

CLA in the Program Cycle



Collaborating



Learning



Adapting

Internal
Collaboration

External
Collaboration

Technical
Evidence
Base

Theories of
Change

Scenario
Planning

M&E for
Learning

Pause &
Reflect

Adaptive
Management

Enabling Conditions



Culture



Processes



Resources

Openness

Relationships
& Networks

Continuous
Learning &
Improvement

Knowledge
Management

Institutional
Memory

Decision
Making

Mission
Resources

CLA in
Implementing
Mechanisms



Collaborating Internal Collaboration

KEY CONCEPTS

1. Identify and prioritize teams/offices for strategic collaboration.
2. Decide how to engage those teams/offices,
3. Collaborate with those teams/offices based on decisions reached.



MATURITY STAGES

	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>-We are not yet collaborating with other teams/offices.</p>	<p>-We collaborate with other teams/offices in an <u>ad-hoc fashion</u>.</p> <p>-<u>Information silos</u> are common.</p>	<p>-We <u>sometimes</u> collaborate with other teams/offices.</p> <p>-Inter-office collaboration is characterized by <u>information exchange</u>.</p>	<p>We <u>usually</u>:</p> <p>-<u>Identify</u> other teams/offices/individuals who could have the greatest impact on planning and implementation.</p> <p>-<u>Make decisions</u> about what form collaboration takes to increase synergies.</p> <p>-<u>Collaborate strategically</u> with those teams/offices/individuals based on the decision reached.</p>	<p>We <u>consistently and systematically</u>:</p> <p>- Identify other teams/offices/individuals who could have the greatest impact on planning and implementation.</p> <p>-Make decisions about what form collaboration takes to increase synergies.</p> <p>-Collaborate strategically with those teams/offices/individuals based on the decision reached.</p>





NOTES

Internal Collaboration



KEY CONCEPTS

1. Source various types of knowledge from stakeholders.
2. Distill knowledge.
3. Share knowledge with stakeholders.



Process Knowledge Management

MATURITY STAGES

	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>- Staff are not yet sourcing, distilling, and/or sharing knowledge.</p>	<p>In planning and implementation, staff rarely:</p> <ul style="list-style-type: none"> - Source relevant technical, contextual, and experiential knowledge from key stakeholders. - Distil knowledge to inform decisions. - Share knowledge strategically and in user-friendly formats to influence decisions within and outside USAID. 	<p>In planning and implementation staff sometimes:</p> <ul style="list-style-type: none"> - Source relevant technical, contextual, and experiential knowledge from key stakeholders. - Distil knowledge to inform decisions. - Share knowledge strategically and in user-friendly formats to influence decisions within and outside USAID. 	<p>In planning and implementation staff usually:</p> <ul style="list-style-type: none"> - Source relevant technical, contextual, and experiential knowledge from key stakeholders. - Distil knowledge to inform decisions. - Share knowledge strategically and in user-friendly formats to influence decisions within and outside USAID. 	<p>In planning and implementation staff consistently and systematically:</p> <ul style="list-style-type: none"> - Source relevant technical, contextual, and experiential knowledge from key stakeholders. - Distil knowledge to inform decisions. - Share knowledge strategically and in user-friendly formats to influence decisions within and outside USAID.



NOTES

Knowledge Management

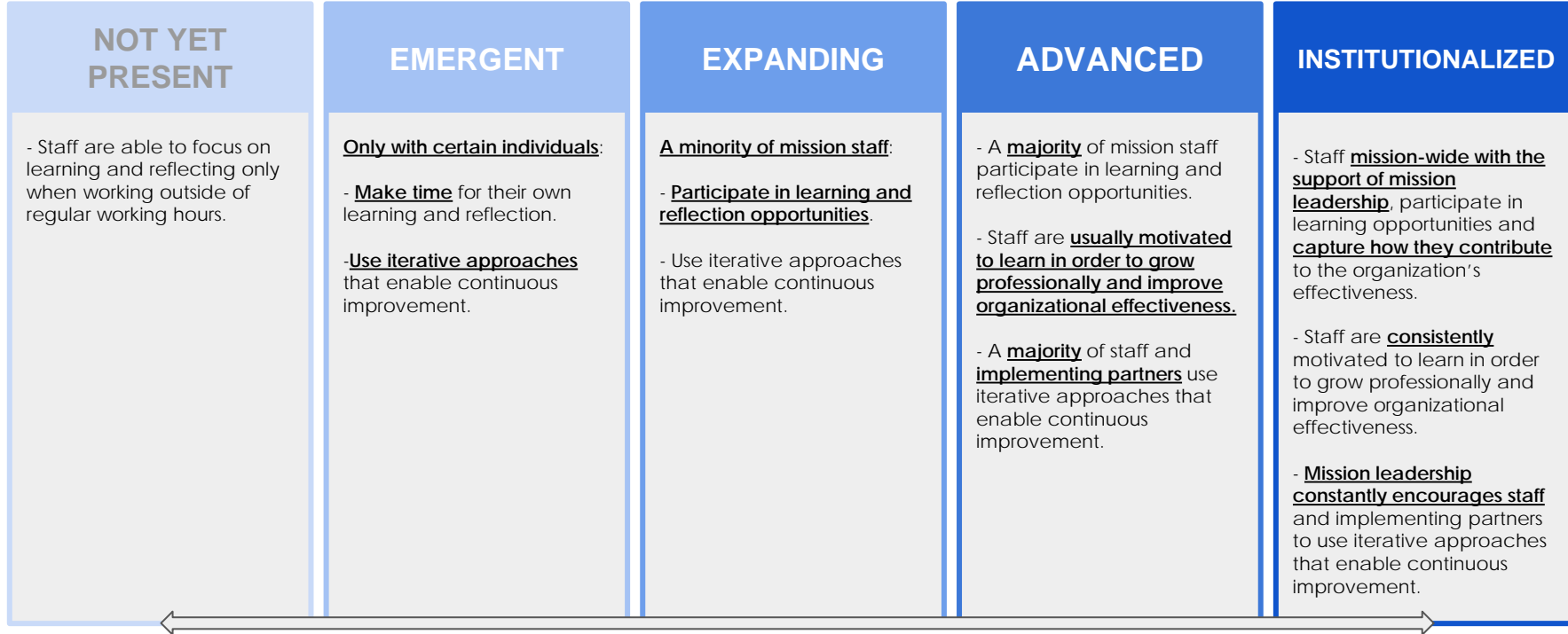


Culture Continuous Learning & Improvement

MATURITY STAGES

KEY CONCEPTS

1. Staff take time for learning and reflection.
2. Motivation for learning.
3. Use of iterative approaches that enable continuous improvement.





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Continuous Learning and Improvement



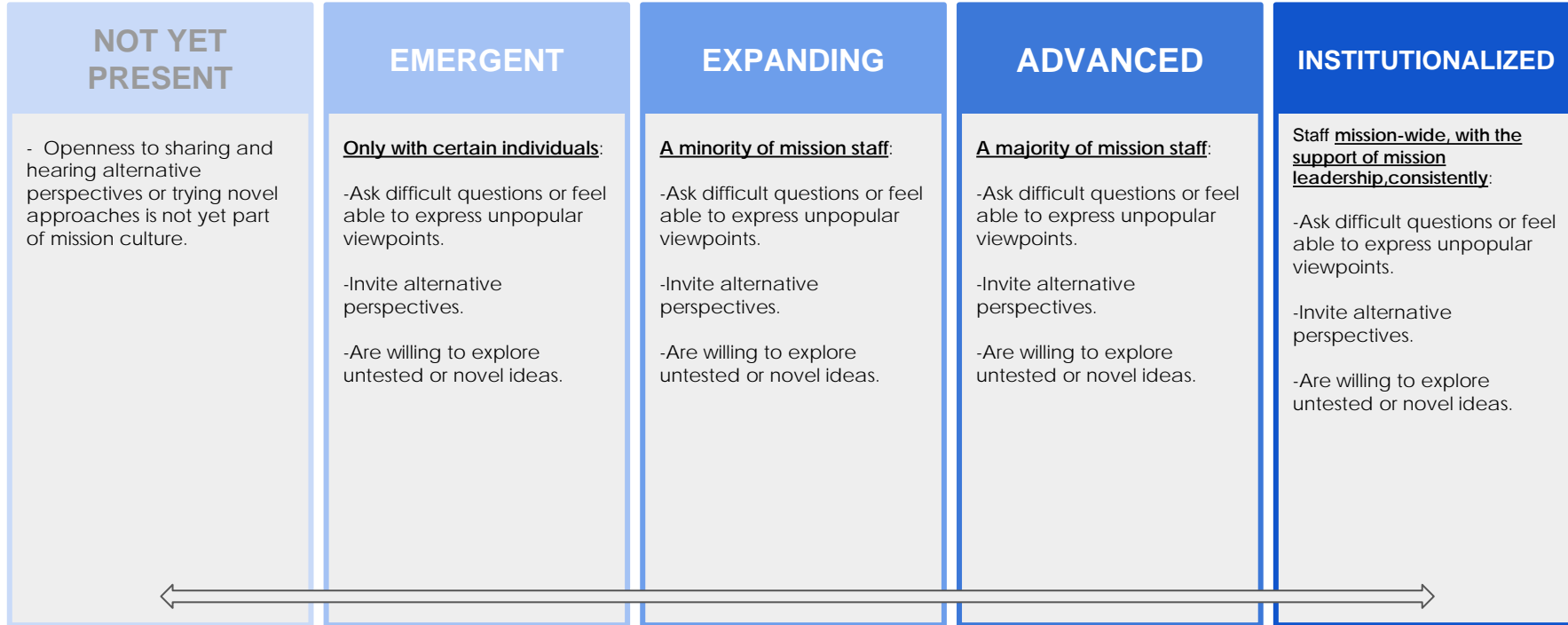
Culture Openness

KEY CONCEPTS

1. Sense of comfort sharing opinions and ideas.
2. Openness to hearing alternative perspectives.
3. Willingness to take action on new ideas.



MATURITY STAGES





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Openness



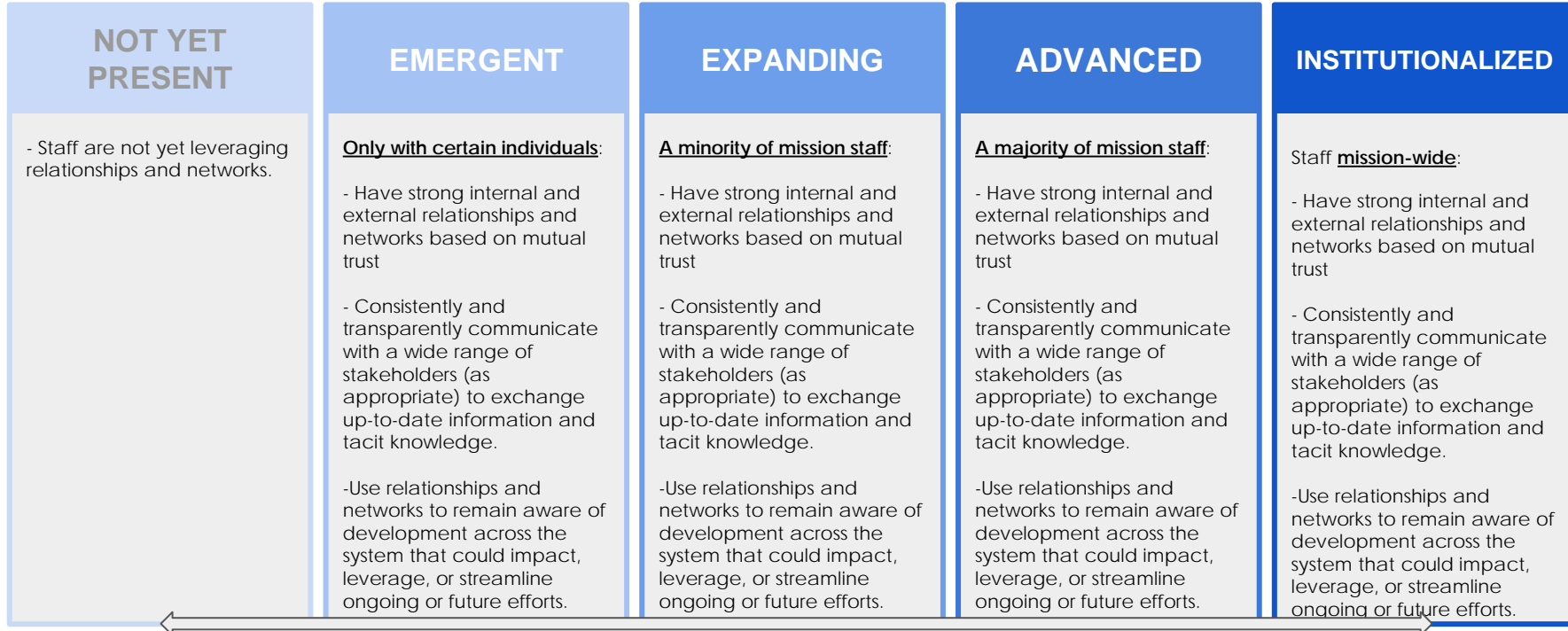
Culture Relationships & Networks

KEY CONCEPTS

1. Development of trusting relationships.
2. Exchange of up-to-date information.
3. Use of networks across the system to expand situational awareness.



MATURITY STAGES





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Relationships and Networks



Process Institutional Memory

MATURITY STAGES

KEY CONCEPTS

1. Access institutional knowledge.
2. Staff transitions.
3. Contributions of Foreign Service Nationals (FSNs) to institutional memory.



	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>- We do not yet have systems or processes in place to maintain institutional memory.</p>	<p>-We have knowledge management system(s) that are <u>not in use</u>.</p> <p>- Transition and onboarding processes are <u>articulated but not implemented</u>.</p>	<p>- Mission staff <u>use</u> a knowledge management system for daily operational needs and <u>basic access to institutional knowledge</u>.</p> <p>- <u>Ad hoc</u> knowledge transfer between incoming and outgoing staff depends largely on individual initiative.</p> <p>- FSNs <u>sometimes</u> play a role in maintaining knowledge and continuity.</p>	<p>-Mission staff and relevant stakeholders are able to <u>access needed information and knowledge</u>.</p> <p>- Departing and/or current staff <u>usually</u> transfer mission knowledge, understand of the local context, and key relationships to incoming staff.</p> <p>- FSNs are <u>usually</u> valued as a source of institutional knowledge and <u>encouraged to contribute</u> to staff onboarding and transition processes.</p>	<p>-Mission staff and relevant stakeholders are able to <u>easily</u> access up-to-date information and knowledge in a <u>timely</u> manner.</p> <p>- Departing and/or current staff <u>systematically</u> transfer mission knowledge, understand of the local context, and key relationships to incoming staff.</p> <p>- FSNs are <u>consistently</u> valued as a source of institutional knowledge and encouraged to contribute to staff onboarding and transition processes.</p>



NOTES

Institutional Memory



Collaborating External Collaboration

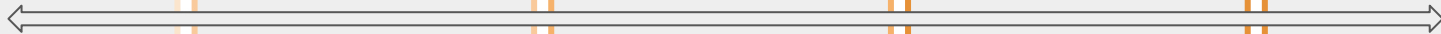
KEY CONCEPTS

1. Identify and prioritize key stakeholders for strategic collaboration.
2. Decide how to engage key stakeholders.
3. Collaborate with key stakeholders based on decisions reached.



MATURITY STAGES

NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
<p>-We are not yet collaborating with stakeholders.</p>	<p>-Analysis of stakeholders is <u>informal and undocumented.</u></p> <p>-We collaborate with stakeholders in an <u>ad hoc fashion.</u></p> <p>-Stakeholders are <u>informed</u> of USAID plans and/or interventions.</p>	<p>-Planning processes <u>sometimes</u> include a stakeholder analysis.</p> <p>-We collaborate with host government counterparts and/or implementing partners <u>under specific agreements.</u></p> <p>-Collaboration with additional stakeholders is limited to <u>consultations/information gathering</u> to inform USAID decisions.</p>	<p>We <u>usually:</u></p> <p>-Use <u>stakeholder analysis</u> to identify and prioritize stakeholders.</p> <p>-<u>Make decisions</u> about what form collaboration takes to increase synergies, which could include encouraging collaboration among partners when relevant.</p> <p>-<u>Collaborate strategically</u> with key stakeholders based on the decision reached.</p>	<p>We <u>consistently and systematically:</u></p> <p>- Use stakeholder analysis to identify and prioritize stakeholders.</p> <p>-Make decisions about what form collaboration takes to increase synergies which includes requiring collaboration among partners when relevant.</p> <p>-Collaborate strategically with those key stakeholders based on the decision reached.</p>





KEY CONCEPTS

1. Track the technical evidence base.
2. Apply the technical evidence base in planning and implementation.
3. Contribute to/expand the technical evidence base.



Learning Technical Evidence Base

MATURITY STAGES

	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>-We are not familiar with the technical evidence base.</p>	<p>-We informally track the existing technical evidence base.</p> <p>-We have identified some knowledge gaps.</p>	<p>-We primarily track and use previous evaluation reports to identify implications for programming.</p> <p>-We fill knowledge gaps using informal or ad hoc approaches.</p>	<p>We usually:</p> <p>-Track the existing technical evidence base, including up-to-date research and subject matter expertise generated by USAID and others.</p> <p>-Use a mix of relevant knowledge types and sources to identify implications and inform strategy, projects, and/or activities.</p> <p>-Fill gaps and contribute new knowledge to the evidence base through a mix of knowledge synthesis, research, piloting/experimentation and evaluation.</p>	<p>We consistently and systematically:</p> <p>-Track the existing technical evidence base, including up-to-date research and subject matter expertise generated by USAID and others.</p> <p>-Use a mix of relevant knowledge types and sources to identify implications and inform strategy, projects, and/or activities.</p> <p>-Fill gaps and contribute new knowledge to the evidence base through a mix of knowledge synthesis, research, piloting/experimentation and evaluation.</p>



Learning Theories of Change

KEY CONCEPTS

1. Quality theories of change.
2. Testing and exploration of theories of change
3. Awareness among stakeholders about theories of change and the learning that results from testing them.



MATURITY STAGES

NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
<p>-We have not yet developed a theory of change.</p>	<p>-Theories of change typically describe activities already in place.</p>	<p>-Logical theories of change are developed based on an understanding of existing technical evidence, and assumptions are identified.</p> <p>-Some aspects of theories of change are tested through evaluations.</p> <p>-Theories of change are shared and understood among a limited number of staff and key stakeholders.</p>	<p>-Logical theories of change are developed based on an understanding of the context and relevant analyses as well as technical evidence.</p> <p>-We regularly test and explore prioritized theories and their assumptions using a variety of learning approaches beyond evaluations.</p> <p>-Theories of change are widely shared and understood by the majority of staff and stakeholders.</p>	<p>We systematically:</p> <p>-Develop logical theories of change with sufficient stakeholder input and based on an understanding of the context, relevant analyses, and existing technical evidence.</p> <p>-Test and explore theories of change and their assumptions to modify theories (as needed) based on results.</p> <p>-Use and share learning from testing theories of change to inform USAID's other stakeholders' planning and implementation.</p>



Learning Scenario Planning

KEY CONCEPTS

1. Identify risks and opportunities through scenario planning.
2. Monitor trends related to scenarios.
3. Respond to apply learning from monitoring.



MATURITY STAGES

NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
-We have not yet participated in scenario planning.	-We <u>informally ask big picture 'what if?' questions.</u>	-We <u>ask and document</u> big picture 'what if?' questions. -We <u>informally monitor trends</u> related to those questions.	-We <u>regularly</u> monitor trends related to those scenarios. -Monitoring of scenarios <u>often informs planning and implementation.</u>	-We consistently develop scenario narratives, <u>identifying early warning signals</u> for anticipated risks and opportunities. -We <u>systematically</u> monitor trends related to scenarios. -We use early warning signals to respond to context changes in <u>real time.</u>





Learning M&E for Learning

KEY CONCEPTS

1. Relevance of monitoring data to decision making.
2. Design and conduct evaluations to inform ongoing and future programming.
3. Align monitoring, evaluation, and learning efforts across the strategy, project and activity levels.



MATURITY STAGES

NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
<p>-M&E efforts are implemented primarily for meeting reporting requirements.</p>	<p>-Monitoring data is generally disconnected from decision-making.</p> <p>Required evaluations identify new and relevant information.</p>	<p>-Monitoring data is sometimes relevant and of sufficient rigor to inform decision-making.</p> <p>-We use evaluation findings to inform future activities or projects.</p>	<p>-We usually identify and collect good-quality, credible monitoring data that informs decision making.</p> <p>-We regularly design and conduct evaluations to inform ongoing and future programming.</p> <p>-We intentionally design M&E efforts so resulting learning can be aggregated across projects and/or activities to inform design and implementation decisions.</p>	<p>-We consistently prioritize and collect high-quality, credible monitoring data that informs decision making.</p> <p>-We design and conduct timely evaluations to inform ongoing and future programming.</p> <p>-We intentionally design M&E efforts so resulting learning can be aggregated across projects and/or activities and feeds up to inform achievement of mission-level results.</p>





Adapting Pause & Reflect

KEY CONCEPTS

1. Variety and purpose of pause and reflect (P&R) opportunities.
2. Timeliness of P&R opportunities to inform decision-making.
3. Quality of P&R moments.



MATURITY STAGES

	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>-We have not yet participated in P&R opportunities.</p>	<p>- We participate in <u>required annual portfolio review and CDCS mid-course stocktaking for accountability and reporting purposes</u>.</p> <p>-Partner meeting are <u>rare</u> and <u>provide information</u> to implementing partners.</p> <p>-Additional P&R opportunities might be identified but are <u>not acted upon</u>.</p>	<p>- We participate in portfolio reviews and <u>ad hoc partner meetings</u> focused primarily on <u>activity-level learning</u> as well as CDCS mid-course stocktaking.</p> <p>-P&R activities are <u>not aligned</u> to design and implementation schedules.</p> <p>-P&R activities are characterized by information dissemination and <u>basic knowledge exchange</u>.</p>	<p>We <u>usually</u>:</p> <p>-Host and attend a <u>variety of relevant</u> P&R activities to <u>reflect on progress and learning to date</u>.</p> <p>-Hold P&R activities to feed into design and implementation schedules so learning is generated when it is <u>most usable</u>.</p> <p>-Facilitate P&R activities for <u>staff and relevant stakeholders</u>, using a variety of <u>participatory approaches to encourage candid conversation</u>.</p>	<p>-We <u>consistently and systematically</u>:</p> <p>-Host and attend a variety of relevant P&R activities to reflect on progress and learning to date.</p> <p>-Hold P&R activities to feed into design and implementation schedules so learning is generated when it is most usable.</p> <p>-Facilitate P&R activities for staff and relevant stakeholders, using a variety of participatory approaches to encourage candid conversation.</p>



KEY CONCEPTS

1. Variety and purpose of pause and reflect (P&R) opportunities.
2. Inform decision-making.
3. Follow through on decisions reached to manage adaptively.



Adapting Adaptive Management

MATURITY STAGES





KEY CONCEPTS

1. Awareness of decision-making processes.
2. Autonomy to make decisions.
3. Appropriate stakeholder involvement in decision-making.



Process Decision-Making

MATURITY STAGES

	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>- We do not yet have clarity around decision making processes or authority.</p>	<p>- Only certain mission staff and implementing partners understand programmatic decision making processes or the <u>scope of their own autonomy</u>.</p> <p>- Rationale for decisions taken is <u>rarely documented and only shared with stakeholders after the fact</u>.</p>	<p>- A <u>minority</u> of mission staff and implementing partners understanding decision-making processes at the mission.</p> <p>- The level of autonomy staff have to make decisions about their own work <u>differs according to the teams and individuals</u> involved.</p> <p>- FSNs <u>sometimes</u> play a role in maintaining knowledge and continuity.</p>	<p>-The <u>majority</u> of mission staff and implementing partners understand decision-making processes.</p> <p>- Staff are <u>usually</u> granted an appropriate level of autonomy to make decisions about their work.</p> <p>- Decisions are <u>usually</u> made after soliciting input from <u>appropriate internal and external</u> stakeholders and the rationale is documented and shared with them.</p>	<p>-The <u>process</u> for making decisions is <u>fully transparent</u>.</p> <p>- Staff are <u>consistently</u> granted an appropriate level of autonomy to make decisions about their work.</p> <p>- Decisions are <u>consistently</u> made after soliciting input from appropriate internal and external stakeholders, and the rationale is documented and shared with them.</p>



Resources Mission Resources

MATURITY STAGES

KEY CONCEPTS

1. Roles and responsibilities vis a vis CLA.
2. Professional development of CLA.
3. Procurement of CLA support.



	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>- We are not yet leveraging financial and human resources to support CLA integration throughout the program cycle.</p>	<p>- The missions <u>M&E specialists</u> are responsible for CLA.</p> <p>- <u>Only a few individuals</u> are trained and recognized for CLA-related knowledge and skills.</p>	<p>- The mission <u>M&E specialist(s) and points of contact from technical offices</u> are responsible for CLA.</p> <p>- A <u>minority</u> of staff are trained in and recognized for CLA-related knowledge and skills.</p> <p>- The mission has <u>support mechanism(s) with some elements related to CLA.</u></p>	<p>-The mission has <u>CLA points of contact</u> in the program office and across the technical offices.</p> <p>- A <u>majority</u> of staff are trained and recognized for CLA-related knowledge and skills.</p> <p>- The mission <u>procures mechanisms</u> to support CLA.</p>	<p>- Staff <u>mission-wide</u> incorporate CLA into their <u>scope and workload</u> and there are identified CLA champions throughout the mission who coordinate efforts with the program office.</p> <p>- Staff <u>mission-wide</u> are trained in and recognized for CLA-related knowledge and skills.</p> <p>- The mission procures and <u>uses tailored support</u> to promote effective CLA.</p>





KEY CONCEPTS

1. Mechanism type and scope enables CLA.
2. Budgeting.
3. Staff compensation and skills.



Resources

CLA in Implementing Mechanisms

MATURITY STAGES

	NOT YET PRESENT	EMERGENT	EXPANDING	ADVANCED	INSTITUTIONALIZED
	<p>- Implementing mechanisms are not yet supporting CLA integration.</p>	<p>Staff rarely:</p> <ul style="list-style-type: none"> - Use mechanism types and scopes that enable CLA integration during implementation. - Allocate and/or approve mechanism resources to support CLA integration - Request and/or approve key personnel with the capacity in adaptive management and other CLA-related skills. 	<p>Staff sometimes:</p> <ul style="list-style-type: none"> - Use mechanism types and scopes that enable CLA integration during implementation. - Allocate and/or approve mechanism resources to support CLA integration - Request and/or approve key personnel with the capacity in adaptive management and other CLA-related skills. 	<p>Staff usually:</p> <ul style="list-style-type: none"> - Allocate and/or approve mechanism resources to support CLA integration - Request and/or approve key personnel with the capacity in adaptive management and other CLA-related skills. 	<p>Staff consistently and systematically:</p> <ul style="list-style-type: none"> - Use mechanism types and scopes that enable CLA integration during implementation. - Allocate and/or approve mechanism resources to support CLA integration - Request and/or approve key personnel with the capacity in adaptive management and other CLA-related skills.