-work activity</u>: One of the key activities was to ascertain the willingness of the mayors of the two municipalities to participate in multi-stakeholder processes using the Bridging Leadership framework. The mayors agreed to participate and to support the institutionalization of the resulting initiatives for shared governance.

- “Leadership Lab” workshops, in two segments. The first workshop resulted in bringing individual stakeholders to articulate their deepest desires for the future of their municipality and experiencing a way of “seeing” collectively into a shared future.

A series of generative interviews. The teams that were trained to do the interviews brought out the voices of 15 identified sectors and citizens in general. The interviewees represented the following sectors: the local government unit, the Sanggunian Bayan, barangay government, business, education, health, farmers, church, indigenous peoples, non-government organizations, police/ military, youth, women, and the elderly. Their inputs were used for the Leadership Lab Workshop Segment II.

It is significant to note that the participants called for greater inclusion in the processes, and to involve all political factions as stakeholders. The participants viewed this project as one transcending “politicking” and should be sustained beyond the terms of their political leaders.

- The second Leadership Lab created multi-sectoral committees around particular issue-areas. For Bayombong, the committees focused on the local economic development, education, environment, and health. For Santa Fe, the committees focused on cultural and people empowerment, economic and agricultural sustainability and development, environmental management and preservation, and health and education.

  Each group drafted a Municipal Development Roadmap that reflected the priorities for each of the identified issue-areas. The Vision, Mission, Objectives, Key Result Areas, and Performance Indicators (VMOKRAPI) were articulated in the Roadmaps.

In the conduct of both Leadership Labs, the participants appreciated the different way of talking and listening through authentic dialogue. Participants recognized how they personally contributed to either actively creating or passively allowing the different problems that their municipality confronted, and that the municipal government was not solely to blame. From this realization, the participants gained a sense of empowerment to be part of the solutions.

2. Stakeholders working in **various Committees undertook the** implementation of the **Municipal Development Roadmap** through specific project interventions.

- Monitoring meetings tracked the progress of the Committees. As the Committees worked on designing projects according to the Roadmaps, they learned the discipline of grounding interventions on baseline data. The importance of using data (matching performance indicators with baseline data) was emphasized since it was the sole, objective measure of project impact.

- A Core Change Team per municipality was organized. Its membership included employees from the municipal government and representatives from other sectors, especially from civil society groups. Their task was to spearhead the development of new institutional arrangements and/or the improvement of existing interventions to address the articulated needs of the citizens.

  The Core Change Teams finalized the Municipal Development Roadmaps for the next three years (2007-2010) and at the same time matched the Roadmaps with planned projects. Project proposals for funding support were prepared.

3. Documentation of both process and content of the mentioned activities was contained in a Documentation Report, and translated into a draft **Workbook that could aid implementors of succeeding similar projects**.

**YEAR 2 KEY RESULTS**

1. **The Core Change Teams** of the two municipalities embarked on "co-creating" their development agenda. They **developed the project proposals and sought partner donors** for the identified programs and also planned the implementation and monitoring of the agenda-driven programs.

   Examples of project interventions were:
   - For Bayombong: Solid Waste Management Enhancement Program (Environment issue ) and its involvement in Taskforce 57-75 to address education concerns such as through in-school feeding programs and workbook development for English, Science, and Math
   - For Santa Fe: Barangay-based Health and Nutrition Program (Health and Education issue) and the creation of an integrated and multi-sectoral Anti-Poverty Program

2. **To regularly coach and mentor the Teams**, **the Community Extension Services Program of Saint Mary's University** (SMU Team) of Bayombong, was engaged for the task. SMU proceeded with coaching and mentoring in terms of program content and dialogic processes. Mentoring Sessions revisited the **Bridging Leadership Framework** and the other related concepts, processed the experience of **pursuing the collaborative work**, and discussed overall feedback and recommendations.

3. **Mayor Florante Gerdan** undertook a **Fellowship** on Bridging Leadership at the Asian Institute of Management.

4. At the close of the two-year project engagement, the stakeholders had ably **institutionalized a number of multi-stakeholder processes for shared governance**. There were both improvements of existing institutional arrangements and existing programs that proved truly responsive to the needs and preferences of the citizens.

To cite some examples:

- For Bayombong: **The Bayombong Local Education Alliance (BLEA)** was formalized and institutionalized. The BLEA is a multi-sectoral coalition that discusses and addresses the education issues of Bayombong.

- For Sta Fe: The Core Change Team was institutionalized as **PART-Santa Fe**. PART is an acronym in Ilokano for *Panagtitimpuyog ti Agnanayon nga Rang-ay Pagiti Tattao*, which can be translated to "Moving Together for the Sustainable Development of the People." PART is composed of local leaders from various sectors and meets regularly to discuss local government and development matters. At the start, the Mayor chaired and participated in the meetings. PART has now evolved as an independent and people-initiated multi-sectoral body that also serves as a check and balance mechanism to the local government.

# ANNEX B: Selecting Reusable Knowledge Objects from Project Files

**Criteria for sorting files:**

1. "What knowledge has to be shared with next-project replicators for effective group action?" It is important to focus on the **needs of the next project users**.

2. Distinguish between **highly useful knowledge** and not so (between "high grade ores" and others).

**Sample List:**

Year 1

July 2006-June 2007

Pre-work and Negotiation

**A. Project Design Stage**
1. Project Proposal and Budget
2. Memorandum of Agreement with Funder
3. Sample Meeting Documentation Report
4. Building a Comprehensive List of Tasks - Output: "How to Prepare for the Workshop" (*Note: This was developed along the way.)*

**B. Selection of Partner Municipalities**
1. Selection Criteria
2. Key-informant Interview Documentation Template
3. Information Matrix using data from interviews

**C. Levelling off with Partner Municipalities**
1. Agenda for Levelling Off with Mayors
2. List of Initial Sources of Municipality Data
3. Formal Letter of Invitation to Participate
4. Memorandum of Agreement between AIM and Selected Municipality

Implementation Stage

**D. Leadership Lab Workshop Segment 1**
1. Agenda for the Project Planning and Coordination Meeting

2. Sample Invitation to Leadership Lab Workshop Segment 1
3. Checklist for workshop preparation
4. Training Design for Leadership Lab Workshop Segment 1
5. Template for facilitators / documentors
7. Follow up Letter to Mayors re Agreements made post workshop

**E. Generative Interviews**

1. Guide questions used in the Training of Generative Interview Teams
2. Generative Interviews Documentation Template
3. Generative Interviews Collation Template

**F. Leadership Lab Workshop Segment 2**

1. Training Design for Lab Workshop
2. Matrix of Preparations
3. Municipal Roadmap Output
4. Follow-up Letter to Participants

**G. Monitoring Meetings**

**1. Program of Action**

a. Program of Action Form
b. Request Letter for Data (e.g. to the Provincial Health Office)

**2. Workshop design for VMOKRAPI/ Roadmap**
(Vision, Mission, Objectives, Key Result Areas, Performance Indicators)

- Template for Presenting Baseline Data vis-a-vis VMOKRAPI

**3. Municipal Roadmap Template**

**4. Plan for the Development Summit (Santa Fe)**

- Letter of Invitation to Stakeholders
- Agenda vis-a-vis BL
- Documentation template

5. **Summary List of Multi-sectoral Committees with Projects**

<u>Evaluation Stage, Year 1</u>

**H. End-of-Project Report, Financial Report**

Transition Period

July 2007-September 2007

Negotiation and Project Design Stage, Year 2

**A. Institutionalizing Bridging Leadership in a Local Academic Institution**

1. Memorandum of Agreement between AIM and Local University Partner for BL Knowledge Transfer

**B. Formation of Core of Bridging Leaders**

1. Concept Paper
2. Agenda for meeting

**C. Cohort Meeting**

1. Training Design
2. Group Presentation template
3. Documentation of agreements

**D. Follow-up Meetings re PATRES**

1. Meeting Agenda
2. Planned Interventions, mapped
   - Committee Plans Template
   - Updated Roadmap Template

**E. Project proposal preparation**

1. Training Design – BL For Co-Creation
2. Manner of Proceeding
   a. Sample Accreditation of Committees
   b. Sample Revision of Document
3. Guide to Generative Change Processes

Year 2

August 2007-October 2008

Project Design Stage, Year 2

**A. Formalization of Partnership with Local University**

1. Memorandum of Agreement with St. Mary's University-Community Extension Services Program

Implementation Stage

**B. Monitoring Meetings to follow up project progress**

1. Monthly Reports Template to discuss updates from different committees and resulting agreements
   - Meeting Agenda including Follow up Points
   - Outputs of Committees

- Update report from SMU-CESP
- Documentation of Meetings

**C. Core Change Team mentoring (1st and 2nd Sessions) to follow up capacity building progress**

1. Mentoring/coaching Worksheets
2. Workshop Report Sample

Evaluation Stage

**D. Culminating Workshop on BL**

1. Quantitative Evaluation conducted by SMU

# ANNEX C:
# High Value Tacit Knowledge

To elicit high value tacit knowledge, a question that can be posed to the group is:

"Imagine that there are other people in this room, eagerly waiting to hear what you would say. They will start a similar project (as what you just finished) and you're supposed to give them the most important advice you can... in 4 minutes or less."

Responses:

"Involve the leader who will decide for everything. There should be an empowered core group that works with this leader." – **Farrah Dugay, Office of the Mayor of Santa Fe**

"…If you're a facilitator in the process, you must have a local counterpart. Local presence is very important when doing bridging leadership process. We cannot be based in Manila and do BL in Nueva Vizcaya. Local presence would be St. Mary's University. Working closely with them you'd really see the value of that connection for what I can never do… The local partner enables contextualization [of the project]. That's very important. I don't know the leaders, I don't have that bond with them, but I do have a bond with the partner. I have to work with them. That translates to a lot of things." – **Jerry Jose, AIM-TeaM Energy Center**

"One thing that I would advise people is to be clear on the measures of success. It's something I think we're grappling with. How can you really say that people have imbibed the skills or the knowledge in the program and afterwards, can apply this acquired knowledge? Is the knowledge really applied in a given situation?" – **Gisela Tiongson, Jollibee Foundation**

"Understand, appreciate and own the bridging leadership process. Be a model for it, practice it because it is only in practicing it that you let other people appreciate and understand it. I own the process and I own the divides that are there. Develop partnership and understand partners." – **Dr. Isabelita Rabec, St. Mary's University, Bayombong**

"Whenever you do a project like this, the most important step is to select your site properly because not all places, not all mayors will be open to something like this. Also, I'd like to reiterate the importance of working with local presence. It's very important to work closely with second-liners, not necessarily with just the mayor but with people working with the mayors. [That was] also part of the exercise—to make explicit how to get people work together. I'd like to reiterate what Farrah said about working with a core group. It's not just about working with one bridging leader but a core of bridging leaders that will push the process forward." – **Philip Dy, AIM-TeaM Energy Center**

Look for leaders who are connected to their heart. Your added value is that you are able to help them with a (BL) process. If there is no heart, any process will do. But the leader with a heart is waiting for an opportunity to change paradigms. People will be attracted to these leaders and will gravitate around them. – **Prof. Ernesto Garilao, AIM-TeaM Energy Center**

“About 40 percent of the work happens before the project. What we’re learning here is knowing the community and how other projects succeeded and failed. Specific things that can help you can be learned BEFORE the project. Whatever you learned before, you should put it into the design.” – **Mike Juan, AIM-TeaM Energy Center**

# ANNEX D:
# Documenting LLS Process: Using Trigger Questions

Steps involved in using trigger questions:

1. **Introduce the relevance of LLS**
   a. What are we "mining" or looking for? What type of data?
      i. Something that will be useful for effective and efficient action.
      ii. The point is to create value for the next users.

2. **Answer the trigger questions using meta cards**
   a. Use 1 meta card per answer
   b. Optional: you can break off into small groups to have smaller discussions for this
   c. Answers should be easily explained in 4 minutes or less
      i. What worked well?
      ii. What did not work?
      iii. Suggestions for improvements

3. **Group the meta cards (answers) according to similarities**
   a. Do this in 1 minute or less

**4. Discuss the salient points as a group**

a. 5 minutes or less

b. Get to the root cause – 5 Whys

**5. Document and file meta cards.**

**6. Innovate/Learn from the examples.**

**Tips:**

- Do not go into project evaluation.
- To get to the root cause, use the 5 Why's: "Why did this mistake take place?" "Why did that happen?" And so on. Avoid the blame game.
- Not everyone is comfortable with undergoing the process. It requires a lot of candidness and sincerity. To help the person overcome this, help him or her be aware of his / her "blindfolds. "

**More tips on doing LLS:**

- The Program Manager and Project Manager must do LLS, but especially Program Managers because mistakes must not be repeated. Better guidelines should be formulated.
- When you do a project, you make improvements along the way and devise tools to make your job easier. Learning during a project will improve the outcome.
- Because you are consciously learning and documenting through LLS, you will do the project far better than if you were only semi-consciously learning improvements.

# ANNEX E:
# Lessons Learned as Voiced by the Project Team

Dr. Talisayon presented these trigger questions:

- What worked well?
- What did not work well? What improvement can be adopted next time?
- What were the facilitating or success factors?
- What were the hindering or failure factors?

Responses:

"What worked, for me, is the presence of the local partner, St. Mary's University. They're a major pillar, if not a cornerstone of the Nueva Vizcaya project. It's really local presence [that works well]. They're there, they're much more organic to the project and they're affected by whatever happens in Nueva Vizcaya.
"There are different levels of local presence, so another perspective is that there are leaders on top who are able to make certain decisions for the project to continue or to direct the project in a manner that serves the interest of the people. That's one of the things working well in Nueva Vizcaya." - **Jerry Jose, AIM-TeaM Energy Center**

"We have to be precise with what we mean by 'an institution with local presence' and to qualify who in the institution that should be part of the initiative. We have to identify who within that institution should be the right person to be involved. Were the right persons the community extension people who had the mandate to involve itself in community matters. Not only were the community extension people mandated [to do the work], but they had a personal attachment to the process…"**- Gisela Tiongson, Jollibee Foundation**

"Being part of the community process means not only facilitating or being a consultant, but immersing himself in the community, in this case, Nueva Vizcaya."**- Jerry Jose , AIM-TeaM Energy Center**

"SMU at the beginning was not part of the original design. We had them tapped for the research but not for the governance part of the project. Our model at the time was lodging it with the LGU, but that was not working out." **- Mike Juan, AIM-TeaM Energy Center**

"What was coming out was that there needed to be a local facilitator in the area and you could not expect the LGU to facilitate it. You needed a local institution that could be your facilitator." **- Gisela Tiongson, Jollibee Foundation**

"Having a local institution eases the demand on management time and effort required in implementing the project. At the beginning we spent more time there than what we had initially planned for, and things started to turn around, at least for a time, when we went there more frequently. Then we started to see results. When it comes down to it, who had more clout in the area?

"What worked well also was AIM and Jollibee Foundation being able to bring in other resource holders [to support] project components. We had a good project team that could shift to adapt to changing conditions. There was also honesty in the relationship, partners were able to share woes and joys. "**- Mike Juan, AIM-TeaM Energy Center**

"We had the multi-sectoral agenda and we...purposefully connected with resource holders so that the work could go from agenda into action." **- Gisela Tiongson, Jollibee Foundation**

“The Mayor [of Santa Fe] had stepped back for the good of the project as it was needed. This worked well and brought about co-ownership among the core group.” - **Farrah Dugay, Office of the Mayor of Santa Fe**

“In Santa Fe, the Fellowship [at AIM undertaken by the mayor] was a facilitating factor.” **- Gisela Tiongson, Jollibee Foundation**

“The initiative of the champion or leader is important as well. One thing that we have to check is whether or not…or how sold the champion is to the process because this is the driver for action.

“If you go to an area where the divides are not as explicit, areas already showing a degree of stability, how do you show value for Bridging Leadership? Consider your messages.

“People need to have the mainstream desire to do this… It becomes a marketing issue. We will need to think about how to make it more attractive to others, find out what they need through research, community consultations… etc.

“Relationship management or relationship building should be integrated into the whole project implementation and monitoring. Management of the changes in the relationship—this should be a conscious decision.” **- Mike Juan, AIM-TeaM Energy Center**

# ANNEX F:
# Changes in Perspectives

The question posed to the group was:

"What learning and insights specific to the nature of a bridging leadership project did I gain?"

Responses:

"The formula for reaching out to communities is to own the societal divides. I can be a Bridging Leader to poor communities, but I was practicing BL without at first knowing it. I have seen the changes in a women's group that we helped to establish, and now has access to DOLE resources. We can help communities work it out such that they bring about the best for themselves. When I got my certification from AIM as level 1 of BL, I was very happy." **- Dr. Isabelita Rabec, St. Mary University (Bayombong)**

The segment I like best is the third, the co-creation., the doing part. Ownership is important because he is able to identify his purpose. If he is able to do that, the rest will follow. He will be able to operationalize his purpose in the co-creation segment. **- Prof. Ernesto Garilao, AIM-TeaM Energy Center**

"When we had been doing this for a few months, Boyet said, nothing's happening. But we still were able to do it. As long as you're sincere and you spend your time, it will work out. Be transparent. It's about shifting things. If it has to shift, then it will shift. Be open to it and have good enough relationships. Be open, if you don't know the answer, then work it out."**- Mike Juan, AIM-TeaM Energy Center**

"A lot of things changed in me because of the BL program. But time will always come when a project will lose its essence, its drive. Hence, there's a need to put it back on track thru project re-launch. When the LGU Performance Management System begins to be mundane, calibration becomes uniform. Different motives make me lose steam too. The Citizen's Charter revived me because we can again have control Check and balance is returned. BL is taking its many forms."**- Farrah Dugay, Office of the Mayor of Santa Fe**

"It was a personal project, my first work after college. I became restless about the project. I kept thinking of ways to make it OK. At that point, Prof Garilao was telling me that I had to be part of the project. The Monitoring Meetings were really a meaningful part of the work. I liked the energy of the group and what we were able to do. During the colloquium, all of Santa Fe came in red…we brought together people for the good of the municipality." **- Philip Dy, AIM-TeaM Energy Center**

"I can say that it's about changing relationships. It's changing designs, thoughts…I was talking to doctors, directors, asking them what it was they wanted to change? It is not for me to tell them what to do, but to help them understand what they need to be doing." **- Jerry Jose, AIM-TeaM Energy Center**

"Learn, always learn. BL is constantly evolving and it may not even be called BL in the future. " **-** Prof**. Ernesto Garilao, AIM-TeaM Energy Center**

# ANNEX G:
# Process for Sociogram Making

*"How can we measure success in a project like BL? A sociogram is one tool we can use…."*

*- Dr. Serafin Talisayon*

While a sociogram was not done for the Nueva Vizcaya project, the project leaders were convinced it would be useful to learn the tool for succeeding projects. For the purpose of demonstrating how to do a sociogram, the group did a brief exercise under the guidance of Dr. Talisayon. A person from Nueva Vizcaya acted as key informant for the sociogram making. Insights were drawn from this brief demonstration.

**Sociogram Defined**

*"One glance at a sociogram and I can say something about the gut of the community."*

*– Dr. Serafin Talisayon*

A **sociogram** is a diagram that depicts the actors (individuals or institutions) and the quality of relationships between them in a given community. It is a tool that anthropologists and sociologists use to study anything from an organization, town, to a whole country.

The sociogram is a **group output**. The entries are verified through the perception of different actors who take part in creating it. Sociograms are also time specific.



**How to do a Sociogram**

*"A sociogram is a tool for planning. If you see the lay of the land, you'll know how to go about what you'll be doing."*

*-- Philip Dy*

There are many ways to do a sociogram. The method you may use depends on your available time and venue where it will be conducted.

If you have limited time, you can approach a key informant in the community to help you make the sociogram. The person has to be a public figure and politically neutral. In the Philippines, this can be the Department of Education Schools Division Superintendent or the local parish priest. Using this method, you could have a tentative sociogram of the community within an hour.

If you have more time, you can invite key informants in a workshop where you can collectively map the sociogram.

Here are the guidelines:

- I**dentify the community** that will be examined. What is the scope of the investigation? Is it to find out about the players inside an organization? A local community? A city or municipality? Make sure to **set the boundaries** of the investigation.

- I**dentify the issues** (for the X and Y axis) that everyone will be plotted in. These depend on the issue you are trying to examine. For example, if you're trying to find out about the political situation of a given community, the X axis can be power while the Y axis can be ideology.

- **Plotted points** in a sociogram can represent an *individual* or an *organization,* again depending on what you are examining.

- **Connect the points** using lines and numerical values to designate the ‘closeness’ of actors in terms of communication. It can either denote the number of times in a day that they communicate or it can measure the preference to work with the other. For those that are hostile to each other, a red line can be used to link the two.

- O**rganize the information** in the sociogram; you will notice clusters of points which can be encircled to represent their power or perception of power. The bigger the circle, the larger the power. You will also notice “stars” in the cluster or the actors that communicate or is linked with everybody. These are the “super connectors” between groups. There may also be “isolates” or the actors that do not seem to be connected with any other actor by preference or circumstance.

Make the information as complete as possible. The information will give you a “lay of the land” that you can use in planning the intervention.

There are available soft wares for commercial use which can be found in the internet using the key word “social network analysis”.

**Likely scenario after Bridging Leadership Intervention**

Doing a sociogram before and after the intervention can be one way to measure the results of the intervention.

After bridging leadership is introduced in a community, we can expect the actors to be more engaged. There are **closer connections** and shorter lines between actors. The **preference to work has improved** with others. There may be lesser isolates and less hostility between previously hostile groups. There may also be **less power differential** among actors.