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MONICA MATTS LOOKS ON AS USAID/CAMBODIA PARTICIPATES IN THE COLLABORATING, LEARNING AND ADAPTING ACTION PLANNING PROCESS. CREDIT: USAID LEARN.

USAID LEARN MIDTERM EVALUATION

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ACRONYMS LIST

A/COR	Agreement Officer's Representative/Contracting Officer's Representative
ADS	Automated Directives System
AOR	Agreement Officer's Representative
BAA	Broad Agency Announcement
CDCS	Country Development Cooperation Strategy
CLA	Collaborating, Learning and Adapting
CLA Team	Collaborating, Learning and Adapting Team
CoP	Chief of Party
COR	Contracting Officer's Representative
DGO	Democracy and Governance Office
DRG Center	Center for Excellence on Democracy, Human Rights and Governance in Bureau for Democracy, Conflict and Humanitarian Assistance
DRC	Democratic Republic of the Congo
EDO	Economic Development Office
EFM	Eligible Family Member
FEVS	Federal Employee Viewpoint Survey
FMO	Financial Management Office
FO	Front Office
FSE	Office of Food Security and Environment
FSN	Foreign Service National
FSO	Foreign Service Officer
IP	Implementing Partner
KM	Knowledge Management
LAC	USAID's Bureau for Latin America and the Caribbean
LEARN	Learning and Knowledge Management
LER	Office of Learning, Evaluation and Research in USAID's Bureau for Policy, Planning and Learning
M&E	Monitoring and Evaluation
MD	Mission Director
MEL	Monitoring, Evaluation and Learning
MERL	Monitoring, Evaluation, Research and Learning
MERLIN	Monitoring, Evaluation, Research and Learning Innovations
MTE	Midterm Evaluation
OAA	Office of Acquisitions and Assistance
OPHE	Office of Public Health and Education
OU	Operating Unit
PAD	Project Appraisal Document
PMR	Performance Monitoring Report

PO	Program Office
POC	Point of Contact
PPL	Bureau for Policy, Planning and Learning in USAID
PPSO	Planning and Program Support Office
TDY	Temporary Duty
ToC	Theory of Change
USAID	United States Agency for International Development
WHIP	Western Highlands Integrated Project

EXECUTIVE SUMMARY

USAID's Learning and Knowledge Management mechanism (LEARN) is a five-year contract (2014-2019) to support USAID's strategic learning and knowledge management (KM) approach — known as Collaborating, Learning and Adapting (CLA) – to improve the effectiveness of USAID programs in achieving significant development outcomes.¹ LEARN is funded by USAID's Bureau for Policy, Planning and Learning (PPL) through its Office of Learning, Evaluation and Research (LER). The PPL/LER and LEARN Midterm Evaluation (MTE) was conducted between March and December 2017.

EVALUATION PURPOSE

The objective of the PPL/LER and LEARN MTE is to test the postulate in LEARN's theory of change (ToC): CLA champions drive CLA integration in USAID missions, operating units (OUs) and implementing partners (IPs). Please see Figure I below for LEARN's Results Framework.

EVALUATION QUESTIONS

The evaluation aimed to answer the following questions:

- Q1: Has PPL/LER and LEARN's engagement with USAID missions led to CLA integration, and if so, how?
- Q2: Have PPL/LER and LEARN's efforts contributed to CLA champions' behavior change, and if so, how? In turn, how have champions' new CLA behaviors contributed to changes in organizational behavior, processes and policies? What does this change process look like?
- Q3: Outside of LEARN's ToC about CLA champions driving CLA integration, what are alternative explanations for increased CLA integration?

METHODS

PPL/LER identified six missions as promising cases because LEARN and PPL/LER had engaged in two Temporary Duty (TDY) travel assignments at each mission. From these missions, Cambodia and Guatemala were selected because they suggested interesting similarities and differences with the potential to illuminate how LEARN and PPL/LER might have contributed to CLA integration and to test LEARN's ToC.

DATA

The primary data sources were semi-structured interviews with key informants: mission staff (by telephone/Skype), as well as LEARN and PPL/LER staff. Other sources included brief online surveys completed by mission staff, mission documents and LEARN documents.

LIMITATIONS OF THE MTE

Limitations included the absence of CLA baselines at the missions; the specialized CLA language that respondents, often not native English-speakers, need to know; less than optimal cooperation from the Guatemala mission; and respondents' imperfect recollections of the TDYs.

CAMBODIA FINDINGS

- Q1: LEARN's two TDYs (using the CLA Maturity Tool Self-Assessment and Action Planning process as well as the Country Development Cooperation Strategy (CDCS) midcourse stocktaking) contributed to an increase in CLA integration.² The first TDY introduced the CLA

concept and framework and explained how to apply CLA, making CLA's application more systematic, explicit and concrete than before. The TDYs also contributed, inter alia, to the mission incorporating CLA requirements in documents (notably contracts and agreements) and CLA integration in working groups, as well as changing a development objective in the CDCS. The Program Office (PO) played a crucial role in supporting CLA in the enabling conditions, helping contribute to CLA integration.

- Q2: The TDYs contributed to numerous new CLA champions by raising awareness of CLA, and champions were important in driving CLA integration. In contrast to LEARN's identification of one champion, mission staff identified as many as 17 champions. The PO and other mission leaders' support of CLA in the enabling conditions also contributed to new champions.
- Q3: LEARN's ToC about CLA champions driving CLA integration receives strong support from the interview data. Most striking is the way in which CLA champions integrated CLA in the mission's culture, processes and resources (enabling conditions). One example is how CLA champions in the PO contributed to communicating information about CLA resources in its weekly newsletter.³ Another example is how CLA champions contributed to incorporating CLA requirements in contracts and agreements as well as draft mission orders.⁴ These changes then likely foster further individual CLA behavior change at the mission. The case analysis thus suggests that CLA champions and the changes they made in the enabling conditions came to mutually reinforce CLA integration. This finding has implications for expanding or refining LEARN's ToC to **make explicit a role for** enabling conditions as a potential driver of behavior change.

GUATEMALA FINDINGS

- Q1: LEARN's TDYs (facilitating a Broad Agency Announcement, BAA, process)⁵ contributed to a deeper experience of implicit or tacit CLA — that is, using CLA practices without naming them as CLA — among the four-member BAA mission team. The mission's and LEARN's scopes of work, the LEARN facilitator and the BAA team did not conceive of the BAA process as a CLA process, although the BAA process is a co-creation approach grounded in CLA principles and practices.⁶ However, the data support the critical role of LEARN's facilitation in the success of the BAA process.
- Q2: Of the three BAA team members interviewed, two spoke only of BAA champions rather than CLA champions.⁷ None of the BAA team members promoted the BAA process as CLA even after the TDYs. LEARN identified no CLA champions and LEARN's facilitator equivocated on whether the BAA team should be identified as CLA champions, though acknowledging that they did implicitly model CLA behaviors. However, given that the BAA process is based on CLA principles and practices, it follows that BAA champions must also be CLA champions.
- Q3: LEARN's ToC about CLA champions driving CLA integration receives implicit support from interview data: BAA champions were the driving force behind the mission's acceptance of the BAA process, inherently a CLA process. Beyond the BAA process, the mission provided other kinds of support for CLA integration, notably a new Monitoring, Evaluation and Learning (MEL) support mechanism. Two of the three BAA team members believed that the mission had no CLA champions, but this clearly cannot represent mission-wide perceptions about the existence of CLA champions. Hence, with the exception of the BAA process, the interview data can

neither support nor invalidate LEARN's ToC about CLA champions driving CLA integration. However, instances of CLA integration, such as the MEL contract, arguably should advance CLA integration.⁸ As in the Cambodia case, the finding of mission support for CLA integration has implications for expanding or refining LEARN's ToC to make explicit enabling conditions as a potential driver of behavior change.

RECOMMENDATIONS

Based on the evidence, LEARN and PPL/LER co-created the following recommendations:

- **BE EXPLICIT AND INTENTIONAL ABOUT FAMILIARIZING MISSIONS WITH CLA:** Our data suggest that language matters and integrating CLA language across our technical assistance work will likely strengthen the impact of our work. Regardless of the type of technical assistance, this includes helping missions identify where they are already applying CLA practices and approaches to their work as well as ensuring that a "CLA 101" becomes a standard part of TDY agendas.
- **KEEP THE FOCUS ON CLA CHAMPIONS:** Our midterm confirmed the essential role champions play in increasing and sustaining CLA integration. To the best of our ability, we should strive to maintain regular contact with CLA champions from missions post-TDY. These conversations will hopefully offer opportunities for us to provide champions with tools, evidence and other guidance needed to apply CLA.
- **CONSIDER INTEGRATING A DEVELOPMENTAL EVALUATION INTO OUR STANDARD MONITORING, EVALUATION, RESEARCH AND LEARNING (MERL) PROCESSES:** The data presented in the midterm raised many additional questions. Implementing a developmental evaluation would allow LEARN to follow up on a select number of missions for the remainder of the contract. Illustratively through this methodology, we could deepen our understanding about change processes in missions, the most effective type or combination of CLA interventions and longer-term impact of TDYs. The developmental evaluation should fold into existing MERL processes and will be designed with a low level of effort in mind.
- **UPDATE LEARN'S RESULTS FRAMEWORK:** The midterm process showed us that we need to clarify the difference between enabling conditions and systems-level change. Currently, our results framework lacks clarity on LEARN's ability to influence enabling conditions (culture, processes, resources); yet, our data tells us that our work contributes to changes in the enabling conditions. We do not have sufficient influence over broader changes at the policy and systems level, however, and the results framework should be updated accordingly

INTRODUCTION AND BACKGROUND

EVALUATION PURPOSE

The objective of USAID’s Bureau of Policy, Planning and Learning (PPL)/Office of Learning, Evaluation and Research (LER) and LEARN’s Midterm Evaluation (MTE) is to test and explore LEARN’s theory of change (ToC). This theory postulates that Collaborating, Learning and Adapting (CLA) champions drive CLA integration in organizations. Figure 1 depicts LEARN’s results framework:

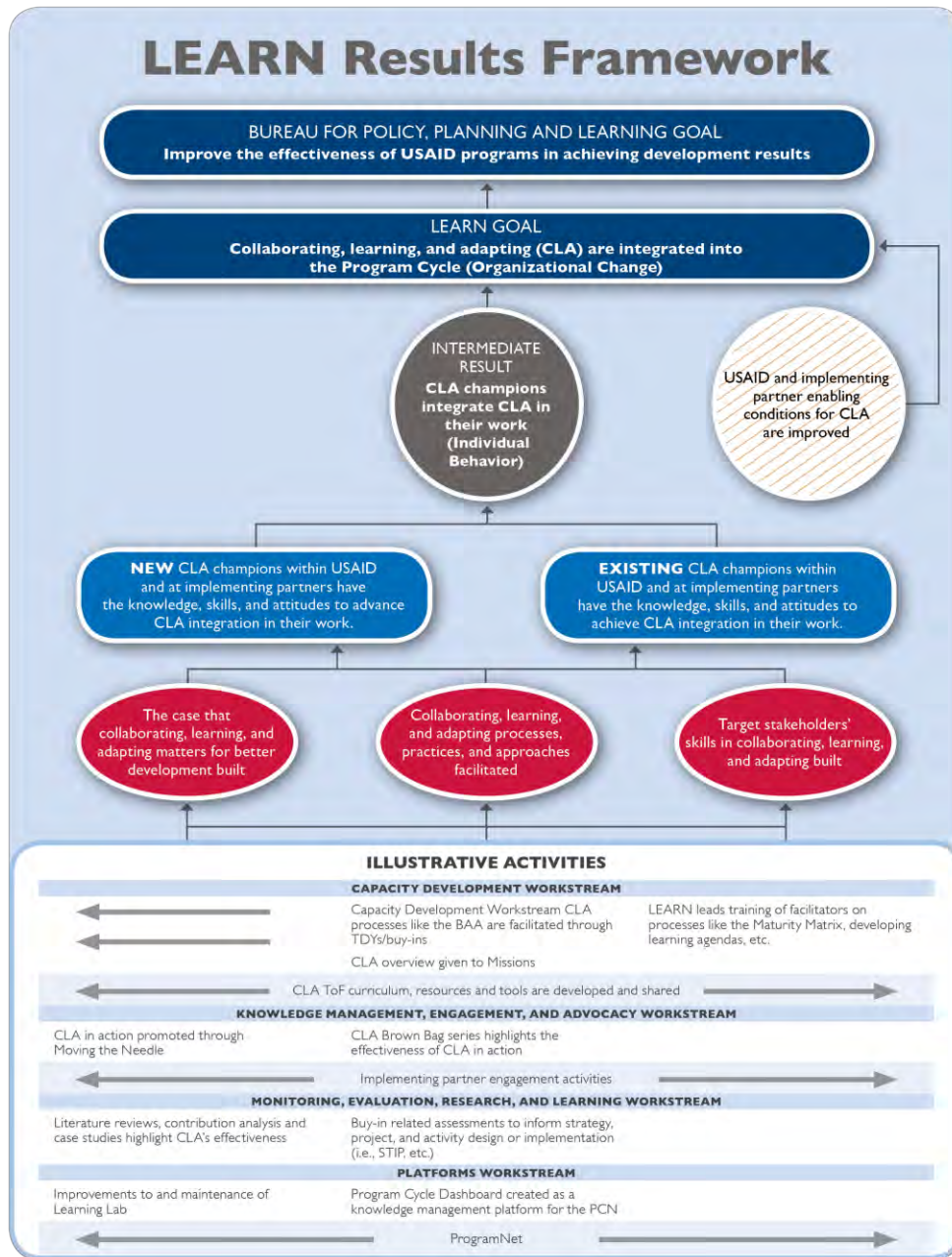


Figure 1: LEARN's Results Framework

EVALUATION QUESTIONS

- Q1: Has LEARN and PPL/LER's engagement with USAID missions led to CLA integration? If yes, how have the CLA approaches implemented by LEARN and PPL/LER led to CLA integration?
- Q2: Have LEARN and PPL/LER's efforts contributed to behavior change in CLA champions, and if so, how? In turn, how have champions' new CLA behaviors contributed to changes in organizational behavior, processes and policies? What does this change process look like?
- Q3: Outside of LEARN's ToC about CLA champions driving CLA integration, what are alternative explanations for increased CLA integration?

BACKGROUND

LEARN CONTRACT

USAID LEARN is a five-year contract (2014-2019) to support USAID's strategic learning and KM approach — known as *CLA* — to improve the effectiveness of USAID programs in achieving significant development outcomes.⁹

LEARN is funded by PPL through LER. The contract has a funding ceiling of \$57 million, with approximately \$23.5 million of "core" funding anticipated from LER, and the balance available for buy-ins from USAID missions, bureaus and operating units (OUs).¹⁰

LEARN was envisioned as PPL's principle mechanism to support CLA throughout USAID's program cycle. LEARN would primarily target USAID missions, but also support USAID bureaus and OUs and their implementing partners (IPs).¹¹ PPL/LER anticipated a continually increasing demand for learning from missions and Washington units.¹²

The LEARN contract identifies five performance objectives, which LEARN was to approach in an integrated way to achieve maximum cumulative impact.¹³



Figure 2: Collaborating, Learning and Adapting Framework

RATIONALE FOR MIDTERM ASSESSMENT'S FOCUS ON LEARN'S CONTRIBUTIONS TO CLA INTEGRATION AT MISSIONS

LEARN initially proposed the MTE focus on its contractual performance and a potential follow-on contract.¹⁴ According to LEARN's Chief of Party (CoP) and Deputy CoP, PPL/LER's Contracting Officer's Representative (COR) — a member of PPL/LER's CLA Team — gave LEARN an A+ grade and considered an evaluation focused on LEARN's performance to be unnecessary.¹⁵ LEARN and PPL/LER then shifted the MTE's focus to understanding how LEARN was contributing to CLA integration at missions and to testing LEARN's ToC. After the evaluator completed this report, she conducted a literature review to validate and/or identify gaps in LEARN's ToC. The review can be found in Annex 4.

The MTE's focus on LEARN's mission buy-ins excludes two important components of LEARN's portfolio:

- LEARN's core-funded work. LER has provided LEARN with \$5 million each year, except in the first year when it provided \$3.5 million. LEARN's annual budget is approximately \$9-\$10 million.
- LEARN buy-ins at bureaus and operating missions. In September 2017, these buy-ins constituted approximately 70 percent of LEARN's buy-in funds. The remaining 30 percent of buy-in funds were from missions.

LEARN's COR justified the decision to focus on LEARN's efforts to integrate CLA at missions on the grounds that when LEARN was first established, PPL/LER had made a conscious decision to focus its work, and therefore LEARN's, in the field. The rationale was that it was at the missions where development was done, and the CLA Team still sees the missions as primary clients for CLA integration.¹⁶ LEARN's CoP elaborated on the reason for the MTE's focus on LEARN's TDYs at missions: "Our goal is to strengthen CLA practice throughout USAID's program cycle, which by USAID's definition, happens at the missions."¹⁷

LEARN previously aspired to long-term mission buy-ins, potentially with its staff resident at missions, as a way to "help ensure real CLA sustainability."¹⁸ LEARN also found it "harder to recruit for and manage these one-offs than it would be for a longer-term engagement."¹⁹ Because of the lower demand for mission buy-ins, LEARN now sees bureaus and OUs as its primary sources of buy-in funding.²⁰

METHODS AND DATA

CASE SELECTION

PPL/LER identified six missions — Cambodia, Democratic Republic of the Congo (DRC), Guatemala, Jamaica, Southern Africa and Uganda — for possible inclusion as case studies in LEARN's MTE. PPL/LER considered these missions promising cases because PPL/LER and LEARN had engaged with them in a more sustained way — defined as at least two TDYs at each mission. LEARN reported CLA integration at all six missions in its Performance Monitoring Report (PMR).²¹

Given time constraints and the desire for in-depth understanding of how learning occurs, the CLA Team, LEARN and the assessment lead agreed to select two missions as case studies. They chose the Cambodia and DRC missions, with the Guatemala mission as a substitute should either Cambodia or the DRC mission decline to participate. When PPL/LER eliminated the DRC mission as a possible case study, the Guatemala mission replaced the DRC mission.²²

CAMBODIA AND GUATEMALA

The Cambodia and Guatemala cases were selected because their similarities and differences that emerged from preliminary research had the potential to illuminate how LEARN might have contributed to CLA integration and to test LEARN's ToC.

The two missions offered interesting contrasts with respect to the CLA approaches that LEARN used at the missions, the length of the TDYs, the extent to which LEARN categorized CLA instances during the TDYs as mission- versus team-specific, the missions' different reputations and experiences with Monitoring and Evaluation (M&E) or learning contracts, and the composition of the TDY teams.

CLA APPROACHES

- In Cambodia, the two LEARN TDYs used PPL/LER's primary CLA approaches: the CLA Maturity Tool Self-Assessment and Action Planning Process and the CDCS midcourse stocktaking.
- In Guatemala, the two LEARN TDYs used CLA approaches either entirely or relatively new to PPL/LER and LEARN. In the first TDY, LEARN's facilitation of the BAA process to identify Opportunities for Youth in Guatemala with the mission's BAA team and the mission's IPs was the first and only time that PPL/LER or LEARN has facilitated a BAA process. In the second TDY, LEARN conducted Options Research on pre-primary school education for the mission's education department including through interviews in Guatemala, and then facilitated stakeholder discussions on the Options Research.²³

LENGTH OF TDYS

- Of the six possible missions, LEARN spent the least time at the Cambodia mission (a total of 24 days). The Cambodia case therefore suggested that, under certain conditions, progress in learning might be achieved in a very short time.
- Of the six possible missions, LEARN spent the most time in Guatemala (a total of 44 days).

LEARN'S CATEGORIZATION OF CLA INSTANCES AS MISSION- OR TEAM-SPECIFIC

- LEARN categorized most CLA instances at the Cambodia mission as mission-wide and most CLA instances at the Guatemala mission as team-specific.

MISSIONS' CLA REPUTATIONS AND PRIOR M&E OR LEARNING SUPPORT CONTRACTS

- The Cambodia mission had no known M&E or learning contracts –this was verified during the research phase – or reputation as a mission advanced in CLA integration.
- The Guatemala mission had a reputation as “one of the more advanced missions in terms of CLA, with its Western Highlands Integrated Program (WHIP) serving as a model for collaboration across sectors within the mission and with implementing partners and local governments”²⁴ and as having considerable organic CLA.²⁵ The mission had also had an M&E support contract.²⁶

COMPOSITION OF TDY TEAMS

- The Cambodia mission TDYs were conducted by a combination of PPL/LER/CLA and LEARN team members.
- The Guatemala mission TDYs were conducted by only LEARN staff.

The two missions shared important similarities. First, LEARN-identified CLA champions were notably lacking or entirely absent. Second, both missions had previously received technical assistance from PPL/LER. Third, LEARN's TDYs at both missions had components of buy-in funding, albeit of significantly different amounts.

PRESENCE OF CLA CHAMPIONS

- Despite LEARN's PMR finding that LEARN TDYs had contributed to increased CLA integration at both the Cambodia and Guatemala missions, LEARN had identified no champions at the Guatemala mission (comprising about 100 people),²⁷ and only one at the Cambodia mission (comprising some 77 people). A priori, an increase in CLA integration at missions with no champions or only one champion calls into question LEARN's ToC, according to which CLA champions drive CLA integration.

PRIOR PPL/LER TDYS

- PPL/LER had conducted a TDY at the Cambodia mission in 2015.²⁸
- PPL/LER had conducted TDYs at the Guatemala mission in 2013 and 2015.²⁹

BUY-IN COMPONENT IN TDYS

- At the Cambodia mission, the first TDY (12 days) in March 2016 was core-funded; the second (12 days) in September 2016 was mostly a buy-in. At the Guatemala mission, the first TDY (March/April and August 2016) was almost entirely a buy-in; the second TDY (December 2016 and May 2017) was a buy-in. However, the buy-in funding for the TDYs at the Guatemala mission was significantly greater than for the second TDY at the Cambodia mission.³⁰

DATA

The MTE relied on multiple sources of data: LEARN and mission documents, online surveys for mission staff and semi-structured interviews with key informants. Interviews typically were an hour to an hour and a half in length. Key informant interviews were the primary data source. Interview protocols can be found in Annexes 1 and 2.

DOCUMENTS

- LEARN documents reviewed included trip reports, knowledge drops, the CLA integration checklist analysis, the PMR,³¹ the champions tracker,³² the TDY tracker,³³ the analysis of Federal Employee Viewpoint Survey (FEVS) CLA-related data³⁴ and CLA case competition entries.
- PPL/LER shared its CLA mission engagement Excel sheet that prioritized missions, based on LER's evolving criteria, as candidates for core-funded TDYs to advance CLA integration.
- The Cambodia mission provided documents with CLA requirements in such forms as mission orders and project appraisal documents (PADs).

ONLINE SURVEYS

The online surveys for Guatemala and Cambodia mission staff were intended to obtain data on perceptions of CLA integration at the missions before and after the TDYs as well as other data to inform the semi-structured interview questions. Cambodia mission staff who participated in the two TDYs were invited to take part in online surveys. Fifteen people from the Cambodia mission responded (including some who had not participated in both or any of the TDYs). The Guatemala mission's points of contact (POCs) agreed that all four BAA team members would respond to the online survey. Three did. Please see Annex 3.

SEMI-STRUCTURED INTERVIEWS WITH KEY INFORMANTS

Key informants included LEARN staff, PPL/LER/CLA Team staff, mission staff and mission IPs. Face-to-face interviews were held with staff based in Washington DC and telephone or Skype interviews with mission-based staff and IPs not based in Washington DC.

At least eight LEARN staff were interviewed, sometimes more than once, between April and September 2017. The interviewees, and primary focus of the questions, included:

- Two facilitators of the TDYs in Cambodia, one facilitator of the TDYs in Guatemala and a senior project associate who attended the first of two workshops (on how the CLA approaches may have contributed to CLA integration).
- The Senior Operations Manager (on budget issues).
- The M&E specialist (on measures of TDY contributions to CLA integration at missions).
- The CoP and Deputy CoP (on the LEARN contract's key accomplishments and challenges).

Three of the six CLA Team members located in LER were interviewed, including LEARN's COR (on two occasions) and the CLA Team lead. Interviews focused on gathering contextual information about the LEARN contract and its relationship to PPL/LER. A CLA Team member was interviewed twice before he left the team.

The assessment lead conducted interviews with 13 key informants from the Cambodia mission from July 23, 2017 to August 15, 2017. LEARN's POC at the mission identified most of these interviewees. The informants were from the PO, the Office of Public Health and Education (OPHE), the Office of Food Security and Environment (FSE) and the Financial Management Office (FMO). Of the 13 key informants, nine were Foreign Service Nationals (FSNs), three were Foreign Service Officers (FSOs) and one was an Eligible Family Member (EFM). Interviewees were given the questions in advance as well as LEARN's two-page document, *Collaborating, Learning and Adapting Framework & Key Concepts*.

The USAID/Guatemala interviews took place between August 24, 2017 and September 18, 2017. Interviews were held with three of the four members of USAID/Guatemala's BAA team. One BAA team member, citing time constraints, responded to the questions by email. The BAA team leader was from the Health and Education Office. The other three were from the Planning and Program Support Office (PPSO), the Office of Acquisitions and Assistance (OAA) and the Economic Development Office (EDO). All four BAA team members were FSNs.

Twelve BAA participants/partners from 12 organizations took part in the BAA process. Nine participants were invited to participate in the MTE. (Three were not invited because the LEARN

facilitator of the BAA process knew they would not be able to conduct interviews in English.) Three participants responded and followed through with interviews held from September 19, 2017 to September 22, 2017.

A Presidential Management Fellow from the Learning Division of USAID's Center for Excellence on Democracy, Human Rights and Governance (DRG Center), who had trained USAID/Guatemala's Democracy and Governance Office (DGO) in CLA, was interviewed for any insights about the status of CLA at the mission.

LIMITATIONS

A major limitation of the MTE is the absence of any CLA baseline at the missions under study.³⁵

Interviews conducted by telephone/Skype are not as good as in-person interaction. In addition, most of the interviews with mission staff and their IPs were conducted in English, which is not the first language of the interviewees.

Compounding this language limitation, questions often required respondents to be familiar with the specialized terminology of CLA. LEARN's concern that respondents might have difficulty understanding the questions that required knowledge of the CLA language led to the decision to share LEARN's two-page document, *Collaborating, Learning and Adapting Framework & Key Concepts*.

The MTE does not include LEARN's TDY for the Guatemala mission where it conducted Options Research on three potential areas of intervention for an education project. For each possible intervention area, LEARN gathered information on existing activities in relation to: pros, cons, risks, assumptions, unmet needs, key stakeholders and best practices. LEARN then held focus groups on the options with stakeholders. The TDY was conducted for one branch (education) of a single technical office, the Health and Education Office. With only two potential interviewees — LEARN's facilitator and the education office member — it seemed better to focus on LEARN's facilitation of the BAA process at the Guatemala mission.

For people to recall details of events that occurred some time ago is challenging. Examples of the problems of remembering were illustrated in the Cambodia case. Several interviewees could not recall whether they had attended one or both of the TDYs (or that LEARN, as opposed to simply another Washington DC office, had provided services to the mission.) Also, some interviewees were uncertain about the relationship, if any, between the TDYs and the mission's incorporation of CLA requirements in documents and CLA integration in Working Groups. In this latter case, the PO CLA Action Plan provided some clarification.³⁶

The Guatemala mission agreed to have only its four BAA team members participate in the online survey and the interviews. Only three of the team members actually participated in the online survey and the interviews. The PO representative in the BAA team, who had agreed to send documents and contact information of others who had been involved in the BAA process before the facilitation, never followed through.

FINDINGS

CAMBODIA FINDINGS

Q1: Has LEARN and PPL/LER's engagement with missions led to CLA integration? If yes, how have the CLA approaches implemented by LEARN and PPL led to CLA integration?

LEARN and PPL/LER’s two TDYs contributed to an increase in CLA integration. Quantitative and qualitative data from the interviews support this finding.

First, the average of interviewees’ ratings and the median of these averages comparing the extent of CLA integration at the mission since PPL/LER and LEARN’s TDYs with the current extent of CLA integration indicated an improvement in CLA integration in the program cycle processes, in the enabling conditions and in the mission as a whole. The scale for ratings was 1=poor, 2=fair, 3=OK, 4=good and 5=excellent. Whether using averages or medians of the averages of interviewees’ ratings over the specified time period, the data show an improvement from “OK” to “good” in CLA integration in the whole mission, the program cycle processes and the enabling conditions. Most individual interviewees’ ratings also show an improvement in CLA integration in each of the two building blocks, CLA in the program cycle processes and enabling conditions, since the beginning of 2016.

Second, overall, interviewees conveyed that the TDYs led to CLA integration at the mission by introducing the concept of CLA and how to apply it. Although learning had been taking place before the TDYs, interviewees noted that the language of CLA made learning and its application more focused, more systematic, more explicit and more institutionalized than before the TDYs. Most respondents gave significant credit to the PO and the Mission Director (MD), and sometimes also the Technical Office directors and the M&E team, for important leadership roles in then applying the CLA concept to the mission’s work. Examples included the incorporation of CLA requirements in contracts and agreements and other documents, as well as of CLA in Working Group activities.

RATINGS

The ratings — averages, medians and for a significant minority of individuals — point to a mission that provides “good” support to CLA in the enabling conditions (see Figure 3).

		INTERVIEWEES AT USAID/CAMBODIA MISSION													AVERAGE
		A*	B	C*	D	E	F	G	H	I	J	K	L	M	
EARLY 2016	Program Cycle	-	2.0	-	-	3.0	2.0	2.0	3.0	3.5	4.0	3.0	3.0	2.0	2.8
	Enabling Conditions	-	2.0	-	-	3.0	3.5	2.0	3.0	3.0	4.0	3.5	3.0	1.0	2.8
	MISSION AVERAGE	-	2.0	-	-	3.0	2.8	2.0	3.0	3.3	4.0	3.3	3.0	1.5	2.8
SEPT. 2017	Program Cycle	3.5	3.5	-	3.8	4.5	3.5	3.5	3.0	3.5	4.0	3.5	4.0	4.0	3.7
	Enabling Conditions	3.7	4.0	-	3.5	5	4.5	3.5	3.0	3.0	4.5	4.0	4.0	5.0	4.0
	MISSION AVERAGE	3.6	3.8	4.5	3.7	4.8	4.0	3.5	3.0	3.3	4.3	3.8	4.0	4.5	3.9

Scale: 1 = poor, 2 = fair, 3 = OK, 4 = good, 5 = excellent, - = not provided*

* Individuals A and C were not at the mission in early 2016; individual C elected to provide only a rating for the mission average in September 2017.

Figure 3: Ratings of CLA Integration in the program cycle and enabling conditions

CONTRIBUTIONS OF TDYS TO INCREASED CLA INTEGRATION AT THE MISSION

Generally, the positive ratings for CLA integration in the enabling conditions are consistent with qualitative data in which interviewees depicted the PO, the MD, the Technical Office Directors and the M&E specialists as championing CLA. These contextual factors aid in understanding not only the reasons

but the ways the TDYs contributed to increased CLA at the mission. The “how” and the “why” — and therefore also the direct and indirect contributions of the TDYs to CLA integration — are often difficult to disentangle.

Interviewees cited the following examples, among others, of how the TDYs contributed to increased CLA integration.

- Introduced the CLA concept and the CLA framework and how to apply CLA, making CLA’s application more systematic, explicit and concrete than the more diffuse learning that the mission had been practicing before the first TDY.
- Integrated CLA requirements in new contracts and agreements, the new OPHE PAD and the existing M&E Plan templates by the PO.
- Inclusion of CLA in the M&E Working Group’s roles and responsibilities by the PO.
- Inclusion of CLA in the Gender Working Group’s Gender Development Dialogue by the PO.
- Inclusion of a section on CLA resources in the PO’s weekly news bulletin.
- Impetus of the CDCS midcourse stocktaking exercises for the mission to take the time to officially change the CDCS development objective and make other changes, previously only proposed at the office level.
- Explicit incorporation of CLA in the Portfolio Reviews by the PO.
- Holding monthly meetings to discuss CLA by all the TOs after the first TDY.

An interviewee in the PO acknowledged how, following the March 2016 TDY, the PO decided to include CLA requirements in agreements and contracts, and documents more generally. The interviewee also discussed how the TDYs led to making official changes to the CDCS 2014-2019. Running through the interviewee’s response was an effort to recognize not only the contributions of the TDYs but also the prior CLA that had been occurring, albeit in a less explicit way, and the role of the PO in promoting CLA in the mission.

TDYs were twice. You can’t expect that to have so much influence. TDYs won’t have so much effect on mission environment. PPL is not in our environment. It’s very far away. It’s not direct. Now I’m thinking aloud. Through the PO, PPL has changed the environment.

After first TDY, the PO decided to include CLA requirements in agreements or contracts. We didn’t have that before the TDY and new guidance [Automated Directives System or ADS]. We didn’t document it well enough and we didn’t talk about it that much.

Even within the mission, we are trying to document more. For example, evaluations — but this is not because of TDYs. We did it two years ago. Each evaluation must result in an action plan to address recommendations in the report. Some recommendations lead to changes in scope of work; some lead to changes in interventions. A lot of documents for evaluation actually. But TDYs did help us to document a lot more CLA.

In the midcourse CDCS 2014-2019 review, we made a lot of changes. . . . Changed a Development Objective. . . . Even before the midcourse review, changes had been made at the office level but they had not received official approval from mission. The midcourse review made the changes official and as a mission rather than individually by office. The TDY was still very useful — without it, we wouldn’t make time to sit down and make changes as a mission. Changes had already happened at office level. The development hypothesis was revised to

reflect changes made at office level. The TDY was not alone the reason for change. Change is happening every day.

A supervisory financial analyst/Agreement Officer's Representative (AOR) in the FMO captured how the TDYs had made the mission's approach to CLA more systematic, emphasizing that CLA was now scheduled, routine, more frequent and more explicit. Whereas previously people may have been engaged tacitly in CLA the TDYs had raised people's awareness that they were doing collaborating, learning or adapting.

Now we are more frequently integrated; have a schedule for CLA, and also ad hoc changes. It's more routine and frequent now. Sometimes (before) I couldn't link meetings to learning. Now it's spelled-out as are actions and next steps.

The M&E specialist in the FSE also stressed how the introduction of the CLA concept had led to the mission as a whole and every Technical Office having a new focus on CLA and conducting more regular CLA activities. He gave the example of how all the TOs, including his own office, began to meet every month immediately after the March 2016 TDY. Like many others at the mission, the M&E specialist referred to the TDYs as "CLA facilitations" rather than as LEARN facilitations.

Before the CLA facilitation, we do something related to CLA but we did not really focus on that. For example, after CLA in our mission we have more regular Portfolio Reviews, regular Chief of Party meetings, regular IPs and donor meetings. . . . Every office holds regular meetings to address things in their office to improve work in their office. We take actions after CLA was introduced to us in March 2016: training, planning, results. And we focus on the C, L and A. The first things after learning about CLA, to the best of our knowledge our mission had an Action Plan on CLA and made sure office provides open mind, ideas, discuss, learn and improve in the office. Mission leadership is very supportive of CLA activity. . . . For example, in my office (FSE) we hold regular monthly meetings. We . . . raise issues on [our] culture differences; then we address management issues (who should make decisions) to make day-to-day management more efficient to avoid problems inside the office, ensure that people can maximize their work more effectively. We identify obstacles and come up with solutions to take. Basically, we use the concept of CLA in our office.

The Development Assistance Coordinator in the PO called attention to how the March 2016 TDY had introduced the concept of CLA as an "institutionalized package of tools," reinforcing how the new language became official practice at the mission.

Don't think I heard CLA as one of these hot topics. It was being done but not like a packaged set of tools we were supposed to be using called CLA. Some of the things were being done. But not as an institutionalized package of tools. It's not like the mission was not doing evaluations, etc.

Q2: Have LEARN and PPL/LER efforts contributed to behavior change in CLA champions, and if so, how? In turn, how have champions' new CLA behaviors contributed to changes in organizational behavior, processes and policies? What does this change process look like?

- A number of interviewees either self-identified as champions and/or were viewed as such by their colleagues. One may infer that PPL/LEARN's TDYs have contributed either directly or indirectly to these CLA champions for two reasons: First, CLA language itself was only

introduced after the TDYs and was the first encounter with the language for most of the interviewees. Second, it was possible to relate respondents' replies to questions about their role as champions to their responses to questions about how the TDYs changed the way they did their work.

- The number of CLA champions (up to 17) identified by respondents is in stark contrast to LEARN's identification of only one champion at the mission.
- The role of FSN champions located in the PO, both enjoying high social capital, had a significant impact on CLA integration.
- Interviewees associated champions with characteristics such as passion, knowledge, influence, people skills, encouragement of others to ask critical questions and the ability to motivate people.
- All interviewees considered CLA champions to be important for CLA integration to occur. Those asked how many CLA champions were needed to integrate CLA responded that it would require many and provided additional qualifiers.
- Proposed strategies to best increase the number of CLA champions included training Agreement Officer's Representatives/Contracting Officer's Representatives (A/CORs), a mission-wide behavior change strategy, creating a CLA Working Group and having PPL include CLA topics at high-level conferences for all missions. Several interviewees saw individual behavior change as requiring the MD to be a CLA champion; others stressed the need for CLA champions at all levels of the organization.
- Notably, no one felt there were any major obstacles at the mission to increasing CLA integration, although several respondents focused on the need to train A/CORs — a plea made by a couple of A/CORs, too.

PPL/LER AND LEARN'S CONTRIBUTION TO INDIVIDUAL BEHAVIOR CHANGE

To understand how the TDYs contributed to individual behavior change in CLA champions, the voices of those often mentioned by interviewees to be champions are instructive.

The gender specialist in the PO explained that he incorporated CLA in his job following the TDYs because he understood CLA's benefits both for his professional development and for the mission's program results and capacity building, and he did not see CLA as a time-consuming burden. To generate more CLA champions, he believes this understanding of CLA is crucial.

I see learning about CLA as an opportunity — how I can expand my own career. . . . I see benefits through CLA lens — helps us build capacity and get better results from programming. . . . Myself, I did it [incorporated CLA] because it was my job that I knew everything about gender integration. If I move to technical area, I must be well informed. Personal interest. . . . I didn't think that way [that CLA was an additional time-consuming burden.] I saw it as opportunity to increase knowledge and perform better; personal upward mobility.

An interviewee in the PO highlighted how the PPL/LER and LEARN TDYs had amplified her CLA knowledge.

Before the March 2016 TDY, my knowledge of CLA was very limited. The TDY was an opportunity to explore it more. The TDY started with "what is CLA." It's what we've been doing

everyday. It's in our DNA. Now when people talk about their activities, I tell them it's the C or the L or the A. . . . For me, now I know I do CLA. It used to be a fancy word. It's not really fancy, I learn. It's what I do. People keep talking about it more. Certain Project Managers share with me the example of something and say it's CLA and I assume it must be through the TDY. . . . TDYs contributed a lot for me personally. . . . PPL/LEARN TDYs show me how to do this even better. TDYs raise consciousness about CLA in Portfolio Reviews, CLA in new project design, CLA in introducing new data to analyze, and CLA in gender. The TDY has made me to relate CLA to these different topics, and learn from each other. Talking with partners, I share a lot about their CLA activities. . . . Two design staff and the M&E specialist in the PO now meet once a week to learn from each other.

NUMBERS OF CLA CHAMPIONS

Using the names of CLA champions provided by the few interviewees who were explicitly asked to name CLA champions, 17 individuals were named. While these interviewees named some of the same CLA champions, those named also diverged. One interviewee, perhaps helped by her PO vantage point of the entire mission, identified 11 CLA champions, specifying them by position and office. On the other extreme, another interviewee (an M&E specialist) named only one CLA champion. To the extent that these CLA champions are a product of the TDYs, the numbers reflect significant individual behavior change.

Like several others, the director of OPHE, saw “the vast majority of people” at the mission to be CLA champions.

The vast majority of people in the mission are [CLA champions]. For the most part, the team here is truly passionate and dedicated to development. They must therefore be willing to review, learn lessons and learn what others are doing, adapt and change.

CHANGE PROCESSES: NUMBERS OF CHAMPIONS NEEDED, WHO AFFECTS CHANGE AND STRATEGIES OF CLA PROMOTION

Interviewees agreed that CLA champions were important to integrate CLA and felt many such champions were needed for CLA integration at the mission. They generally identified the most influential CLA champions to be in the PO, and the mission leadership, the M&E specialists and the Technical Office directors as necessary champions for CLA to get integrated at the mission.

On the numbers and location of CLA champions needed for CLA integration, a project management specialist in the FSE said:

Everyone in PO, FO [Front Office] and all Office Directors and maybe at least one champion from each Technical Office. When a leader asks critical questions, it's really powerful. My office director in FSE supports CLA.

An interviewee in the PO felt the number of champions needed depended on the size of the mission and the champions' influence. She emphasized learning as a bottom up and top down process that she thought was occurring with the right combination of energy at present.

Needs to be enough to gather a mass. It also depends on their influence and position (working level, middle, top level) and size of organization. Learning occurs both bottom up and top down. . . . Right now seems like a good combination.

The OPHE's director stressed the need for CLA champions to come from the ranks of FSNs and senior FSOs but emphasized that without mission leadership (MD and PO director), CLA integration would not take place.

Two levels of CLA promoters are needed. Senior FSO, Office Director at least. And FSNs who can translate CLA into the local language. CLA language is fairly nuanced — I don't want to say sophisticated — of English language, understanding of Agency objectives and of theory. Need a strong FSN dedicated and passionate about M&E broadly (to refer to CLA matrix — forgive me if using old jargon) — how do you take M&E and learn and adapt. Being an Office Director in early 2016 (i.e., speaking personally). . . . If you have Office Directors who understand what PPL is trying to achieve — it's the Agency lead in Learning and Adapting — able to understand CLA and buys-in and understand importance for all of us. Even if you have FSOs on board but who don't have support from Mission leadership (Mission Director and Director of PO) . . . CLA promoters won't be able to achieve integration, is what I'm saying.

An interviewee from the PO did not think it was necessary to have an MD champion CLA, albeit desirable, and praised the central role of the PO in championing CLA for the rest of the mission.

In my opinion, Program Office is most influential CLA promoters at mission because of their roles and responsibilities. We are responsible for crosscutting issues and gender. PO also needs to coordinate with all offices. Must advise Front Office in terms of guidance, rules and best practices. We are in a good position to make either good or bad influence on whole mission. Also, PO people are keen to learn and collaborate more and always want to do better job. Personality now in PO is now making us able to influence the whole mission. I don't want to be saying it's only the PO doing CLA. That is not to say that CLA role of other offices aren't important.

Some people would say Mission Director is most influential in CLA. I disagree. Sometimes we don't have Mission Director who's like that. If Mission Director is not supportive of CLA, people take it as excuse not to apply CLA. Change starts from us and can influence even our leadership. Though it would be easier to have a supportive environment, we also influence our environment.

LEARN's facilitator during the second TDY drew attention to several features of the FSN CLA champions at the Cambodia mission — their social capital, the location of two (referred to by name) in the PO and their strong working relationships — that amplified their influence.³⁷ LEARN's facilitator also remarked on the unusual empowerment of FSNs in the mission's leadership.³⁸

I think it's awesome [that FSNs are champions]. They feel very comfortable speaking to FSOs and other senior people. Lida is happy to push back. She has a lot of her own skills. . . . Lida as FSN. Sopheap as FSN. . . . Both have high social capital. The ambassador calls on them. Sopheap and Lida are close. Lida has been there for a long time. Lida brings credibility to CLA. . . . That FSNs are empowered in the leadership makes a big difference. There are more Cambodians in senior type positions than in other missions.

In regards to the best ways to promote CLA champions, interviewees proposed a variety of strategies. Training A/CORs — something a couple of A/CORs reported that they desired and needed — was one approach that the mission was going to implement soon, both because of the importance of A/CORs with respect to IP execution of CLA practices and because of awareness that they lacked sufficient CLA understanding.

The M&E specialist in the OPHE identified the need to train A/CORs in the CLA framework and noted that he and the PO M&E specialist planned to hold trainings for them.

Lida and I will do training of A/CORs at mission (about 25 of them) in September 2017. They haven't been receiving training on CLA. CLA is new jargon for them. When we observe what they do, it's CLA. Their practices are good in terms of CLA. We'll see if we can encourage A/COR as a role model for other AOR. OPHE has largest number of A/CORs: 12-13. The planned two sessions — one and a half hours each — in September will be their first training in CLA.

The OPHE director recommended that PPL take advantage of MD, Technical Office and PO conferences as well as MD consultations held in Washington DC to promote CLA information.³⁹

Got to get Mission Directors make sure they understand.

- *Annual Mission Directors conference. PPL has some presentations. Have CLA be a topic [presented by PPL].*
- *Typically before Mission Directors go to missions they have consultations in DC. They usually go to PPL. Make CLA a topic. There's a regional POs conference. Would be good to have those questions (like you're asking about CLA) in these conferences. Structurally it is the PO that is responsible for leading this; obviously it's all our responsibility for doing it. If we don't have a PO that understands, they won't look for CLA when we do designs, strategies. Almost any document goes through PO for approval. Given the PO is lead on CDCS and partner with any Technical Offices in their design work, it's crucial POs review and discuss CLA as often as possible as POs around the world.*
- *Technical Offices have conferences on various topics: agricultural officers' conferences, environmental officers' conferences, etc. I'm not sure the extent to which PPL inserts themselves in Technical Offices' conferences.*

Q3. Outside of LEARN's ToC about CLA champions driving CLA integration, what are alternative explanations for increased CLA integration?

LEARN's theory that advancing CLA integration in the Cambodia mission is driven by individual behavior change appears to have strong support from interviewees. In less than two years since the TDYs introduced the mission to the CLA framework, interviewees identified numerous champions and multiple ways in which CLA has been integrated not only in the program cycle but also in the enabling conditions. Nobody identified structural obstacles or individuals in management who were obstacles to greater CLA integration.

Some evidence suggests that CLA support in the enabling conditions — mission culture, business processes and resources (“structures”) — is relatively institutionalized. First, the ratings for CLA integration in the enabling conditions were positive (sometimes more positive than for CLA integration in the program cycle processes). Second, qualitative data also supported these positive ratings for CLA integration in the enabling conditions. Third, the mission has a number of mechanisms and documents (with more pending) addressing CLA promotion and requirements as well as a newsletter that incorporates CLA resources — all instances of mission support for CLA integration in the enabling conditions.

The Cambodia case finding of substantial mission support for CLA in the enabling conditions, rather than pointing to an alternative to LEARN's ToC, draws attention to a positive dynamic between CLA champions and greater support for CLA integration in the enabling conditions. As CLA champions contribute to improving support for CLA in the enabling conditions, CLA becomes more institutionalized, perhaps at some stage reducing the need to generate new CLA champions. LEARN's ToC does not take explicit account of how such increased institutional support may reinforce the role of CLA champions in promoting CLA integration because it does not explicitly identify a role for structural or institutional support (or enabling conditions) for increasing CLA integration.

GUATEMALA FINDINGS

QI: Has LEARN and PPL/LER's engagement with missions led to CLA integration? If yes, how have the CLA approaches implemented by LEARN and PPL/LER led to CLA integration?

The BAA process is co-created and grounded in CLA principles and practices. LEARN's BAA facilitation contributed to a deeper experience of implicit or tacit CLA — that is, using CLA practices without naming them as CLA — among the BAA team members (and IPs).

Evaluating how, if at all, LEARN's facilitation of the BAA process contributed to CLA integration at the mission is complicated. By definition, the mission's decision to use a BAA process, a new approach to procurement at USAID, indicated CLA integration at the mission, and the LEARN facilitation of the BAA process involved the BAA team and its partners in more intense CLA practices than usual. While the BAA team and its partners credit the LEARN facilitation with making it possible to come up with a co-created youth project design, neither the LEARN facilitator (at least initially) nor the BAA team conceived of the BAA process as a CLA exercise. Even after the BAA process, members of the BAA team resisted viewing the BAA process through a CLA lens and insisted they hired LEARN's services to facilitate the BAA process and not CLA. Hence, the label *implicit* or *tacit* CLA is given both to the mission's decision to use the BAA process and LEARN's facilitation of that process. Two other examples are briefly noted to illustrate that the BAA process is not a unique instance of implicit CLA at the mission.

PRE-LEARN FACILITATION: IMPLICIT CLA IN MISSION'S DECISION TO ADOPT THE BAA APPROACH

The mission's decision to use the BAA process required the use of implicit CLA. When the education office wanted to develop a youth project in the western highlands to address the crisis of unaccompanied youth migrating to the United States in 2014, the mission embraced the BAA process for two reasons. The mission was looking for outside expertise to provide non-traditional ideas to develop a youth project. Also, it understood that the BAA procurement process would be quicker than normal procurement.⁴⁰ The FO provided support immediately. The then deputy MD asked each Technical Office director to designate a member to form a Working Group to explore the possibility of the mission using a BAA process. The Working Group had to justify the merits of the BAA approach to the mission. The Working Group also reached out to USAID's Bureau for Latin America and the Caribbean (LAC) in Washington, DC, for information and expert assistance.⁴¹

The BAA team, led by the education office, replaced the Working Group after the mission formally approved the use of the BAA process in the fall of 2015.⁴² The BAA team continued to engage with the LAC office, in part because the education office had only one person from January 2016 to June 2017, when the mission made the BAA award. According to the partners who were interviewed, the BAA team's selection of the eight expressions of interest demonstrated knowledge of the different types of

expertise of organizations working on youth (e.g., employment creation, education) as well as on the Maya culture in the western highlands. It helped, the BAA partners interviewed said, that most of them already knew one another and some had worked together.⁴³

As it transpired, the BAA process took much longer than a normal procurement process largely because of mission leadership changes that led to questions about the appropriateness of the mission investing in another youth project and because the mission anticipated a huge budget increase for work on Central America that did not materialize.⁴⁴ These internal mission issues meant that LEARN had to facilitate an unanticipated second workshop.

THE BAA PROCESS AND LEARN'S FACILITATION: DEEPENING IMPLICIT CLA PRACTICES

The BAA team and its partners praised LEARN's facilitation, often using superlatives. Several interviewees expressed their belief that without LEARN's facilitation, the BAA process might not have culminated in the successful design of a youth project. LEARN's facilitation team worked collaboratively with the BAA team and facilitated collaboration among its partners.⁴⁵ However, all the participants who were interviewed stated categorically that the BAA process had not been an explicit CLA process. Even so, LEARN's facilitation of the BAA process, by definition, contributed to more intense CLA than would occur in a normal procurement process.

All interviewees heaped accolades on LEARN's facilitation. The PO representative said LEARN's services were expensive but the mission got more than it had expected.

LEARN had experience on facilitation. And they did research on BAA and could propose activities we had not conceived of, like a conference call with IPs, webinar with IPs. That was a good contribution to the results we had.⁴⁶

The partners deeply respected LEARN's facilitation and its contribution to the final youth project design. One partner put his appreciation in this way:

Facilitators they hired were amazing. To build the process was amazing. Without facilitators, it was impossible to make it.⁴⁷

Two of the partners with significant development experience referred to LEARN's role in restraining them from monopolizing the process and creating the opportunity for less experienced development organizations to have a voice in the process. Though this slowed the project design process making for a painful and frustrating experience, in hindsight they said they had learned the importance for collaboration of proceeding at a pace that enabled all participants to have a voice.⁴⁸

As successful as the facilitation was as a BAA process, all interviewees acknowledged that CLA was rarely, if ever, made, explicit. LEARN's facilitator noted that the Guatemala buy-in was only LEARN's third buy-in. Moreover, it was the first time LEARN was facilitating a BAA process, still a new USAID procurement process. Neither USAID's nor LEARN's scopes of work for the BAA process refer to CLA.⁴⁹ Not until late in the process did the facilitator realize how the BAA process was an example of CLA. In the facilitator's words:

It took a while to integrate CLA and BAA. That was part of my learning. . . . After working on it for a while, I realized it is CLA for the mission — external collaboration, learning from outside partners, enabling conditions of openness, building relationships/networks with partners to find out what was happening on the ground. . . . The BAA team was practicing CLA without knowing

it. . . Maybe because our CLA contribution in the BAA process was not made clear to participants, Angelina encouraged me to offer to help Megan [LAC office in Washington, DC] to write a CLA plan. Megan declined.⁵⁰

The BAA team's PO representative questioned the appropriateness of the mission's participation in the MTE when first contacted by LEARN's COR — and again, when first contacted by LEARN — because the mission had contracted LEARN's services to facilitate the BAA process and not CLA.

We saw our contribution/experience was not a CLA experience per se and hard for us to see how we could contribute to a CLA assessment.⁵¹

Another BAA team member also emphasized that the facilitation was for the BAA process and not CLA. Moreover, CLA had only come up late in the facilitation process.

We used LEARN not because we were thinking about CLA. Not a term familiar at that time. We needed a third party to facilitate [the BAA process]. . . . First half of the facilitation, we never heard of CLA approach.⁵²

Nonetheless, the implicit CLA in the BAA process is made explicit in the CLA case competition entry as well as in interviews with the BAA partners, who were asked to reflect on the BAA process through a CLA lens. Only the observations of the BAA partners are drawn on here.

One partner lauded the mission's adaptability in designing a contract with a prime and six subcontractors, despite missions typically avoiding such contracts because they are so difficult to manage. According to the BAA partner, the mission recognized that the contract design needed to better reflect the co-creation process.

Contracting Officers don't usually like subcontractors managing sub-grants. They like the prime to manage all. The mission accepted subcontractors have their own grants: a prime with 6 subcontractors. Each sub has 2 to 3 grantees below them. It rapidly becomes a nightmare. The mission agreed you can't change that without changing the whole bottom-up process, so accepted it. . . . Not every member is now equal, so it is a different kind of collaboration.⁵³

Another partner found the relationship with the BAA team "very good" and acknowledged the surprising degree of the BAA team's openness and its knowledge of youth issues.

Megan and Michael (USAID LAC DC) and the Guatemala mission were surprisingly open, helpful and a lot more sophisticated than people in some of the organizations and within LEARN itself in terms of . . . knowledge of issues [relating to youth].⁵⁴

Although the BAA process was an implicit CLA experience, it was also deeper than usual. Internally, the mission's cross-sector BAA team had to collaborate with each other intensely during the process. Externally, the BAA team had to collaborate and draw on partners' knowledge in entirely new ways to co-create the final concept note, requiring an unprecedented degree of collaboration and openness in the pre-award phase.

POST-LEARN FACILITATION AND CLA

The BAA team concurred that the BAA facilitation had no consequences for CLA integration at the mission. As a result of the positive feedback about LEARN's facilitation, however, the mission decided to use LEARN's services to review the CDCS (see Question 3).

Responding to the online survey question about the reason for changes, if any, in collaboration at the mission between early 2016 and August/September 2017, a BAA team member who recorded no improvements in collaboration — ratings were “fair” and “poor” for internal and external collaboration respectively — commented:

The facilitation services were specific to BAA process and they did not affect relations among teams.

The PO representative on the BAA team stated that the mission failed to use the CLA lessons from the BAA process, and some at the mission remained ignorant about even the BAA process, despite its wide discussion within the mission.

LEARN's facilitation did not result in changes to how we use CLA but not because the information was not useful or we didn't have information, but because BAA team and PO did nothing to use CLA lessons. I can think of excuses — workload — but we don't systematically make sure lessons learned are used by others. . . . We don't have a systematic process for CLA even though it's included in the CDCS. . . . I think I'm going to criticize myself. No standard procedure to share this. . . . Despite many different internal discussions about the BAA process at the mission, some people don't know what BAA is and how it works.⁵⁵

With hindsight, LEARN's facilitator, encouraged by LEARN's CoP, documented the BAA experience as an exemplary case of using CLA and entered it in LEARN's case competition in 2017.⁵⁶ The case won the award for the best example of CLA submitted by a mission. LEARN's facilitator said:

I wrote the case for them. They may not realize BAA was CLA.⁵⁷

A BAA team member said the mission did not document the lessons of CLA arising from the BAA process because the team's focus was on making a BAA award and it had no time to document the CLA lessons.

We were just trying to save the BAA, which was at risk of being cancelled. We were not really thinking about systematizing documentation. It was really Bari who told us this is about learning. Bari documented the process. Because she did it, we won the case competition. We were too busy. It was not our priority at the time.⁵⁸

According to this BAA team member, the mission's response to winning the CLA case competition was indifference, and because the BAA process took much longer than anticipated to result in an award, the mission would be unlikely to use the BAA process in the foreseeable future.

The Mission has new FSOs, new office directors. They are not familiar with the BAA process. For example, we won case competition award. The BAA Team was so excited. We were sharing the news with everyone. The chief of the PO asked: so why is that important? I don't have much expectation that winning the case competition for CLA in the BAA process will affect CLA at the

mission. . . . The perception is that BAA is longer as a procurement process. Everyone is just thinking about making awards rather than using BAA or introducing co-creation in the process.⁵⁹

TWO OTHER EXAMPLES OF IMPLICIT CLA AT THE MISSION: THE EDUCATION OFFICE AND THE DEMOCRACY AND GOVERNANCE OFFICE

In early 2017, the DGO invited a presidential fellow from the DRG Center to help draft their Project Monitoring, Evaluation and Learning (MEL) Plan. On his arrival, the team asked for help incorporating a CLA Plan in the Project MEL Plan. The Fellow did not know why the DGO team decided to ask for CLA assistance. The team did not know what CLA meant at the start of his three and a half week TDY, but the Fellow noted that the team was already practicing CLA in many ways.

The DGO didn't know what CLA meant at the start. The DGO were strong enthusiasts of CLA. They want to do it. Actually they are doing it. Financials for evaluations include CLA activities.⁶⁰

The DGO's request for CLA training suggests an appetite for explicit CLA at the mission. Further evidence of such an appetite might be inferred, inter alia, from the mission's recent sourcing of a five-year supporting mechanism for CLA.

LEARN's second TDY in which it conducted options research for the education office and then facilitated stakeholder discussions around the various options for a project design also demonstrated the education office's practice of tacit CLA integration. The education office demonstrated openness in hiring LEARN's services to survey existing education projects in regards to their strengths, weakness and risks, and then to invite stakeholders to discuss the identified options. Without detracting from the education office's practice of external collaboration and openness in seeking outside knowledge, the education office at the time had only one staff member and likely could not have designed the project itself. LEARN's facilitator remarked:

She uses LEARN to do tasks she'd have her staff do if she had them. It's one reason she likes LEARN.⁶¹

Q2: Have LEARN and PPL/LER's efforts contributed to behavior change in CLA champions, and if so, how? In turn, how have champions' new CLA behaviors contributed to changes in organizational behavior, processes and policies? What does this change process look like?

Consistent with the finding that the mission experienced LEARN's facilitation as a BAA rather than CLA process, most BAA team members spoke only of BAA champions rather than CLA champions. However, given that the BAA process is inherently a CLA process, BAA champions must also be CLA champions.

LEARN has not identified CLA champions at the Guatemala mission. Asked whether the BAA team could be called CLA champions, the LEARN facilitator said that although LEARN had a definition of a CLA champion, in practice LEARN's team members applied different thresholds when defining a champion. For some, taking a CLA training program was sufficient; for others (herself included), practice and modeling was essential. LEARN's facilitator equivocated, though, on whether members of the BAA team might be labeled CLA champions, even though they met the higher threshold of modeling CLA practices.

*The BAA team modeled openness but they don't use CLA language. It's a tough one.*⁶²

Would the BAA team members consider themselves CLA champions? One BAA team member thought not, and went on to say that many others at the mission worked to get the BAA process approved.

*Many people at the mission helped overcome challenges to get approval to use the BAA process but they never saw it as a CLA process. . . . I wouldn't refer to us as CLA champions but as BAA champions.*⁶³

Asked if the mission had any CLA champions, the same BAA team member responded:

*I wouldn't go that far. I have to admit there are different efforts of incorporating CLA more consistently. . . . Maybe I have very high expectations. I don't see somebody going above and beyond that this [CLA] happens. Then I'd call that person a champion.*⁶⁴

Another BAA team representative was also willing to identify BAA champions but was dismissive of the notion of CLA champions.

*I am familiar with the term champion. BAA champion is the deputy mission director who formed the Working Group on BAA . . . and met with the Working Group weekly. Also the Director of Contracts. . . . CLA champions . . . not very important topic for the mission. CLA is used in some offices in design of activities and to coordinate. That's as much as I know.*⁶⁵

In contrast to the views of these BAA team members, a third BAA team member self-identified as a CLA champion and named four others: two of whom were on the BAA team, one in the DGO and the M&E officer in the PO (who LER/CLA identified as a champion).

*I know the term champion. A lot of people are interested. Most, like me, are FSN. We must respond to our Office Directors changing every two to four years. Yes. I do consider myself a champion.*⁶⁶

In summary, though none of the BAA team members, including the self-identified CLA champion and two of her team members whom she named as fellow champions, promoted the BAA process as CLA during or after the TDYs. Nonetheless, given that the BAA process is by definition a CLA process, BAA champions must also be CLA champions, albeit tacit ones. The question arises whether the BAA champions ceased to function as CLA champions once the BAA process was terminated or continued to operate as implicit CLA champions in other ways.

Q3: Outside of LEARN's ToC about CLA champions driving CLA integration, what are alternative explanations for increased CLA integration?

LEARN's ToC about CLA champions driving CLA integration is validated by the role of BAA (or implicit CLA) champions advocating for the mission to use a BAA process (incorporating CLA practices and principles through co-creation), and implementing it. Beyond the BAA process, the mission provided other kinds of support for CLA integration. With only three mission interviews, the data is insufficient to understand the driving force behind mission support for these other examples of CLA integration, although, arguably, they should advance CLA integration. Like the Cambodia case, the finding of mission support for CLA integration has implications for expanding or refining LEARN's ToC to explicitly include enabling conditions as a potential driver of behavior change.

SUPPORT FOR CLA IN THE ENABLING CONDITIONS

The following examples illustrate CLA support in the enabling conditions.

- Positive feedback from the BAA team about LEARN's facilitation led the PO to decide to hire LEARN to facilitate a CDCS review. After PPL said missions could take another two years to do CDCS reviews because of uncertainty under the new administration, the mission opted not to do the exercise.⁶⁷
- CLA is being incorporated as part of the new Metrics Project. Metrics Project (Metrics) is a five-year contract that will provide monitoring, evaluation design and learning support services to the Guatemala mission. Metrics is the successor to the mission's Monitoring and Evaluation Program (2013-2017).⁶⁸
- In July 2016, the mission introduced a new mission order that requires design teams to include representatives from various TOs.⁶⁹ A respondent to the online survey commented that the introduction of the mission order was independent of LEARN's facilitation of the BAA process.⁷⁰

The PO representative on the BAA team, who is cited earlier as not viewing anyone going above and beyond his/her job responsibilities, responded:

The Program Office. We promote the use of evaluation results and implementation of them — not in a police role. The Program Office has representatives in each technical team. . . . Making sure IPs share information/results is more of a Technical Office role. They make sure performance evaluations are shared and results are used. Complying with the Mission Order is the Program Office's responsibility.⁷¹

It is tempting to infer from the PO representative's comments that the PO played the role of CLA champions in driving support for these cases of CLA integration. Such an inference, however, would remove the explanatory power of LEARN's ToC as every instance of CLA integration could be attributed to a CLA champion.

The PO representative on the BAA team saw no particular obstacles to CLA integration at the mission insofar as all mission staff accepted the need to implement CLA and nobody resisted implementing CLA, even as she acknowledged how it is human nature to not always enact change.

Sometimes human nature. It is hard for us to change. We're happy doing it this way. Takes time to change. I don't see anyone or any team being more resistant and obstacle to overcome. We're trying to implement the CLA process. Consistently, we need to be flexible, incorporate lessons, adapt to lessons. All staff are convinced that's the way to go. We are slowly incorporating it — that's the way learning is being incorporated in our processes.⁷²

COMPARING AND CONTRASTING CAMBODIA AND GUATEMALA MISSIONS

The most important distinctions affecting CLA integration were the PPL/LER and LEARN approaches employed at the missions, the role of champions and the extent to which the PO prioritized and intentionally promoted CLA. Other factors mattered, though much less. To the extent that the MTE hypothesized the significance of some of these factors, they played out in mostly unanticipated ways.

CLA APPROACHES

One major factor accounting for differences in the contribution of the TDYs to CLA integration was the specific PPL and LEARN approach during the TDY. At the Cambodia mission, PPL and LEARN's

facilitation of the CDCS midcourse stocktaking and the CLA Maturity Tool Self-Assessment and Action Planning process contributed to a conscious, intentional and systematic use of CLA at the mission and was an important impetus for an overall increase in the level of CLA integration. At the Guatemala mission, the novel BAA process inherently involved more CLA than usual for the BAA team and its partners, and LEARN's facilitation of that BAA process thus contributed to a deepening of the BAA team's implicit use of CLA.

The explicit use of CLA at the Cambodia mission and the implicit use of CLA during the BAA process at the Guatemala mission sharply raise the question of what difference implicit versus explicit CLA might make for CLA integration and development outcomes.

CLA CHAMPIONS

LEARN had identified only one champion at the Cambodia mission and none at the Guatemala mission. This led the assessment lead to postulate that an increase in CLA integration at missions with no champions or only one champion would call into question LEARN's ToC, according to which CLA champions drive CLA integration.

However, the Cambodia mission identified numerous CLA champions located in different offices throughout the mission. The active, promotional role of the PO, which included at least two FSN champions with high social capital, was crucially important to advances in CLA integration, including the incorporation of CLA in several documents. The Guatemala mission could not identify CLA champions, although the PO had introduced CLA explicitly in at least one document and had recently acquired an MEL contract mechanism. The PO had also planned to hire LEARN to facilitate a CDCS midcourse stocktaking before PPL's directive giving missions an extension on revising their CDCS documents. This year (2017) the DGO had requested the presidential fellow from the DRG Center, who had been invited to help draft their Project MEL Plan, to assist with incorporating a CLA Plan in the Project MEL Plan, again suggesting an appetite for explicit CLA at the mission.

MISSION-WIDE VERSUS TEAM-SPECIFIC TDYS

PPL/LEARN's use of the CDCS midcourse stocktaking and the CLA Maturity Tool Self-Assessment and Action Planning process at the Cambodia mission, both mission-wide tools, resulted in a wider impact on the mission in terms of CLA integration than LEARN's team-specific facilitation of the BAA process at the Guatemala mission for reasons beyond the different CLA approaches. At the Cambodia mission, the PO contained CLA champions who played a pivotal role in integrating CLA throughout the mission. In contrast, at the USAID/Guatemala mission, the PO made no effort to extract the CLA lessons of the BAA process and share them with the mission. The BAA team lead, the only person in the education office during the entire facilitation process until the BAA award, was not recognized at the mission as a CLA champion, and made no effort to spread the CLA process embedded in the BAA experience.

LENGTH OF TDYS

Prior to the interviews with mission staff, the hypothesis was that if the TDYs totaling only 24 days at the Cambodia mission had contributed to increased CLA integration, the conditions at the mission making progress in learning achievable in such a short time would warrant further exploration. As it transpired, the length of engagements at the two missions mostly reflected each mission's overall management.

The Cambodia mission always envisaged two TDYs, and both were well designed.⁷³ The Guatemala mission had anticipated only one TDY, but because the BAA process got entangled in internal mission

issues arising from mission leadership changes and unmet budget expectations, the BAA process required a second workshop in which the partners were given new ground rules by the mission (e.g., for the first time in the process, the BAA team informed partners their proposals had to meet a specified budget, asked them for one rather than two concept notes, and said one rather than two primes had to be identified). LEARN had anticipated only one workshop with the BAA team.⁷⁴ Since LEARN had over-budgeted for the TDY, additional buy-in funds were not a problem.⁷⁵

MISSIONS' CLA REPUTATIONS

Subsequent to the interviews, it came to the attention of the assessment lead that the Monitoring, Evaluation, Research and Learning Innovations (MERLIN) Program, an initiative led by the USAID Global Development Lab and designed by PPL, showcased the Cambodia mission's strong support for CLA integration.⁷⁶ Cambodia's CLA reputation was therefore initially understated. In contrast, the expectations about the Guatemala mission might have been exaggerated. The mission's Western Highlands Integrated Project (WHIP), part of the current CDCS (2012-2017), received positive publicity for its collaborative design. According to one mission member, however, WHIP was:

“ . . . too ambitious. Our interventions when implementing were not being integrated, just co-located. IPs got together to ensure they were not stepping on each other's toes. . . . But because of how the mechanisms were written, there were limits on flexibility and how IPs could be integrated and work together.”⁷⁷

COMPOSITION OF TDY TEAMS

It is difficult to assess if LEARN's facilitation at the Guatemala mission might have been different if the LER/CLA Team had participated, as it has on all other LEARN TDYs. According to a LEARN team member, PPL brings to the TDYs a USAID insider perspective and social capital vis-à-vis mission leadership which LEARN does not have.⁷⁸

RECOMMENDATIONS

Based on the findings provided by the evaluator, LEARN facilitated a participatory recommendation building process within the team and with PPL/LER/CLA team. There were two phases to the recommendation building process:

- **CREATING RECOMMENDATIONS BASED ON FINDINGS:** The evaluator presented her findings to key stakeholders from the LEARN and PPL/LER/CLA team. Participants then reacted to those findings by generating recommendations for further action by the LEARN team. This initial list of recommendations was provided to the entire LEARN team, and the LEARN Manager for Monitoring, Evaluation, Research and Learning (MERL) facilitated a session where the entire LEARN team expanded and subsequently prioritized a final list of recommendations.
- **ACTION PLANNING:** Based on the final recommendations, the MERL Manager synthesized all recommendations into the four recommendation categories listed below and facilitated a session where team members action planned the top priorities under each of these categories. The idea was to plan actions that were relatively low level of effort and potentially high impact, given the already full workload the LEARN team is managing.

Based on this process, LEARN and PPL/LER co-created the following recommendations:

- **BE EXPLICIT AND INTENTIONAL ABOUT FAMILIARIZING MISSIONS WITH CLA**
Our data suggest that language matters and integrating CLA language across our technical assistance work will likely strengthen the impact of our work. Regardless of the type of technical assistance, this includes helping missions identify where they are already applying CLA practices and approaches to their work as well as ensuring that a “CLA 101” becomes a standard part of TDY agendas. To help missions further highlight their work as it relates to CLA and better development, case competition entry idea capture and follow-up support could also become part of the standard operating procedure for all TDYs.
- **KEEP THE FOCUS ON CLA CHAMPIONS**
Our midterm confirmed the essential role champions play in increasing and sustaining CLA integration. To the best of our ability, we should strive to maintain regular contact with CLA champions from missions post-TDY. These conversations will hopefully offer opportunities for us to provide champions with tools, evidence and other guidance needed to apply CLA. The data also suggested that we are unaware of the actual number of CLA champions at each mission. In our continued contact with known champions, we can ask for their help in identifying other individuals who exhibit the behaviors of a champion. Lastly, the USAID/Guatemala case shows us that people do not always self-identify as CLA champions. If needed, we can frame our conversations around ‘championing CLA’ as this subtle shift could encourage more uptake of CLA approaches and principles.
- **CONSIDER INTEGRATING A DEVELOPMENTAL EVALUATION INTO LEARN STANDARD**
The data presented in the midterm raised many additional questions. Implementing a developmental evaluation would allow LEARN to follow up on a select number of missions for the remainder of the contract. Illustratively through this methodology, we could deepen our understanding about:
 - change processes in missions.
 - the connection between language and behavior change.
 - the most effective type or combination of CLA interventions.
 - the number or quality of touchpoints needed to obtain optimal CLA integration in missions.
 - longer-term impact of TDYs.

The developmental evaluation should fold into existing MERL processes and will be designed with a low level of effort in mind.

- **UPDATE LEARN’S RESULTS FRAMEWORK**
The midterm process showed us that we need to clarify the difference between enabling conditions and systems-level change. Currently, our results framework lacks clarity on LEARN’s ability to influence enabling conditions (i.e., culture, processes, resources); yet, our data tells us that our work contributes to changes in the enabling conditions. We do not have sufficient influence over broader changes at the policy and systems level, however, and the results

framework should be updated accordingly. Additionally, post-LEARN, a follow-on contract may warrant a more complex results framework depicting the dynamics between people and institutions and how changes in either magnify changes in the other. Right now, our framework does not account for these types of interactions and potential amplifying effects.

ANNEX I: CAMBODIA MISSION INTERVIEW QUESTIONS

1. Which PPL/LEARN engagements did you participate in?
 - Did you participate in the PPL/LEARN facilitation of the CLA Maturity Matrix self-assessment and action planning in March 2016?
 - Did you participate in the PPL/LEARN facilitation of the CDCS midcourse stocktaking exercise in March 2016?
 - Did you participate in the PPL/LEARN facilitation of the CDCS midcourse stocktaking exercise in September 2016?

2. What kinds of changes, if any, did you experience personally or observe in the use of CLA in the program cycle processes and in the enabling conditions to support CLA after the PPL/LEARN engagements? How, if at all, did PPL/LEARN's approaches to CLA contribute to any of these CLA changes?

3. Do you think any of the positive changes you have identified with respect to CLA in the program cycle and/or the enabling conditions at the mission as a result of PPL/LEARN engagements are sustainable? Please be specific about the changes to which you are referring.
 - What would it take to institutionalize these changes?

4. How do you think these positive changes in CLA in the program cycle and/or changes in the enabling conditions (if any) have come to be integrated in the mission?

5. If you believe positive changes have occurred in CLA integration after the PPL/LEARN engagements, do you think individuals at the mission played an important role in the change processes? If no, why? If yes:
 - How many people at the mission do you think are promoting CLA?
 - Do individuals who promote CLA share any characteristics? If so, could you describe their key characteristics?
 - Do individuals who promote CLA do particular types of work that require particular skills and knowledge at the mission? Discuss.
 - Do individuals who promote CLA occupy particular ranks at the mission?
 - Are they in particular offices?
 - Are promoters of CLA at the mission more likely to be FSNs or FSOs? Why?
 - Do promoters of CLA have particular attitudes? Discuss.
 - Do CLA promoters have particular behaviors? Discuss.
 - Do individuals who promote CLA at the mission enjoy particular respect or influence among mission staff? Discuss.
 - Would having more CLA promoters at the mission foster increased CLA? If so, how many CLA promoters do you think are needed to successfully integrate CLA?

6. Are there individuals who hinder the promotion of CLA at the mission?
 - Can you characterize them by rank/work status (FSN/FSO), office, attitudes, behavior, etc.?
 - How do they impede CLA?
7. Are there any key obstacles (internal or external) to the mission achieving more CLA promoters?
 - Can any of these obstacles be diminished or eliminated? How?
8. The Cambodia mission ranked among the top five adaptable missions in a LEARN analysis of CLA using FEVS data (2013-2016). Does this finding fit with your experience of the mission? Discuss.
9. Could you comment on the length of the two PPL/LEARN engagements — each was 12 days.
 - Were the engagements too short, just right, too long?
 - If the engagements were too short, what more would you have wanted PPL/LEARN to do at the mission?
 - If the engagements were too long, what could PPL/LEARN have done differently and why?
10. Did PPL/LEARN's engagements contribute to a change in "learning" at the mission? Using a scale of 1-5 [1 = poor, 2=fair, 3=okay, 4=good, 5=excellent], could you rate the level/quality of CLA in the program cycle processes (including the design and implementation of strategy, projects and activities)?
 - Before PPL/LEARN's first engagement (in March 2016)?
 - After PPL/LEARN's second engagement (in September 2016)?
11. Using a scale of 1-5 [1 = poor, 2=fair, 3=okay, 4=good, 5=excellent], could you rate the level/quality of enabling conditions to support CLA (e.g., does the mission create a comfortable environment for criticism and alternative perspectives?; does the mission leadership encourage staff to take time for learning beyond required training?; does the mission have good communication channels for sharing knowledge?; does the mission use exit interviews with staff to capture knowledge?; does the mission allocate resources for hiring staff with CLA skills?)
 - Before PPL/LEARN's first engagement (in March 2016)?
 - After PPL/LEARN's second engagement (in September 2016)?
12. Besides your experience with the PPL/LEARN contract, has the Cambodia mission had experience with any other monitoring, evaluation and learning (MEL) contracts?
 - If so, please name and describe their length and purpose.
13. Would you be willing to provide the name and email of a potential interviewee who might have a different perspective from you on CLA at the mission?

ANNEX 2: USAID/GUATEMALA MISSION INTERVIEW QUESTIONS

1. Do you prefer confidentiality?
2. Why did the mission use a BAA process rather than a traditional approach to project design? Could you discuss some of the obstacles to getting the mission to approve using the BAA process?
3. Why did the mission contract with LEARN to facilitate the BAA process? Why did the mission not view the BAA process as a CLA contract?
4. If you were to use LEARN to facilitate another BAA process, would you recommend it adopt any changes?
5. Would you seek any changes in the length of LEARN's engagements in the BAA process? Why?
6. Did LEARN's facilitation of the BAA Identifying Youth Opportunities contribute to any changes in (a) how you use CLA in your work (b) how your office uses CLA (c) how CLA is used in inter-office work and (d) how you work with partners?
7. Did your office create any documents relating to your experience with the BAA mechanism? Was your experience shared with the rest of the mission? Why?
8. Does your office/mission have any CLA-related documents? Share.
9. Apparently, a mission champion played an important role in overcoming resistance at the mission to the use of a BAA process. Who was the champion? Discuss the champion's characteristics and what made the champion influential in overcoming opposition? Role of mission leadership is mentioned too. Discuss.
10. Are there other champions/CLA promoters at the mission? Who/How many/Offices/FSN-FSO/levels in the organization? What role, if any, did PPL/LEARN play in creating these champions?
11. How important are CLA promoters/practitioners for increasing CLA integration? Why?
12. What's the best way to increase the number of CLA promoters/practitioners?
13. Are there any obstacles to greater promotion of CLA at the mission — (a) individuals — who? If any, how and why? (b) institutional factors (c) other?
14. Other than using CLA promoters, what other strategies might/does the mission use to: (a) promote CLA in program cycle processes; (b) support CLA in the Enabling Conditions?
15. Guatemala mission has a reputation for innovative approaches to development and has often been viewed as a leader in collaboration with partners and others. Response?
16. Any prior MEL contracts at the mission/your office to your knowledge?

17. Suggest IPs involved in BAA process to talk to?

18. Anything you'd like to comment on about CLA integration at the mission?

FOR EDUCATION & HEALTH OFFICE (EHO):

1. Why did the EHO use the LEARN contract to do the Options Research on different potential education projects? Does the office contract out research routinely?

2. Did your office's experience of LEARN's Option Research and consultations with stakeholders contribute to CLA at your office? How?

3. Have you shared the Options Research findings with the mission leadership yet?

ANNEX 3: FEEDBACK SURVEY — LEARN MIDTERM

The Bureau of Policy, Planning and Learning and its mechanism, the Learning and Knowledge Management Contract, (PPL/LEARN) is conducting a Mid-Term Assessment of its efforts to facilitate Collaboration, Learning and Adaption (CLA) at USAID missions. The Cambodia mission is one of two missions that has been selected for in-depth study of PPL/LEARN's contribution to CLA at missions. PPL/LEARN facilitated CLA at the Cambodia mission in March and September 2016. In March, PPL/LEARN facilitated the CLA Maturity Matrix self-assessment and action planning and a CDCS Midcourse Stocktaking retreat; in September, PPL/LEARN facilitated a second CDCS Midcourse Stocktaking retreat. As part of LEARN's Mid-Term Assessment, PPL/LEARN is conducting an online survey for mission staff who participated in either or both of these PPL/LEARN engagements.

The purpose of the anonymous online survey is to provide mission staff with an opportunity to share their perspectives of the impact, if any, that PPL/LEARN's engagements have had on CLA at the mission. The survey should take at most 10 minutes to complete.



1. **Did you take part in PPL/LEARN's March 2016 engagement?** *Mark only one oval.*

- Yes
 No

2. **Did you take part in PPL/LEARN's September 2016 engagement?** *Mark only one oval.*

- Yes
 No

3. **How, if at all, did the PPL/LEARN engagement(s) contribute to any changes in the way you and the mission conduct your work? If you have not observed any changes, why do you think this has been the case?**

4. **What, if any, contribution do you believe that PPL/LEARN could make to CLA at the mission in the future? How best could PPL/LEARN make such a contribution? If you think PPL/LEARN can make no contribution to CLA at the mission, why do you think this to be the case?**

ANNEX 4: LITERATURE REVIEW

This literature review examines the role of champions or change agents in organizational learning or organizational change. The review draws on a limited number of articles and books, selected partly through personal recommendation and partly through a library search using terms such as *change agent* and *organizational learning*.

The literature under review falls into two broad categories: 1) a focus on the important role of change agents (or change leaders) and the individual skills, appeals and relationships that make them successful; 2) an incorporation of the role of organizational structures (systems, processes, rules and routines) — in LEARN’s language, enabling conditions (culture, processes, resources) and system-level factors — either as providing the conditions for the emergence of change agents or as operating in a dynamic relationship with change agents to advance organizational learning and change.

LEARN’s theory of change that postulates champions as the primary drivers of organizational learning is validated insofar as the literature identifies change agents as critical actors. However, the review also suggests that the success of change agents depends, not only on individual-level factors, but on organizational structures. The CLA framework explicitly incorporates enabling conditions and LEARN is aware of the potential role of organizational structures as drivers of organizational learning.¹ However, the results framework could be updated to better represent the potential dynamic between individuals and organizational structures. Additionally, LEARN’s theory of change could fruitfully develop the individual-level factors that make champions successful.

HOW CHANGE HAPPENS: CHANGE AGENTS

The literature that concentrates on change agents, as presented below, contains some useful lines of inquiry for LEARN’s theory of change. These include: becoming a change agent and necessary change agent skills, appealing to emotions, and developing change agent’s networks and relationships with those ambivalent about change.

BECOMING A CHANGE AGENT AND NECESSARY CHANGE AGENT SKILLS: Cowsey & Deszca (2007) highlight the role of change agents in transforming organizations. Their model for change suggests that “change agents move systematically from awareness of the need for change, through initiation, planning and implementing the change, to measuring and confirming the change” (367-8). Change agents will continue to need basic skills in facilitation, influencing, negotiation and visioning. They will need to understand project management, and be able to implement projects. Some change agents will be generalists and some will be specialists with knowledge of a particular industry, sector, or change target (376).

APPEALING TO EMOTIONS: While Cowsey and Deszca focus on the process of becoming a change agent and the skills a change agent needs, Kottner & Cohen (2002) ask how “change leaders” (middle managers and executives) can achieve behavior change in others. Based on stories told by middle managers and senior executives, Kottner & Cohen identify changing people’s behavior as the single biggest challenge for organizational adaptation and change. According to the authors: “The key to this behavioral shift . . . is less about analysis and thinking and more about seeing and feeling” (179).

¹ Sarah Schmidt, LEARN’s deputy chief of party, personal communication, December 21, 2017. Despite its awareness of the potential role of organizational structures as drivers of organizational learning, LEARN made a strategic decision to focus on promoting the development of champions where it could achieve greatest impact. This decision was based on LEARN’s understanding of its manageable interest and the mandate of PPL to support CLA through throughout USAID’s program cycle.

Whatever the method, successful “change leaders” supply valid ideas that have an emotional impact.² The feelings change behavior, enabling people to move through the various stages of large-scale change (182). While the number of change leaders needed in organizations seeking transformation will be subjective, the authors claim is that most have less than half the number they need (184). Departing from the stories told by managers and executives, the authors envisage people who probably would not “look like 'leaders' in a traditional sense” helping to provide “very real change leadership” (185).

CHANGE AGENT'S NETWORKS AND RELATIONSHIPS: Battilana & Casciaro (2013) examine how the personal networks of change agents affect their success in implementing change initiatives. The authors tracked 68 such initiatives in the U.K.'s National Health Service for one year after their inception to understand what makes some people successful at leading organizational change. Beyond the finding that their personal networks were critical, change agents were found to be more successful when:

- they were central to the organization’s informal network, regardless of their position in the formal hierarchy;
- people who bridged disconnected groups and individuals were more effective at implementing dramatic reforms, while those with cohesive networks were better at instituting minor changes.³
- they were close to “fence-sitters,” or people ambivalent about the change.

HOW CHANGE HAPPENS: DYNAMICS OF CHANGE AGENTS AND STRUCTURES

Similarly, models or theories of change based on a dynamic relationship between change agents and organizational structures suggest how LEARN’s theory of change may be modified and present interesting areas for investigation. Studies under review focus variously on ways:

- internal organizational processes are needed either to hire or enable change agents to be effective.
- change agents at each organizational level require different competencies that must be integrated into systems.
- change agents at each organizational level are most likely to succeed in creating new ideas and institutionalizing them by employing specific political strategies tailored to defined processes of change.
- *institutional entrepreneurs* are enabled and constrained by culture, institutions and social relations and how these systemic factors shape institutional entrepreneurs.
- different systems may shape shared interest group learning.

ENABLING CHANGE AGENTS: Honig and Gulrajani (2017) focus on ways development aid organizations can improve their performance. They suggest that such organizations will only be able to accomplish organizational transformations if they are able to adapt to local realities. To do so requires

² Successful change leaders identify a problem or solution, show it to people in ways that are concrete, make their points in ways that are emotionally engaging, model needed behavior, ensure that the result is visible (e.g., on bulletin boards) and provide a means for people to continue to see the result every day through physical objects or through the (re)telling of vivid stories (182).

³ Cohesive network: “The people in your network are connected to one another. This builds trust and mutual support, facilitating communication and coordination” (65). Bridging network: “Your network contacts are not connected to one another. You are the bridge between disparate individuals and groups, giving you control over what, when and how you communicate with them” (65).

development agencies to change their internal processes (e.g., remove central command and control) to create the motivation, autonomy and trust that change agents need to be able to respond effectively to changing local contexts.

CHANGE AGENT COMPETENCIES THROUGHOUT THE ORGANIZATIONAL HIERARCHY:

McFarland and Goldsworthy (2014) identify how organizations must recognize that change leaders require specific competencies and embed them as requirements in organizational systems. Further, different organizational levels require different change leader competencies. The authors interviewed or conversed with more than 60 executives in numerous organizations about individual and organizational change. Executives consistently mentioned leadership as the key factor in successful change efforts and the importance of building a cadre of change leaders. Other findings include:

- Great change leaders are proven business executives; balance the technical, political and developmental aspects of leading change; shape the organizational environment during change; create balance between control and flexibility, and can change themselves (171-2).
- To develop a cadre of change leaders, organizations need to formally identify a new, organizational-specific competency for leading change at every leadership level, integrate the new competency into the organization's overall leadership model, and modify the performance management system to formally assess and promote leaders on their performance in leading change (173-4).
- Enabling learning in individuals, teams and the whole organization is the key role for a change leader, as learning is necessary for an organization to continuously improve at organizational change. Change leaders at each level enable learning in different ways, acting as: a coach and mentor to create an environment conducive to learning about change at the individual level; a facilitator at the team level; and an integrator, building the structures and processes needed to share and use learning at the organizational level (208).

CHANGE AGENTS AND POLITICAL STRATEGIES: Lawrence, Mauws, Dyck and Fleysen (2005) argue that change leaders perform different roles at different organizational levels, but highlight the politics of why only some valuable new ideas become institutionalized while others do not. The authors begin with Crossan, Lane and White 's model of organizational learning that posits learning begins with individuals, leads to group learning and then to organizational learning. The model describes four processes — intuiting (tacit knowledge), interpreting (explicit knowledge), integrating, institutionalizing — that connect individual to organizational learning.⁴ Lawrence et al. then build power and politics into the model to explain or predict which new ideas will be institutionalized and which organizational institutions (e.g., systems, routines) will provide the basis for further intuitions, the starting point for new ideas. They argue for a set of specific connections between political strategies and each of the four processes of organizational learning. More specifically, influence, according to the authors, is useful in overcoming the ambiguity and uncertainty associated with interpretation; force facilitates the accomplishment of collective action in the integration process; domination overcomes potential resistance to change and thus supports institutionalization; and, discipline supports the development of

⁴ Intuiting and interpreting are individual-level processes; integrating occurs at the group level; and institutionalizing is at the organizational level. Together these four processes form a learning loop through the effect of new institutions (systems, structures, procedures and strategy) on organizational members' experiences that feed into their individual intuitions.

the expertise that is necessary to foster intuition” (188-9). The model’s most important practical implication (188) is “that the championing of an idea may require very different skills and resources (and consequently different champions) as the idea passes through the different processes of organizational learning.”⁵

INSTITUTIONAL ENTREPRENEURS: Like Lawrence et al., Battilana, Leca & Boxenham (2009) develop a theory in which organizational actors and systems interact to enable and constrain change. Battilana et al. add to the sizeable literature on institutional entrepreneurship. Institutional entrepreneurs are change agents who must both initiate *divergent change* (major organizational change) and actively participate in implementation of these changes. Their approach tries to understand how culture, institutions and social relations influence actors’ cognition and actions, either constraining or enabling actors’ choices, which in turn shape institutions. In this way, the authors seek to overcome the weaknesses of agency models that do not take into account structures and build in a dynamic relationship between agency and structures, with each able to influence the other.

SYSTEMS AND GROUP LEARNING: Finally, Laurie Field (2017), like Lawrence et al., argues that political conflict in organizational learning is an inevitable and potentially positive force for learning. Drawing on the sociology of work, Field examines the different interests of employees and managers in a large Australian finance sector company that introduced a new pay and performance management system. The study raised questions about whether much of what the literature terms *organizational learning* may be merely shared interest group learning — in this case, by managers and employees.

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⁵ “The chances of an idea passing through the interpreting process will be improved if a champion can use influence, access informal networks, frame the idea in a compelling manner and manage the ambiguity of the process. To integrate an idea into group activities, the champion ideally should have the authority to ensure that collective action is enforced and should have a direct link to the organization’s dominant coalition. To institutionalize an idea at the organizational level will then need a champion who is able to design and implement systems of domination. Such a person will likely come from within the organization’s dominant coalition and will understand the dynamics of pan-organizational systems” (188). “Finally, for the new idea to generate further intuitions that are consistent with and build on it, it will need members who are sufficiently steeped in the disciplinary systems of the organization to recognize or imagine novel patterns, and who can transform those patterns into compelling metaphors that might restart the whole set of processes” (188, 190).

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ANNEX 5: GLOSSARY OF USAID LEARN TERMS

CHAMPIONS TRACKER is an online Google sheet where LEARN keeps track of CLA champions.

CLA CASE COMPETITION is hosted annually by USAID to capture real-life case studies of USAID staff and implementing partners using a Collaborating, Learning and Adapting (CLA) approach for organizational learning and better development outcomes.

CLA CHAMPIONS are individuals in organizations who promote, model and/or integrate CLA in their workplace.

CLA FRAMEWORK identifies key components and subcomponents that help define what CLA is in practice. The framework gives CLA structure, clarity and coherence across two dimensions: CLA in the program cycle and enabling conditions.

- CLA in the program cycle: how CLA is incorporated throughout program cycle processes, including strategy, project and activity design and implementation.
- Enabling conditions: how an organization's culture, business processes and resource allocation support CLA integration.

CLA INTEGRATION refers to the intentional, systematic and resourced application of the CLA approach (as outlined in the CLA framework) by development practitioners.

CLA INTEGRATION CHECKLIST DATA refers to LEARN's capture of instances of CLA integration by sub-components of the CLA framework.

CLA MATURITY TOOL includes one key concept and five stage cards for each subcomponent in the CLA Framework. The stage cards describe a spectrum of practice from Not Yet Present to Institutionalized.

COLLABORATING, LEARNING AND ADAPTING (CLA), USAID's approach to improving organizational learning, is intended to help USAID and its implementing partners address common challenges that confront international development assistance and improve development results. In 2012, USAID's Bureau for Policy, Planning and Learning introduced the concept of CLA as a way to operationalize adaptive management throughout USAID's program cycle.

COUNTRY DEVELOPMENT COOPERATION STRATEGY (CDCS) MIDCOURSE

STOCKTAKING is a CDCS midterm review that provides a structured opportunity for a mission to determine if its strategy is still appropriate to country context and Agency priorities and adapt strategy based on learning to date. USAID LEARN works with missions to design and facilitate this exercise to capture emerging knowledge and lessons learned. For more information on CDCS midcourse stocktaking, please see [Automated Directives System] ADS 201 and ADS Reference 201MAG.

KNOWLEDGE DROP is an internal LEARN blog that allows staff to share in real-time learning and reflections.

TDY TRACKER is an online Google sheet where LEARN tracks its TDYs.

ANNEX 6: LEARN'S CLARIFICATION ON EVALUATION FINDINGS

The LEARN contract is adding this annex to clarify some points made in the mid-term evaluation, particularly in response to the evaluation's question 3 (Outside of LEARN's theory of change about CLA champions driving CLA integration, what are the alternative explanations for increased CLA integration?).

LEARN's theory hinges on the idea that CLA champions drive CLA integration. While the evaluator does not point to an alternative to LEARN's TOC,⁶ she does indicate that LEARN's ToC does not take into account enabling conditions. The evaluator writes, "LEARN's TOC does not take explicit account of how such increased institutional support may reinforce the role of CLA champions in promoting CLA integration because it does not explicitly identify a role for structural or institutional support (or enabling conditions) for increasing CLA integration" (pg. 15).

LEARN wanted to clarify that we believe our theory of change does take enabling conditions into account based on how we define CLA integration, which includes consideration for enabling conditions as defined in the CLA framework. CLA integration is both CLA in the Program Cycle (Collaborating, Learning and Adapting components) and Enabling Conditions (Culture, Processes and Resources). We intentionally included a focus on enabling conditions within the CLA framework because we recognize the dynamic interplay between individual champions and their enabling conditions.

While some champions can integrate CLA regardless of the enabling conditions, it is much easier for champions to promote, model and integrate CLA practices when enabling conditions are ripe (meaning, they are operating in a context where the culture supports CLA, CLA-related processes are in place, and there are sufficient resources to systematically and intentionally integrate CLA).

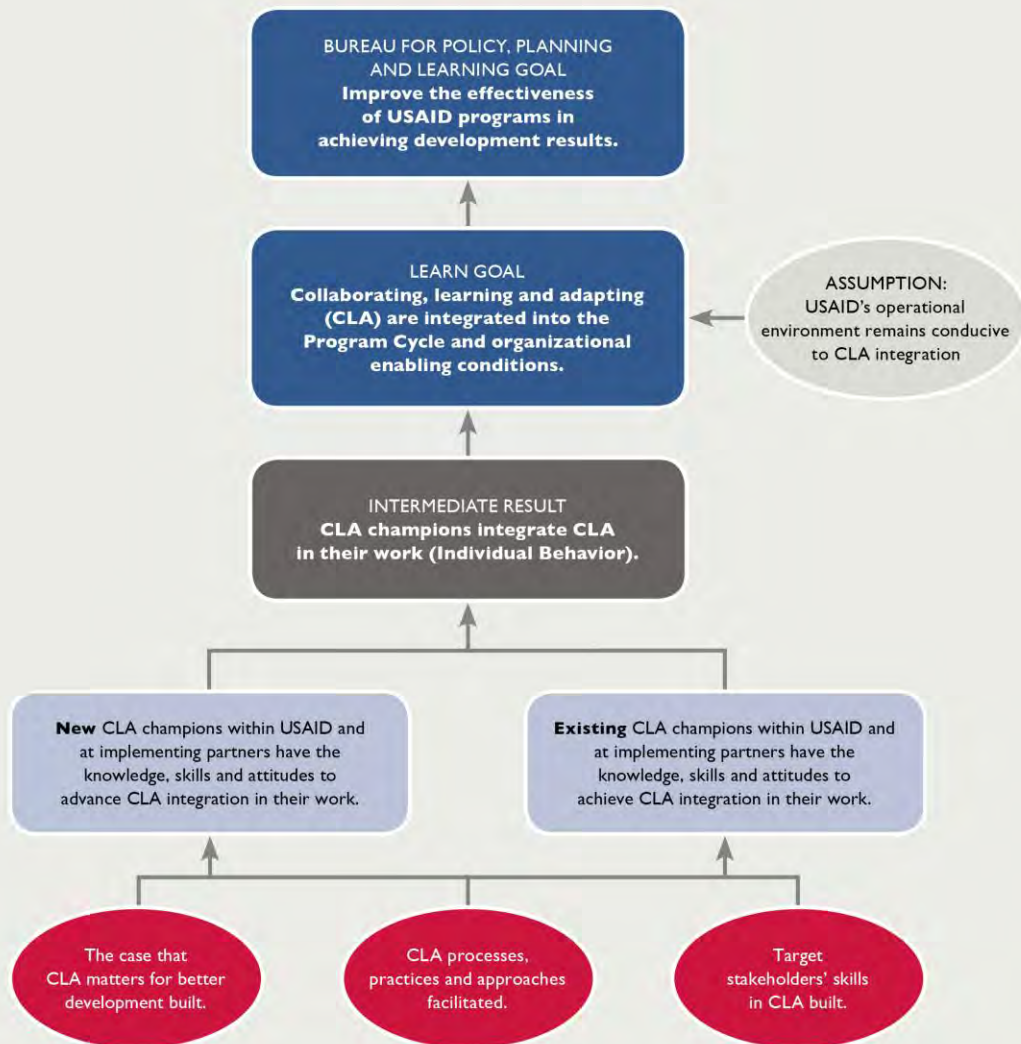
In addition, positive enabling conditions come into existence because of what individuals (i.e., champions) decide to do or not do. Those enabling conditions can improve or worsen based on the actions of individual champions within missions and implementing partners, and champions can help create better enabling conditions for CLA to thrive.

In recognition of this confusion that arose during the mid-term evaluation, LEARN saw the need to update its results framework to clarify that CLA integration is related to both CLA integration in the Program Cycle and organizational enabling conditions. The revised results framework (below) includes specific mention of CLA integration in the Program Cycle and organizational enabling conditions at the goal level (as opposed to the previous version that only mentioned integration in the Program Cycle). In addition, we have adjusted the assumption box to the right from "USAID and partner enabling conditions for CLA are improved" to "USAID's operational environment remains conducive to CLA integration." This assumption box was always intended to refer to systems-level issues within USAID (performance incentives, flexibility in contracting, supportive policy, etc.) but the language lacked precision and was confusing given its reference to "enabling conditions," which also appears in the CLA framework.

As described to the evaluator, LEARN sees the CLA framework as dynamic and interconnected (no component exists in isolation), demonstrating the importance of enabling conditions to support individual and team actions when implementing the Program Cycle.

⁶ "The Cambodia case finding of substantial mission support for CLA in enabling conditions, rather than pointing to an alternative to LEARN's ToC, draws attention to a positive dynamic between CLA champions and greater support for CLA integration in the enabling conditions." (pg. 15)

LEARN Results Framework



UPDATED JANUARY 2018



Figure 4: LEARN's Updated Results Framework

ENDNOTES

- ¹ For more information on CLA, please see the Glossary on p. 35 of this document.
- ² For more information on CDCS, please see the Glossary on p. 35 of this document.
- ³ LEARN CLA Integration Checklist. Examples of CLA Integration within Culture, Processes and Resources. Processes, Knowledge Management: “Having good communication channels and approaches for sharing knowledge (i.e., newsletters, etc.)”
- ⁴ LEARN CLA Integration Checklist. Examples of CLA Integration within Culture, Processes and Resources. Resources, Implementing Mechanisms: “Solicitation requirements around CLA (including CLA in evaluation criteria, language encouraging adaptive management, collaboration, or learning activities, etc.)”
- ⁵ For more information on BAA, please see the Glossary on p. 35 of this document.
- ⁶ LEARN CLA Integration Checklist. Examples of CLA Integration within Culture, Processes and Resources. Resources, Mission: “Using co-creation approaches (i.e., BAAs, etc.)”
- ⁷ While four mission staff participated in the BAA, only three were available for interviews.
- ⁸ LEARN CLA Integration Checklist. Examples of CLA Integration within Culture, Processes and Resources. Resources, Mission: “CLA or MEL support mechanisms.”
- ⁹ LEARN’s LEARN Contract Non-Confidential.
- ¹⁰ LEARN Contract Non-Confidential.
- ¹¹ LEARN Monitoring, Evaluation, Research and Learning Plan, Updated FY 2016, 2.
- ¹² LEARN Contract Non-Confidential
- ¹³ LEARN Contract Non-Confidential
- ¹⁴ Interview with LEARN’s CoP and Deputy CoP, September 14, 2017.
- ¹⁵ Interview with LEARN’s CoP and Deputy CoP, September 14, 2017.
- ¹⁶ Interview with LEARN’s COR, September 22, 2017.
- ¹⁷ LEARN’s CoP, comment on draft MTE report, December 6, 2017.
- ¹⁸ Piers Bocock, Knowledge Drop, June 24, 2016; Interview with LEARN’s COR, September 22, 2017.
- ¹⁹ Interview with LEARN’s COR, September 22, 2017; Piers Bocock, Knowledge Drop, June 24, 2016.
- ²⁰ Interview with LEARN’s CoP and Deputy CoP, September 14, 2017.
- ²¹ USAID, LEARN, Performance Monitoring Report, September 29, 2016-March 31, 2017. Prepared by Dexis Consulting Group, Submitted May 12, 2017.
- ²² PPL/LER had learned that the DRC mission had scrapped its performance management plan and was rethinking its strategy and indicators. PPL/LER therefore judged it would be a difficult time to engage the mission as a participant in the MTE.
- ²³ Options Research refers to LEARN’s research on three potential areas of intervention for an education project. For each possible intervention area, LEARN gathered information on existing activities in relation to: pros, cons, risks, assumptions, unmet needs, key stakeholders and best practices.
- ²⁴ About the Mission, Knowledge Drop.
- ²⁵ Out-brief Memo to USAID Guatemala PPSO from PPL/LER, October 4, 2013.
- ²⁶ Out-brief Memo to USAID Guatemala PPSO from PPL/LER, October 4, 2013.
- ²⁷ In contrast to LEARN, LER/CLA lists four champions at the Guatemala mission and Angel Lopez, an M&E specialist and FSN, is identified as a primary champion (About the Mission, Knowledge Drop).
- ²⁸ LEARN’s Deputy CoP, meeting notes, May 4, 2017.
- ²⁹ Out-brief Memo to USAID Guatemala PPSO from PPL/LER, Zan Larsen, Monica Matts, October 4, 2013, describes the main purpose of the TDY assisting the Guatemala mission in finalizing a draft performance management plan and to provide recommendations for systematizing the mission’s CLA plan. USAID/PPL conducted a CLA stocktaking exercise at the Guatemala mission in early 2015 (About the Mission, Knowledge Drop).
- ³⁰ Interview with Eric Friesth, LEARN’s Senior Operations Manager, July 18, 2017. According to LEARN’s Senior Operations Manager, LEARN’s obligations for the Cambodia TDY were \$23,176 and for the Guatemala TDYs were \$246,404.

- ³¹ USAID, LEARN, Performance Monitoring Report, September 29, 2016-March 31, 2017. Prepared by Dexis Consulting Group, Submitted May 12, 2017.
- ³² For more information on champions tracker, please see the Glossary on p. 35 of this document.
- ³³ For more information on TDY tracker, please see the Glossary on p. 35 of this document.
- ³⁴ USAID LEARN, Ilana Shapiro, CLA Analysis of the Federal Employee Viewpoint Survey by USAID Mission, 2017.
- ³⁵ LEARN says that LER/CLA rejected its suggestions to establish CLA baselines at all the missions at the start of the LEARN contract. Interview with Bari Rabin, LEARN's Senior Capacity Building Specialist, April 13, 2017; Interview with LEARN's CoP and Deputy CoP, September 14, 2017.
- ³⁶ USAID/Cambodia, CLA Self-Assessment and Action Planning Session Report, Program Office, March 17, 2016.
- ³⁷ Jenny Barker, LEARN Technical Assistance Manager, September 13, 2017. The LEARN facilitator's identification of two CLA champions is at odds with LEARN's internal tracker of CLA champions that identified only one CLA champion.
- ³⁸ Jenny Barker, LEARN Technical Assistance Manager, September 13, 2017.
- ³⁹ According to CLA's team lead, the CLA team and LEARN go to TOs' conferences (but must be invited by the regional bureau or pillar), PO conferences and evaluation conferences. LER/CLA also consults with newly appointed MDs when they are in Washington, DC, before they go to their missions. PPL is fortunate if it gets one session at MDs' conferences, and then it has many topics to cover. That said, the CLA team lead said PPL itself has been slow to buy into the value of CLA as a concept, although the CLA team's advocacy has begun to have a positive impact within PPL. *"Maybe what we are doing at these venues is not visible to people at missions but we are doing these things except for the participation at MD conferences where we must get invited"* (Interview with CLA team lead, September 20, 2017).
- ⁴⁰ USAID Broad Agency Announcements identifies as one benefit among others for USAID: "Much more time efficient in terms of design to award lead time." <https://www.usaid.gov/partnership-opportunities/respond-solicitation/broad-agency-announcements>
- ⁴¹ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁴² BAA team interviews; 2017 CLA Case Competition, "Building bridges to collaboration: How co-creation led to the Puentes Project," Laura Villegas, USAID/Guatemala.
- ⁴³ Interview with Fernando Rubio, Juarez & Associates, September 22, 2017; Interview with Felix Alvarado, Vitruvian Consulting LLC, September 19, 2017.
- ⁴⁴ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁴⁵ Interview with Leia Cozier, LEARN Senior Project Associate, September 13, 2017.
- ⁴⁶ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁴⁷ Interview with David Martinez, FundaSistemas, September 19, 2017.
- ⁴⁸ Interview with Fernando Rubio, Juarez & Associates, September 22, 2017; Interview with Felix Alvarado, Vitruvian Consulting LLC, September 19, 2017.
- ⁴⁹ USAID/Guatemala, Broad Agency Announcement (BAA), Guatemala 2015, Addendum No. 1, Identifying Opportunities for Youth, Draft Statement of Work: BAA Facilitation Partner; LEARN Contract, Statement of Work, Guatemala Buy-in Activity Manager, Expected Period of Performance: March 1 to June 30, 2016.
- ⁵⁰ Interview with Bari Rabin, September 19, 2017. Megan Meinen, USAID LAC, Washington, DC, did not respond to an email request (October 23, 2017) to participate in an interview.
- ⁵¹ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁵² Interview with BAA team member A, September 18, 2017 (confidential).
- ⁵³ Interview with Fernando Rubio, Juarez & Associates, September 22, 2017.
- ⁵⁴ Interview with Felix Alvarado, Vitruvian Consulting LLC, September 19, 2017.
- ⁵⁵ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁵⁶ Interview with Bari Rabin, September 19, 2017.
- ⁵⁷ Interview with Bari Rabin, September 19, 2017.
- ⁵⁸ Interview with BAA team member A, September 18, 2017 (confidential).
- ⁵⁹ Interview with BAA team member A, September 18, 2017 (confidential).
- ⁶⁰ Interview with Andrew Greer, September 6, 2017. See also Andrew Greer's blog, June 30, 2017, that refers to other CLA activities of the DGO: They are collaborating with stakeholders and the whole mission had plans for regular meetings of cross-sectoral Working Groups, and with respect to learning, the team was already engaged in multiple research activities such as impact evaluations. <https://usaidlearninglab.org/lab-notes/usaidguatemalas-journey-incorporate-cla-their-project-mel-plan>

- ⁶¹ Interview with Bari Rabin, April 13, 2017.
- ⁶² Interview with Bari Rabin, September 19, 2017.
- ⁶³ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁶⁴ Interview with Ligia Alfaro, PPSO, August 24, 2017.
- ⁶⁵ Interview with BAA team member B, September 1, 2017.
- ⁶⁶ Interview with BAA team member A, September 18, 2017 (confidential).
- ⁶⁷ Interview with Bari Rabin, April 13, 2017; Interview with Ligia Maria Alfaro, PPSO, August 24, 2017.
- ⁶⁸ <https://www.fbo.gov/spg/AID/OM/GUA/SOL-520-17-000009/listing.html>. The link was provided by Fabiola Loy, OAA, September 13, 2017. See also https://www.fbo.gov/index?s=opportunity&mode=form&id=fa8b0fe2025ac65c246437ca949f5d2b&tab=core&_cvie w=1; The M&E contract was with DevTech; Interview BAA team member B, September 1, 2017.
- ⁶⁹ Interview with Ligia Maria Alfaro, PPSO, August 24, 2017.
- ⁷⁰ Mission survey results. If you would like to request this information, please email Kristin Lindell at kilindell@learning4dev.org
- ⁷¹ Interview with Ligia Maria Alfaro, PPSO, August 24, 2017.
- ⁷² Interview with Ligia Maria Alfaro, PPSO, August 24, 2017.
- ⁷³ Interview with Jessica Ziegler, September 19, 2017; Interview with Jenny Barker, September 13, 2017.
- ⁷⁴ MERL interview with Bari Rabin, emailed by Kristin Lindell on August 11, 2017.
- ⁷⁵ Interview with Eric Friesth, LEARN Senior Operations Manager, July 18, 2017.
- ⁷⁶ Comment on draft MTE, Monalisa Salib, LEARN Manager of Organizational Learning and Research, November 7, 2017; On MERLIN, see Cambodia's Child Protection <https://www.usaid.gov/GlobalDevLab/about/monitoring-evaluation-research-and-learning-innovations-program>
- ⁷⁷ Interview with Ligia Alfaro, August 24, 2017.
- ⁷⁸ Interview with Jessica Ziegler, LEARN's Senior Learning Specialist, September 19, 2017.