

EXPERIENCE CAPITALIZATION GUIDE



IICA





EXPERIENCE

CAPITALIZATION GUIDE

Planning, Monitoring and Evaluation Division
HEADQUARTERS, COSTA RICA
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Inter-American Institute for Cooperation on Agriculture (IICA), 2022



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Editorial coordination: María Andrade Abdo
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TABLE OF CONTENTS

Introduction.....	i
Guide contents	ii
User profile.....	iii
About the authors of this guide.....	iii
1. Knowledge management as a basic framework: a practical perspective	1
2. The importance of capitalization.....	5
2.1. Definition of experience capitalization.....	6
2.2. What cannot be considered as experience capitalization?.....	8
2.3. Benefits of experience capitalization.....	9
2.4. Experience capitalization managers.....	11
2.5. Experience capitalization principles	12
2.6. Experience capitalization and other processes.....	13
2.7. Promoting the experience capitalization process	14
2.8. Experience capitalization cycle	15
2.8.1. First phase: Preparation	18
2.8.2. Second phase: Implementation	18
2.8.3. Third phase: Generating change.....	20
3. Organizing Capitalization	21
3.1. Planning capitalization	21
3.2. Participants.....	22
3.3. Facilitator Team.....	23
3.4. Getting to know the participants	23
4. Experience capitalization	24
Phase 1: Preparation.....	24
Step 1. Frame the experience.....	25
Step 2. Plan the experience capitalization.....	30

Phase 2: Implementation	34
Step 3. Gather and organize the information.....	34
Step 4. Analyze	39
Step 5. Document.....	42
Step 6. Share	45
Phase 3: Generating change.....	47
Step 7. Adopt, adapt and expand.....	47
Step 8. Institutionalize.....	54

Annexes

Annex 1. Proposed Exercise: Looking to the future	57
Annex 2. Basic budget format	58
Annex 3. Example of experience capitalization monitoring and evaluation plan.....	59
Annex 4. Facilitation techniques and methods.....	60
Annex 5. Experience capitalization organization	63
Annex 6. Suggestions for writing a document or script.....	66
Bibliography	67
About IICA.....	70

INDEX OF FIGURES

Figure 1. Knowledge management ecosystem.....	2
Figure 2. Experience capitalization cycle: phases and steps	17
Figure 3. Information with added value for generating knowledge.....	35
Figure 4. Suggested products for communicating capitalization	46

INTRODUCTION

The Inter-American Institute for Cooperation on Agriculture (IICA) was part of the team that designed and implemented the project “Capitalizing on Experiences for Greater Impact in Rural Development” in Asia, Africa, Latin America and the Pacific, in partnership with the Food and Agriculture Organization of the United Nations (FAO) and the former Technical Center for Agriculture and Rural Cooperation (CTA), with funding from the International Fund for Agricultural Development (IFAD).

Rather than to simply generate theory or to spur debate among the participating organizations and countries, the focus of the project was to learn by doing. Given the conditions of the environment, each entity involved was able to interpret the experience capitalization process, according to their needs, as well as implementing the capitalized experiences and practices.

With a view to structuring the methodology and developing capacities, different products were developed between 2017 and 2018 within the framework of this project, including a course on Experience Capitalization for Continuous Learning, which is available in various languages at the FAO virtual campus.

In the specific case of Latin America, IICA spearheaded a series of content validation and training workshops on experience capitalization with key organizations in Colombia, Costa Rica, Guatemala, Bolivia, Paraguay, Chile, Uruguay and Peru. Since that time, experience capitalization has become part of the Institute’s agenda and some of the projects that it is implementing, as the organization has recognized this methodology as a practical approach to managing knowledge and adding value for future interventions.

Since its implementation, hundreds of new capitalization champions¹ have been trained in recent years.

¹ People who have undergone training in experience capitalization methodology and promote it.

GUIDE CONTENTS

The material presented in this guide reviews some valuable aspects of the English version of the document “Experience Capitalization for Continuous Learning and Improvement in Organizations: A Guide to Facilitate the Process”, written by Laura Eggens and Jorge Chávez-Tafur (2019). It retains the structure, methodology and tools of the online course, which have been adjusted, based on the experiences of the IICA Planning, Monitoring and Evaluation Division in training and facilitating experience capitalization processes in the Americas.

Instead of emphasizing the facilitation process, as was done in the aforementioned document, this guide provides didactic support for the virtual and face-to-face training process, enabling interested individuals to learn more about the methodology, and enabling participants undergoing the training with documentary support to answer questions, clarify any concepts or to expand their knowledge of this material.

“Experience capitalization” refers to a process by which a specific project or program (or “an experience” in general) is described and analyzed, and from which lessons are identified, shared and used to improve development interventions. It is an approach that helps to identify specific innovations and practices and to understand the reasons behind success or failure. (CTA, n.d.).

On the basis of the lessons learned over the years, this guide focuses on guiding, organizing and supporting face-to-face and online experience capitalization processes, and supporting efforts to institutionalize the experience capitalization methodology.

The guide is organized into four sections. The first part of the document provides a brief overview of knowledge management and how it relates to a methodology such as this one, helping to facilitate this process within organizations. The second part concerns the importance of experience capitalization for organizations. The third part provides a detailed

explanation of the various phases that are recommended for capitalization and conducts practical exercises. Finally, the fourth part outlines the most suitable approaches to facilitate experience capitalization processes.

USER PROFILE

The methodology is designed to support the efforts of all professionals who are engaged in processes of reflection, learning and sharing of lessons learned from their work, whether as a part of a wider knowledge management exercise or as an independent activity to increase institutional learning or effectiveness. These individuals may work in a variety of organizations, be they international organizations, donor organizations, multilateral agencies, non-governmental organizations (NGOs), research institutes or national and local governments.

Specific technical knowledge is not required. However, it is recommended to use this guide as a companion document to an expert-led educational training process. Please bear in mind that some lessons require users to have basic planning skills.

We recommend that the technical staff and officials participating in the process must satisfy the following minimal selection criteria. They must:

- Be involved in technical assistance, project execution or actions;
- Be able to internalize and apply experience capitalization;
- Be able to formulate and spearhead the implementation of an experience capitalization plan; and
- Have the time available to actively participate in the training and knowledge application process.

Anyone with an interest in the facilitation process should refer to the Eggens and Chavez-Tafur document for further guidance.

ABOUT THE AUTHORS OF THIS GUIDE

The team from the Planning, Monitoring and Evaluation Division of the Institute, specifically María Andrade, Federico Sancho and Hombray Taylor, was responsible for conceptualizing, organizing and drafting this document, based on training experiences on this material.



1. KNOWLEDGE MANAGEMENT AS A BASIC FRAMEWORK: A PRACTICAL PERSPECTIVE

Gaining a better understanding of how to enable work teams to achieve their mission, objectives, and results is one element that bears mentioning in discussing modern organizations, the evolving nature of collaborative work (less routine and more complex and unpredictable), and the drive for continuous improvement. Intellectual capital, in other words the combined knowledge of all staff, contacts, systems and processes, among other intangible factors, is equally as important as financial capital, budgets, investments and liquidity, given its vital contribution to an organization's competitive advantage and public value. Entities that bolster their intellectual capital or better utilize knowledge to generate value will be viewed as smart organizations.

Concepts of knowledge (knowing, know-how, putting theory into practice or an accumulation

DIFFERENT DEFINITIONS OF KNOWLEDGE MANAGEMENT

A series of activities and processes that increase the exchange of information and expertise within an organization or group of professionals, in a bid to improve the organization's performance or a project's results. Over time, this accumulation of experiences and learning helps to create a shared knowledge base with the potential to facilitate the execution of work and to accelerate innovation (IDB, 2020).

A series of processes, instruments or behaviors that connect people and motivate them to engage in, utilize and disseminate good practices, knowledge and specialized skills to increase efficiency, credibility and effectiveness in terms of development (IFAD, 2019)

of experiences that must reach the right place at the right time) seem vague and difficult to understand, more so when combined with others such as knowledge management. A simple and extremely practical definition of this concept is INFORMATION TRANSLATED INTO ACTION.

The challenge is to determine how an organization knows what it knows, uses what it knows and learns more than what it already knows. This idea is related to the three Cs, which we will explain below.

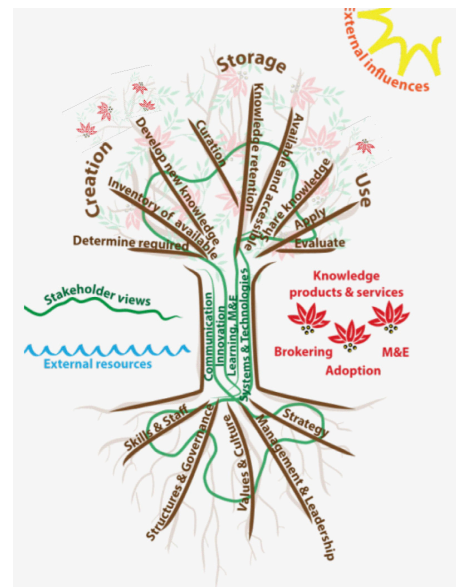
After several decades talking about knowledge management, the following approaches and generations have been identified:

- a. The first wave during the 1990s was more associated with systems and with technological or information platforms.
- b. Later, the library science or content management perspective became the focus, based on the recognition that computers without content would be insufficient.
- c. During the first decade of the twenty-first century, the elements of communication and

facilitation were included, since it was thought that they would improve people’s ability to connect. With more technology and content, there was a need to facilitate and improve communication among people.

- d. Later, it became linked to elements of education, training or even monitoring and evaluation (M&E), variables that have existed for years and that are increasingly associated with learning processes in the world of knowledge management.
- e. More recently, the concept of ecosystem was coined (Co-capacity, 2014), which provides a more complex perspective on interacting concepts and elements, as seen in Figure 1, which includes the aforementioned technological, informational and human talent components, but also emphasizes the learning process and other more hidden elements in an organization such as culture, values, strategies, coordination, structure and governance, to name a few.

FIGURE 1. KNOWLEDGE MANAGEMENT ECOSYSTEM.



Source: Taken from Co-Capacity, 2014.

The interesting thing about the latter approach is that it includes aspects such as context, motivation, leadership, and structural and cultural elements that are key components of an effective knowledge management strategy. Therefore, technological, informational, educational and communication specializations enhance the overall effort.

The various components of the knowledge tree—ranging from the hidden (the roots) to the most visible aspects (the crown) that represent information storage, use and generation—come together through a free flow of information, thanks to communication efforts, M&E, learning and innovation-oriented systems. Thus, knowledge management objectives are achieved through processes that increase the capturing of knowledge for purposes of sharing; improve the connections between people and their motivation to collaborate to achieve higher objectives; or promote a knowledge creation culture that increases effectiveness (continuous work improvement).

For IICA, the most concrete definition of knowledge management is “information put into action,” which means that information shared in the appropriate manner and time generates positive changes that can be attributed to that action. Three strategies—the three Cs—can be used to apply this concept, as an effective means of managing critical knowledge:

- Collection
- Connection
- Creation.

An organization that is better equipped to manage its knowledge requires:

- a. the commitment of its leaders,
- b. teams of people who are interested in sharing knowledge,
- c. a useful information base,
- d. a culture of confidence and recognition,
- e. clear monitoring, evaluation and learning processes,
- f. effective use of information and communication technologies (ICTs) and
- g. the ability to pause and to develop forums for reflection.

An organization that has recognized the strategic nature of knowledge management and that fosters a culture that is supportive of learning, will define very specific tasks or routines for each of the aforementioned “C” strategies:

- a. **Collection:** auditing of critical knowledge, creation of digital repositories and memory retrieval, intranets for library use, editorial guidelines, Creative Commons or open access licenses, use of scientific databases, technical-scientific publishing and an inventory of patents.
- b. **Connection:** human talent selection processes, staff induction, work in networks, communities of practice, exchange or discussion sessions, who’s who directories, inventive plans, dissemination and use of knowledge leaders or champions.
- c. **Creation:** training processes; knowledge exchange and evaluation and experience capitalization forums

These types of activities will create a more productive working environment that fosters greater confidence, more efficient use of technology and shorter learning pathways and response times, among other benefits

ADAPT: 3. tr. Modify a scientific, literary or musical work, etc., so that it can be delivered to a different audience than was originally intended.

ADOPT: 3. tr. Take an approach, method, doctrine, etc. created by others and make it your own.

EXPAND: 1.tr. Extend, widen.

Source: Taken from RAE 2022.

In this context, experience capitalization can be defined as a process or exercise that is a practical application of a broader knowledge management process. In a practical way, the people participating in an experience (protagonists, process owners and external stakeholders who are interested in the experience) interact with each other and share essential elements such as information collection, analysis and systematization, identification and connection, within a participatory and inclusive framework. They share experiences and knowledge and engage in critical and proactive thinking, creating an environment that fosters creativity, exchange, sharing, dissemination and use of collective knowledge for

action, based on an approach that complements and enriches adaptation, adoption and expansion, based on the specific experience.

Through experience capitalization, learning and good practices that have the potential to be adapted, improved, replicated or expanded, can be identified, validated and documented, in order to have a greater impact on the target population of an intervention or project.

2. THE IMPORTANCE OF CAPITALIZATION

An experience² consists of the accumulation of day-to-day successes and failures and, depending on how it is handled, can result in knowledge or lessons on achievements or failures, to prevent us from repeating the same mistakes, ensure that we take better advantage of future opportunities or assume risks or take precautions. Admittedly, we do not always take the time to reflect and assess the different layers of our experience, particularly when it comes to work matters that normally have a very specific beginning and end.

This is where experience capitalization takes place. So, what does it mean to capitalize on an experience? What is the purpose? In simple terms, it can be defined as the process through which an experience is identified, validated and documented, which, with clear objectives, results in learning, as well as the identification of potentially good practices and their subsequent adoption. Through this approach, practices can be adapted and improved so that they may be adopted by others and expanded, thereby creating a greater impact.

This enhances the generation of knowledge that can later be shared widely. As a collective process, it enables a team to examine its own practices, to learn from them and to improve performance, based on the lessons learned. Sharing the main lessons with external parties assists other projects, programs or organizations to improve or adapt their work or saves them from having to reinvent the wheel. Although it is not always applied in a thorough or systematic way, the experience capitalization process tends to be part of an organization's knowledge management strategy and requires communication and to a certain extent, appropriate political advocacy.

By applying this process, an organization or a group of people with common interests can respond faster and more effectively to different types of opportunities, limitations, crises and changes that may arise. Greater efficiency can reduce costs, save time and strengthen the specialized knowledge of organizations or individuals.

In summary, capitalization is the formal procedure to learn from the past in the present and for the future. The benefits may range from increased work satisfaction to greater efficiency in the institutional environment, including the capacity of each individual to extract the most from their knowledge and capacity for action.

2. These meanings appear in the Spanish dictionary of the Royal Spanish Academy (RAE 2022): "Having felt, known or seen someone or something"; "Prolonged practice that provides knowledge or the skill to do something"; Life knowledge acquired by the circumstances or situations encountered"; and "Circumstance or event encountered by a person". Consulted on 25 May 2022.

2.1. DEFINITION OF EXPERIENCE CAPITALIZATION

If we consider natural human behavior as the basis, experience capitalization has diverse and deep ideological roots, in keeping with the idea that people always reflect on the past, in order to learn from their experiences.

Pierre de Zutter (2009)³ describes experience capitalization as a process that “transforms an experience into shareable knowledge” and thus many professionals recognize its importance.

Numerous philosophical movements have contributed to experience capitalization. Paulo Freire (1921–1997)⁴ was a Brazilian educator and philosopher who in 1968 published the influential book, *Pedagogy of the Oppressed*, in which he rejected the “banking model of education” that views students as empty vessels that must be filled with knowledge. Instead, Freire argued that each individual, with their own interests, expertise and knowledge, is a co-creator in the learning process. Freire’s ideas can be seen in the tradition of philosophers such as Plato, Kant and Hegel, who considered freedom and self-determination to be real and important. The participatory learning promoted by Freire is an essential element in experience capitalization.

David A. Kolb is a philosopher and educational theorist who focuses on empirical learning. In 1975, in collaboration with Ronald E. Fry, Kolb developed an “experimental learning model.”⁵ According to Ferreiro (n.d.:8), both authors maintain that:

“Learning, change, and growth are seen to be facilitated best by an integrated process that begins with: 1) here-and-now experience followed by 2) collection of data and observations about that experience. 3) The data are then analyzed and the conclusions of this analysis are fed back to the stakeholders in the experience for their use in 4) the modification of their behavior and choice of new experiences”.

Kolb and Fry stress that learning is a continuous and repetitive process that can begin at any of the four points. They also identify four basic learning styles. Ten years later, Kolb (1984:38) offered a practical definition of learning as the “process through which the transformation of experience creates knowledge”. Given this emphasis on the transformation of experience into knowledge and the repetitive cycle of learning, the work of Kolb and Fry has a direct influence on the development of experience capitalization.

3. See: <https://www.youtube.com/watch?v=nFv75pR0tHw>. Consulted on 19 February 2022.

4. See: <https://www.youtube.com/watch?v=KotQPav1smE>. Consulted on 19 February 2022.

5. See: https://www.researchgate.net/profile/David-Kolb-2/publication/238759143_Toward_an_Applied_Theory_of_Experiential_Learning/links/57d2add208ae0c0081e25093/Toward-an-Applied-Theory-of-Experiential-Learning.pdf. Consulted on 5 March 2022.

Experience capitalization is based on concepts that are known by different names, stemming from diverse schools of thought:

- a. The term **capitalisation d'expériences** was coined in the European francophone context and it makes a distinction between the documentation, capitalization and use of experiences (Feuvrier et al., 2014).
- b. In Latin America, the Institute has commonly employed the concept of systematization, which is understood to be the process through which lessons are shared among different groups, in order to reflect on their practices, understand them and acquire knowledge or theory based on a specific practice. This activity is part of a continuous cycle of learning, as a result of group dialogue (Ministry of Education of Chile, n.d.).
- c. In the English-speaking world, the concept of **process documentation and continuous reflection** is more common and is understood to be the collection, compilation, analysis and communication of experiences in a manner appropriate to the context (Solé-Llussa et al., 2018).

In every moment of life, whether in structured activities or in day-to-day occurrences, humans can learn from their experiences. Experience capitalization focuses on a common interest: looking backward and examining what we did in the past in order to improve the future. This allows us to take the time to undertake a critical analysis of our experience, learning from our successes and failures.

Experience capitalization is a powerful tool that allows us to see and understand knowledge generated in our work, to later share it with others. Therefore, the complete definition as follows:

EXPERIENCE CAPITALIZATION IS A SYSTEMATIC, REPETITIVE AND PARTICIPATORY PROCESS IN WHICH EXPERIENCE IS SYSTEMATIZED, ANALYZED AND DOCUMENTED, PRODUCING KNOWLEDGE THAT CAN BE SHARED AND USED TO CREATE CHANGE

If we break down the concepts of the previous definition, we can identify the following elements:

Capitalization. Capital can be defined as anything that can be used to increase the capacity of a person or organization to carry out actions that provide some level of usefulness (economic, financial, knowledge). Experience capitalization generates capital by transforming experience into shareable knowledge. People learn from their activities or from what is happening around them, whether or not they obtain the expected results

Experiences. This refers to something that happens to people and the lessons they learn from it when it occurs. The implementation of a project, program or action constitutes an experience, as do the emotions, feelings or impressions of the individuals who participate in it.

Systematic process. This is a methodical activity carried out according to a plan or system. Experience capitalization follows a clear and structured methodology, ensuring that sufficient attention is paid to each step of the process, in order to obtain the expected results.

Repetitive process. Capitalization recognizes repetition as a means of continuous improvement, allowing for increasingly greater levels of efficiency in knowledge management. Given that it is a non-linear process, after each phase ends, the team must review and determine if changes or adjustments must be made to the first phases.

Participatory process. Participation is one of the central elements of knowledge capitalization as it provides a voice for all active and passive stakeholders in the process, involving them in the process of analysis and documentation, to achieve a greater level of objectivity in the results and to develop the capacities of the participants.

Analyzed experience. In addition to being experience-based, capitalization is more than merely identifying what happened but also focuses on understanding it and figuring out why it happened. This is done using analytical filters that serve as an acid test⁶ to ensure the viability and quality of the experience that is being capitalized.

Documented experience. Documentation is the process of transforming the perceptions identified through analysis of the experience into useful communication products. This phase must be participatory, in order to ensure objectivity and the development of the participants' capacities.

Knowledge. The field of knowledge management has prompted widespread debate about what knowledge actually entails. Within the context of an experience capitalization process, knowledge that is generated usually takes the form of lessons learned and good and promising practices or innovations.

Shared knowledge. Effective strategies must be incorporated to share and exchange the knowledge acquired before, during and after the capitalization process.

Change making. Change is the key objective of any experience capitalization process. It may occur in different ways or to a lesser or greater extent, but it must be in line with the expected results to ensure sustainability and feasibility.

2.2. WHAT CANNOT BE CONSIDERED AS EXPERIENCE CAPITALIZATION?

Up to this point, we have outlined the meaning and value of experience capitalization. However, it is also important to understand what cannot be considered as experience capitalization:

6. A financial indicator of liquidity, which allows a company to assess its ability to meet its short-term obligations, determining if it has the necessary resources to cover them. In this case, the analytical filters or criteria that are defined to determine the viability and quality of an experience should allow one to assess if the experience meets the criteria for its capitalization or use.

- a. **It is not an evaluation** that demonstrates if the objectives and expected results have been met and then offers recommendations. No judgement is made in experience capitalization. Rather it analyzes and documents perceptions and considers the reasons why planned results have or have not been met, using a participatory approach.
- b. **It is not an investigation** that resolves a problem, identifies a challenge and proposes a solution, which it then implements and tests to refine the process, until the problem is solved. Experience capitalization does not begin with a problem, a theoretical hypothesis or a solution, but stems from the experience itself.
- c. **It is not a documentary analysis** of sources related to an experience, but rather seeks to understand what happened, when and why, and includes a deeper analysis by those who are actually involved in the experience.
- d. **The experience is not summarized in a systematized manner** that organizes the various elements into a system and leaves them there or publishes them. Instead, an integral part of the experience capitalization process takes these systematization inputs and transforms them into teachable lessons for the participants and stakeholders.
- e. **It is not corporate communication**, conveying positive messages for informational purposes. In experience capitalization, the individuals who took part in the experience are involved in producing the material. The products are objective knowledge, including successes and failures, and the aim is to share the lessons learned and change the practices.

2.3. BENEFITS OF EXPERIENCE CAPITALIZATION

Experience capitalization is a tool that helps individuals to see and understand the knowledge that has been generated so that it can be shared. It focuses on a common interest that consists of looking back and examining one's actions, in order to improve them in the future. Thus, it requires a critical analysis of the experience, enabling participants to learn from successes and failures.

The knowledge can improve our work and the work of others by creating change, while guiding the adoption, adaptation and proportional increase of good practices.

As a collective process, it allows individuals to examine practices, to learn from them and to improve. Sharing lessons learned within and outside of the organization contributes to continuous improvement of performance.

Some of the benefits derived from experience capitalization can be grouped into the following five areas:

- a. Increases learning;
- b. Prevents loss of knowledge;
- c. Increases efficiency and effectiveness;
- d. Generates or triggers change;
- e. Creates teams and networks.

One of the main benefits of an experience capitalization process is that it may help to provide evidence and support promotion efforts. At the same time, various documents demonstrate that by participating in the process individuals are able to strengthen their capacities and their collaborative relationships.

Source: Prepared based on the CTA, nd.

a. Increases learning

It helps members of the team and other stakeholders to learn, as well as to better understand their activities and how their future actions can be improved. This learning, which stems from open and transparent reflection, is more meaningful when various people are participating.

An experience capitalization process can help to make the information generated from a project or intervention more useful and meaningful, while also enabling errors to be accepted as a natural part of the learning process. It also helps to increase resilience to abrupt or expected changes, as well as to determine corrective actions, plan adjustments and identify the trends or cause-effect relationships, with a view to planning the way forward, amid various levels of uncertainty.

a. Prevents loss of knowledge

When positive and negative experiences are not properly analyzed, documented or shared, the knowledge that is generated may be lost, which prevents the institution from capitalizing on its experience and using its resources, as a means of continuous improvement. Experience capitalization prevents knowledge from being lost within the immediate sphere of influence and makes it available to users and external clients. It sets aside time to address and consider knowledge and learning, beyond the results and the products. Generating communication products that create change is a priority. It is very important to review practices that worked and those that did not work, attempting to identify successful or unsuccessful elements.

a. Increases efficiency and effectiveness

An experience capitalization experience can increase the efficiency and effectiveness of the team and its interventions, helping its members learn from their mistakes and failures, and adapt and improve their interventions; prevent and reduce mistakes in the future, as a result of a process of constant reflection and learning; and identify and adopt innovations on a greater scale; strengthen stakeholders' capacities through their participation in the process; and improve the establishment of networks of stakeholders through a participatory process.

d. Generates or triggers change

Experience capitalization helps generate changes through the presentation of proof of successes and failures. The knowledge generated can be incorporated into plans and future interventions, and new practices can be adopted, adapted and expanded more suitably, improving the effectiveness, efficiency and impact of the work in the future.

Taking a pause in the individual, group or organization dynamic permits reflection. A pause is the ideal vehicle to open spaces of dialogue that bring new ways of understanding why things happen and how we can do things differently with these experiences.

Capitalization helps us to think more critically and objectively, to draw lessons learned in a participatory way. This can help expand or scale-up interventions, increasing the expected impacts.

Documented evidence of what works and what doesn't, can contribute to convincing authorities to come together and take decisions, and exert influence on policymakers. The products generated can also help convince multilateral development donors and financiers.

e. Creates teams and networks

Interacting with other stakeholders benefits those taking part in an experience capitalization process, as each process leads to an exchange of ideas, the formation of new networks, cooperation and better knowledge among team members.

The experience capitalization process can increase awareness of the challenges in the field and progress made, and contribute to diverse stakeholders staying in contact. Although difficult to measure, the connections in a process of collective reflection can lead to a shared understanding of a problem and encourage understanding among peers of different types and even from different geographical locations.

2.4. EXPERIENCE CAPITALIZATION MANAGERS

As this is a participatory process, identifying who should join it is an important step, as it guarantees effective participation by the different stakeholders from beginning to end. In this respect, the following roles emerge in an experience capitalization process:

- a. Experience protagonists:** Those who have taken part in the experience and its activities and have contributed to attaining results
- b. Process protagonists:** Those who begin and coordinate the experience capitalization process, ensuring its drive and implementation.
- c. External persons:** Those who are familiar with the context or the activities analyzed in the context of the experience. With this knowledge these people can contribute to its analysis.

- d. **Promoters:** Those who help to guarantee that the expected results are attained by following the capitalization steps. These people facilitate the process.

Although this is a participatory process, it is recommended that there should be one person responsible for it, who will normally begin and undertake a coordinating role as the process advances. The different professional profiles that could fulfil this role are:

- a. **Technical officials:** These individuals can use experience capitalization to acquire a deeper and broader understanding of their practice. This will allow them to share the lessons learned, improve their practice and identify promising innovations and alternatives. It will also help them to communicate the practice to those who are considering adopting, adapting or expanding it.
- b. **Team leaders:** These individuals can use experience capitalization to better understand the capacities and dynamics of the capitalization and their interventions. This process will be useful for identifying good or promising practices and innovations. The results will provide evidence that will strengthen their advocacy work
- c. **M&E professionals:** One of the most important elements in an organization's management is its M&E system. Experience capitalization must be tied to these activities in two ways: 1) Using M&E results as inputs and 2) Improving the M&E system with the results from the capitalization process. This connection is particularly important when theory of change is used in the evaluation.
- d. **Communication professionals:** These individuals can assist in the systematic documentation of stakeholders' inputs, not only in writing but also with photos, video and audio material or interviews. They can stay close to the field experience and support participatory communication, also known as communication for development.
- e. **Knowledge management professionals:** These individuals can play an important role as their knowledge of facilitation, participatory processes and collaboration are highly relevant in all the steps of the process.

2.5. EXPERIENCE CAPITALIZATION PRINCIPLES

Experience capitalization is based on the following principles:

- a. **It is participatory.** The inclusion of multiple stakeholders in all the stages of the process increases the objectivity of the knowledge generated, developing a broader sense of ownership in the process and its results. Dynamics and methodologies must be sought that allow all the stakeholders to express their opinions so that products are integrated through collective feeling and thinking.
- b. **It is gender-sensitive.** Experiences and knowledge from the perspective of all genders are different, as they experience events differently, hence the methodology must be sensitive to this reality, so that valuable elements are not lost in the process.

- c. **It considers time and context.** All capitalization processes are different. The team must take the time to consider the context and history, and the effects that these can have on the process. Under this principle, the team should think more deeply about its own context and history. Although this process can take time, its results can be very satisfying.
- d. **Its purpose is to learn from reality.** Considering that the results attained can vary from those expected, it is vital to recognize that theory is different from practice and that the differences between the objectives and the results are an opportunity to develop new knowledge. From the experiences these information gaps can be filled in to improve future planning and implementation.

2.6. EXPERIENCE CAPITALIZATION AND OTHER PROCESSES

Experience capitalization should not be seen as something independent or external from the work that is usually done in institutions or organizations; on the contrary, it should be incorporated naturally, such as in processes of:

- a. **Capacity building:** Capitalization identifies capacity building gaps in the institution or individual.
- b. **Monitoring and evaluation:** M&E results can form the basis for identifying potentially capitalizable experiences; in addition, the results from capitalization processes can help improve M&E processes. For example, from M&E exercises in projects and institutional performance, good practices and relevant lessons learned have been identified, and from the recommendations made in the reports, experience capitalization processes have helped improve practices and create diverse innovations. This is the case of initiatives executed and administered by IICA, such as the Fund for Sustainable Access to Renewable Thermal Energy, financed by German Cooperation for International Development, which seeks to vitalize the market value chain of renewable thermal energy technologies in Peru; or the initiatives of the Program of Regional Agricultural Research Consortia of Guatemala, financed by the United States Department of Agriculture, which seeks to strengthen the capacities of agricultural research institutions and of consortia of local stakeholders to participate in applied research in the chains prioritized by the region to support agricultural and rural development.
- c. **Knowledge management:** Experience capitalization is based on the key elements of knowledge management. This is a practical method to collect information, connect people who participate in an experience and create, exchange and divulge knowledge with them for action.
- d. **Project management:** Lessons from capitalization processes provide useful information for project formulation, planning, execution and M&E.

- e. **Communication:** Capitalization can produce quality content that the communication team can help perfect and distribute.
- f. **Research:** Capitalization can be used in the context of research actions to learn lessons that can be included in the research while it is being conducted or for future research. This is the case of initiatives implemented in the context of the program Knowledge Management for Adaptation of Family Farming to Climate Change, developed with the IFAD, to help family farmers in Brazil, Colombia, Ecuador, Guatemala, Honduras, Mexico, Dominican Republic and Bolivia become more resilient to climate change.

Recognizing all these connections can help us understand the benefits and value of experience capitalization. The purpose of these processes which, as we mentioned, are not necessarily independent or isolated from each other, but rather connected to each other, is to prevent knowledge loss. This is achieved by carefully applying a simple work methodology in planning and execution, to harness and share learning from these experiences, optimize the use of institutional/organizational resources (more effective and efficient processes) and provide innovations to improve performance in actions that are usually undertaken in the management of projects, initiatives and knowledge, capacity building and M&E actions.

2.7. PROMOTING THE EXPERIENCE CAPITALIZATION PROCESS

To fully leverage the experience capitalization process, it is advisable to involve the highest number of potential protagonists, stakeholders and potentially interested parties. It is possible that some will not show any interest at first or will even be negative about the process. In this situation, we have selected some of the most common arguments for resisting this focus, and possible approaches to try to change these perceptions.

Criticism	Important arguments
It's optional, I can do it later.	<ul style="list-style-type: none"> • Fear or laziness about spending time revealing and exchanging lessons learned (positive and negative), can lead to missed opportunities to salvage valuable information that can be used to improve the personnel's and the organization's performance. • If we don't learn from mistakes or promote or share success, we lose some of the benefits. This is a contribution to accountability. • If we don't think about capitalization from the beginning, we run the risk of losing valuable information. Postponing this process is not a good idea.
It looks complicated and exposes mistakes.	<ul style="list-style-type: none"> • It is very intuitive and structured. It helps develop the habit of learning by doing, changing, testing and repeating. With practice, the skill gradually improves. • It is important to learn from mistakes so as not to repeat them, and share them, so that others learn from the experience.
There is no time, no resources, no capacities.	<ul style="list-style-type: none"> • It can be part of processes already underway (e.g., M&E or communication). • It can start gradually and adapt to current tasks. • The cost of continuing to make mistakes is higher. • It is a natural practice that comes from our own skills.

Making the decision to undertake an experience capitalization process and planning and implementing it can prove easy if we know of a process like this that has been executed previously. Often people respond when they find something of value, so it is advisable to share the results of other processes with the members of a team or organization. This may involve the exchange of specific knowledge products or experiences and capacity building for participants.

It is important to be open to create spaces where ideas can be discussed, without fear of objections or direct criticism, and prepare possible arguments or responses to the most common questions.

Some key elements that confirm the importance of working on experience capitalization is that leaving it until the end implies risks. The participants leave, they forget and there is a lack of data to share, a lack of images and interviews obtained from the start of the process, no budget and no more time.

It is advisable to share and exchange results and experiences from other processes the moment results and products start to be generated, to demonstrate the benefits of the methodology.

To achieve this, the organization's focus must be researched in terms of knowledge management, its strategy, and the skills development strategy, to find a home for the process. Understanding the organization's specific needs in terms of knowledge and information will help focus on potential specific benefits from a capitalization process. It is also important to determine the steps required to obtain the expected results and discover the conditions or requirements to be fulfilled.

What are the essential elements to cover? Experience capitalization

- a. is not a new project,
- b. is not intended to be a "copy-paste" action,
- c. is not a documentation,
- d. is not an individual exercise,
- e. does not solve all the problems.

2.8. EXPERIENCE CAPITALIZATION CYCLE

Experience capitalization cycle is the name given to an ordered and sequential process organized into three moments or stages, each of which contains a series of steps that help order, execute and harness the information available and the lessons learned shared by the different participants in the experience, in the interest of generating changes by broadening such knowledge and institutionalizing the capitalization process to continuously improve performance or the experience itself, or to extend to other areas through the adoption, adaptation and expansion of those lessons.

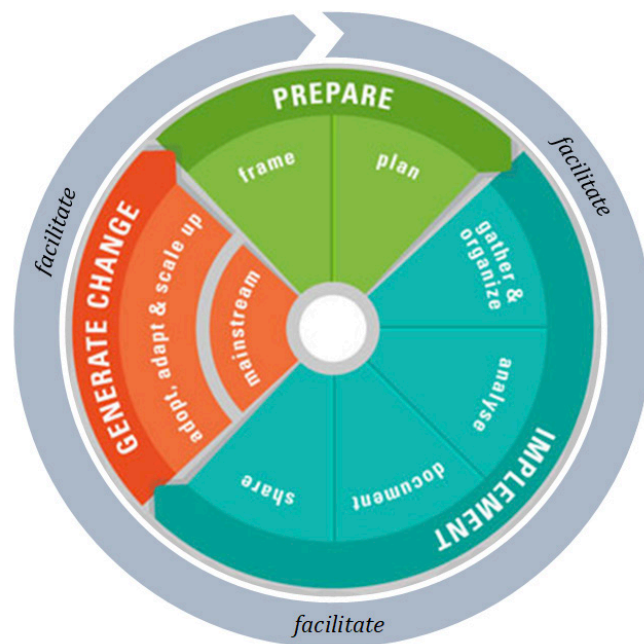
However, although it is not a central theme of this guide, as will become clear, facilitation is an action or process that covers the exercise of the experience that is being capitalized. Facilitation requires taking certain steps as a means to ensuring the success of capitalization. These steps include::

- a. Drawing up a work plan and a schedule of facilitation activities.
- b. Preparing a budget with sufficient means to carry out the capitalization support work.
- c. Monitoring and evaluating the main targets that ensure that the capitalization is on the right path, that is, that its objective(s), results and products are attained.
- d. Preparing materials, documents and inputs to share information with participants during the different stages and steps that guide the capitalization cycle.
- e. Supporting the compilation, organization, analysis and publishing of texts.
- f. Extracting and systematizing knowledge and lessons learned (positive and negative) from the experience.
- g. Motivating stakeholders in the importance of experience capitalization, identifying potential users and adopters of these experiences and showing some paths to incorporate the experience into their place of work.
- h. Generating a pleasant space that inspires trust among stakeholders and protagonists, encouraging proactive participation and contributions that permit the application of learnings for the processes of change and innovation.

A summary is presented below with a brief review of the experience capitalization cycle, divided into three phases and eight steps, which are described in detail.

These three phases complement each other and are executed sequentially. Some actions are done iteratively, to improve their implementation and get the most out of the experiences and shared lessons learned, with the intention of generating changes.

FIGURE 2. EXPERIENCE CAPITALIZATION CYCLE: PHASES AND STEPS.



Source: Taken from FAO 2018.

The preparation phase refers to setting the bases and defining how to organize the activities of the experience capitalization process. This stage enables the identification of the experience to be capitalized as clearly as possible, as well as the stakeholders who will participate, the work team that will support the process, the logistics required, the action plan and the operating budget, as well as the communication plan or strategy, and other elements necessary to ensure the most adequate process implementation at the lowest possible cost.

This second phase concerns the attainment, organization, analysis, documentation and sharing of information, for which clarity is needed about who can provide the information that is sought, and where, as well as how to work with the people who possess the knowledge and learnings that could be shared, how to use the information obtained, and the format in which this knowledge can be shared with the target audience.

Given that the goal is to promote and generate positive changes in people and institutions/organizations, the third phase encourages the use of the knowledge and products generated in the previous stage, working on the concepts and processes of adaptation, adoption and scaling-up (broadening or expansion) of these lessons learned and knowledge, and the institutionalization of the learning process is promoted as an innovation and a change of culture for the continuous improvement of the work executed in the personal, institutional and organizational spheres.

2.8.1. First phase: Preparation

Step one: establish the framework of the experience capitalization process (framing)

The process begins with the **experience approach**. This decision is taken iteratively, considering the general objectives and the target audience of the process. The following questions should be asked:

- a. Does your team expect to learn from a project, program or specific component or, of the work done in one region or specific thematic area?
- b. What goals or results do you expect from the process? How will these be measured?
- c. What are the preconditions for making it a success?
- d. What is the best team to support the experience capitalization exercise (facilitators, policymakers, writers, trainers, information/knowledge managers)?
- e. With whom do you wish to share the results and knowledge obtained?
- f. Who will benefit?
- g. What evidence will show that the experience has been capitalized?

Step two: plan the experience capitalization process (planning, but with flexibility)

This step focuses on highly practical questions in the planning and preparation of the capitalization process. Your team will need to do at least the following activities:

- a. Select the **planning methods** that can facilitate the capitalization process;
- b. Identify the **information required**, which includes key documents and human resources, such as who participated in the experience, and who can contribute to the discussions and results and, who may be interested in broadening what we are learning;
- c. Draw up a **work program** distributing all the activities to be done during a given period of the **capitalization process**;
- d. Draw up two **additional plans**: one, to **monitor and evaluate** the experience capitalization process according to the work program, and another for **communication**, to disseminate the capitalization work and the results attained;
- e. Prepare the **budgets** assigning the financial resources required: a budget to quantify the necessary funds to execute the capitalization process with the participants and another budget to consolidate the communication plan and products.

2.8.2. Second phase: Implementation

Step three: collect and organize the information (collecting and organizing)

This third step outlines the process of **gathering and organizing the inputs** required in the experience capitalization process, which will include:

- a. Identifying in detail the main **information sources**: those available and those that must be located;
- b. Determining what **information** is easily **available**, existent **gaps** and what should be presented;
- c. Defining suitable information **collection methods**;
- d. Understanding the **main challenges addressed** in the terrain and how these affect the expected and unexpected results;
- e. Managing a **methodological or support preparation** for the participatory sessions involving diverse people, to discover different perspectives that will complement the other data gathered;
- f. Using **tools and practical methods to organize information** inputs: matrixes, databases, or files.

Step four: analyze

In the fourth step, you and the stakeholders will **analyze the information collected**, looking for the reasons underlying the events and generating ideas and conclusions. This will include:

- a. **Selecting useful criteria** to analyze the experience;
- b. Conceiving how to carry out a **collective analysis**, to include diverse **perspectives**;
- c. Using the analysis to identify **key factors** of successes and failures, to draw **lessons learned and recommendations**.

In this stage the team must adequately reflect the opinions of all the relevant stakeholders. If necessary, go back to step three to collect additional inputs.

Step five: document

After carrying out the full analysis of the experience and once a consensus has been reached on the knowledge that can be derived from it, the following step is to **document the experience to generate shareable products**.

There is a common trend to focus on written forms of documentation, such as reports, articles and case studies; however, the outputs generated should be appropriate and accessible for the specific audiences you wish to reach.

It is fundamental that you take time to understand your audience and the most suitable outputs and formats for them. Knowledge documentation can also include illustrations, signs, radio programs, theater and dance performances, videos and photos. Resume the communication strategy here.

Step six: exchange (sharing)

Once your knowledge products have been generated, these should be shared and disseminated. The idea is to make the new knowledge more accessible, not only to members of your team or organization, but also to a more diverse public, encouraging dialogue around any issue that emerges.

Your team should consider precisely when and how to exchange knowledge, which will include: Los objetivos de comunicación, apropiados para los públicos identificados durante la preparación;

- a. **Communication objectives**, suitable for audiences identified during the preparation;
- b. The detailed **communication strategy**;
- c. Suitable **communication channels and media**, to combine your objectives and strategy;
- d. The **feedback mechanisms** of the content shared to enable subsequent improvements.

2.8.3. Third phase: Generating change

Step seven: adopt, adapt and expand (scaling-up)

The exchange of products from the experience capitalization process generates dialogue and awakens interest, but it is not the end of the process. There must be a **conscious, specific effort to use such products to generate change**. Resume your monitoring and evaluation plan here, as it is necessary to show that the knowledge has been put into practice.

This change can occur by **ensuring the widespread adoption, adaptation and expansion** of practices, methodologies and policies. The results of the process are obtained when the practitioners and leaders in your teams can **put the new knowledge into practice**. At this point, we will have harnessed the experience.

Step eight: mainstream (institutionalize)

The adoption of the experience capitalization process does not occur overnight. The core idea of the Experience Capitalization project, promoted by the CTA, the Institute, the FAO and IFAD, is to institutionalize this process, as this can generate long-term change through its mainstreaming in the processes that your team or organization makes every day. The three main levels of integration can be seen in at least three forms:

- a. **Ad hoc:** When the process is carried out as a one-off, often at the end of an intervention or in response to a specific contextual matter, such as the development of a new stage.
- b. **Continuous:** When the process is used in each stage of an intervention continuously. This is challenging but permits a deeper analysis and the generation of knowledge.
- c. **Integrated:** When the process is used without interruptions in all the operations as part of a culture of experience capitalization.

3. ORGANIZING CAPITALIZATION

Before undertaking a task or action, we must ideally plan our actions based on a goal that we hope to attain. A first step is to design and organize all the capitalization process, which will become the roadmap guiding the process. From the start this roadmap must focus on the objectives of generating and sharing new knowledge; otherwise, the experience capitalization process could be incomplete. For this reason, it is also important to generate the communication products to share these lessons learned properly, so that they facilitate the adoption and adaptation of these ideas to generate change.

3.1. PLANNING CAPITALIZATION

The first thing to establish are the capitalization objectives, analyzing their feasibility, usefulness and relevance with the resources and time available. Understandably, different people will have a different vision of what they expect, hence the facilitator’s role is to manage those expectations, harmonize the differences and agree on shared objectives. Some important elements that the facilitator must decide on, based on the expected objectives, are the following:

Question	Considerations
Who should participate?	<ul style="list-style-type: none"> • Number and profile of participants • Types of activities appropriate for participants (workshops, seminars, virtual training).
What activities make up the process?	<ul style="list-style-type: none"> • In-person or online • Practical or theoretical • Budget and logistics allocated to the process • Internet connection and technological resources (virtual modality).
How much time is needed to complete the process?	<ul style="list-style-type: none"> • Duration of activities • Waiting times between activities • Synchronous and asynchronous work.
Is there enough support for facilitation?	<ul style="list-style-type: none"> • Size of the group of participants and physical spaces • Profile and number of support team members (facilitators)
Who will monitor the subsequent process?	<ul style="list-style-type: none"> • Essential for the chances of repeating the process and fundamental for the institutionalization process.

It is very important to acknowledge that there is no single roadmap or formula for planning the experience capitalization. It is common to face delays, complications or events that will prompt us to adjust the roadmap. However, it is important to have a clear idea of what accomplishments are expected, even if adjustments have to be made along the way.

3.2. PARTICIPANTS

The participants are the central element in an experience capitalization process. They should ideally be a group with shared interests, with members working on the same issues or in areas of shared interest (methodologies, beneficiary population, geographical area, etc.), as they will have more chances of adopting others' innovations and helping to share them further.

It is fundamental to ensure the incorporation of the right participants, who have been directly or indirectly involved in the experience, and to ensure that they are motivated to participate in the process. Some recommendations to consider:

- a. **Carry out a participation application process.** Applicants complete a form, including details such as name, reason for participating, previous experience, etc., to ensure the participation of the right people to meet the objectives of the process.
- b. **Manage expectations.** Each participant has their own perception and expectation of the experience when starting a process of experience capitalization. It is important to explain the objectives clearly, answer queries and adjust the methodology to satisfy the majority, with the understanding that differences and even criticisms can always arise about the process.
- c. **Strike a balance in terms of age and gender.** Ensure a broad participation of the most important stakeholders, considering important aspects such as gender and age. The heterogeneity of the group and the best levels of representation will help build a better capitalization process.
- d. **Carry out a capability study.** This aims to boost the skills of each participant, to make the best of their knowledge and prior experience. A lot will depend on the objectives of the capitalization process, which may include training trainers, finding a process champion and institutionalizing. Ideally, the facilitators should have a prior idea of the participants' experiences.
- e. **Strike a balance between protagonists and stakeholders external to the experience.** It is not advisable to carry out an experience capitalization process without the participation of direct protagonists. But it is also important to include other external stakeholders who have not been directly related to the experience, but who have an interest in it, to build a more objective perspective: people with different profiles, skills and responsibilities.
- f. **Strike a balance in the experience level.** Although it is not a major inconvenience if the participants have different levels of experience and skills, this difference must not be very marked, as this can complicate the process.
- g. **Decide on group or individual work.** When working in groups of people, each with their different experiences, there is a risk that one will lead the way and get the most out of the exercise, which implies a loss of valuable experiences to capitalize.

3.3. FACILITATOR TEAM

In some cases, a single facilitator will be enough to guide the whole process. However, it can be complicated for a single person to lead, answer questions, and collect the necessary inputs to ensure its quality. For this reason, a facilitator group is suggested (two or more facilitators) who can guarantee the flow and effectiveness of the activities proposed.

When the workspaces are limited, a facilitator team makes it possible to work on various tasks at the same time while respecting the schedule and without compromising the fulfillment of objectives due to time constraints. One option to consider is to select advanced or experienced participants to support some facilitation tasks.

This decision about the facilitation team is important, given the high level of participation involved in this approach, in which “learning by doing” has proven to be more effective than a strictly didactic course.

Those interested in the facilitation process can consult the document by Eggens and Chavez-Tafur.

3.4. GETTING TO KNOW THE PARTICIPANTS

Some **preparatory activities** that favor the work dynamic are:

- a. **Making individual introductions.** Whether in-person or online, it is important for everyone to have the chance to exchange basic personal information.
- b. **Inviting participants to an initial preparatory session.** Especially in online courses, it is advisable to have a relaxed first work session that can be used to introduce the participants and test the platform and communication instruments.
- c. **Identifying potential experiences for capitalization.** Through individual or joint experiences, you can start to outline capitalization opportunities.
- d. **Looking for examples.** It is always best to work with examples, as this helps the group reflect on prior experiences and better recognize the goal to be fulfilled at the end of the process.
- e. **Sharing relevant and complementary resources.** It is impossible to cover all the content explorable in the subject, so it is good to organize all the relevant and complementary materials so that participants can broaden their knowledge by themselves. In this sense, a valuable resource is the online course available in the FAO (2018) learning module on experience capitalization. Different options for sharing include cloud files such as One Drive or Google Drive.

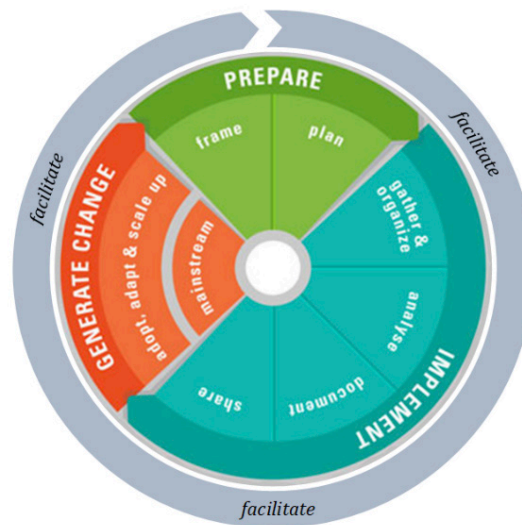
4. EXPERIENCE CAPITALIZATION

As we saw above, capitalization has three moments or phases, which are the main theme of the next sections of this document.

Phase 1. Prepare:

Identifying the elements to define and plan the experience to be capitalized.

Phase 3. Generate change:
Adding value and sharing knowledge, and mainstreaming in the organization.



Phase 2. Implement:
Collecting, selecting, organizing and analyzing information to document the experience and share knowledge.

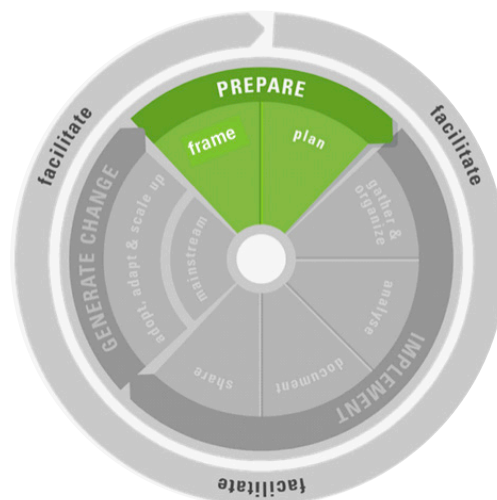
In this context, the facilitation team should meet previously to review and plan the details of the entire capitalization process and the work that must be done with the participants to attain the objectives proposed within the time required and with the budgets established for the different products, both at general level and for each stage and step, while considering diverse aspects that influence the success of the exercise and which require the consideration of technological, institutional, organizational, political, economic and other aspects.

PHASE 1: PREPARATION

The facilitation team has organized the meetings and the participants have been invited: it is time to put the experience capitalization into practice. This phase of the preparation contains the most important elements of the capitalization process, which differentiates it from other similar ones. This is where the “real” work of capitalizing an experience is done, as can be observed in the steps to be taken.

STEP 1. FRAME THE EXPERIENCE

Framing the experience is the starting point and is the basis of the success of the capitalization process, hence it is essential to consider the following aspects that are addressed in this regard.



i. General aspects

a. Process purpose and objectives

When we start to work with a group, whether in person or online, it is usually a good idea to start with a general reflection on the reason why we are there and the whole process to follow. Often, the group will first discuss the objectives of the activities and meetings.

b. Concept of experience capitalization

An overview of the theory of experience capitalization and its relationship with knowledge management is shared together with a general description of the process

c. Presentation of the participants and their motivations

Each person will have their personal reasons for participating: professional obligation, a desire to improve, increasing their knowledge, etc. It is important for each person to do the exercise of identifying their reasons or motivations for participating. In this regard, some useful questions might be: Why are you here? How can experience capitalization be of use to your organization, current project, or your life in general?

It is also useful to explore previous related experiences with knowledge management, systematization and documentation, etc.

d. Identifying potential experience as a starting point

If the purpose of experience capitalization comes from a project or specific initiative, it is important to explore the context of these experiences, so that it can later be used to frame and underpin the capitalization goal. See the exercise in annex 1.

e. Defining the experience to be capitalized

After selecting a potential case, participants must concentrate their experience and set clear limits on the point they will focus on in their capitalization. At first glance, the simplest thing is to enter a copy-paste dynamic in which, because they are so involved in the issue, they end up simply repeating verbatim what was done. This can be useful as an input, but is far from the capitalization procedure, which is explained below.

ii. Selecting an experience

The facilitator has the important task of guiding the participants in the right direction during the selection of the experience to be capitalized.

The process flows best when selecting a specific experience that has already taken place (in the past), which is not too broad, and above all, one that is **unique, interesting and new**.

It is important to think of a stand-out element that makes the experience special or capitalizable:

- a. **Novelty.** Relatively few people have heard of the experience or thought of it.
- b. **Difference.** It contradicts what most people think or shows something unexpected.
- c. **Relevance.** It is related to what an organization is doing or what it is interested in doing in the future.
- d. **Innovation.** It proposes a different and innovative way of responding to needs.

It is important to bear in mind that failures also count: all the participants must be willing to examine the problems, errors or difficulties that have emerged and not be afraid to do this, as the goal of the process is not to point the finger, but rather to draw lessons so that these can be presented, discussed and addressed with a positive, constructive perspective.

Some criteria for your selection:

- a. It has produced results, positive or negative;
- b. It is relevant;
- c. It is appropriate;
- d. It is of interest to the stakeholders;
- e. It generates useful lessons;
- f. It is part of an intervention that is underway (ideally);
- g. It has sufficient resources;
- h. It has the potential to generate change; and
- i. It meets the objectives of the process.

Sometimes it is helpful to focus on a specific issue, such as a component of the project, a development goal, a thematic area (working with a value chain), a process carried out (which can be organizational, related with the application of a productive system or of an ICT, an applied methodology, etc.) in order to facilitate the exchange of ideas among the participants, the creation of coherent communication products and the adoption of lessons and innovations. If the topics presented by the participants are to be limited, bear this in mind when inviting them to be part of the process.

Some questions that help us determine the level of relevance of the experience selected are:

- a. What is the goal of your experience capitalization process?
- b. Who do you want to reach with the results of this process?
- c. What are the indirect audiences?
- d. What is the unique selling point? ⁷

Lastly, it is important to determine the best time to begin a capitalization process:

- a. **At the beginning.** You can provide inputs for implementation, although there will be no perceptible or evident results, e.g., when a technology is being applied and there are not yet any changes in the adoption or in the generation of income or improvements.
- b. **During implementation.** This is the ideal time, as it is possible to look at the activities done to contribute to the adjustment and future implementation, e.g., when you are working on a new water resource management model or new ways of organizing producers and you recognize that this has not worked or, on the contrary, it is working so well that it is worth sharing in other areas or with other stakeholders.
- c. **At the conclusion.** Although the opportunities for learning and adjustment are limited, it is advantageous for the design of new actions, e.g., considering new models of projects or programs, taking into account the aspects salvaged in the systematization process of documentation of the experience.

iii. Objectives, audience and approaches

The framing is probably the most critical phase in the whole process. When the case is not well-identified, it can lead to an error throughout the process. Although it is true that experience capitalization is an iterative process (it can be modified at any moment, regardless of its progress), the availability of resources and the opportunity to capture knowledge can be lost in key moments.

The facilitator plays a key role in helping participants refine the issue of interest until it becomes a concrete, manageable experience case. To help set the limits, a series of basic elements to consider has been structured:

- a. **Title.** In a few words, what is the focus of the capitalization?
- b. **Type of experience.** The selection of the experience may have very diverse origins, which is positive because it broadens the options and spheres of experiences that can

7. This is a concept of the best pitch that can be made to sell or attract the interest of those who will gain an advantage from a capitalizable experience. It is similar to the elevator pitch, as a way of presenting an idea and getting a positive reaction from those who receive the message. An example of this can be seen in the following link : https://www.youtube.com/watch?v=2b3xG_YjvI. Consulted 15 January 2022.

be capitalized. This may be one activity or a group of activities, a project, a component, a methodology, an approach, a process, a specific practice, or a partnership, among others.

- c. **Location.** Although the project may have been executed in different communities, it is important to clearly define which one (community, district, office, etc.) we are going to work with and ignore the other places, at least for the time being.
- d. **Stakeholders.** Although the project was executed with different people, it is necessary to define on whom to direct our attention (members of the community, men/women, associates in the execution, donors, beneficiaries, etc.) and ignore all the other stakeholders for the time being.
- e. **Start date and duration.** It is necessary to pay attention to the timeline, define the period in which the activity was done and ignore, for the time being, all the activities that occurred before or after the experience selected.
- f. **Objectives.** These help to understand the environment in which the experience took place (what was expected to happen and, therefore, not necessarily what happened). The objectives can also be used in the analysis phase, to remember what was originally considered as the main reason for doing these activities.
- g. **Problem.** This helps to understand the context in which the experience took place and is directly related to the objectives. The problems that were identified in a specific place and in a specific period of time inspired specific activities with the objectives mentioned.
- h. **Previous attempts.** These contribute to understanding the environment in which the experience took place. What happened before? What other attempts were made in response to these specific problems? These attempts can also serve as inspiration later on, in the analysis phase, to compare what could have been better in this previous intervention.
- i. **Context.** This helps to understand the context in which the experience took place and what may have influenced the design, execution, and results of the activities. It is highly likely that the context will be part of the analysis and contribute to understanding why the execution and results came to be that way.

The following tables organize the information considered for framing the experience:

Title (what?)	Experience type	Experience description	Location	Stakeholders	Start date and duration
Which case have you selected?	<ul style="list-style-type: none"> • Community experience • Transversal theme • Methodology • Practice • Partnership • Other 	What was/is the experience? What was your objective? What activities took place? What results were generated from the experience?	Where did the experience take place?	Who participated/ participates in the experience?	When did the experience happen?

Objective(s)	Problem(s)	Previous attempt(s)	Context
What was the objective of the intervention/case? What we hope to achieve, e.g., produce a change, improve efficiency, contribute to a promotion, generate knowledge that would be useful to share with others.	What problems did you try to address with the intervention?	What actions were done before attempting to resolve the problem(s) identified?	What factors (social, environmental, political, economic, etc.) determined the scenario where the experience occurred?

These tables help to lay out the whole process, the work organized and the consideration of roving adjustments along the way throughout the capitalization planning process. It is important for the facilitator to give participants the freedom to identify each of the elements, always with the necessary orientation, so as not to lose sight of the desired focus.

Even if a group capitalization exercise ultimately takes place, it is advisable for each of the participants to individually do their own exercise to show their understanding of this important phase. Some common difficulties that participants face in setting the limits include:

- a. **The experience is too broad.** By way of example, a project of long duration (10 years) or great complexity, or one executed in various places and with diverse populations may require a more limited approach. This is not to condition the exercise, but the facilitator must warn of the risks or complications that each decision implies.
- b. **The case has not yet been executed.** At the start of the process, it is normal for participants' enthusiasm and expectations to be at their highest. Although it is advisable to start the capitalization process sufficiently in advance, it is important to manage the expectations vis a vis the success of an action that has not yet yielded results.

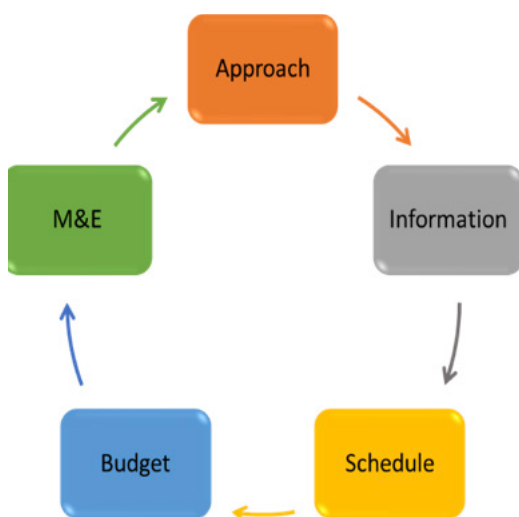
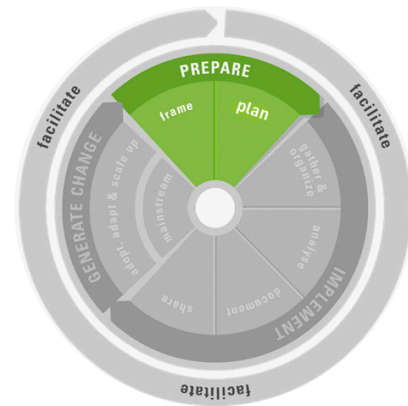
- c. **Confusion between the context and the problem.** The problem is the obstacle or the situation that the intervention seeks to resolve, while the context considers matters that influence the experience, over which we have no control, but which involve the circumstances in which the experience came to life and which help to understand how and why it took place, in such terms as political, sociocultural, environmental, economic, geographical and market elements, among others.

STEP 2. PLAN THE EXPERIENCE CAPITALIZATION

This stage defines the steps necessary to implement the experience capitalization plan, the cost of process facilitation, how different planning elements combine with each other, and the roles and responsibilities of each participant with regards to the different products and results expected.

In the planning stage, we identify and assign the human and financial resources required to generate the expected products and results. We also establish how these will be measured, monitored and evaluated.

Experience capitalization is a flexible and iterative process. Therefore, during the planning process, it is important to bear in mind that certain modifications could be made during the implementation phase. The focus should be on minimizing unforeseen effects, as well as any issues that could hinder the fulfillment of the objective. Planning allows for reviewing processes to anticipate conditions that could arise in the future and provide the requisite opportunities to adjust the plan, as necessary.



Experience capitalization planning consists of five basic elements that are iterative rather than linear. Sometimes, completing the later phases involves reconsidering some of the initial planning phases, or even returning to the formulation phase.

As this is a participatory process, it is important to remain flexible and adaptable. The higher the number of participants, the greater the number of information sources available that can improve precision in the planning process.

i. Approach

Each experience capitalization process is unique, and the detailed plan will depend on several factors, such as your team, the context of the experience and the budget available to carry out the exercise with participants. It is important to gather information as part of a clear plan, to ensure that the entire process is visible and understandable to all those involved and that the work plan remains organized and up to date.

At least three key aspects should be considered when planning the approach for the experience capitalization process:

- a. **Its scope and activities.** The entire process that will lead to its fulfillment (results, products, activities and indicators) should be organized, starting with the general objectives.
- b. **Individuals responsible for the task.** An individual must be responsible for reporting on and the fulfillment of each of the activities and programmed results, in due time and form.
- c. **Logistics.** All the logistical elements that will lead to the satisfactory execution of activities must be taken into account.

Explore opportunities for synergies between your experience capitalization process and other duties or activities, especially for monitoring and evaluation, communication, and capacity-building within and outside of your group or organization.

Consider ways to achieve synergies through:

- a. Joint planning meetings,
- b. Shared roles and responsibilities,
- c. Periodic feedback mechanisms and
- d. Parallel and interconnected processes.

ii. Information

Information is a key input in the experience capitalization process, including documents, data, maps, photographs, communication products and, of course, the opinions of stakeholders. As will be discussed later in this guide, information is generally gathered and organized early in the implementation phase. However, it is advisable to begin the capitalization process with a clear understanding of the various sources of information available and those that will need to be obtained.

The reliability of information depends on its accessibility and adequate management. Therefore, it is important to establish a system for storing and organizing the information that is collected.

In the planning phase, a basic system should be in place to collect, organize and store the requisite information. This will allow for keeping a record of necessary data and archiving the views and opinions of direct or indirect stakeholders involved, which can add value to the process.

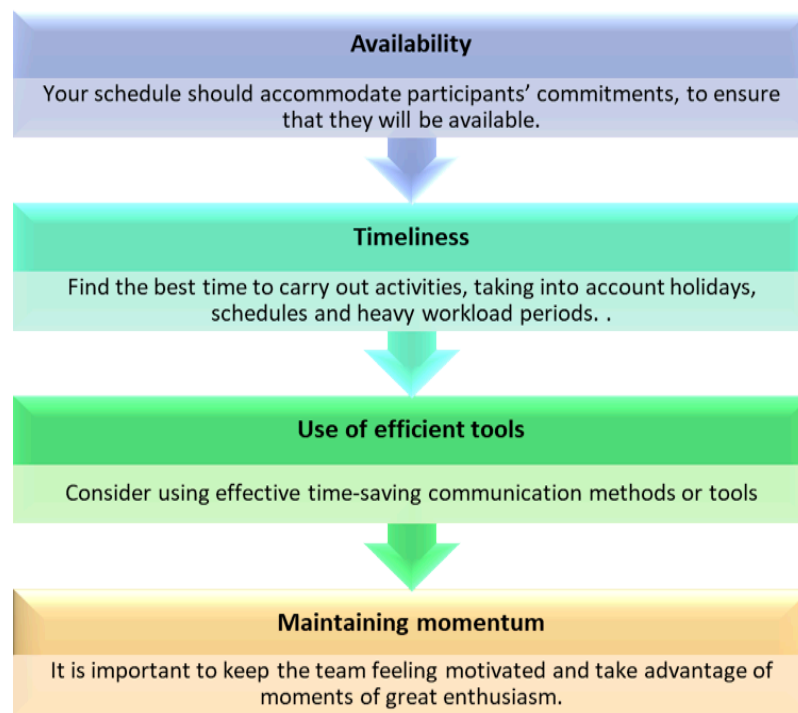
Data should be collected from previously identified primary and secondary sources that provide qualitative and quantitative information. The information system may be as simple or sophisticated as desired.

iii. Schedule

When considering logistical aspects, it is important to create a schedule, which is understood to mean the series of activities to be carried out and the products to be generated to guarantee the fulfillment of programmed goals while taking into account waiting times, asynchronous workspaces, travel, etc.

This can be done using a Gantt chart (a graphic representation), which helps to keep track of all activities and dependencies, as well as what has been done, what is being done and what will be done in the future. The amount of time required to complete each activity or task is represented by a horizontal line or bar (the longer the bar, the greater the amount of time spent on that activity).

It is important to ensure that the various steps are realistically timed to fit in with the possibilities of each stakeholder and participant. Some aspects that should be considered are:



iv. Budget

While not necessarily expensive, the experience capitalization process does require some funds. Once the methods, information system and timeline for completion have been identified, a budget detailing the resources needed to efficiently complete the process should be drawn up.

Some of the most common costs to be considered are:

- a. Personnel time, including payment for consultants and assistants;
- b. Information gathering and storage tools;
- c. Organizing meetings (rentals, travel, meals, accommodation, among others);
- d. Payment for facilitators, writers or external secretaries, as applicable;
- e. Field visits;
- f. Preparation of materials, documents, systematization of information, recreational activities, and revising and drafting documents, among others

A sample budget is available in Annex 2.

v. Monitoring and evaluation plan

Experience capitalization is not an end in itself, but rather seeks to generate changes in behavior, practices, policies, or perceptions that may modify the condition of the executing (internal) bodies, as well as the behavior of external stakeholders such as municipalities, community associations, NGOs, communities, governments, and others.

The M&E plan should not be complicated, given that it is meant to contribute to the natural process of managing experience capitalization. An adequately monitored plan provides inputs for decision-making and generates evidence and lessons learned of what works and what can be improved.

An M&E plan may include the following elements:

- g. Objectives and expected results;
- h. Indicators: description, unit of measurement, goal, achievement period;
- i. Individuals responsible for the task;
- j. Data collection sources;
- k. Analysis and reporting; and
- l. Formulation of measures to implement changes

Depending on available resources and established priorities, the M&E plan may focus on specific aspects of the capitalization process; e.g., some facilitators prefer to conduct M&E during the phase geared towards disseminating the experience capitalization results.

IMPORTANT NOTE

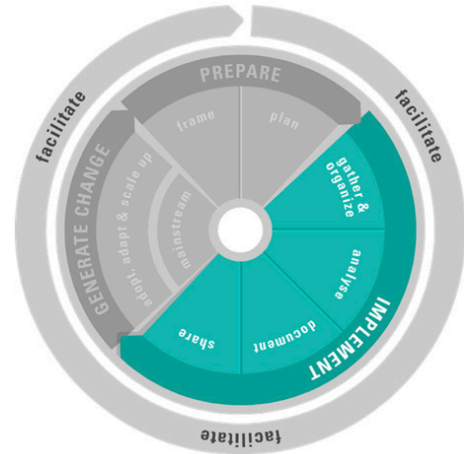
Remember to include communication, promotion, and change strategies in your plans; these are key elements for experience capitalization. Further information is provided in Stage 3 of this guide.

Annex 3 includes a sample M&E plan.

PHASE 2: IMPLEMENTATION

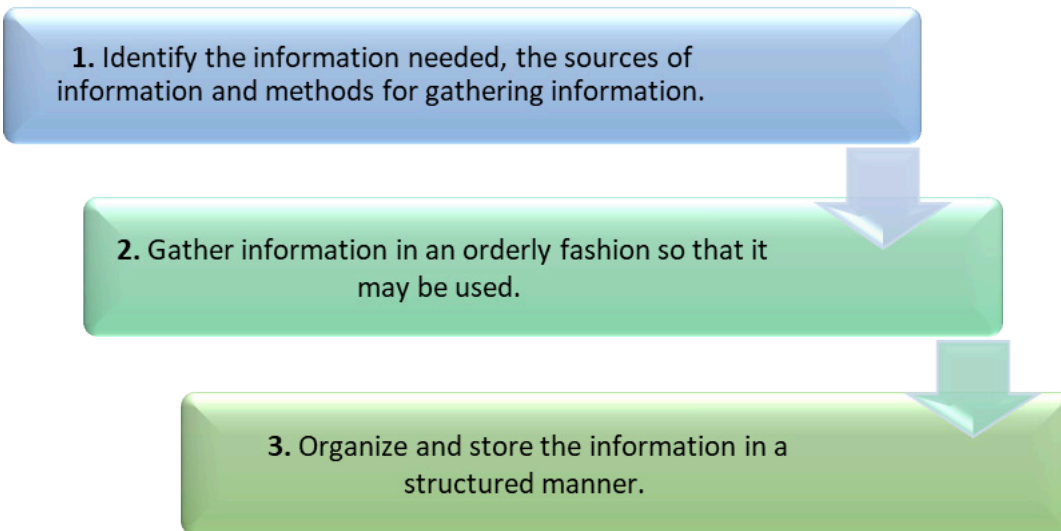
Once the experience has been identified, the implementation process, or Phase 2, begins. This phase includes actions directly related to the collection and processing of information on the experience at hand. This allows for generating products and evidence of the experience that will be shared and will drive its institutionalization, which, in turn, opens the door to scale up the experience in various ways.

This phase is divided into four steps: gathering and organizing, analyzing, documenting, and sharing or communicating information about the experience.



STEP 3. GATHER AND ORGANIZE THE INFORMATION

Three basic steps must be followed to gather pertinent and useful information on the experience to be capitalized:

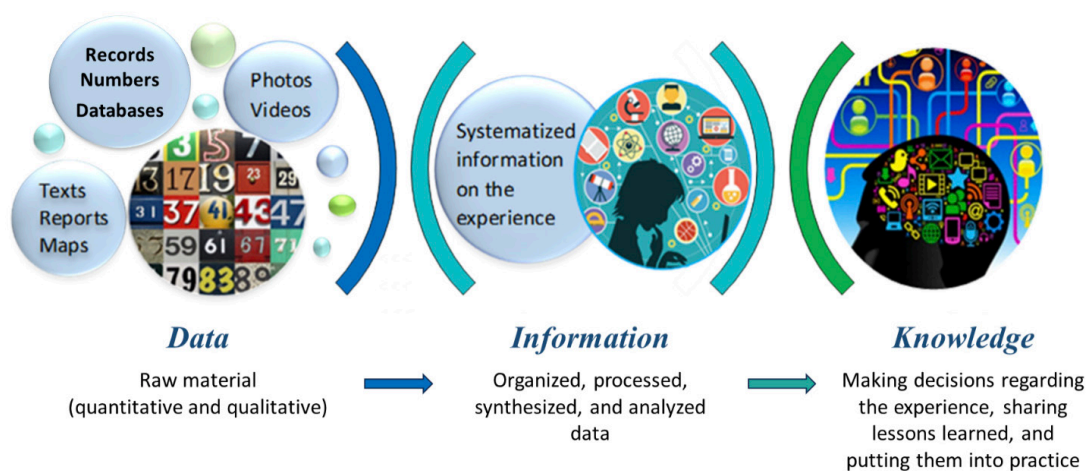


Not only is it necessary to plan how data on the experience will be identified and collected, but also how it will be transformed into information and valuable knowledge that can be shared to generate new knowledge and lessons that can be adopted, adapted and expanded.

Along those lines, the IFAD (2002) indicates that “**data** is the raw material that has no meaning yet. Information involves adding meaning by synthesizing and analyzing it. **Knowledge** emerges when the information is related back to a concrete situation in order to establish explanations and lessons for **decision-making** ...”

The basic steps for processing data are illustrated below:

FIGURE 3. INFORMATION WITH ADDED VALUE FOR GENERATING KNOWLEDGE



i. Identify the necessary information

Having the most complete information about the experience is the starting point to learn from it, so it is important to know what data we have, what kind of materials are available (documents, records, personal stories, maps, photos, among others), who knows of the experience, and with regards to missing information, identify where and how to find it. Therefore, identifying the information needed and where to find it is the first step before gathering data.

With this in mind, efforts should focus on objectively identifying what information should be gathered about the experience. Remember that not all the information obtained is necessarily useful for our purposes. Sometimes a great deal of time and money is wasted searching for and gathering information that is not used in the end or which is irrelevant. In this sense, the following questions can help to better identify the information required:

- What** happened before and **what** did the experience set out to achieve?
- Who** were the people involved in the experience?
- Where** did the experience take place (geographical area, place, community)?
- When** did the experience occur?
- Why** did the experience really happen?
- How** did the experience happen?

It is advisable to focus on the main areas of interest on which information is generally required (see the table in Point 4, Phase 1, Step 1 above: before, during and after the experience):

- a. The activities done.
- b. The context of the experience.
- c. The challenges faced. What changes have occurred since the project or intervention started? What worked and what didn't? Why?
- d. The solutions found. How did they come about? Who contributed these solutions?
- e. The results obtained. How many results were attained? How was this done? Is this what was expected? What changed? Were there any unplanned results?
- f. The lessons learned from the experience. What was learned (positive and negative aspects)? What good practices were identified?
- g. Pending matters, i.e., still unresolved (if any).
- h. Unexpected results during the process.

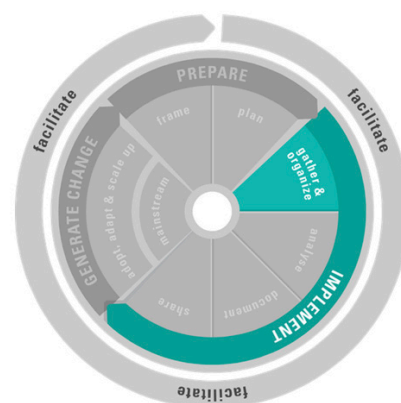
The information gathered must be based on solid data and evidence from reliable sources, that is, from people who know the experience. Nonetheless, making the most of the availability of diverse documents and audiovisual materials is also essential. To know where to look, it is important to know the type of information available and determine whether it is data or information:

- a. **Primary information.** Comes directly from the experience, that is, from the participants in the experience and external consultations.
- b. **Secondary information.** Found in studies, documents, reports, databases, censuses, audiovisual materials, and others, as proposals or reports of completed projects in the area of interest, information from public institutions, NGOs and associations, etc.
- c. **Quantitative information.** This is data used in direct measurements or comparisons to establish databases and statistical calculations. It can be quantified in numbers, amounts, percentages, averages, etc.
- d. **Qualitative information.** This is formed from people's perceptions and opinions. It helps to complement the information provided by quantitative data and to better understand the whys and the hows.

ii. Gathering the information

Information can be gathered in different ways, so it is very important to bear in mind the characteristics of the group of people you are working and interacting with, the place where you interact and whether activities are in person or online.

It is crucial to create a pleasant environment that inspires trust and encourages people to open up and share what they know, their experience and their points of view. It is useful to begin



with a list of participants and interested parties and define with them available information and information that is lacking, using their memories and knowledge. At these meetings it is important to consider key stakeholders outside of the direct influence of the experience who show some interest in the expected results.

Although the capitalization process is iterative, and so at any given moment new information can emerge that feeds back on and adjusts the different stages, it is necessary to establish a time limit to ensure the attainment of information. This process should be done in the most orderly way possible, so it is necessary to define the work methods and techniques⁸ to be followed with participants and external persons to be consulted, as well as to prepare the instruments⁹ with which quantitative and qualitative information will be gathered.

Some examples of the methods and instruments most used to gather primary information are listed below. These can be applied in person or online.

Techniques or methods	Description	Instruments
Individual or group interview	<p>Structured. Formal, with prepared open or closed questions; this is a controlled process.</p> <p>Semi-structured. Flexible; this can combine a guided conversation with pre-determined issues and space to add other issues spontaneously.</p> <p>Unstructured. Informal. This is a free conversation with open questions.</p> <p>Result: qualitative primary information</p>	Questionnaires and guides
Focus groups and group discussions	<p>These may be directed or guided. It is important to define questions that support the ordered discussion of issues.</p> <p>Provide different perspectives that enrich everyone; issues can be explored in greater depth.</p> <p>Groups of 4-8 people.</p> <p>Result: qualitative primary information</p>	Questionnaires, guides and checklists
Surveys	<p>Questionnaires with closed and open, synchronous and asynchronous questions.</p> <p>Identify facts, attitudes, opinions, and behavior.</p> <p>Result: quantitative and qualitative primary information</p>	Questionnaires
Observation of participants (in person)	<p>Used to look at, listen to and document people in their real context with regards to the issue or area of interest.</p> <p>May be structured (systematic/guide) or unstructured (starting point/no guide); difficult to apply in large samples.</p> <p>The observer may be a participant. This can be expensive if qualified observers are required.</p> <p>Result: quantitative and qualitative primary information</p>	Diary or field notebook, registers, maps, cameras and recorders

8. Procedures and mechanisms with which information or data is gathered in an organized and structured way. It is important to check that the chosen method is technically and financially feasible, sufficient, coherent and solid.

9. Means, resources, devices and formats used to organize and register the information or data corresponding to variables and study indicators. These vary depending on the technique used.

Annex 4 includes some suggestions of facilitation techniques and fun activities to work with participants to generate the information that is sought. These can be applied at different times or steps during the capitalization exercise. It is important to identify which activities would be more suitable for working with the profile of the participants, such as brainstorming, world café, exchange visits, method for analyzing strengths, weaknesses, opportunities and threats, storytelling, the river of life and interview programs.

It is important to not only obtain the information but also to make the most of the medium so that the participants interact, discuss ideas, review them, and appropriate them as users of that information. It is worth incorporating quantitative (statistics, censuses and studies) and qualitative (research reports, work plans, proposals, local institutions' studies, etc.) secondary information into the discussion.

When doing this exercise, it is advisable to request in advance that participants provide the information they have at their disposal (photos, videos, documents, etc.) to get the most out of it.

iii. **Organize and safeguard information**

When the different techniques and instruments have been applied and the information gathered, the information must be systematized, that is, ordered and classified according to certain parameters, criteria, models, or categories defined with the purpose of facilitating their reading, interpretation and consultation. This shows whether more data is needed to be gathered for the different sections, which helps to make the information accessible for its respective analysis.

As illustrated in these examples, the information can be organized in different ways:

- a. **In stages:** 1) initial situation, intervention process (during), and current situation; 2) planning, execution, and evaluation.
- b. **Chronologically:** time as reference to place the events and facts.
- c. **By categories:** 1) high, medium, low; 2) by components; 3) by size; and 4) by activities, achievements, difficulties, results (positive, negative, unplanned);
- d. **Using relational outlines:** problem trees, hierarchical outlines and matrixes.
- e. **By experience type:** 1) productive innovation (e.g., validation and adoption of a new variety of a crop of interest); 2) management models developed (e.g., of financial resources for small farmers, institutional); 3) applied methodologies (e.g., farmers' organization, emergency animal management); and 4) others.

This point seeks to support participants so that they can describe as clearly and as transparently as possible what really happened in each section (good and bad, things they got right and mistakes).

To organize or systematize the information we can use different physical (paper) or digital media, such as tables to register numerical data (Excel) or databases. The tables give a clear view of all the potentially relevant information. As the example shows, the activities that have been done can be listed and connect the results (positive and negative) to each activity.

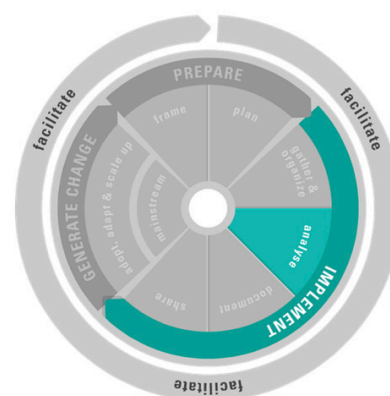
Activities	Results		
	Positive	Negative	Unexpected
What was done in response to the problems identified in the limits?	What were the positive results of the activities?	What were the negative results of the intervention?	What results were not found in your plans?
Reflect what really happened chronologically, not what was planned. To make the activity easier, you can group them into project components.	They help to see clearly what positive results (products, successes) each activity had to argue why it was a successful experience.	They contribute to clearly determining the negative results of each activity, to define how the experience could have been improved or what would be better not to repeat.	They were not planned, but they happened. It is important to identify them, as they can contribute important elements to consider in the experience to be capitalized.

During the information gathering and organization process, when participants are describing the experience, they should:

- Avoid omitting details**, as these contribute to understanding what happened and to value more accurately and with evidence the results attained or not attained, the lessons learned and good practices.
- Concentrate on what happened**, not on what was planned.
- Provide evidence**. The testimonies are the basis of information, they must always be supported by evidence (videos, photographs, statistics, anecdotes, documents, and other materials) that give credibility to what is described.
- Ensure that the negative aspects are also considered**. People are more likely to highlight the positives. It is essential to recognize mistakes to avoid making them again and find new ways to approach difficulties.
- Guarantee the sustainability of the results**. Not only is it important to show the immediate successes, but also to value their appropriation by the participants, so that their benefits are also tangible in the long term.
- Safeguard information**. At present information management is a sensitive issue, especially personal or restricted information, and high levels of security are required to manage it. Information should be stored in a reliable, easy to use system. It can be saved in physical form on paper and in digital format, on USB flash drives, computers or the cloud.

STEP 4. ANALYZE

Analysis is the most important part of the experience capitalization process, as it allows us to clearly understand the critical elements of an experience (success and failure factors), and is the best way to generate lessons learned and recommendations to learn from



the experience. Without analysis, experience capitalization would merely be a description of what happened, that is, a compilation of events, minutes, reports, and results that fail to generate new knowledge.

It is important to differentiate between describing and analyzing, as it is not always easy to be critical, and it is even more complex to do so in a way that generates corrective actions. On this point, the facilitator's role in challenging and questioning some participants' comfortable positions is essential to get the most out of the exercise and ensure the quality of the products (lessons learned and recommendations) obtained.

More than describing, this analysis aims to discover the reasons (good or bad) behind the results. The most interesting elements must be sought by discussing and questioning events, so that participants detect the critical factors of success or failure under all the analysis criteria.

To facilitate analysis, we suggest a common orienting framework, structured into four elements:

i. Choose criteria

These are the lenses through which the experience of each participant will be valued. The most subjective elements will be separated from this and passed through the quality and coherence filters. Some examples of criteria are the following:

- a. User satisfaction,
- b. Socioeconomic impact and sustainability,
- c. Social effect and sustainability,
- d. Environmental impact and sustainability,
- e. Replicability,
- f. Cost effectiveness,
- g. Inclusion of participants with diverse perspectives and
- h. Gender sensitivity.

In selecting the criteria, it is useful to consider the objective of the capitalization, the reasons for selecting the experience, and the potential target users. Remember that the exercise is participatory, and everyone has the chance to submit criteria for consideration.

ii. Identify indicators

Since the criteria are abstract, it is necessary to translate them into concrete indicators to value them in the context of the experience. These indicators must be as clear and specific as possible, so that they can be measured in the field, in reports, in data, etc. It is unlikely that farmers will say "This experience was environmentally sustainable." They will probably say that "The project increased our awareness of good soil management" or "The training encouraged us to use local

resources.” The capacity to capture these elements and transform them into indicators is critical for the success of the process.

iii. Ask why

Identify the contributing elements and the limiting factors corresponding to each of the criteria (success or failure factors). This is to find out what contributed to satisfying the criteria and what prevented it. It is important to be critical and inquisitive and motivate participants to go beyond merely the descriptive and evident.

iv. Draw lessons

Redefine the positive and negative factors into lessons learned that can be adopted by those interested in capitalizing on the experience. Bear in mind that sometimes not everything is clear, so taking explicit note of this permits a deeper exploration of the activities or the results that were not part of the original plan.

In summary, the analysis of the experience capitalization is reflected in the following table:

Criteria	Indicators	Contributing factors	Limiting factors	Lessons
These are the “lenses” through which your experience is observed to decide whether it was successful.	How can you measure or observe the criteria in real life?	For what reasons were these positive results attained?	For what reasons were positive results not attained? Why has it not yet been possible to attain better results?	What are the fundamental aspects of this criterion in particular?
They are a way of defining by ourselves what we consider a success or failure. They provide the focus for the analysis.	Indicating real ways of measuring their success helps to look in the right direction to find out why the criteria were met or not.	This is where the real lessons come from: what contributed to or limited the success in terms of one specific criterion?		These help to specify the analysis, observing the lessons that can be directly drawn from it by criterion.

The use of a table to carry out the analysis shows the correlation between the specific results and how these were produced. By concentrating on one criterion at a time, a clearer critical exercise can be done that shows how a contributing or limiting factor really helped or conditioned sustainability, inclusivity, customer satisfaction or any other criterion that was chosen.

Additionally, if we have the support of a facilitator or support team, these are some suggestions that can be taken into account for the analysis:

- a. Don't rush this step. It is normal for participants to feel a greater affinity for one aspect or another and consequently perform a more superficial analysis of the rest. It is important to ensure the quality of the exercise in each element of the analysis. If an element is not clear, we must ask questions like: Why has this happened? What caused this? What contributed to this?
- b. It is important to perform a linear analysis of the individual criteria without confusing the elements of each one. Indicators are important to help to connect the thinking process with reality. The whys and the why nots are used to understand how the results and the process came to be good or bad.
- c. The criteria, indicators, factors, and lessons can vary a little with regards to how they are known in the M&E theory. Regardless of the interpretations, it is important to maintain coherence. Within these definitions, ensure that participants recognize the difference between cause and consequence.

Finally, the conclusions and recommendations from the analysis are written up, which is valuable as it provides solid elements for drafting the communication plan and the capitalization action plan. A conclusion is not only a summary of the lessons from the previous step, but also the start of the reordering process where participants convert the tables they have prepared into a document to be shared.

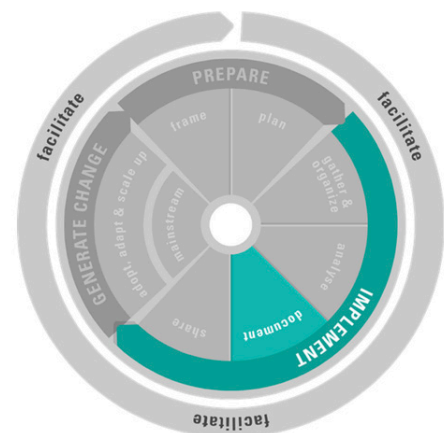
STEP 5. DOCUMENT

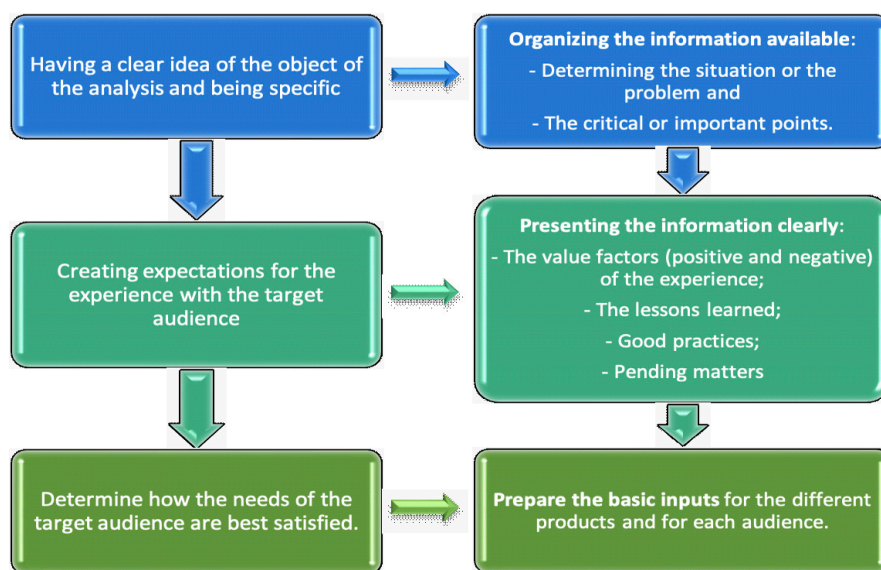
When the team has organized and analyzed the information on the experience and agreed on the conclusions and recommendations, they must determine how to share the findings and lessons and the best way to give this information to the target audience.

At the experience documenting stage both aspects are addressed, and the conditions are prepared to exchange and share the knowledge.

The write-up is the essential medium required to prepare any of the final communication products, whether written or audiovisual, and deliver them to the target audience. The preparation of these materials must be in accordance with the elements established in the strategy and communication plan.

Writing and preparing the most suitable products for the target audience requires:





The communication products available to document the experience vary according to the target audience. The most common are articles, documents, and formal, detailed and structured reports. Others are more schematic, such as designs of applications, processes and instructions, and others are audiovisual, such as radio programs, podcasts, theater plays, PowerPoint presentations, infographics, posters, graphs, photographs, caricatures, illustrations, and videos. These products can be combined to highlight various aspects.

Not all products are suitable for all audiences, so it is necessary to gather at least some of the characteristics of the target audience (education, access to technologies, customs, culture, and interests, among others), so that the products fit their expectations.

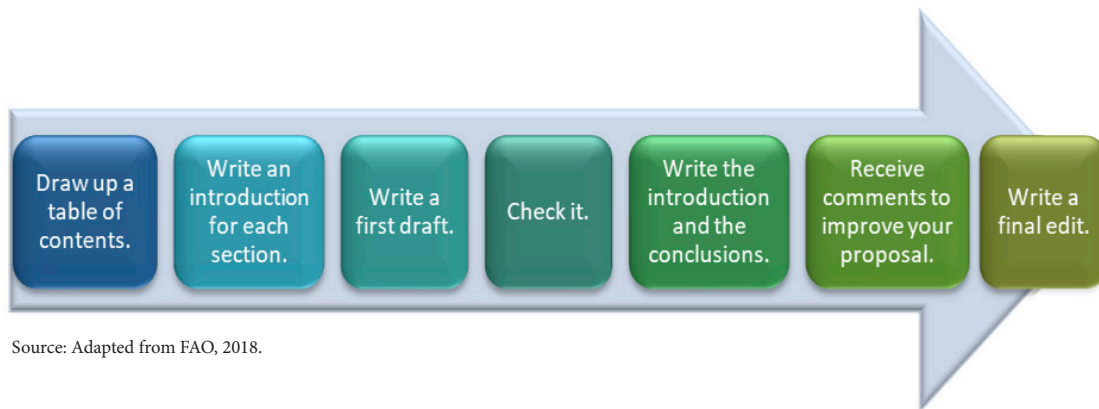
Another factor to consider is whether the product documenting the experience will be delivered in person or online. Given that many people today have the technology to access the internet, in-person activities could be complemented with setting up a site where these and other products can be placed and even monitor subsequently other aspects of interest related to the experience.

When documenting the experience, it is important to bear in mind:

- a. **The target audience.** Those who will receive the products that document the experience. Part of the audience will be the participants themselves and their institutions, organizations, or agencies, but it is also necessary to consider an external audience (outside of the experience) that could be interested, or with whom participants may be interested in sharing the experience.
- b. **The products.** Those that could best be received by the target audience and capture their attention about the experience and the knowledge generated. A good product can support the communication strategy and be persuasive so that the experience is valued, expanded, and institutionalized.

- c. **The purpose of each product** to be prepared may be broad (from emphasizing a specific part of the experience to addressing its comprehensiveness), hence the importance of identifying the main message to be conveyed to find the product that can meet this purpose.

Content must be developed in keeping with the nature of each of the products, which can only be achieved through writing. We suggest considering these steps:



Source: Adapted from FAO, 2018.

On this point it is necessary to define a **basic content structure** that covers the main sections or areas to be completed and highlights the essence of each one. This structure or table of contents can be adjusted and improved as you go, where appropriate.

Remember the **analysis perspective** and try not to limit yourself to a mere description. **Relevant details that make the experience unique** are important, as is **highlighting lessons learned and new knowledge**. This part of the experience capitalization process is where **we take advantage of all the information previously generated** (see annex 5) in the completion of the different sections of the table of contents proposed, which is complemented with the secondary information gathered.

Finally, we suggest writing the introduction, the conclusions, and the recommendations when you have finished writing the texts defined in the other sections of the table of contents.

Some useful suggestions for writing the texts:

- a. Don't write unnecessarily long texts.
- b. Pay attention to spelling, composition and presentation (you never know where the documents might end up).
- c. Use short, clear titles with colloquial language understandable to all audiences.
- d. A written document can be accompanied by graphic elements to make it more attractive and highlight key points.
- e. Share the drafts of the products with qualified peers for checking, adjustments and improvements.
- f. When the products are ready, it is important to protect them for their responsible use and access.

STEP 6. SHARE

The new knowledge must be shared in some way in order to be used by others. An important element in the planning (step 2 of the preparation stage) is established here for sharing the experience. Therefore, it is worth asking: Do we include elements of our experience's **communication strategy** in the planning? If not, we must return to the logic of the iterative process to ensure that the capitalization plan includes not only a set of communication actions, but also manages the change.

This is an excellent moment to remind the group that their work does not end when they publish a document or share the content of the experience. Given that actions and change are ideally promoted through some form of expansion, it is necessary to apply the lessons learned and knowledge generated through the experience.

To avoid the trap of documents that only describe the work done with a positive or negative result, there must be a **detailed description of the experience exchange**, which includes at least three objectives:

- a. Drawing up the communication strategy,
- b. Selecting the right products and information channels and
- c. Generating feedback mechanisms.

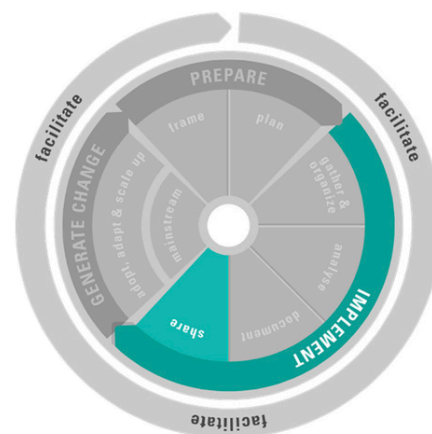
Formulating the communication strategy is not a job that should be tackled at the end of the documentation process, but rather during the planning stage, by clearly defining how the experience will be communicated so that it can be capitalized. The strategy seeks to build capacities, support advocacy efforts, and generate change.

In general terms, the communication strategy should be participatory, gender-sensitive and contextualized, to awaken interest in our audience, considering their interests and realities. The strategy should clearly indicate the target audience of the experience, the channels to be used, the work, the schedule (which should be carefully drafted so as to avoid any omissions) and intermediate products.

The six suggested steps for formulating the communication strategy are:

1. **Identify the target audiences.** Identify the different groups you want to reach: not only the stakeholders who participated in the experience, but also those who are unfamiliar with the experience but can use this knowledge to adopt, adapt or expand it. It is advisable to prioritize primary and secondary audiences (you don't have to reach everyone) and, depending on their interests, establish and understand the key characteristics¹⁰ of each one. Lastly, it is necessary

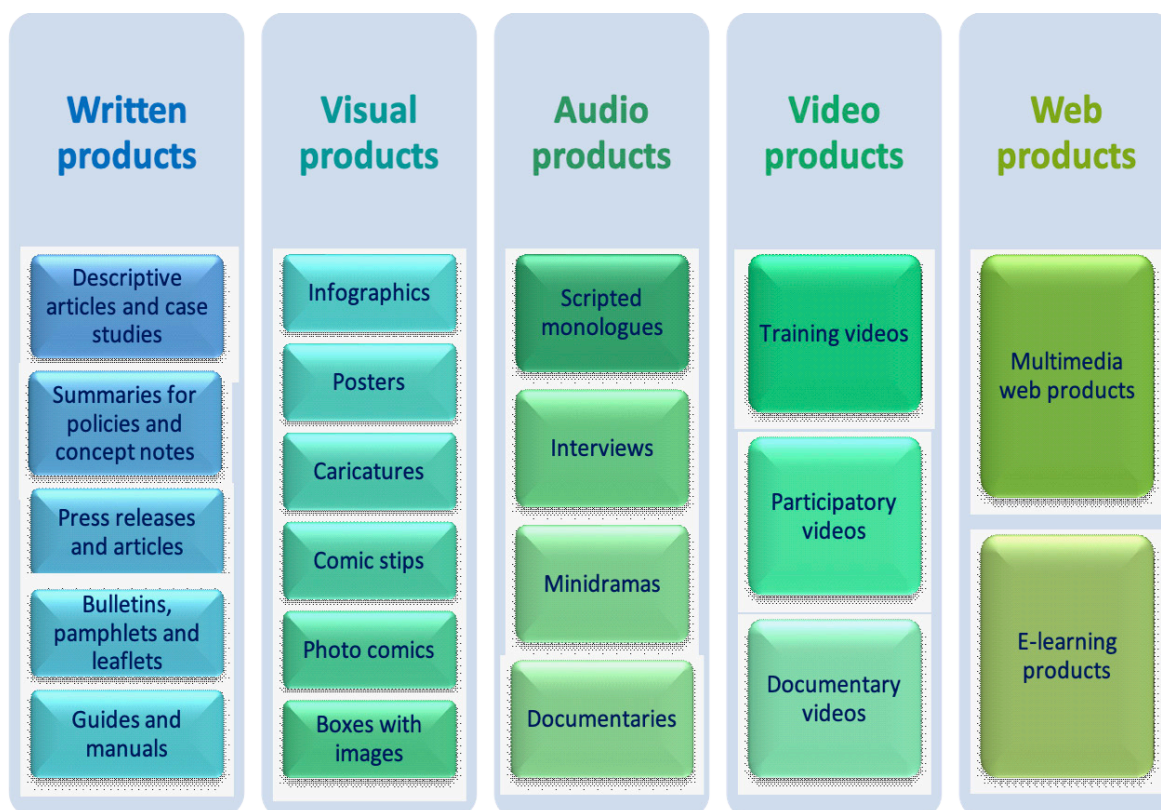
10. Linguistic, political, cultural, social and educational characteristics and resources and capacities, among other aspects, which can also be determined with other studies of the target audience.



to understand the practices, interests, attitudes, knowledge and motivations that give meaning to our experience and due to which we are willing to make changes. Ask yourself where the target audience gets the information and what other types of information they receive or use, as both are important elements for drawing up the strategy.

2. **Define communication objectives** that are specific, measurable and with a clear recipient.
3. **Transform objectives into messages** that are clear, simple and direct, to get the target audience to learn from the experience (develop skills), reconsider their opinion (advocacy) or do things differently (transformation). The selling point is the most important aspect to consider when offering a product.
4. **Select the communication products and channels.** The channels or media are subdivided into:
 - 1) conventional channels that operate on a single path, with a great capacity for reaching a broad audience (radio and television);
 - 2) digital channels that operate on various paths (social media, email and websites) which, unlike conventional media, can reach a broad audience for a lower cost; and
 - 3) in-person channels, which are of a more personalized nature, with limited capacity for massification (meetings, theater plays and fairs). Some products and channels are identified in the following figure:

FIGURE 4: SUGGESTED PRODUCTS FOR COMMUNICATING THE CAPITALIZATION.



Source: Adapted from FAO, 2018.

5. **Add the details of the strategy operation**, that is, the steps to be taken, the resources required, the roles and responsibilities, the production dates or schedule and an evaluation plan to find out the expected degree of effectiveness of the strategy in the experiences to be capitalized. These details make the strategy viable.
6. **Include a strategy monitoring mechanism** to ensure that the capitalization expectation is being fulfilled by the communication and so that stakeholders can provide inputs to improve future processes.

The following table summarizes the minimum content of a communication plan in an experience capitalization process.

Target audience	Communication objective	Message	Products and channels	Schedule
1. XXX				
2. YYY				
3. ZZZ				

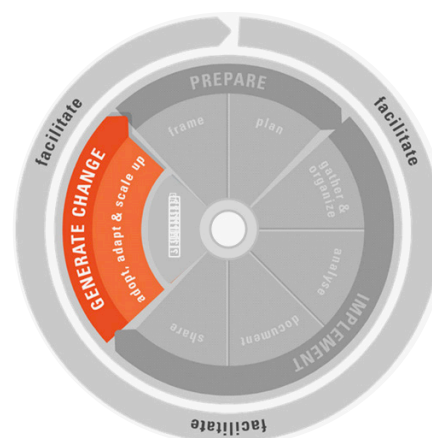
PHASE 3: CHANGE

A set of actions to create a first draft or script of the experience to be capitalized has been documented (see annex 6). We thus enter the last phase, generating change from the experience and its institutionalization.

STEP 7. ADOPT, ADAPT AND EXPAND

i. Adoption action plan

It is important to remember that the capitalization process is an iterative exercise; this means that a path is followed that can lead us to revise what we have been doing or completing. We have insisted on this for two reasons: the first is that the work is not linear, and the second is that in this last stage (perhaps the most important one) it is likely that we will have to go back to prior stages of the preparation phase (framing and planning the experience) and the implementation phase (gathering, analysis, documentation and exchange).



Why does this happen?

- a. If the preparation phase does not consider the change dynamics that were sought or the actions necessary to adopt, adapt or expand the experience, they will have to be incorporated into the framing and planning, including the resources required to meet that objective. Unfortunately, many efforts aimed at sharing information end up generating few effects. It is common to draft reports that end up on a shelf without being read by more than one or two people.
As leaders of a capitalization process it is necessary to go beyond the preparation of a document, to generate a social change that allows other stakeholders, whether organizations or people, to take ownership of the experience and give it meaning.
- b. If we leave aside the idea that our goal was to create a document, an audio or a video and consider that this is only a means to bring about that transformation, which must also be expressed explicitly, we come to the conclusion that during the implementation it will be necessary to gather more information, do more analysis and seek different routes to share the experience.
- c. There must be communication, but it must go further. Thinking only about notifying or disseminating leads us to linear, sender-receiver forms. Capitalization is a construction that should take into account the interests of the public that will eventually adopt, adapt or expand the solutions on offer. Irrefutable evidence of this is when those stakeholders relate to the experience and put it into practice. Under the knowledge management concept, this will be information put into action.

As the use of information is a goal of our work, the communication plan is an even more complex key piece, because it takes into account at least the adoption, the external and internal factors and how these could influence other stakeholders positively or negatively to generate action by harnessing the lessons learned.

To further specify the matrix with which we are working, it is important to answer the following questions:

Target audience	Communication objective	Message	Products and channels	Schedule
<ul style="list-style-type: none"> • Who do you want to reach? • Who could show interest in your experience? • Who needs to learn from your experience? 	<ul style="list-style-type: none"> • What is the purpose of sharing the experience with each target audience? <p>(Relate this to the objective for which you carry out the experience capitalization process included in the first step)</p>	<ul style="list-style-type: none"> • Which lessons do you want to exchange with each target audience? <p>(Connect these lessons to the objective of carrying out the experience capitalization process in the first step and the lessons from the analysis).</p>	<ul style="list-style-type: none"> • What are the best ways to reach each target audience? 	<p>For each product/channel:</p> <ul style="list-style-type: none"> • When do you plan to do the exchange? • What measures do you have to take to do this?

The experience is valuable to the target audiences when it offers them knowledge (positive or negative), including useful and relevant lessons learned to generate change. The success factors of the capitalization in this last stage are: the change strategy has been incorporated in the planning stage (including the budget); the users of the experience were key players in building a clear vision on how to fully leverage the experience; and nothing is implemented unless the desired change is clear (the what for).

Alex Rovira¹¹ explains the difference between change and transformation:

- **Change** is an adaptive need that excludes resistance to that adaptation. Normally it is imposed from the outside and is accompanied by the order “We must...”
- **Transformation** is a change with meaning. If our audience finds it meaningful, it will be easier for them to capitalize on the experience. Transformation comes from within.

In line with this, when we speak about change, we tend to think about transformation. Aspects such as trust and the strength of the tie between the promoters of an experience and those interested in using it are of great importance in this phase. A practical exercise to understand the road to the success of this adoption is to put ourselves in the shoes of those who show an interest in our experience.

One road to transformation is explained in John Kotter’s eight steps for leading change¹²:

1. Create a sense of urgency or usefulness to motivate transformation.
2. Form a powerful coalition to support transformation ideas.
3. Create a strategic vision of where you realistically want to go.
4. Enlist as many stakeholders as possible who understand and accept the ideas related to the experience and the desired transformation.
5. Identify and deal with barriers and obstacles that hinder the fulfillment of the capitalization plans.
6. Document short-term wins and share them with other stakeholders.
7. Sustain a dynamic of transformation, its benefits and the experience’s potential.
8. Make sure change lasts, transforming old habits.

Once these steps are connected with the capitalization process, a dialogue is required with and between stakeholders on the following points:

- a. How this change occurs;
- b. How the knowledge derived from the experience can be used by others;
- c. What factors affect the options for change;
- d. Who are the most suitable stakeholders to promote the transformation.

There are three specific expressions addressed by capitalization to understand the scaling-up process:

11. See: <https://www.youtube.com/watch?v=WteT3ztf-wY&t=3s>. Consulted 16 April 2022.

12. See: <https://www.kotterinc.com/8-step-process-for-leading-change/>. Consulted 16 April 2022.

- a. **Adoption.** The integration of a new way of doing things, whether naturally or from an intention or a plan on different scales.
- b. **Adaptation.** Includes incorporation, taking into account some aspects that require adaptations, whether due to spatial, social, cultural, normative or time differences.
- c. **Expansion.** Refers to greater levels of harnessing in the vertical dimension (increased results, services, procedures or practices), the horizontal dimension (greater volume or better benefits) or the functional dimension (when a solution jumps from one sector to another).

This scaling-up of the experience becomes clear with greater coverage (more areas, more population, more countries), the speed at which results are obtained or with the equitable involvement of other stakeholders. If this is not considered when planning capitalization, it is difficult to meet any of the three expressions.

To take our experience to an expanded version we must study the following two factors:

Drivers	Conditioning factors
The leadership of the experience stakeholders, the authorities or the organizations that support capitalization. In their absence, those experiences that have not left lessons learned for the organization, with which there is no connection as a result.	The resources that make it possible to adopt, adapt or expand the experience, acknowledging that in most of the projects such needs are not considered beforehand.
External events that generate innovation, such as donors' interests or a crisis, such as the recent pandemic.	The level of legitimacy of the promoters of the experience or of the organization that supports it, e.g., technical, political, or social entities which, due to their support criteria, can condition a transformation. Political authorities may find the opportunity to increase their political capital based on an experience.
Incentives for promoting a solution or finding new forms of work. Rewards for those who adopt change.	The regulatory framework, the rules or traditions in the forms of work can condition the progress of ideas or their adoption by third parties. The degree of competence of your organization or stakeholders' capacities to assume change.
M&E with exercises and criteria that better explain why things happen.	Environmental impacts.
Feedback on sharing the experiences and receiving positive comments or opportunities for improvement that motivate progress.	The culture and openness to new ideas.

It is important to note again that the possible capitalization approaches should be considered at the planning stage; hence, under the logic of an iterative process, the expansion options must be identified. In this respect, we suggest using the following three criteria:

- a. **Suitability:** This is a practical test to show that something is capable of meeting a given purpose or performing an ongoing function, going from an innovation that has been deemed acceptable to a promising practice with proven effectiveness in other areas. Thus, its innovative character and the effectiveness with which successful cases have been achieved or evaluated make it a good practice, leading to a principle or norm through which the practice is institutionalized.



- b. **Repeatability:** The application to new contexts that takes into account the financial resources available, the time required for adoption during a period that tends to be limited, the support of authorities or allies to continue joining forces, and the context, as no two experiences are the same.
- c. **Adaptability:** The modification of experiences depending on new contexts

A good practice or advice for this last stage of the capitalization process is to recognize early on who is interested in adopting, adapting or expanding the experience, that is, who will ensure that vision of change from the start of the capitalization process. It is necessary to consider those who participated fully in the experience and those who express great interest in it and in its results, such as donors, partners, similar organizations, communicators and leaders, among others. Giving them as much information as possible generates an environment of trust that facilitates change.

The capitalization methodology recognizes a typical form of adoption, distributed into four phases:

- a. **Phase 1:** Awareness, when people understand and become aware that there are alternative ways to take on a task or address a problem. Normally they act consciously towards clear objectives.
- b. **Phase 2:** Knowledge, which is required to take advantage of the experience, and which leads to searching for information and researching.
- c. **Phase 3:** Attitudes or states of mind, which lead people to act as a result of a positive weighing-up or comparison. The value formula of a person proposed by Victor Küppers¹³ illustrates this phase well:

$$V = (K + S) * A$$

A person's knowledge [K] and skills [S] add up, but attitude [A] multiplies both.

13. See: <https://www.youtube.com/watch?v=TF-Ku5AOICE&list=RDLVXvT6YHmbRSA&index=6> . Consulted 11 May, 2022.

Willingness to do things plays a key role. After all, you can't force someone to do something they don't believe in.

- d. **Phase 4:** People interested in our experiences put the new approach into practice

In the capitalization methodology these phases or moments are known as the **adoption ladder**,¹⁴ which comes from an analogy used in communication strategies on how we as people become interested in innovations, by emphasizing awareness, the development of our own ideas, changes in attitudes and, lastly, the development of a new practice.

The strategy for facilitating change can be drafted, taking into account:

- a. The comparative or relative advantage of our experience, that is, the economic benefits, the lower risks and the time reduction. The best characteristics of a practice will always contribute to its adoption.
- b. How compatible or coherent it is with our values, principles and objectives, responding to our problems or needs.
- c. How complex it is. It is acceptable or easy to understand or assimilate, using what we already know and integrating this knowledge.
- d. How much it has been tested and the capacity for observation. There is evidence of proven results and solutions. This presents a higher level of trustworthiness which is also observable.
- e. Economic viability related to financial capacities to accept and sustain a solution. Having the investment capacity to take on this solution is a basic part of this, but just as important are the conditions for fully harnessing the experience. The lack of resources would indicate resistance to change.
- f. Social acceptance by the experience stakeholders.
- g. Property rights, acknowledging that an experience and its knowledge can have some level of protection that should be addressed. Open licenses are recommended to avoid future complications.

This change strategy document serves as a means of promotion and advocacy. Its content can be summarized in the following table:

14. See: <https://www.comminit.com/media-development/content/adoption-ladder>. Consulted 11 May 2022.

Background	Where are we?
Clear promotion objectives	What changes are being promoted? The problem and the solutions have been addressed.
Target audiences	With whom will the change exercise be developed? Who are our persuasion groups?
Highlights	What activities are considered to influence decision-makers?
Message	Good explanation, with clear language and supported by gathering evidence, facts, testimonies, and data related to the capitalization. Other information sources.
Messenger	Roles of the experience promoters.

Unlike with the communication strategy, we are trying to understand the forces that drive our work and identify the challenges that hinder progress. It is not the same to inform or communicate as to persuade or advocate to act.

The purpose of the communication products is to express a message clearly so that the recipient understands the message. Promotion products seek for people to act around the message, for the recipients to know what can be done with the information or the knowledge that they are receiving, and with this motivate the public to act.

Lastly, one value exercise to verify the experience capitalization opportunity is the SCAMPER method, used so that the stakeholders of the experience can see it from different perspectives, to build an even more innovative and holistic vision.

This consists of a verbal checklist, similar to the one used in brainstorming.

The key words to validate our experience are:

- a. **Substitute.** How can we change elements in the experience to better resolve the problems that interest our target audience? What part of the experience will it not be possible to modify?
- b. **Combine.** How can we combine ideas related to the experience and other experiences under consideration?
- c. **Adapt.** Is it possible to adapt to other conditions, other audiences or other functions?
- d. **Modify.** How can the experience be improved? What adjustments can be made?

WHAT MAKES A GOOD EXPERIENCE PROMOTER?

A good promoter has high levels of credibility, confidence, commitment, good judgment, analytical capacity and communication skills, and is someone who can transmit clear messages in the right place and at the right time. The quality of empathy is also helpful. Among the different stakeholders involved in the capitalization process, it is necessary to identify those who have good promoter skills.

- e. **Impose other uses.** What other experiences can be created?
- f. **Eliminate** elements, risks or mistakes.
- g. **Reorder** activities, schedules, strategies or tools.

The different ideas that emerge from this reflection can be organized, prioritized and broadened to build the best capitalizable experience worth sharing. Monitoring the process of adoption, adaptation or expansion can be as easy as staying in contact with people you have shared the knowledge with and have decided to act based on our experiences.

THE FACILITATOR'S ROLE

The facilitator should be the champion who raises other people's awareness of the importance of experience capitalization and shows them how to incorporate the experience into their work or supports others to perform that role, as the participation of agents of change or influential agents is key for successful scaling-up.

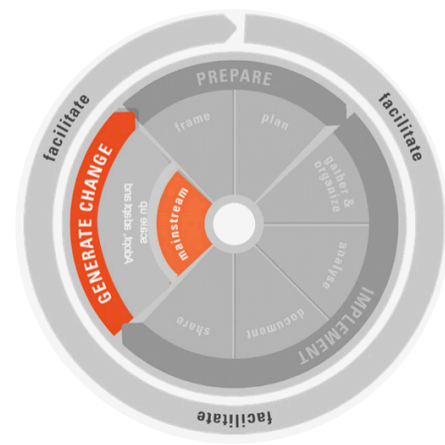
The facilitator helps identify the possible adopters or users of the knowledge generated. Not all these will be committed, as some people and organizations are recognized as late adopters, who prefer to wait for the majority to adopt the approach before they start using it themselves. It may be better to find and encourage early adopters with the means, enthusiasm and flexibility to try out a new approach.

STEP 8. INSTITUTIONALIZE

If the mission of the capitalization process was to draw lessons learned, recommendations and an experience capitalization plan, the objective can probably be considered fulfilled. However, the experience capitalization cycle is more ambitious, as it not only focuses on applying a methodology, but also on incorporating learning into daily work. The approach of this methodology or some parts of it can be integrated into the organization's regular work, institutionalizing the experience.

i. Why institutionalize?

The process's success lies in the natural incorporation of capitalization work into the regular work agenda, with some slight modifications; otherwise, these would remain as isolation actions with a beginning and an end, separated from regular action. Their relevance would most likely be forgotten, and those who were trained in the matter would end up limiting the expected scope of the acquisition of new knowledge.



Fundamentally, institutionalization is a way of adopting or adapting the experience capitalization process, that is, it can be seen as an institutional innovation. An organization that advances in this process is ensuring that the methodology is assimilated, which goes further than providing a technical tool.

As this is a new methodology, it is normal for there not to be many prior works of this kind in the organization. Therefore, a series of steps can be suggested to facilitate the institutionalization process.

By way of reference, organizations that have institutionalized the experience capitalization approach display the following characteristics:

- a. The process forms part of the regular cycle of projects and programs.
- b. The methodological details, procedures and instruments necessary for its application are easily accessible and are available for stakeholders.
- c. The organization has clear work governance, so there are no doubts about who to turn to for technical assistance or to answer questions.
- d. There is a duly structured training plan, with various didactic materials that allow new officials to participate in the matter.
- e. The results of the experience capitalization activities are documented and systematized at least within the institution.

Even if the facilitator is from outside the organization where the experience capitalization is promoted, they can support the search for a capitalization space within the organization to the highest possible management level with:

- a. Success stories and good practices that show examples of the benefits of the methodology.
- b. Never exceeding the organization's possibilities for action.
- c. Support for capitalization process design or planning, together with the professionals responsible for this work in the organization.
- d. Identification of process champions to work with closely to support the institutionalization process.
- e. The provision of monitoring. Even if the time allocated for planning the capitalization has expired, the facilitator can monitor the status of the process, answer questions and give advice.
- f. Demonstration of the results of capitalization processes and findings and success stories that can be drawn from evaluations.
- g. Legitimacy and management support at the highest level.

ii. Planning institutionalization

It is advisable to have at least a basic, informal institutionalization plan, which considers the stages required to complete the process, especially at the beginning.

The institutionalization plan should consider the following essential elements:

- a. Start by brainstorming and exploring the best institutionalization strategy, according to the organization's conditions and context.
- b. Address the necessary institutional processes and procedures. Depending on how flexible the rules are, any necessary adjustments should be made to incorporate the experience capitalization process in the institutional or organizational work. This includes designating a person or team responsible for the process.
- c. Assign sufficient financial resources to fulfil the objective of institutionalization.
- d. Convince process managers and directors of the added value and the importance of the capitalization process and its institutionalization. It is important to have the proactive participation of champions of the organization, to help keep the issue on the agenda and keep up motivation and commitment. It is equally important to consider the challenges and stakeholders that may hinder the process.
- e. Link experience capitalization with M&E processes, as this is the most natural way to institutionalize. This works very effectively as an intermediate step between the evaluation processes and the sharing of lessons learned.

Like any plan, this should have objectives, expected results, activities, completion dates, individuals responsible for the task and an approximate budget.

ANNEXES

ANNEX 1. PROPOSED EXERCISE: LOOKING TO THE FUTURE.

First ask the participants to discuss in pairs what they are missing in terms of development and knowledge exchange in their current work situation.

Then ask them to imagine what they, as individuals, and their organization will be doing in terms of experience capitalization in ten years and why this is important. Let them write it down.

Lastly, ask them to share what this long-term objective means for their own participation in the process in which they are currently involved. This can be shared in groups of four people (combining two pairs).

This exercise helps motivate the participants from the start and gets them to think about institutionalizing approaches like experience capitalization, by incorporating knowledge management into their current work. Having a vision of the future written on paper will help them to reflect periodically on what the final objective is. Sharing their final thoughts about their participation will promote a sense of engagement with their participation, as they have openly expressed their thoughts to various other people.

ANNEX 2. BASIC BUDGET FORMAT.

Description of element	Unit	Number	Unit cost (in USD)	Total cost (in USD)
1. Human resources (time distribution of staff, international and national consultants)				
1.1:	Person-days			0
1.2:	Person-months			0
1.3:				0
2. Contracts (venue for workshop, video production/broadcast, design of capitalization products, others)				
2.1:	Overall total			0
2.2:				0
2.3:				0
4. Travel (flights, domestic travel, accommodation costs)				
4.1:	Total			0
4.2:				0
4.3:				0
5. Training (transport, meals, accommodation, training material, others)				
5.1:	Days			0
5.2:	People			0
5.3:				0
6. Purchase of consumables (furniture and small equipment, printers, recorders, printed materials, others)				
6.1:	Number			0
6.2:				0
6.3:				0
7. Non-consumable equipment (computer equipment, software, others)				
7.1:	Number			0
7.2:				0
8. General operational expenses (fuel, maintenance, rent, others)				
8.1:	Overall amount			0
8.2:	Days			0
TOTAL				

ANNEX 3. EXAMPLE OF EXPERIENCE CAPITALIZATION MONITORING AND EVALUATION PLAN.

Steps	Content	Comment	Outcomes
Defining M&E objectives	<p>Clarify what you want to monitor/evaluate:</p> <ul style="list-style-type: none"> - Analyze the effectiveness of the result dissemination strategy? - Examine technological adaptations introduced by users? - Other aspects. 	Brainstorming with project personnel and other stakeholders.	Clearly defined M&E objectives
Determining M&E indicators	<p>Dependence on objectives. Example of indicators related to the objective:</p> <ul style="list-style-type: none"> - Evaluation of changes caused by users; - Number of stakeholders using the information; - Forms of use; - Frequency of use; - Nature of changes produced in organizations' practices; - Other aspects. 	Brainstorming by project personnel with other stakeholders to reach an agreement on monitoring indicators.	- List of M&E indicators.
Data collection	<ul style="list-style-type: none"> - Identify stakeholders participating in data collection. - Determine information sources. - Define data collection tools: interview, questionnaire, online workshop with a sample of stakeholders, etc. 	<p>Brainstorming with project personnel and other stakeholders.</p> <p>Surveys of the target audience of the results.</p>	Data collected on the selected indicators.
Analysis and reporting	<ul style="list-style-type: none"> - Organize collected information; - Organize according to the beneficiary groups and the change objectives listed: report on information formatting. 	<p>Brainstorming with project officials and other stakeholders;</p> <p>Writing workshop.</p>	Report on the analysis of the information.
Formulation of measures of change	<ul style="list-style-type: none"> - Propose measures of change to introduce changes in the result sharing process; establish a system to monitor the implementation of recommendations. 	<p>Brainstorming to determine the measures to be developed; identifying the specialists to be trained.</p> <p>Assign roles and responsibilities.</p>	<p>Support materials created;</p> <p>Implementation plan developed.</p>

Source: Based on UNDP, 2012.

ANNEX 4. FACILITATION TECHNIQUES AND METHODS.

In an experience capitalization process, the facilitator's main responsibility is to support discussions among the participants to gather their experiences and opinions, and analyze and draw key lessons from the experience to then use them in the institutionalization or expansion in different areas. Therefore, numerous tools are needed to help facilitators do their work to the best of their abilities.

For each phase of the capitalization process, various organizations and experts have developed a number of tools and work methods that the facilitating person or group can use to make the work with the participants more agreeable and unobstructed to attain the expected results.

Some general techniques that support facilitation actions include:

- a. Keeping the focus,
- b. Building trust,
- c. Encouraging participation,
- d. Fostering debate,
- e. Addressing conflicts and
- f. Managing time.

To do this, the facilitator must be able to listen, ask and answer questions and clarify, summarize and delimit the discussion.

Facilitation methods are work tools that help the facilitator orient and develop the experience capitalization process in a light and pleasant way.

The facilitating person or team must be familiar with a variety of facilitation methods and the reasons why some of them are more suitable than others for certain steps in the capitalization process. This point is important because it gets the most out of the work done with the participants.

Some of the most well-known methods are:

- Brainstorming;
- SWOT (strengths, weakness, opportunities and threats) analysis;
- The river of life;
- The world café;
- The ORID method (or focused conversation method, in which people ask questions that are objective, reflective, interpretative and decisional);
- Exchange fairs;
- The market;
- The fishbowl;

- Storytelling;
- Review after action;
- Writing workshops; and
- Exchange visits.

A more complete list with the description of each one is provided at these links:

- a. <http://repiica.iica.int/docs/B1013I/B1013I.pdf> (80 tools for participatory development: assessment, planning, monitoring, evaluation, by F. Geifus).
- b. <http://www.kstoolkit.org/KS+Methods> (KS Methods).
- c. <https://repositorio.iica.int/bitstream/handle/11324/3147/BVE17079153e.pdf;jsessionid=0989A241830856DD1600180E3AADC1AA?sequence=1> (Methodological toolbox for the agricultural sector, by the Inter-American Institute for Cooperation on Agriculture and the European Union).
- d. <https://elearning.fao.org/course/view.php?id=394>. (FAO, 2018. Experience capitalization for continuous learning (online course)).

The following matrix suggests some highly useful methods applied in experience capitalization, according to each stage.

MATRIX OF FACILITATION METHODS USED IN EXPERIENCE CAPITALIZATION

METHODS	STAGES							
	1. Preparation		2. Implementation				3. Generation of change	
	Formulation	Formulation	Collection and organization	Analysis	Documentation	Exchange	Adoption, adaptation and expansion	Integration
1. 4R								
2. Colleagues' assistance								
3. Most significant change								
4. Five whys								
5. Schedule								
6. Fishbone diagram								
7. Exit interview								
8. Exchange fair								
9. SWOT								
10. Appreciative inquiry								
11. Timeline								
12. Brainstorming								
13. Market								
14. ORID Method								
15. Storytelling								
16. Fishbowl								
17. Interview program								
18. Review after action								
19. River of life								
20. Six questions								
21. Six Thinking Hats (Bono)								
22. Speed Geeking								
23. Writing workshop								
24. Round-robin								
25. Video								
26. Exchange visit								

Source: Adapted from FAO 2018.

ANNEX 5. EXPERIENCE CAPITALIZATION ORGANIZATION.

Shaded = about the experience capitalization process

White = about the experience itself

1. Preparation

Help to guide the experience capitalization process

Why?	Who is it aimed at?	What?	Why did you choose this case?
Why is the experience capitalization process being done now?	What is the target audience of the experience capitalization results?	What is the case you selected?	What is the unique and relevant contribution of this particular case?

2. Setting the limits

Contribute to the approach in the selected experience.

Title (what?)	Experience type	Experience description	Location	Stakeholders	Start and duration date
What case have you selected?	<ul style="list-style-type: none"> • Community experience • Transversal issue • Methodology • Practice • Partnership • Other 	What is the experience? What activities took place? What was the objective? What are the results of the experience?	Where did the experience take place?	Who participated in the experience?	When did the experience take place?

Objective(s)	Problem(s)	Previous attempt(s)	Context
What is the objective of the intervention/case? What we hope to achieve, e.g., bring about change, improve efficiency, contribute to a promotion, generate knowledge that will be useful to share with others.	What problems did you try to address with the intervention?	What actions were done before attempting to resolve the problem(s) identified.	What factors (social, environmental, political, economic, etc.) determined the scenario where the experience occurred.

3. Description (organizing the information)

Organize all the information available and determine what is missing.

Understand: a) the initial situation, b) the intervention process and c) the current situation.

Components	Activities	Positive results/ Successes	Negative results/ challenges	Unexpected results
What groups of activities were part of the experience?	What was done in response to the problems? - Who took part in which activities. - Where, when and for how long did each activity take place. - Details about the content of the activities.	What were the positive results of the activities? Include: - Direct results; - Long-term effects; - Details; - Evidence (figures, quotations, examples).	What were the negative results of the intervention and what challenges did you face? - Direct results; - Long-term impacts; - The effects of challenges; - Actions you took to address the challenges.	What were the results that you did not plan? These may be positive and negative.

4. Analysis

Reflect and understand the reasons for the success or failure of the experience.

Generate new knowledge based on practical experience.

Criteria	Indicators	Contributing factors	Limiting factors	Lessons learned
How do you determine the success or failure of the experience? (The “lenses” through which you view the experience)	How can you measure or observe the criteria in real life? The indicators can be quantitative or qualitative.	What are the reasons for the positive results? You can include: - approaches, - implementation, - attitudes, - context and - other reasons.	Why was it not (yet) possible to attain better results? You can include: - approaches, - implementation, - attitudes, - context and - other reasons.	What can you learn from this?
Criterion 1				
Criterion 2				
Criterion 3				

5. Communication or dissemination plan

Plan the exchange of results from the experience capitalization process.

Audience	Purpose	Message	Products and channels	Schedule
Who do you want to reach? Who needs to learn from your experience?	What is the purpose of sharing the experience with the target audience? (Relate this to your objective in carrying out the experience capitalization process included in step one).	What lessons do you want to exchange with each target audience? (Link these lessons with your objective in carrying out the experience capitalization process of step one and the lessons learned from the analysis).	What are the best ways to reach each target audience?	Regarding each product/channel: When do you plan to do the exchange? What measures should be taken for this?
Criterion 1				
Criterion 2				
Criterion 3				

6. Action plan

Plan the completion of the experience capitalization process.

Activity	Who participates?	Schedule	Necessary resources	Expected challenges
What activities must be done to complete the process?	Who takes part in each activity and what role do they play?	When should each activity take place?	What resources are necessary to carry out the activities?	What challenges could be faced in each activity and what can you do to minimize them?
Informative meeting				
Formulation (reformulation)				
Interviews/ meetings				
Document review				
Writing				
Validation				
Others				

ANNEX 6. SUGGESTIONS FOR WRITING A DOCUMENT OR SCRIPT.

Table of contents on the experience

- Title.
- Summary: Include the best sales or elevator pitch on the experience and its importance.
- Introduction: This is the timeline and context. Answer the questions why? and for whom?
- Analysis: This is the description of the experience (place, time, components), the objectives, the problems, the prior intentions, the beneficiaries, the results, the selling point, the changes, and the challenges faced when attempting to change.
- Recommendations or future plans: These are the lessons, stakeholders and contexts; in other words, what for and who for. Visible change: facts or evidence, goals fulfilled.

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INTER-AMERICAN INSTITUTE FOR COOPERATION ON AGRICULTURE
HEAD OFFICE / Apdo. 55-2200 San José, Vázquez de Coronado,
San Isidro 11101, Costa Rica Tel.: (+506) 2216-0222 / Fax: (+506) 2216-0233
Email: iicahq@iica.int / Website: www.iica.int