DEVELOPMENTAL EVALUATION PILOT
SUSTAINED UPTAKE

Final Report March 2019

CONTENTS

ACRONYM LIST

BFS	Bureau for Food Security
BTGx	Beyond the Grid x
CDD	Center for Digital Development
D2FTF	Digital Development for Feed the Future
DDI	Development, Democracy, and Innovations Bureau
DE	Developmental Evaluation
DEPA-MERL	Developmental Evaluation Pilot Activity
DFS	Digital Financial Services
DI	Digital Inclusion
DIV	Development Innovation Ventures
EIA	Office of Evaluation, Impact, and Assessment
Evaluator	Embedded Evaluator
FCR	Findings, Conclusions, and Recommendations
FTF	Feed the Future
HQ	Headquarters
iDesign	Innovation Design and Advisory team
JPP	Joint Partnership Plan
Lab	Global Development Lab
LOE	Level of Effort
LWP	Lab-Wide Priority
MERLIN	Monitoring, Evaluation, Research, and Learning Innovations
OAA	Office of Acquisition and Assistance
OU	Operating Unit
PPL	Office of Policy, Planning, and Learning
PRP	Program, Resource, and Policy Bureau
PSP	Program and Strategic Planning Office
RQ	Research Question
Search	Search for Common Ground
SI	Social Impact, Inc.
SOGE	Scaling Off-Grid Energy
SOW	Scope of Work

T3	Transformation Task Team
USAID	United States Agency for International Development
WDI	William Davidson Institute at the University of Michigan

EXECUTIVE SUMMARY

Over the course of its history, the U.S. Global Development Lab (hereinafter, "the Lab") of the United States Agency for International Development (USAID) has evolved its programming related to scaling, adoption, acceleration, and uptake. This evolution occurred in response to the Lab's charter to "source, test, and scale" development solutions, and was also informed by ad hoc learnings from previous efforts. Following the conception of the Lab Wide Priorities (LWPs), the Lab agreed to undertake active learning to enable them to better understand and implement different approaches to scale/sustained uptake. Over the course of nearly two years, the Developmental Evaluation Pilot Activity (DEPA-MERL) supported Lab teams using a developmental evaluation (DE) approach. The DE approach helped several Lab teams and offices – including Digital Development for Feed the Future (D2FTF), Scaling Off-Grid Energy (SOGE), Digital Financial Services (DFS), Digital Inclusion (DI), and the Office of Evaluation, Impact, and Assessment (EIA) – to rigorously collect, analyze, and disseminate learnings regarding the sustained uptake of innovations these teams seek to promote within and beyond USAID. The DE appealed to the teams given its innovative and rigorous nature, and most importantly, its emphasis on providing timely, on-demand, and use-focused deliverables.

Over the course of its engagement, the Sustained Uptake DE worked with seven teams in the Lab over 22 months. In doing so, teams engaged in capacity building around sustainability planning and answered the following questions.

Sustained Uptake DE Evaluation Questions

1. What are the **conditions and working relationships** necessary in the LWPs, the Lab, and its partners to achieve sustained uptake internally (Missions and Bureaus) and externally?
2. How do we determine which current Lab approaches are **most effective at sustained uptake**? What has been the perceived and real value add of the approaches? What can we learn from Lab uptake models?
3. What are the **replicable principles/elements** from the different sustained uptake models and how should others apply them to a different context?
4. How does the Lab balance sustained uptake initiatives that are **internal versus external**? What impact (internal or external) does the Lab value more? Where can the Lab have the most impact?

In order to answer these questions, the Developmental Evaluator (hereinafter, "Evaluator") employed appreciative inquiry, positive deviance case studies, process tracing, outcome harvesting, and various facilitated work with the DE teams. These evaluative efforts contributed to an iterative database used throughout the DE, resulting in evidence informed by 474 sources and 1,675 unique data points. The findings, conclusions, recommendations, and adaptive work with the DE teams resulted in the following key outcomes from the Sustained Uptake DE.

Key Outcomes:

- The DE identified effective and efficient models to achieve sustained uptake with both internal and external audiences.
- The DE helped six teams develop and initiate implementation of Sustainability Plans and exit strategies, thereby improving sustainability of programming and increasing the understanding of pathways to scale for the teams' respective innovations.

- The DE created and disseminated the Mission Engagement Playbook – a how-to manual built on DE evidence of how to work with USAID Missions effectively. This helped to improve the efficiency and effectiveness of Mission-Headquarters (HQ) relationships for teams who implemented the guidance.
- The DE improved working relationships between Bureaus and with private sector partners.
- The DE helped teams' design pathways to scale, including the ability to assess ecosystem-level impact.
- The DE improved team culture for five teams focusing on developing action-oriented, adaptive decision-making.

Overall, the Sustained Uptake DE provided extensive evaluative and adaptive management support to the Lab, providing them with evidence on effective and efficient models for both internal and external sustained uptake. The DE further improved teams' capabilities of achieving ecosystem-level outcomes, and provided tools to continue this work moving forward.

PART 1: WHAT WAS IT?

OVERVIEW

This section provides a high-level overview of what the Sustained Uptake DE pilot entailed, including its timeline, participants, and focal areas. It also provides an overview of DE, including the aspects of the approach which made it suitable for the learning needs of the pilot's various stakeholders. For an infographic depiction of the overview, see Annex 1.

BACKGROUND

THE DEVELOPMENTAL EVALUATION PILOT ACTIVITY

Programs in complex settings or with untested theories of change often face a challenge when trying to use traditional mid-term or end-term evaluations to assess their impact. In such programs, traditional evaluations may fail to provide useful information in a timely fashion or capture important outcomes not defined at the outset. To help address this issue, EIA at USAID funded DEPA-MERL—a mechanism to pilot the use of DE and assess its feasibility and effectiveness in the USAID context. DEPA-MERL is an initiative under the Lab's Monitoring, Evaluation, Research and Learning Innovations (MERLIN) program and is implemented by Social Impact, Inc. (SI) with partners Search for Common Ground (hereinafter, "Search"), and the William Davidson Institute at the University of Michigan (WDI).

DE is an evaluative approach aimed at facilitating continuous adaptation of interventions. It includes having one or more evaluators integrated into the implementation team, usually on a full-time basis. These Developmental Evaluators work embedded with teams to contribute to modifications in program design and targeted outcomes throughout implementation. They participate in team meetings, document decisions, processes, and dynamics, and collect and analyze data – feeding it back to the teams on a regular basis. DEs are methodologically agnostic and utilization-focused. They adjust research questions and methodological and analytic techniques as the project changes, and deliver contextualized and emergent findings on an ongoing basis.

THE SUSTAINED UPTAKE PILOT

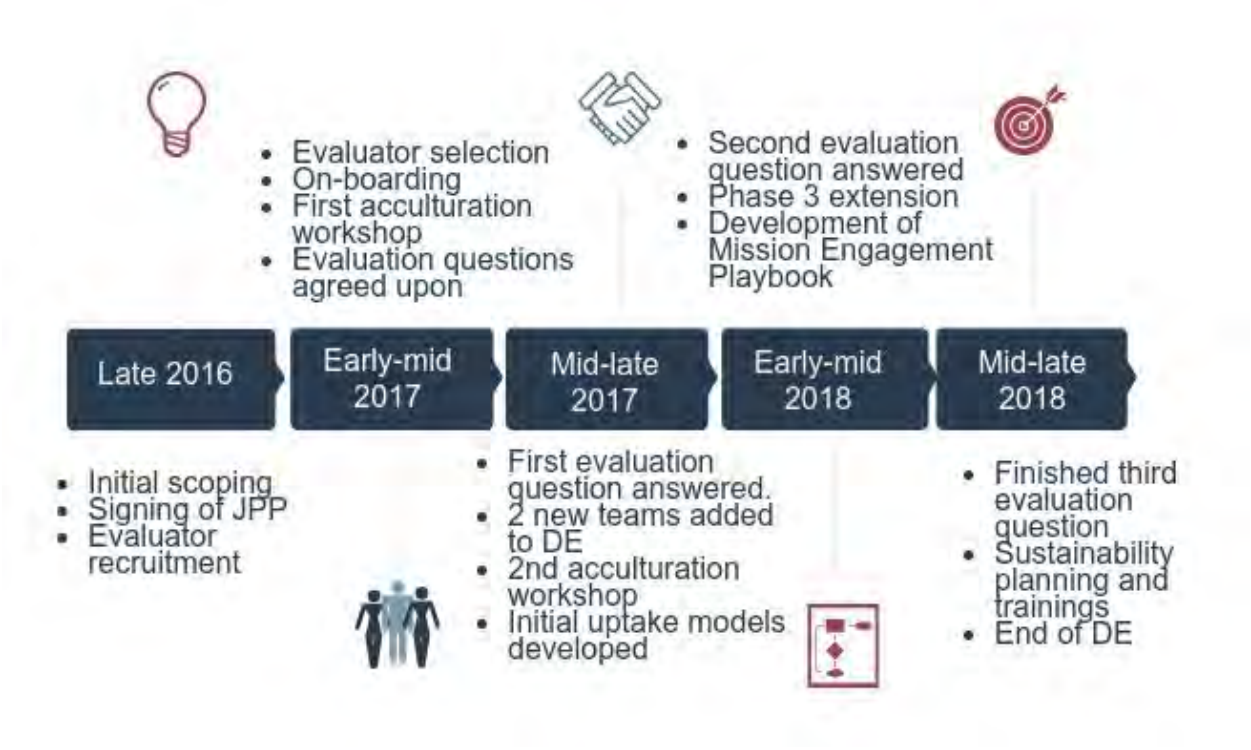
Over the course of its history, the Lab has evolved its programming related to scaling, adoption, acceleration, and uptake. This evolution occurred in response its charter to "source, test, and scale" development solutions, and was also informed by ad hoc learnings from previous efforts. Following the conception of the LWPs, the Lab agreed to undertake active learning to enable them to get smarter about the viability of different approaches to scale/sustain uptake. Over the course of nearly two years, DEPA-MERL supported Lab teams using the DE approach. The DE approached helped several Lab teams – including D2FTF, SOGE, DFS, DI, and EIA – to

> The Global Development Lab focuses on integrating their innovations, tools, and approaches across top Agency priorities and Presidential initiatives. They do this in program design, as well as in building specialized teams to tackle complex development issues, such as the Ebola crisis, digital development in agriculture, and scaling the off-grid energy market. Lab Wide Priority Teams are formed by bringing together staff with diverse skillsets to tackle these complex issues on a limited basis, generally a three-year engagement. (USAID, 2018)

rigorously collect, analyze, disseminate, and disseminate learnings regarding the sustained uptake of innovations that these teams seek to promote within and beyond USAID. The DE appealed to the teams given its innovative and rigorous nature, and most importantly, its emphasis on providing timely and easy-to-use deliverables.

TIMING OF UPTAKE PILOT

DEPA-MERL and the Lab teams anticipated a start date of October 2016 and a pilot duration of 12 months. However, delays in the hiring of the Evaluator (see "Hiring of Evaluator" section) postponed the start of evaluative work until March 2017. The teams ultimately agreed to two, extensions of three months each, which kept the DE running through December 2018 for a total of 22 months.



OVERVIEW OF KEY PILOT STAKEHOLDERS

The DE primarily examined the work of four teams at USAID's Global Development Lab in the first two phases:

- The work of the **D2FTF** seeks to promote the use of technology to accelerate the outcomes of the Feed the Future (FTF) program, which is spearheaded by the Bureau of Food Security (BFS).
- A part of the Power Africa Initiative, **SOGE** works with internal USAID and external stakeholders to increase the use of off-grid energy solutions throughout the continent.
- **DI** facilitates the expansion of internet access in USAID presence countries to accelerate the Agency's development objectives.
- The **DFS** team works to create inclusive, pro-poor financial sectors that serve the needs of governments and underserved populations.

EIA also played a significant role, helping to guide the technical direction of the pilot, using and promoting the DE results, and—in the final phase—directly benefiting from some of the implementation of key recommendations.

In the DE's final phase, two additional Lab teams engaged in sustainability planning, implementation, and training:

- The Innovation Design and Advisory team (**iDesign**) team sources, tests, and integrates innovative design practice at USAID through training, development of knowledge products, and collaboration with Office of Policy, Planning, and Learning (PPL); Office of Acquisition and Assistance (OAA); and others to improve overall program design guidance, policy, and opportunities for USAID.
- The Program and Strategic Planning Office (**PSP**) provides support to teams across the Lab, providing guidance on monitoring and semi-annual portfolio reviews, and serving as the program and budget office for the Lab

PART 2: WHY DID WE DO IT?

PILOT PROBLEM STATEMENT

As noted above, the Lab has evolved its programming related to scaling, adoption, acceleration, and uptake, in response to both its charter, and from ad hoc learnings from previous efforts to scale. Following the conception of the LWPs, the Lab agreed to undertake active learning to enable them to get smarter about the viability of different approaches to scale/sustained uptake. At the time of the pilot's inception however, that learning had not been approached systematically. The premium that DE places on learning from and about processes meant that the DE was well-suited to address this challenge, enabling the various programs and entities to learn from one another effectively and respond quickly to the rapidly evolving environment. This was of particular importance once USAID began a major organizational restructuring (hereinafter, "Transformation"). Through the Transformation, USAID is aligning "*its framework and foundation to remain dynamic, impactful, and capable of operationalizing Administrator Green's vision to end the need for foreign assistance*." (USAID, 2018)

ORIGINAL MOTIVATION FOR PILOT

In the summer of 2016, the D2FTF team approached EIA about conducting a DE of their work on integrating technology into FTF programming through the DEPA-MERL mechanism. Following preliminary discussions on the scope of work (SOW) however, D2FTF felt that it was important to leverage learnings from other teams within the Lab and thus put forward partial funding for the pilot under the condition that another team contributed to and participated in the DE. EIA recruited the SOGE team (formerly known as "Beyond the Grid x [BTGx]") as D2FTF's counterpart. EIA also agreed to subsidize the pilot to make it more financially accessible to the LWP teams. EIA was also a natural home for any cross-team learnings, and thus had a stake in documenting findings about both scaling across teams and also the innovative evaluation approaches used to obtain them.

Though their work is quite different, for the purposes of the initial SOW development, the D2FTF and SOGE teams agreed to focus on their efforts to "scale" their respective innovations. This was agreed upon

at the outset given the Lab's mandate to house expertise regarding how to scale, though stakeholders within the Lab felt that it had not dedicated sufficient resources to learn about how to scale, nor to share those learnings with the broader Agency. DEPA-MERL worked with these two teams to develop a revised SOW codified in a Joint Partnership Plan (JPP). At the time of JPP development, the teams envisioned a 12-month pilot with a focus on the following:

> *"The DE will help identify the different types and levels of scaling attempted and achieved by Lab programs, particularly D2FTF and BTGx [SOGE]. The DE will help the Lab evaluate and learn in real time and capture that learning into a more comprehensive report about the effectiveness of its scaling efforts. In addition, the DE will explore how scaling works in different USAID sub-contexts. This will guide both current and future Lab scaling objectives and priorities, including identification of future [Lab Wide Priorities] and similar efforts."* (Griswold, et. al., 2016)

Given the very different modalities of the D2FTF and SOGE teams, the focus of the DE evolved through joint discussions held early in the planning process. Namely, the focus on "scaling" shifted to "sustained uptake" attempted and achieved by Lab programs. The term "sustained uptake" refers to the adoption of innovations promoted by Lab teams by USAID Missions (or external stakeholders) beyond the direct period of engagement with those Lab teams.

The DE aimed to help the Lab evaluate and learn about this subject in real time and capture that learning into a more comprehensive report about the effectiveness of its sustained uptake efforts. In addition, the DE explored how sustained uptake works in different USAID sub-contexts. Buyers of the DE envisioned that this would guide both current and future Lab scaling objectives and priorities, including identification of future LWPs and similar efforts.

As noted above, the SOW and timeline of the pilot expanded twice over the course of the DE. The details of these expansions—including the motivations for each—are detailed in Part 3.

PART 3: WHAT DID IT LOOK LIKE?

OVERVIEW

The focus and participants of the DE varied over its 22-month duration. This section details the three major phases of the pilot, including the motivation, focus, and stakeholders involved in each phase.

Phase 1 and 2 offered an opportunity to conduct both individual and comparative analysis across the engaged teams to better understand influencing factors, operations, and defined success. This then enabled more comprehensive analysis across the DE dataset late in Phase 2, which provided broader lessons learned on internal and external uptake for the Agency. These findings led to work on systems theories of change and capacity building in this approach for support staff teams, building the ability to implement improved uptake strategies across the Agency.

Focus	Research Question 1	Research Questions 2 & 3	Sustainability Planning
Timing	March-August 2017	September 2017-September 2018	October-December 2018
Teams Involved	• D2FTF • SOGE • (EIA)*	• D2FTF • SOGE • (EIA)*	• EIA • PSP • iDesign

*Where noted in parentheses, EIA was involved as financial supporters and technical managers of the pilot. However, the DE did not examine the team's work until the third phase of the DE.

PHASE 1

HIRING OF EVALUATOR

Concurrent with JPP development, DEPA-MERL launched a rigorous recruitment effort for the Developmental Evaluator position. The team vetted and proposed a strong candidate in October 2016 shortly after the finalization of the JPP. Members from the D2FTF, SOGE, and EIA provided their approval for the candidate. However, after extensive negotiations, the candidate accepted another position. A similar process occurred in early 2017 with an alternate candidate. In March 2017, the consortium proposed a third potential Evaluator who was approved by the three teams and accepted the position. She was hired later that month and began work on the DE launch.

DE FOCUS

As noted above, the initial focus of this DE was on the D2FTF and SOGE teams' efforts to promote and "scale" various innovations within and beyond USAID. However, though initial discussions, particularly during the May 2017 Acculturation Workshop, it became evident that "scaling" was not the most appropriate term to characterize both teams' work. In particular, D2FTF objected to this characterization. Thus, the teams jointly elected to rename the pilot "Sustained Uptake" (shortened to "Uptake") in order to reflect the commonalities between the teams, i.e., their endeavors to help other stakeholders to adopt certain innovations (e.g., digital technologies in agriculture and acceleration of the off-grid energy market) and sustain their use beyond a period of direct engagement.

During the previously mentioned May 2017 Acculturation Workshop, the teams refined the focus of the DE as stated in the JPP. In particular, they honed in on four research questions (RQs) to guide the Evaluator's work:

1. What are the **conditions and working relationships** necessary in the LWPs, the Lab, and its partners to achieve sustained uptake internally (Missions and Bureaus) and externally?

2. How do we determine which current Lab approaches are **most effective at sustained uptake**? What has been the perceived and real value add of the approaches? What can we learn from Lab uptake models?
3. What are the **replicable principles/elements** from the different sustained uptake models and how should others apply them to a different context?
4. How does the Lab balance sustained uptake initiatives that are **internal versus external**? What impact (internal or external) does the Lab value more? Where can the Lab have the most impact?

Following the Workshop, the Evaluator collected and analyzed data primarily on the first RQ. The Evaluator developed findings, conclusions, and recommendations (FCR) matrices for the D2FTF and SOGE teams that provided LWP-specific responses to this question. The Evaluator helped each of the teams prioritize and implement selected recommendations primarily through "strategic learning debriefs." The recommendations focused on increasing efficiencies and core partner relationships. The results of RQ1 are summarized in a memo (see Annex 2).

PHASE 2

FIRST EXTENSION AND EXPANSION

The response from the LWP teams to the DE and the Evaluator's work was overwhelmingly positive. During the six months that the Evaluator took to answer the first RQ, other teams took notice and interest in the work given its broad applicability around the Lab. Given cost savings, DEPA-MERL – in consultation with D2FTF, SOGE, and EIA – agreed to expand the focus of the DE to include two additional teams from the Lab's Center for Digital Development (CDD): DI and DFS. The teams agreed to the selection of DI and DFS based on several key criteria:

- Unique model for driving sustained uptake (i.e., non-duplicative with the LWP models);
- Interest and alignment with the current DE scope and two remaining research questions;
- Opportunities for shared learning across all stakeholders (i.e., enough similarity with the LWPs for all parties to benefit from each other's learning);
- Opportunities for adaptation (i.e., newly included teams must be able and willing to adapt programming based on DE findings);
- Value-add to both the DE overall and to each individual team (i.e., how much will the individual teams stand to benefit from inclusion, as well as the overall findings of the DE).

At the time, DE stakeholders agreed to extend the length of the pilot by three months to accommodate the expanded scope. As the Evaluator had already concluded work on the first RQ at the time of the extension, the Evaluator only collected and analyzed data from the two new teams regarding the remaining three RQs.

The Evaluator launched the second phase with a second Acculturation Workshop to onboard the DI and DFS teams. During the Workshop, the Evaluator had each of the teams map out their initial uptake models onto "canvases", which she then helped refine in the weeks following the Workshop. These canvases served as the basis for RQ2. However, the majority of work on this RQ entailed carrying out three evaluative efforts:

Evaluative Effort	Description
Positive Deviance Case Studies ("Bright Spots")	The Evaluator worked with the DE teams to identify their most successful cases of uptake with their primary stakeholders, employing a positive deviance approach. Positive deviance case studies looked at the enabling environment, engagement process, and identified crucial elements for replication of these successful uptake approaches.
Uganda Process Tracing Study	This study sought to compare and contrast engagement approaches employed by Lab teams in a particular context. The Evaluator worked with another DEPA-MERL team member to conduct process tracing across the four teams' engagements with USAID/Uganda, which is the only Mission that had ongoing work streams and demonstrated uptake across all four teams. The study tested ten hypotheses identified by the Evaluator as relevant aspects of the Lab teams' models to initiate, solidify, and achieve sustained uptake with that Mission.
Ecosystem Outcome Harvesting	This study sought to examine the various ways in which Lab teams conduct "enabling environments" work, defined as influencing the market, policies, external practices, and/or leverages private sector engagement. However, after harvesting a significantly lower number of identified outcomes than anticipated, the Evaluator—in consultation with colleagues from DEPA-MERL and EIA—decided that the teams would benefit from a series of Theory of Change workshops and determination of outcome-level indicators and milestones would help teams track their progress towards changing ecosystems.

Upon completion of these activities, the Evaluator prepared a memo summarizing RQ2 results (see Annex 2). She presented these results to each of the teams as well as Lab Senior Management in light of the upcoming Agency Transformation.
ides
The Evaluator then turned to RQ3, which synthesizes the findings of RQs 1,2, and 4 (a cross-cutting question answered throughout the course of the other questions). The first major activity under RQ3 was the development of a "Mission Engagement Playbook," which draws on work conducted under RQs1 and 2 regarding effective engagement strategies with Missions (see Annex 3). This document provided guidance to help USAID headquarters staff better understand the needs of USAID Missions, develop productive relationships, and achieve sustained uptake in programming with Mission counterparts. The response to the Playbook was overwhelmingly positive. For details, see "Research Question 3" in Part 4 of this report.

In addition to the Playbook, the Evaluator developed a series of four one-pagers for each of the findings prioritized by the DE stakeholder teams. These include, "Achieving Effective Uptake", "10 Steps to Better Mission Engagement," "Creating an Adaptive, Action-Oriented Team," and "Strengthening Ecosystem Initiatives" (Annex 3). The one-pagers were disseminated across the Global Development Lab through a presentation at the June 2018 All Hands Meeting, through emails, and in-person in order to share the findings and recommendations from the Uptake DE more broadly.

PHASE 3

SECOND AND FINAL EXTENSION

Once the Evaluator completed work on the four RQs, EIA requested another three-month extension to the DE to help solidify some of the work initiated under the pilot. Specifically, the team agreed to focus on building the capacity of EIA and other Lab staff to conduct sustainability planning—a key recommendation under RQ2 and a particularly important subject as USAID is undergoing its Transformation. The final activities under this pilot sought to help EIA and the Lab Front Office help teams with potential changes to organizational structures, specifically the anticipated Program, Resource, and Policy Bureau (PRP) and Development, Democracy, and Innovations (DDI) Bureau to achieve sustained uptake and sustainable program design.

Throughout the final phase, the Evaluator held workshops with the teams on the following subjects[1]:

- DFS – operational planning with their new systems theory of change
- EIA – sustainability planning towards the Agency Transformation
- iDesign – sustainability planning, including building a systems theory of change
- EIA/PSP – training on sustainability planning

In addition to holding workshops with these groups, the Evaluator supported them in the development of complementary deliverables. These deliverables include process case studies to serve as practical examples of sustainability planning, and a matrix to outline resources and decision factors for future application of sustainability planning. The Evaluator also worked with EIA and Lab leadership to promote the utilization of the Mission Engagement Playbook internally at USAID, as part of the Transformation and design of new Bureaus, as well as externally through presentations and the release of external versions of deliverables.

PART 4: WHAT WERE THE RESULTS?

OVERVIEW

The Uptake DE generated wide-ranging findings from the examination of the three primary RQs and the ongoing data collection with the DE teams and their work. Initial work on the pilot primarily yielded findings related to operations and organizational culture. Using these findings, the Evaluator worked with the teams to both adapt the way they work and also engage partners. Subsequent data collection efforts provided insight into efficient and effective approaches to working with USAID Missions and external partners to achieve sustained uptake of the focal approach and/or innovation. This section provides an

[1] Unfortunately, the DI team delayed the timeline of these workshops, pushing them to December 2018 when the Embedded Evaluator was no longer available due to commitments with other teams in the Lab. However, she met with the DI team and provided them with resources on how to move forward with the adaptations.

overview of key findings from each RQ, as well as from the sustainability planning activities from Phase 3 of the Uptake DE. More in-depth FCRs can be found in the Major Deliverables in Annex 3.

RESEARCH QUESTION 1

What are the conditions and working relationships necessary in the LWPs, the Lab, and its partners to achieve sustained uptake internally (Missions and Bureaus) and externally?

Teams involved
- D2FTF
- SOGE

Data sources
- 18 interviews, 2 focus groups, and 324 media sources
- 766 excerpts, 1,945 code applications
- Partners maps, timeline data collection (D2FTF)

From this, the key conclusions were:

- **Being an "adaptable, action-oriented team" and leveraging learning and individual skill sets increases efficacy and efficiency in achieving objectives**. Examples from the D2FTF team's approach of creating a space to reflect on every activity, cull learnings, and immediately apply adaptations towards improvement have helped accelerate the team's work towards their results framework, enabled them to overcome unforeseen barriers, and should be replicated across teams within the Lab and the Agency.
- **Proactive, persistent, evidence-supported, and varied engagement builds and maintains strong Intra-Agency partnerships.** This includes creative engagements with partner Operating Units (OUs); including, but not limited to in-person meetings, sharing publications, invitations to sectoral meetings, contributing to specific products, and assisting with other in-house work streams, priorities, and portfolio reviews.
- **Financial commitment is necessary for participatory partnerships. SOGE's private sector and other partner relationships where the other party has made a significant financial investment are much more active than external partnerships where there has been no financial contribution.** More active partnerships contribute to the acceleration of sustained uptake of off-grid energy. The DE did not identify a certain percentage of contribution or amount, etc. that qualifies as sufficient financial commitment.
- **Private sector partnerships require a frank onboarding to partnering with USAID and regular, clearly communicated expectations around approval processes and timelines.** Misunderstandings in partnerships with private sector actors and LWPs regarding how USAID operates – and in particular the decision-making and approvals processes – contribute to frustrations and inefficiencies in interactions.
- **The inaccurate capture of relationship management level of effort (LOE) leads to overburdening of workstreams that impact efficacy.** When external partners feel USAID teams are responsive and accessible, there is stronger buy-in and commitment. However, the LOE required to engage with external partners in this way is significant, and often unaccounted for in

team work planning. This relationship management LOE burden needs to be captured and planned for to increase efficacy across all workstreams.

- **Technical expertise is a contributing factor in Lab team success and is non-transferable between individuals.** The distinct technical expertise of individual staff members of the Lab teams allows them to be leaders in their respective sectors, establish influential working relationships with the private sector, and effectively provide unique guidance and support to Missions. This technical expertise is not transferable to other staff and not readily available from other staff or candidates. As such, attrition and any changes to staffing structures will have detrimental effects on their efficacy towards achieving sustained uptake of their respective innovations.

RESEARCH QUESTION 2

How do we determine which current Lab approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can the Agency learn from the Lab models?

Teams involved
- D2FTF
- SOGE
- DFS
- DI

Data sources
- 1,625 unique data points from 474 sources
- Process tracing, positive deviance case studies, and outcome harvesting

The DE utilized three different evaluative efforts to answer this question including process tracing; positive deviance; and outcome harvesting, which was later pivoted to include outcome-oriented theory of change exercises. Overall, the FCRs below come from 1,625 unique data points from 474 sources, including interviews with private sector leaders, USAID Mission staff, implementing partners, and more.

Findings and conclusions can be broken down into four categories: effective models, Mission engagement for sustained uptake, achieving internal uptake, and achieving external uptake. Key findings and conclusions from each category are below:

EFFECTIVE MODELS

- **For internal acceleration of innovative practices—where responsibility for scale can be managed by a more traditional OU—the LWP model is a particularly effective model and staffing structure**. Bringing together a dedicated team with both USAID familiarity and unique technical expertise in the relevant innovative practice enables an accelerated time frame for achieving initial internal uptake and proof of concept. Ensuring this type of team has an adaptive and action-oriented team culture with a strong learning component further ensures the efficacy of the model.

- **The LWP model is less effective for longer-term initiatives that are focused on outcome-level changes or ecosystem initiatives**, as well as those that require extensive work with external USAID actors. This type of work is more successful without the time pressure of a limited engagement. A longer engagement period is needed to build trust and sustainable relationships with external parties and achieve longer-term outcomes for these types of initiatives. This does not mean that ecosystem work should have no end date, but rather that it should set outcome targets and establish an exit strategy based on those targets.
- **When considering more traditional models (long-term teams), the current DFS model is a productive, yet adaptable structure to achieve uptake both internally and externally.** A healthy balance between internal uptake and ecosystems activities requires an effective Mission engagement strategy. It also requires teams to maintain a network of champions and dedicate sufficient expertise and time to technical assistance and relationship maintenance. This, coupled with efforts to build market intelligence and active participation in sectoral partnerships, supports effective internal and external uptake. The more robust the network of champions and dedicated team resources, the quicker this model can achieve scale. This model also benefits from a dedicated learning function that leverages data towards quick adaptations and pivots that respond to operational efficiency, contextual factors, emergent lessons learned, and sectoral growth.

MISSION ENGAGEMENT

Robust evidence across all models showed that the following components are collectively essential to achieve effective and efficient buy-in with USAID Missions:

- The Lab staff must have unique technical expertise to support a Mission in their offerings. Sourcing to implementing partners alone is insufficient.
- Offerings should be sourced from a sector and context-specific assessment that identifies gaps in the sector.
- Offerings must align with Mission priorities, at a minimum including the Country Development Cooperation Strategy, relevant high-level strategies (such as the Global Food Security Strategy), and Office-level interests.
- Lab teams should utilize pre-existing entry points and/or relationships to initiate the engagement.

For more detailed findings and how-to guidance on applying effective strategies for Mission engagement, see the Mission Engagement Playbook in Annex 3.

INTERNAL UPTAKE

Evidence regarding internal efforts to scale, integrate, and accelerate innovations clearly demonstrates that the Lab has an effective niche in changing USAID's development enterprise to be more efficient, effective, and innovative internally. Data from more than six Mission engagements demonstrated considerable operational changes from business as usual, programmatic improvements, as well as ancillary benefits of more robust marketplaces and stronger, more collaborative networks of development and private sector actors. Customer-service oriented teams with intentional uptake strategies have been able to greatly enhance USAID development initiatives in a handful of countries, and could scale their efforts further with more dedicated resources.

EXTERNAL UPTAKE

In order to speak to the efficacy of these initiatives in the future, more data is needed on both the milestones towards ecosystem-level outcomes and the distinct USAID contribution to the change pathway. Milestone metrics are particularly important given the amount of time often required to affect ecosystem change compared to traditional project cycle lengths. The DE found that external efforts to accelerate markets, build infrastructure, and influence ecosystems have not consistently yielded substantial outcomes to date, and there is insufficient evidence of a distinct USAID contribution to many of the outputs that exist. Only two ecosystem-level outcomes were substantiated through outcome harvesting efforts (which assessed six workstreams with multiple enabling environment-oriented activities tracing back to 2013).

RESEARCH QUESTION 3

What are the replicable principles/elements from the different sustained uptake models and how should others apply them to a different context?

Teams involved
- EIA
- Lab Leadership
- BFS
- Transformation Task Team (T3)

RQ3 did not require additional data collection efforts. Discussions with EIA staff members helped identify priority targets for dissemination. The DE produced the Mission Engagement Playbook, as well as four one-pagers to disseminate key findings and recommendations for USAID in a utilization-focused manner. Outreach efforts involved:

- Presentation at the June and November Lab All Hands meetings;
- Presentation at the June Senior Leadership Team and Managers Meeting;
- Discussions with Lab Leadership on how best to integrate and further disseminate the Mission Engagement Playbook;
- Discussions with BFS personnel (a D2FTF partner bureau) about presentations and trainings on the Mission Engagement Playbook, as well as dissemination of hard copies to their Country Support Officers;
- Implementation of the Mission Engagement Playbook by DFS, iDesign, some staff within BFS, and request for implementation assistance by DI;
- Mission Engagement Playbook was socialized with T3 staff to support workstreams that are working on design of Agency Field Support Services; and
- External presentations on DE as an adaptive management and evaluative approach: 2018 USAID Evaluation Summit 2018, 2018 American Evaluation Association conference, and LEARN (a mechanism that supports strategic learning and knowledge management at USAID).

SUSTAINABILITY PLANNING

Teams involved
- EIA
- iDesign
- PSP

Phase 3 of the Uptake DE focused on the application of an Uptake DE recommendation from RQ2 concerning stronger development of systems theories of change and sustainability planning across the Lab. The Evaluator worked with the D2FTF, DFS, and SOGE teams under Phase 2 of the DE to develop an exit strategy for D2FTF (which closed in September 2018); a systems theory of change for DFS; and a roadmap to a sustainable transition of the work for SOGE. This echoed a recommendation from the Lab's Evaluation, Research, and Learning Plan, which was an independent but mutually reinforcing effort to the DE: Intentionally experiment with activity design process/ requirements, to include sustainability analyses, plans, and exit strategies in new or existing Lab awards/ activities. To take this recommendation a step further, Phase 3 of the Uptake DE focused on building capacity for sustainability planning with teams that are anticipated to become PRP (EIA) and DDI (PSP) in the Transformation. The training approach taken leveraged a "See One, Do One, Teach One" approach, enabling two more teams to undergo sustainability planning at the Lab so that training could be hands-on. The EIA and iDesign teams underwent sustainability planning from August to December 2018. The finding from which Phase 3 was designed and emphasized is:

Early, thorough, and systematic sustainability planning is crucial to achieving ecosystem-level outcomes and long-term success of USAID ventures. There are different types of sustainability planning, including planning for exit, planning for a transition, and planning for sustainability of a model's outcomes. All types of sustainability planning require comprehensive design of the model/strategy, program, project, or activity that leverages robust systems understanding.

KEY OUTCOMES

- The DE **identified effective and efficient models** to achieve sustained uptake with both internal and external audiences.
- The DE helped six teams develop and implement **Sustainability Plans and exit strategies**, improving sustainability of programming and increasing the understanding of pathways to scale for the teams' respective innovations.
- The DE created and disseminated the **Mission Engagement Playbook** – a how-to manual built on evidence from the DE on how to work with USAID Missions effectively – that improved the efficiency and effectiveness of Mission-HQ relationships for teams who implemented the guidance.
- The DE **improved working relationships** between Bureaus and with private sector partners.
- The DE helped teams' **design pathways to scale**, including their ability to assess ecosystem-level impact.
- The DE **improved team culture** for five teams focusing on developing action-oriented, adaptive decision-making.

PART 5: WHAT HAPPENED WHEN?

Below is a timeline of key events in the DE.

Date (m/yr)	Title	Description	Engaged Parties
April - June 2016	Initial Procurement Outreach and Scoping	D2FTF team reached out to DEPA-MERL COR about a collaborative Lab DE, and outreach for additional Lab teams and securing a DE began.	EIA, D2FTF, SOGE, DEPA-MERL
24 October 2016	JPP Signed	DEPA-MERL signed a JPP with the D2FTF and SOGE teams, with EIA as a supportive backer for a one-year DE.	EIA, D2FTF, SOGE, DEPA-MERL
August 2016- February 2017	Recruitment of Evaluator	Recruitment of the Evaluator began amid finalization of the JPP. Two candidates were found and then later declined the position. A member from the DEPA-MERL consortium was ultimately hired.	DEPA-MERL
March- April 2017	Onboarding of Evaluator to DE and Participating Teams	The Evaluator started March 20th, 2017, first onboarding with SI for two weeks and then integrating with the DE teams and doing preliminary data collection before the Acculturation Workshop.	EIA, D2FTF, SOGE, DEPA-MERL, Evaluator
1-2 May 2017	First Acculturation Workshop	The first Acculturation Workshop was held on May 1st and 2nd, 2017. The Workshop was a kickoff event with all DE stakeholders to cover an introduction to DE, working with an Evaluator, and refine the RQs.	EIA, D2FTF, SOGE, DEPA-MERL, Evaluator
August 2017	RQ1 Answered	Data collection on RQ1 concerning conditions and working relationships that support sustained uptake was completed in July 2017, with findings, conclusions, and recommendations memos shared with the teams in August.	D2FTF, SOGE, Evaluator
August 2017	Decision to Expand Inclusion of Teams in Uptake DE	The warm reception to the RQ1 findings and adaptations made in response led to the decision to expand the number of teams included in the DE. Multiple teams were interviewed and offered the	EIA, DEPA-MERL, Evaluator, Digital Inclusion, DFS, iDesign, CDD, Development

		potential to join, with the decision coming down to DFS and DI (both teams within CDD).	Innovation Ventures (DIV)
5 October 2017	Second Acculturation Workshop with New Teams	A second Acculturation Workshop was held to bring the new teams on board and manage expectations and alignment on the remaining RQs.	EIA, D2FTF, SOGE, DEPA-MERL, Evaluator, DI, DFS
October 2017	Initial Uptake Models Developed	In order to answer which models for sustained uptake were the most efficient and effective, the DE helped teams outline each team's model for achieving uptake as part of and following the second Acculturation Workshop.	D2FTF, SOGE, DI, DFS, Evaluator
March-April 2018	Evaluation Question #2 Answered	Analyzing data from a process tracing evaluation, positive deviance case studies, and an outcome harvesting assessment, the Evaluator was able to answer RQ2 and provide team recommendations to improve Mission engagement, internal and external uptake.	EIA, D2FTF, SOGE, DEPA-MERL, Evaluator, DI, DFS
May 2018	Phase 3 Extension Decision (for July-December 2018)	During early sharing of findings on RQ2, conversations began between DEPA-MERL and EIA about a cost-extension for the DE to help EIA through the Transformation.	EIA, DEPA-MERL, Evaluator
1 July 2018	Mission Engagement Playbook Developed	The Evaluator, with support from SI colleagues converted all existing findings and recommendations on Mission engagement from the DE into a user-friendly, how-to playbook to improve sustained uptake through Mission engagement across the Agency.	Evaluator, DEPA-MERL
April-December 2018	Broader Engagement on Uptake DE Findings (RQ3)	As part of RQ3, the Evaluator worked with EIA to expand engagement with the DE findings across the Agency through presentations at the Lab All Hands, with Managers and the Senior Leadership Team, Lab Leadership, T3, and conversations with BFS.	EIA, BFS, Lab Front Office, T3, Evaluator

August-September 2018	Phase 3 Scope Finalized	DEPA-MERL worked with EIA in August and September 2018 to finalize the Phase 3 scope, focusing on implementing and training on sustainability planning.	EIA, DEPA-MERL, Evaluator
August-December 2018	Sustainability Planning with EIA	The Evaluator worked with the EIA team on scenario planning and adaptive management recommendations concerning the evolution of their work as they move into PRP.	EIA, Evaluator
September-December 2018	Sustainability Planning with iDesign	The Evaluator worked with the iDesign team to develop their systems theory of change, scenario planning, and other sustainability planning exercises to ensure a robust transition and growth towards objectives beyond the Transformation.	iDesign, Evaluator
October-December 2018	Sustainability Planning Training	The Evaluator trained staff from EIA and PSP in sustainability planning to ensure the capacity would be maintained beyond the life of the DE.	EIA, PSP, Evaluator
31 December 2018	End of DE	The DE ended December 2018, finishing with delivery of a sustainability planning resource package and final report.	EIA, DEPA-MERL, Evaluator

ANNEXES

ANNEX 1: UPTAKE PILOT INFOGRAPHIC

Uptake DE Data and Methods.pdf

The authors could not insert the Uptake Pilot InfoGraphic into this report without compromising the structural and formatting integrity and coherency of both the infographic and the report as a whole. The authors will share the link to the InfoGraphic when it becomes available to the public.

ANNEX 2: RESEARCH QUESTION MEMOS

RESEARCH QUESTION 1

Uptake Developmental Evaluation

Interim Findings

August 2017

What is the Uptake Developmental Evaluation? The Uptake Developmental Evaluation (DE) is a one-year evaluative effort of the Global Development Lab, lead by the Evaluation and Impact Assessment Office, to look at successful approaches, models, and replicable principles for achieving sustained uptake of innovations at USAID. It currently encompasses Lab Wide Priority 2 (D2FTF) and Lab Wide Priority 3 (SOGE) in its scope, and has recently concluded work on Research Question #1:

What are the conditions and working relationships necessary in the LWPs, the Lab, and its partners to achieve sustained uptake internally (Missions and Bureaus) and externally?

Findings:

1. **Being an "adaptable, action-oriented team"** that leverages learning and individual skillsets **increases efficacy and efficiency in achieving objectives.** D2FTF's example of creating a space to reflect on every activity, cull learnings, and immediately apply adaptations towards improvement has helped accelerate the team's work towards their results framework, enabled them to overcome unforeseen barriers, and should be replicated across teams within the Lab and the Agency. Identifying replicable strategies for establishing adaptable, action-oriented teams is part of the DE scope for the next two research questions.
2. **Proactive, persistent, evidence-supported, and varied engagement builds and maintains strong Intra-Agency partnerships.** E.g., creative engagements with a partner OU; including but not limited to in-person meetings, sharing publication, invitations to sectoral meetings, contributing to specific products, and assisting with other 'in-house' workstreams, as well as regular 'portfolio reviews', and pre-empting provision of information pertinent to the partner OUs current workstream and priorities.

D2FTF's Improved Mission Engagement Example:

The existing ties and relationships D2FTF had in Ghana and Uganda focused their strategy for engagement and preemptively labelled the work under the umbrella of the existing ties and specific digital technologies. Their approach to Nepal and Cambodia was less directive and narrow, in part due to the lack of previous working relationships with those Missions. The joint selection of opportunities by D2FTF and the Missions, identified through in-country assessments, and the additional capacity offered by D2FTF is in sharp contrast with how the Lab is perceived based on previous interactions with Missions. This engagement strategy was proactive, provided learnings (through the needs assessment), and the activities were developed in a co-creative, collaborative manner with Mission staff. D2FTF has also actively taken on more of the administrative burden in establishing partnerships than other teams do, according to the Mission, which has led to more successful and truly collaborative partnerships with Missions for them. **D2FTF's engagement approach in Nepal is the most significant contributing factor to their ability to accelerate their work and maintain buy-in, as well as dedicated staff resources, at the Mission**.

"Main thing, [...] if all projects follow the route, the process itself, the level of engagement, the quality of work that [D2FTF] have put, the paperwork itself, how supportive they are at each and every step of the process, our life is very much easier. [...] Things need to be simplified for us when we buy-in to other activities. That process, the process itself, and then of course the people who are engaged [from D2FTF], they were very well organized and that needs to be replicated. ***If other mechanisms had this level of engagement it would be better across the Agency.****"*

3. **There are insufficient staff to maximize the impact of the LWP teams.** Both teams have made marked progress towards their results framework and in the uptake of their innovations, however the teams are carrying significant, increasing workloads. This increase in work without sufficient capacity is starting to impact the efficacy and efficiency with which they are able to implement their existing workstreams.

   Without additional staff, the team's will need to learn when to say "no" to maintain maximum effectiveness within their given portfolios, and limit the number of activities they are able to take on.
4. **Financial commitment is necessary for participatory partnerships.** SOGE's private sector and other donor relationships where the other party has made a significant financial investment are much more active than their other external partnerships, and contribute to the acceleration of sustained uptake of off-grid energy. The DE has yet to identify a certain percentage of contribution or amount, etc. that qualifies as sufficient financial commitment, but can dig deeper on this finding if it is prioritized.
5. Misunderstandings between partnerships with private sector actors and LWPs regarding how USAID operates, in particular the decision-making and approvals processes, contribute to frustrations in the partnership and inefficiencies in interactions. **Private sector partnerships will benefit from a frank "on-boarding" to partnering with USAID and regular, clearly communicated expectations around approvals processes and timelines.**
6. Responsiveness and perceptions of accessibility by the USAID team can lead to stronger buy-in and commitment from external partners, but has a significant LOE burden. For participatory partnerships, this accessibility is advantageous, but **teams need to honestly plan for LOE burdens so as not to overburden workstreams** and impact their efficacy.

Recommendations to leverage continuation of the Uptake DE:

As the Uptake DE moves toward examining Research Question #2 and #3, the Lab and the Agency would benefit from including other approaches to achieving sustained uptake in the DE. The subsequent Research Questions are:

2. *How do we determine which current LWP approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can we learn from the LWP model?*
3. *What are the replicable principles/elements from the different sustained uptake models and how should others apply them to a different context?,*

The inclusion of additional Operating Units, programs, and activities with provide a more robust data set, and allow for the evaluation of a larger variety of models to determine which is the most effective at sustained uptake. Currently, the next stage of the DE will look at whether or not the LWPs are effective models, and how they can improve. Including other units that focus on innovation, acceleration, and sustained uptake will enable a comparison to the LWPs and a more beneficial analysis of replicable factors for such models for the Lab and the Agency more broadly. Priority programming includes:

- CDI: Discover & Test / Applied & Acceleration/ iDesign
- CDD: DFS/ Digital Inclusion/ GeoCenter
- CDR: Evidence-to-Action

Expanding the Uptake DE to include any of the above will require additional resources, but will yield substantial and timely evidence for decision-making as the Lab considers revising programming due to resource constraints.

APPENDIX 1: UPTAKE DE DATA SOURCES FOR RESEARCH QUESTION #1 FINDINGS

Relevant Finding	Data Source(s)
Overall 07.19.2017	18 Interviews; 2 Focus Groups; 324 Media sources (emails, weekly meeting notes, supportive evidence, etc.); 766 excerpts; 1945 code applications; Partners maps (for each team); Timeline data collection (D2FTF)
1	D2FTF example: the team had 15 instances, from the data set, of adaptations that enhanced the success of their work towards their results framework, 39 demonstrated instances of supportive, action-oriented team culture, and additional data trends around capacity, strong personnel with necessary expertise, and learning, action-centric leadership
2	This finding has been triangulated between interviews, focus groups, and team documentation, and further validated by the evaluator's observational data
3	The data clearly supports the known, perennial problem of too much work to do and not enough staff. Specifically, the issue of insufficient staff has been mentioned across multiple data sources by the LWPs themselves, but also their partner OUs, and is further support by observational data from the evaluator.
4	This finding has been identified in the data around the various types of engagement, participation, and sectoral support across SOGE's private sector and other donor relationships. Active participation was analyzed as part of the sampling methodology for interview selection. This was later compared to size of financial contribution.
5	The on-boarding recommendation was a specific recommendation made by one of the Founding Partners interviewed. The frustrations and their impact leading to circular conversations and inefficiencies has been mentioned by both partners and LWP staff alike, as well as regularly captured in weekly documentation.
6	Responsiveness and accessibility was a common theme across interviews conducted with SOGE founding partners, as well as invested companies. The ensuing issue regarding the LOE burden was mentioned in every interview with LWP staff, and further validated through weekly documentation and observational data from the evaluator.

RESEARCH QUESTION 2 – OVERALL

EFFECTIVE MODELS FOR SUSTAINED UPTAKE

RESULTS FROM THE UPTAKE DEVELOPMENTAL EVALUATION

Key Conclusions

1. The **Lab-Wide Priority Model is an effective model and staffing structure to achieve internal uptake** of innovative practices and improve the Agency's development enterprise, especially where long-term management can be absorbed by another Operating Unit.
2. The **Digital Finance Team's model is an effective and efficient model to achieve both internal (Agency-facing) and external (enabling environments) uptake** that is best housed within a center focused on innovation, technology, and emerging market trends.
3. An effective Mission engagement strategy must include **a)** hands-on involvement of USAID HQ staff with technical expertise, **b)** alignment with a Missions CDCS, high-level priorities, and Office-level interests, **c)** initiation of Mission engagement through pre-existing relationships, and **d)** utilization of assessments that identify market gaps and opportunities that helps refine service offerings.
4. The Lab has been most effective in **improving the efficacy, efficiency, and innovation of internal Agency practices** and must make more concerted efforts to identify and substantiate the outcomes of ecosystem-level efforts.

Introduction

Over the course of its history, the Lab has evolved its programming related to scaling, adoption, acceleration, and uptake, in response to both its charter to "source, test, and scale" development solutions, and from ad hoc learnings from previous efforts. Following the conception of the Lab-wide priorities (LWPs), the Lab agreed to undertake active learning to enable the Bureau to get smarter about the viability of different approaches to scale/sustained uptake. Since that time, D2FTF, SOGE, DFS, Digital Inclusion, and EIA have bought into the use of a Developmental Evaluation (DE) to share and consolidate learnings on sustained uptake.

Evaluation Questions and Approach

This Memo addresses the answers and recommended next steps related to the second research question of the DE: *How do we determine which current Lab approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can we learn from the Lab-Wide Priority model?* Three different evaluative efforts were undertaken to answer this question, including process tracing, positive deviance, and outcome harvesting, which was later pivoted to include outcome-oriented theory of change exercises. Overall, the findings, conclusions, and recommendations below come from 1625 unique data points from 474 sources, including interviews with private sector leaders, USAID Mission staff, implementing partners, prize finalists, and more.

Models Tested

Lab-Wide Priority Model (D2FTF):

Digital Development for Feed the Future (D2FTF) is a three-year collaboration between USAID's Global Development Lab and the Bureau for Food Security, focusing on integrating digital tools and technologies into Feed the Future activities. D2FTF developed technical guidance on digital technology for the GFSS country planning process and made a number of services available to USAID Missions to further support the integration of digital approaches into their respective programming. The team can assess opportunities, recommend actions, and deploy resources to support solutions. D2FTF has established mechanisms that can be deployed or bought-into to provide tailored support on digital extension, connectivity, digital financial services, geospatial analysis. The team leads fostered an adaptive, action-oriented culture that enabled them to learn from four core pilots in their first two years and then scale to nine additional Missions in their last year and develop a strategic exit strategy to secure sustainability of their efforts. For this portfolio, a dedicated team of six full-time equivalent (FTEs) positions, with $6 Million/year in program funds enabled them to solidify Mission engagement, run innovative programs, and secure sustained uptake.

Lab-Wide Priority Model and Grand Challenge (SOGE):

Scaling Off-Grid Energy (SOGE) is a platform for leading donors and investors to develop Africa's off-grid energy sector and coordinate investments to connect more households and businesses to electricity, faster. SOGE incentivizes technological innovation, funds early-stage companies, and supports critical elements of the off-grid ecosystem. This platform was established through a three-year Lab-Wide Priority team that then transformed into a Grand Challenge. The USAID/SOGE team serves as secretariat for the platform, innovative financier, and advocate for off-grid energy market acceleration. The team has done this with three to four core FTEs and $6 Million per year in programming funds provided by Power Africa plus an average of $4 million per year from the US Global Development Lab, in addition to the coordination of funds across the partnership. The nature of the ecosystems work being conducted by this team makes a time-limited Lab-Wide Priority model a incongruent fit with achieving ecosystem outcomes, but a good fit in terms of leveraging resources across the Lab in order to conduct more complex work. Accelerating country-level ecosystems as well as innovation in the off-grid energy sector required nearly two years of experimentation, which is just now solidifying into more robust collaboration and moving from outputs to outcomes. As such, the team pursued more time to continue their work, which was supported by both the USAID Global Development Lab and Power Africa. The team is now working towards a sustainable exit strategy for 2021 with capture of ecosystem-level outcomes.

Traditional Team Models:

Digital Financial Services (DFS) Team

USAID's Digital Finance Team identifies and advances market level opportunities that support the acceleration of development objectives across sectors such as agriculture, resilience and food security, health, and energy. The team meets these objectives through USAID Mission engagement, partnership and alliance building, and training and capacity-building of USAID staff and implementing partners. This team works both on internal and external uptake, demonstrating success in both, but acknowledges their internal uptake model is more readily scalable and has seen marked outcomes in improving USAID operations and programming. Since their start in 2013, the team has evolved and refined their model towards learning-oriented team leadership and long-term Mission buy-in. There has been rapidly increasing demand for DFS support through the team's creation of a robust Agency network of DFS champions,

including indirect scale to new Missions as existing Mission staff champions enter a new rotation. With six FTEs and a budget of $3.5 million per year for programming, the DFS team can maintain engagement with six to eight countries per year, as well as research and other partner collaborations. With $5-10 million per year in programming funds the DFS team could sustain at least one large scale flagship program that would serve as a way to accelerate ecosystem change to the point of sustainability in a viable market. The team's ability to scale internal uptake is directly related to the number of dedicated, technically proficient staff on the team, with ecosystem change more directly linked to the amount of programming funds available to invest in a dedicated enabling environments effort.

Digital Inclusion Team

The Digital Inclusion team at the Lab facilitates the expansion of internet access to accelerate the Agency's development objectives, while ensuring the most marginalized have the skills and resources to be active participants in the digital economy. Active since 2013, the team's model has evolved from primarily external focused, to strategically more Mission-driven, to their current status as a team that both supports Missions, as well as undertaking more ecosystem-level initiatives. This team, and subsequently their model, has faced the most Agency pressures amongst the four tested models in terms of how their strategy, focus, and activities should evolve. Past ecosystem level efforts, such as the Alliance for Affordable Internet and mWomen have influenced the conversations in the connectivity space, but it has been difficult to provide substantial evidence of USAID's distinct contributions to outcomes from these initiatives thus far. More recent work that combines infrastructure activities alongside Mission engagement, like the work with USAID/Liberia and USAID/Uganda, that also engages the private sector has had more attributable success in both impacting the USAID development enterprise as well as country-level ecosystems. This team supports four Missions, alongside larger alliance and challenge initiatives, research, and enabling environment work with four FTEs and a budget of $2-3 million in programming funds per year.

Most Effective Model Structure

For internal acceleration of innovative practices, where responsibility for scale can be managed by a more traditional operating unit, **the Lab-Wide Priority model is a particularly effective model and staffing structure**. Bringing together a dedicated team with both Agency familiarity and unique technical expertise in the relevant innovative practice enables an accelerated time frame for achieving initial internal uptake and proof of concept. Ensuring this type of team has an adaptive and action-oriented team culture, with a strong learning component, further ensures the efficacy of the model. The ability of a well-equipped, dedicated team to implement this work is also partially dependent on their ability to leverage a diverse range of resources from other teams, like D2FTF did in their engagements with DFS, iDesign, PEER, and a multitude of other Lab teams.

The Lab-Wide Priority model is less effective for more long-term initiatives that are focused on outcome-level changes or ecosystem initiatives, as well as those that require extensive work with external USAID actors. This type of work is more successful without the time pressure of a limited engagement. A longer engagement period is needed to build trust and sustainable relationships with external parties and achieve longer-term outcomes for these type of initiatives. This does not mean that

ecosystem work should have no end date, rather that it should set outcome targets and establish an exit strategy based on those targets (as the SOGE team did). For this type of work, there is insufficient evidence around what type of model is best, only which model provide a less conducive structure.

When considering more traditional models (long-term teams), **the current DFS model is a productive, yet adaptable structure to achieve uptake both internally and externally**. A healthy balance between internal uptake and ecosystems activities requires an effective Mission engagement strategy, maintenance of a network of champions, and sufficient team expertise and time to dedicate towards technical assistance and relationship maintenance. This, coupled with efforts to build market intelligence and active participation in sectoral partnerships, supports effective internal and external uptake. The more robust the network of champions and dedicated team resources, the quicker this model can achieve scale. This model also benefits from a dedicated learning function that leverages data towards quick adaptations and pivots that respond to operational efficiency, contextual factors, emergent lessons learned, and growth in the sector.

The Mission Engagement Strategy

Robust evidence across all models demonstrates the following components are essential to achieve effective and efficient buy-in with USAID Missions:

1. The **Lab staff** must have **unique technical expertise** to support a Mission in their offerings. Sourcing to implementing partners alone is insufficient.
2. Offerings should be **sourced from a sectorally, and context-specific assessment** that identifies gaps in the sector.
3. Offerings must **align with Mission priorities,** at a minimum including the following three: the CDCS, relevant high-level strategies (such as the Global Food Security Strategy), and Office-level interests.
4. Lab teams should **utilize pre-existing entry points** and/or relationships to initiate the engagement.

The implication of these conclusions becomes clear when considering the current attrition of staff and difficulties in hiring facing the Lab (and the Agency more broadly). **As staff with key technical expertise leave and are unable to be replaced, Lab teams lose the unique value they provide** in supporting Missions and advancing their use of innovative development solutions. This expertise and capacity is not being replaced at the Mission-level. This will not only impact the efficacy of team's work through the transition, but **should also be a key consideration in staffing strategy for the new Bureau.**

The evidence from the Developmental Evaluation also highlighted additional factors that support effective and efficient Mission engagement related to relationship management, effective service offerings, and additional engagement best practices that go beyond the existing Mission Engagement Protocol and Best Practices documents. These are available through more detailed deliverables on the Uptake DE internal Lab page.

Internal Uptake

Evidence regarding internal efforts to scale, integrate, and accelerate innovations clearly demonstrates that the Lab has an effective niche is changing the Agency's development enterprise to be more efficient,

effective, and innovative internally. Data from more than six Mission engagements demonstrated considerable operational changes from business as usual, programmatic improvements, as well as ancillary benefits of more robust marketplaces and stronger, more collaborative networks of development and private sector actors.

Customer-service oriented teams with intentional uptake strategies have been able to greatly enhance USAID development initiatives in a handful of countries, and could scale their efforts further with dedicated resources.

Ecosystem Initiatives

In order to speak to the efficacy of these initiatives in the future, more data is needed on both the milestones towards ecosystem-level outcomes and the distinct USAID contribution to the change pathway. Milestone metrics are especially important given the amount of time often required to effect ecosystem change compared to traditional project cycle lengths. The DE found that external efforts to accelerate markets, build infrastructure, and influence ecosystems have not consistently yielded substantial outcomes to date and there is insufficient evidence of a distinct USAID contribution to many of the outputs that exist. Only two ecosystem-level outcomes were able to be substantiated through the outcome harvesting efforts assessing six workstreams with multiple enabling environment oriented activities tracing back to 2013.

Next Steps

In moving towards broader, intentional adaptations to implement the above-mentioned best practices, the following next steps should be considered:

1. The data-driven **best practices on Mission engagement should be shared and implemented across all Lab teams**, and to relevant teams in other Operating Units as soon as possible. The DE is currently working on a more expansive, evidence-based Mission Engagement Playbook that could be part of that dissemination strategy.
2. Any new initiatives focusing on scale, integration, acceleration, and/or uptake should **determine their internal versus external uptake objectives before consolidating a team,** and choose one of the DE-identified effective models for uptake as their implementation structure. This would be the Lab-Wide Priority model for internal uptake of innovative practices, and the DFS structural model for dual uptake objectives (internal and external) that requires more long-term implementation to see scale or outcomes.
3. Any ecosystems level or **external uptake work must have stronger outcome-level indicators with dedicated monitoring, evaluation, and learning efforts** to build learnings and evidence around the USAID specific contribution to this type of work.
4. The evidence from the DE concerning Mission engagement and uptake are not exclusively applicable to teams under the Global Development Lab, and as such should be **intentionally disseminated to other relevant Operational Units** with an eye towards implementation.

RESEARCH QUESTION 2 – ECOSYSTEMS SPECIFIC

Outcome Harvesting Efforts and Findings from the Uptake Developmental Evaluation

May 2018

This document provides an overview of the purpose, methodology, findings, conclusions, and recommendations from an evaluative effort that examined what ecosystem initiatives from the developmental evaluation (DE) stakeholder teams have achieved to date. This effort was conducted under the Uptake DE's Research Question #2: *How do we determine which current Lab approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can we learn from Lab models?*

Purpose of the Study

As part of Research Question #2, the teams asked the embedded evaluator to examine the various DE stakeholder teams' approaches to achieving uptake under enabling environment work or ecosystem initiatives.[12] The goal of this effort was not to provide a performance-based judgement on one approach or another. Rather, the DE intended to understand 1) how this work interplays with the more internal (Agency-focused) uptake work the teams are doing, 2) outcomes of this work to date given that efficacy markers have largely been grounded in anecdotes and/or output-level data, and 3) share lessons learned regarding what has or has not worked within the teams' models and USAID's particular role to play in ecosystem initiatives.

Methodology

This evaluative effort used an outcome harvesting approach. Outcome harvesting was chosen due to the lack of consistent and documented data on the impact of ecosystems initiatives to date. Establishing what sustained uptake-related outcomes have come from this work will help teams to 1) better articulate their distinct value-add and 2) replicate effective pathways towards ecosystem change. Further, understanding the emergence of those outcomes and their relative significance was anticipated to support the teams in adapting their ecosystems initiatives, drawing on lessons learned about strategies that best leverage USAID's particular contributions to these spaces.

Definitions: For the purpose of this evaluative effort, "ecosystem-level outcome" was defined as: an outcome from a market acceleration, infrastructure, or other enabling environment effort that has achieved sustained uptake. Sustained uptake includes, but is not limited to; implementation/rollout of a policy, demonstrated proof of private sector partners acting upon a commitment, scale at the desired unit of analysis, or improvement of a market barrier. The key determination is centered around ownership and action by the target audience.

Outcomes can be at both the levels of a country market and/or the global market, as both are considered ecosystem work by the DE stakeholder teams. This definition is in line with the Objective Level indicators and language of the Strategy Refresh CDD Results Framework, approved by all CDD teams in early May 2018.

Outcome Harvesting Process: The DE first identified which ecosystem initiatives each team would like the focal area for the outcome harvesting. Given the number of team and ecosystem workstreams, the DE focused on two workstreams per team as a self-selected sample of ecosystem initiatives. Team Leads gave final approval for workstream selection. After protocol development, the embedded evaluator conducted a series of interviews with key stakeholders from the Lab teams, their core collaborative partners, and primary 'beneficiaries' as they relate to this work in order to identify a list of possible outcomes from each team's ecosystem initiatives. Once a preliminary list of outcomes were established for each team, the evaluation team intended to conduct a participatory prioritization exercise to identify the key outcomes that teams wanted to further substantiate. Given the lack of outcomes identified, all identified outcomes were analyzed to test substantiation.

Sampling: This evaluative effort employed purposive sampling. The initial purposive sample sought to capture the Lab staff that are best informed and discuss the ecosystems initiatives that have been done by the four DE stakeholder teams. From there, the evaluators reviewed the lists of possible interviewees provided and delineated a second and third grouping of interviewees. The first group consisted of core actors best able to identify outcomes from the ecosystems initiatives identified. The second group comprised others involved in activity implementation and anyone deemed a primary beneficiary (Missions, government partners, awardees) that can help substantiate the prioritized outcomes. A final grouping was composed of anyone that could contribute to substantiating outcomes, but was more tangentially involved according to teams and other interviewees.

Outcomes Substantiated

1. The DFS Team's work digitizing salary payments with the Ministry of Education and Ministry of Health in Liberia led to a decrease in time and resources required for teachers and health workers in select districts to retrieve their salary payments.
2. USAID's engagement and investment in the Alliance for Affordable Internet created an unbiased voice on connectivity issues, raising awareness and collaborative efforts around internet affordability.
3. mWomen raised awareness around women's digital access and participation issues towards a global conversation, which encouraged long-term funding around the digital gender gap.

Findings, Conclusions, and Recommendations

The outcome harvesting effort was unable to substantiate other ecosystem outcomes due to lack of evidence. Of the three outcomes above, the connection to development impact is tenuous for the more global initiatives. The scale of the work in Liberia has not of yet reached ecosystem-level impact. The lack of ecosystem-level outcomes more broadly across the six workstreams highlighted strategic-level problems the teams are facing. One of these strategic problems is the time it takes to realize ecosystem-level outcomes versus the relatively short reporting deadlines and leadership's expectations for results. Another strategic-level problem is that teams did not have robust theories of change, i.e. those supported by evidence of the causal linkages in those theories, or outcome-level milestone indicators available to track progress towards those changes. As such, the DE is unable to make any conclusions as to the efficacy of these initiatives. In order to speak to the efficacy of these initiatives in the future, more data is needed

on both the milestones towards ecosystem-level outcomes and the distinct USAID contribution to the change pathway. Milestone metrics are especially important given their ability to provide supplemental reporting data of progress towards the objective-level goal. Any ecosystems level or **external uptake work must have stronger outcome-level indicators with dedicated monitoring, evaluation, and learning efforts** to build learnings and evidence around the USAID specific contribution to this type of work.

APPENDIX 2: SUBSTANTIATED OUTCOME DESCRIPTIONS

1. **The DFS Team's work digitizing salary payments with the Ministry of Education and Ministry of Health in Liberia led to a decrease in time and resources required for teachers and health workers in select districts to retrieve their salary payments. (Clear and detailed but emergent)**

   The DFS team's efforts with the Liberian government to test the impact of converting teacher and health worker salary payments to digital payments has achieved clear results over the past year. Twenty percent of public school teachers were enrolled as of March 2018 and this translated to a 96.4% reduction in time and a 55.4% reduction in cost to collect salary. Likewise, 1180 Ministry of Health employees were enrolled, leading to a 62.9% reduction in cost and a 79.2% reduction in time to receive salary payments. Beyond these direct benefits, this means teachers are spending more time in the classroom teaching and health workers more time in clinics, an average of an additional 10.6 hours on duty for those enrolled in digital salary payments. More comprehensive enrollment may eventually lead to improved education outcomes over the long-term. However, with only 20% of staff enrolled and the Liberian government not yet signed onto broader application across their ministry departments, this is an emerging ecosystem-level outcome. This outcome had the most third party data available, and was the most directly tied to USAID efforts from the outcome harvesting effort. Recommendations were made to the DFS team to continue an additional year of programming (the program ended in March 2018 after only one year of implementation) in order to solidify government buy-in, capacity support coming from the DFS Working Group, and scale the program past the tipping point.

2. **USAID's engagement and investment in the Alliance for Affordable Internet (A4AI) created an unbiased voice on connectivity issues, raising awareness and collaborative efforts around internet affordability. (Ecosystem-level outcome, but unable to connect to development outcomes. Contribution is clear.)**

   USAID as a seed funder, convener, and neutralizing force amongst industry stakeholders enabled A4AI to gain credibility and significance in the global affordable internet dialogue, according to data collected under the developmental evaluation. As such they've been able to influence tax and internet laws in Ghana and Liberia respectively, and change UN Broadband Commission targets. Those policy efforts have not yet seen implementation and therefore there is no data yet on their ecosystem-level impact. The affordability conversation and market expansion efforts were already underway by industry leaders, but data demonstrates that USAID had a clear neutralizing effect on how A4AI was/is perceived.

3. **mWomen raised awareness around women's digital access and participation issues towards a global conversation, which encouraged long-term funding around the digital gender gap. (Ecosystem-level outcome, but unable to connect to development outcomes and validate MNO actual numbers versus commitment projections. Unique contribution is tenuous- evaluation team is unable to determine if this would have been a natural progression of the information age with or without USAID highlighting this issue.)**

mWomen contributions include facilitating acceleration of the industry to serve more resource-poor women, as seen through continued marketing of mobile phones and devices to women inresource-constrained communities and continued commitments from MNOs, as well as through the follow-on projects of Connect Women by GSMA and Women Connect by USAID. USAID's direct contribution to this is in both the role as funder to the mWomen initiative, but also as a convener of stakeholders in this space, legitimizing the importance of the issue and disseminating pertinent information related to the breadth and depth of the issue as it was available.

ANNEX 3: MAJOR DELIVERABLES

MISSION ENGAGEMENT PLAYBOOK

The Mission Engagement Playbook is available to the public and can be accessed online here.

ONE-PAGER ON ACHIEVING EFFECTIVE UPTAKE

The one-pager on Achieving Effective Uptake is available to the public and can be accessed online here.

ONE-PAGER ON 10 STEPS TO BETTER MISSION ENGAGEMENT

The one-pager on 10 Steps to Better Mission Engagement is available to the public and can be accessed online here.

ONE-PAGER ON STRENGTHENING ECOSYSTEM INITIATIVES

The one-pager on Strengthening Ecosystem Initiatives is available to the public and can be accessed online here.

ONE-PAGER ON CREATING AN ADAPTIVE, ACTION-ORIENTED TEAM

The one-pager on Creating an Adaptive, Action-Oriented Team is available to the public and can be accessed online here.

ANNEX 4: SUSTAINED UPTAKE PILOT CODING HIERARCHY AND FREQUENCIES

CODE	FREQUENCY
DECISION-MAKING	13
DECISION MAKING PROCESS	203
DECISION MOTIVATING FACTOR	32
DECISION POINT	57
DECISIONS MADE W/O IMPLEMENTATION	10
IMPLEMENTATION PROCESSES	219
INDECISION POINT	1
NEGATIVE DECISION	7
POSITIVE DECISION	11
DEFINITIONAL	1
ACCELERATION	0
ADOPTION	2
ENABLING ENVIRONMENT	1
INTEGRATION	3
OTHER	5
SCALE/SCALING	16
SUSTAINABILITY	2
DEVELOPMENTAL EVALUATION	0
ACCULTURATION	3
BARRIER	13
ENABLER	16
LESSON LEARNED	0

OTHER	1
DE CROSSOVER	0
DE OUTCOMES	8
DE RECOMMENDATION	2
ENGAGEMENT WITH EVALUATOR	17
EXPRESSED CONCERNS	0
IMPLEMENTATION LESSON LEARNED	2
POTENTIAL RESEARCH QUESTIONS	10
PROGRESS/SHIFT OF DE	14
STAKEHOLDER EXPRESSED DESIRED OUTCOMES	6
ENABLING ENVIRONMENTS WORK	98
DFS- B	0
DFS- SIERRA LEONE	44
OUTCOME 1	32
OUTCOME 2	4
OUTCOME 3	8
DIGITAL INCLUSION- A4AI	26
OUTCOME 1	5
OUTCOME 2	29
OUTCOME 3	4
OUTCOME 4	4
OUTCOME 5_EMERGING	2
DIGITAL INCLUSION- MWOMEN	10
SOGE-NIGERA	18
OUTCOME 1	18

OUTCOME 2	5
SOGE-UGANDA	0
TYPES OF EVALUATOR WORK	7
FUTURE OF LWPS	66
INFLUENCING FACTORS	77
AGENCY ENABLING ENVIRONMENT	107
CHAMPION	160
CURRENT POLITICAL CLIMATE	37
EXISTING PRACTICES	46
LEADERSHIP	172
ORGANIZATIONAL CULTURE	238
ORGANIZATIONAL STRUCTURE	103
OTHER	91
EVIDENCE/HISTORICAL LESSONS LEARNED	498
M&E	242
STAFF CAPACITY	262
+	191
-	84
RECOMMENDATIONS	276
ROLES AND RESPONSIBILITIES	211
TURNOVER/ATTRITION	33
NPE RELEVANT	0
PROCESS TRACING	1,514
HYPOTHESIS 1	271
FAILING	0

PASSING	0
RIVAL HYPOTHESIS	0
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 10	208
FAILING	28
PASSING	161
RIVAL HYPOTHESIS	40
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 2	162
FAILING	0
PASSING	0
RIVAL HYPOTHESIS	0
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 3	270
FAILING	0
PASSING	0
RIVAL HYPOTHESIS	0
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 4	252
FAILING	0
PASSING	0
RIVAL HYPOTHESIS	0
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 5	248
FAILING	38

PASSING	95
RIVAL HYPOTHESIS	147
SUPPORT FOR RIVAL HYPOTHESIS	4
HYPOTHESIS 6	247
FAILING	47
PASSING	134
RIVAL HYPOTHESIS	33
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 7	207
FAILING	41
PASSING	132
RIVAL HYPOTHESIS	27
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 8	204
FAILING	131
PASSING	48
RIVAL HYPOTHESIS	19
SUPPORT FOR RIVAL HYPOTHESIS	0
HYPOTHESIS 9	214
FAILING	0
PASSING	60
RIVAL HYPOTHESIS	163
SUPPORT FOR RIVAL HYPOTHESIS	0
QUESTIONS	0
NOTES	0

RELEVANT ACTOR	155
BFS	281
CDD	36
D2FTF	2,070
DFS	628
DIGITAL INCLUSION	395
EIA	10
IP/INVESTOR/PARTNER	1,233
LAB LEADERSHIP	204
MISSION	418
NEPAL	1,276
NIGERIA	0
PERU	0
PHILIPPINES	0
RWANDA	100
SIERRA LEONE	6
UGANDA	1,379
OTHER (AGENCY)	394
OTHER (EXTERNAL)	791
POWER AFRICA	286
SOGE	608
SPECIFIC RECOMMENDATION	142
IDENTIFIED BROADER OPPORTUNITIES	44
SUPPORTIVE EVIDENCE	40
TO WATCH	121

WHAT DOESN'T WORK	90
CAPACITY/SKILL	85
CONTEXTUAL FACTORS	82
ENGAGEMENT	208
EVENTS/ SPECIFIC ACTIVITIES	127
EXAMPLES	56
EXTERNAL COMMUNICATIONS	12
FUNDING/FINANCES	77
LOGISTICS	74
PEOPLE/RELATIONSHIPS	101
COORDINATION	48
STAKEHOLDER BUY-IN	15
PROCESS	100
EVALUATION CRITERIA/PROCESSES	25
SUPPORTIVE EVIDENCE	7
TOOL	10
M&E, DATA	16
WHAT WORKS	156
CAPACITY/SKILL	293
DELIVERABLES	12
SUPPORT ON THE GROUND	65
CONTEXTUAL FACTORS	307
ENGAGEMENT	568
KNOWLEDGE OF EXISTING PROGRAMS/PROJECTS	51
LEVERAGING EXISTING STRATEGIES	105

PARTNERSHIP APPROACH	94
SPECIFICITY OF RECOMMENDATIONS	23
EVENTS/SPECIFIC ACTIVITIES	503
EXAMPLES	119
EXTERNAL COMMUNICATIONS	69
FUNDING/FINANCES	251
LOGISTICS	93
PEOPLE/RELATIONSHIPS	486
COORDINATION	456
STAKEHOLDER BUY-IN	74
PROCESS	277
EVALUATION CRITERIA/PROCESSES	129
TOOL	128
M&E, DATA	254
WORKING RELATIONSHIPS STRUCTURE	65
TOTALS	**25,356**

ANNEX 5: METHODOLOGICAL DETAILS OF EVALUATIVE ACTIVITIES

PRE-WORKSHOP RESEARCH

The Evaluator developed the design report as a plan for initial DE research prior to delivery of the Acculturation Workshop— namely though key informant interviews (KIIs) with key D2FTF and SOGE stakeholders.

FOCUS OF THE STUDY

PURPOSE OF THE RESEARCH

The purpose of these interviews is to collect sufficient data regarding rhetoric around scaling and the definitions used by USAID Global Development Lab staff, understand the desired outcomes and expectations around the implementation of the Developmental Evaluation, identify existing ideas for research questions among Lab Staff, and collect any other priority current and historical Lab-related information to inform the development of the Acculturation Workshop to be held on May 1st and 2nd. Given the specificity of the information needed and the desire to ensure the Workshop is tailored for the desired focus and level of acculturation of Lab staff, key informant interviews were determined to be the best way to go about collecting this data, in addition to ongoing document review of requested documentation from EIA, LWP 2, and LWP 3, as well as more informal conversations that are occurring as the evaluator is embedding into the Lab.

KEY DELIVERABLES

1. A refined Workshop Agenda that incorporates existing drafted workshop ideas and builds on the focus and structure of the Workshop based on feedback and incorporating content from the interviews.
    a) A list of inclusive and refined research questions with an identified priority research question based on interview data to suggest at the Workshop.
    b) Definitions sourced from Lab staff concerning scaling, integration, adoption, sustainability, and any additional related rhetoric to inform discussions around agreed upon working definitions and renaming of the DE.
    c) An understanding of the various key stakeholders' level of acculturation to developmental evaluation to determine what acculturation exercises are best suited for the audience.
    d) Identified barriers, enablers, and expectations at this early stage of what the DE will be able to accomplish and how it will be able to integrate into the various Lab teams.
2. Data will also be coded for more ongoing analysis towards the priority research question(s).

INCLUSION/EXCLUSION CRITERIA OF PARTICIPANTS

Participants/Interviewees were selected based on the need to speak with key decision-making and leading staff of each LWP, EIA, and the Global Development more broadly. These key decision-makers are also some of the existing and necessary champions to ensuring the successful implementation of the DE, as well as crucial to building buy-in and ownership in a priority research question(s). The expectations of these stakeholders will influence the perceptions of success, value add, and responsiveness of the DE. Knowing that more KIIs will be necessary in order to collect the necessary data for the research question(s), once decided upon, we also wanted to minimize the burdens to the teams on the number of interviews/time required by the Evaluator at this stage, as well as ensure the interviews were right-sized to ensure sufficient but not superfluous input into the Acculturation Workshop.

DATA MANAGEMENT

HOW DATA (AND RECORDS) WILL BE COLLECTED, STORED, AND SECURED

All interview notes will be collected either via transcribed Word files or via written documentation that can then be uploaded to the appropriate destinations. The notes will then be stored on Google Drive within the private DEPA MERL Consortium Working folder that currently has restricted access for just the active members of the DEPA MERL Consortium from the implementing partners who have all signed an NDA associated with their contracts, as well as select members of the EIA staff at the Global Development Lab, primarily the COR on the DEPA MERL contract. Notes containing any information that the interviewee identifies as SBU or otherwise sensitive will be further restricted to access by just the Evaluator. Notes will also be uploaded and coded into Dedoose, utilizing the secure Dedoose Cloud drive. Quotes will be anonymized in any reports or other outputs from these KIIs, and any sharing of data otherwise will have all sensitive files scrubbed from the shared data set.

INFORMED CONSENT

DESCRIPTION OF CONSENT/ASSENT PROCESS

Each participant will be briefed on the purpose of the interview and given an overview of the content and focus of the interview questions. Participants will then be told about the process of information collection, analysis, and what they should expect to hear and/or receive back from the research process and within what timeline, mostly focusing on seeing their input directly in the content and in shaping the Acculturation Workshop Agenda without any personal identifiable information. The Evaluator will then explain the intended data usage and storage procedures and verbally ask for informed consent. If consent is given, the Evaluator will transcribe consent. If consent is not given, the interview will be terminated and any early notes taken deleted.

STUDY METHODS AND PROCEDURES

STUDY DESIGN

This is not a full study, rather a small set of KIIs being utilized to inform the design and content of the Acculturation Workshop to kickoff the Developmental Evaluation for the USAID Global Development Lab. In order to keep the data collection burden small and have a lean intervention impact, identification of key informants was minimized to those we felt would provide sufficiently detailed information for development of a robust and informed Acculturation Workshop. Other necessary information and validation, when necessary, will be pulled from document review. Additional interviews with a larger batch of stakeholders is anticipated post-Workshop targeting data needs to inform DE research based on the prioritized research question.

The KIIs themselves will be semi-structured interviews focusing on the rhetoric around scaling and the definitions used by USAID Global Development Lab staff, understand the desired outcomes and expectations around the implementation of the Developmental Evaluation, identify existing ideas for research questions among Lab Staff, and collect any other priority current and historical Lab-related information. In total 12 interviews are currently being scheduled with 4 EIA staff, the Acting Executive Director of the Lab, three LWP 2 staff, three LWP 3 staff, and Kristin Cronin who drafted the PMP for the Lab. These interviews will be paired with data from ongoing document review from shared Lab documentation according to the following coding hierarchy (which is up for adaptation itself).

LIMITATIONS

Given the timing of these KIIs, there are implications of shifts in rhetoric and opinions based on the more recent budget and other discussions happening at USAID that may not hold true for more long term perspectives and desires for the DE. If politically possible, this will be specifically touched upon in the interviews.

As mentioned, this is a lean approach to informing the Acculturation Workshop and the Evaluator acknowledges that not all Lab voices, opinions, and DE ideas will be captured through this process. Given the intentional participatory process and already scoped sessions of the Acculturation Workshop, there will be opportunities for all relevant stakeholders to contribute to the formation of the research question(s), working definitions, and other preliminary DE deliverables even if these stakeholders are not involved in this first round of KIIs.

ANALYSIS PLAN

The KIIs, along with currently shared Lab documentation, will be inputted into Dedoose and coded according to the above referenced coding hierarchy (which is inclusive of anticipated future coding nodes in addition to nodes specific to the Acculturation Workshop). Data will collectively be analyzed to determine which teams utilize which "scaling" rhetoric, whether there are gender implications for how 'scaling' is discussed, and the influence of external and/or historical evidence to these conversations and use of "scaling" rhetoric and implicit definitions. Analysis will also look at patterns and themes emerging from all the suggested research questions, using graphic representation of references to particular questions if relevant, and leading to the selection of one or two priority research questions to be suggested at the Workshop. The data will further be analyzed to identify any barriers and enablers that might indicate current levels of acculturation and any significant possible 'sticky' aspects of acculturating the stakeholders. This will influence the structure of the Workshop Agenda, as well as the sessions content. The data is also being coded into the broader DE project file and will potentially contribute to analysis further down the line regarding the prioritized research question(s).

INTERVIEW QUESTIONS

***Not all questions are relevant for all interviewees. A question matrix to identify which questions will be asked of what interviewees has been added to the KII list.

DE FAMILIARITY/PRELIMINARY READINESS:

1. If an opportunity to adapt in order to improve programming comes up, what is the decision making process on your team?
2. Can you give me a recent example of how your team has adapted or changed an approach based on lessons learned?
    a. How is implementation of the decision going?
3. Have you heard of developmental evaluation before? If so, how?

[If affirmative answer for #3, ask the following]

4. Do you think developmental evaluation is an appropriate fit for the Global Development Lab? If so, why?
5. Do you think developmental evaluation is an appropriate fit for your particular team? If so, why?
6. How would you describe the role of the Evaluator?

a. How do you see the Evaluator integrate into the work of your team?

DEFINITIONS OF SCALE, INTEGRATION, AND ADOPTION:

7. What are some key terms you use regarding your efforts to increase uptake of your team's activities?
8. How do you define [*insert key term(s) mentioned in #1*]?
9. What are terms or definitions of terms that you see used regularly that are worrisome to you? Why do they concern you?
10. What would your preferred name be for the DE that encompasses what you think the focus should be?

DE RESEARCH QUESTIONS, DESIRED OUTCOMES, AND CONCERNS

11. What would you like to learn from the DE?
12. Do you have any questions in mind that you'd like the DE specifically to tackle and hopefully answer?
13. If time and resources only allowed for one outcome from the DE, what would your preferred outcome be? Would that satisfy you?
14. What concerns do you have about the implementation of the DE?
    a. External implications on its implementation?
    b. Any barriers to successful implementation that you see?

RQ #1 INCEPTION REPORT

The Evaluator developed the design report to lay out a plan to respond to RQ1.

Focus of the Study

DE Research Question #1: What are the conditions and working relationships necessary in the LWPs, the Lab, and its partners to achieve sustained uptake internally (Missions and Bureaus) and externally?

Purpose of the research

The purpose of these interviews and focus groups is to contribute to data collection to answer the DE Research Question #1, cited above. The focus of these conversations will particularly focus on the working relationships of the LWP teams, attempting to understand the preferred and perceived 'strong' relationships by the LWP teams, the 'weakest' relationships and ones that cause frustration, and their conceptualization of what a strong or weak relationship is as it relates to achieving sustained uptake. Further data collection will take place directly with selected partners that exemplify perceived strongest and weakest relationships to the LWP team to determine if it is a mutual perception and better identify any replicable conditions, processes, SOPs, etc. to foster more positive and productive working relationships to achieve sustained uptake.

Key Deliverables

1. A mini report out on identified conditions and working relationship components from team interviews and focus groups.
2. Immediate feedback to teams as emerges related to enhancing and/or adapting existing relationships.
3. Requests to teams for strategic follow on interviews with key partner POCs.
4. Data will also be coded for more ongoing analysis towards the priority research question(s).

Interviewees

First Round:

1. SOGE:
    a. [name]
    b. [name]
    c. Full team Focus Group on Power Africa relationship
2. D2FTF
    a. [names] around Uganda Mission and IPs
    b. **Determine if Nepal or Cambodia is stronger relationship wise and then set up an interview with either [name] or [name]
    c. Full team Focus Group on BFS relationship

Second Round:

TBD based on extent on information collected in first round and gaps to fill before contacting partners outright.

Update: 06.21.2017

1. SOGE:
    a. Sarah Bieber- Shell Foundation
    b. Shell Foundation: Pra[names]deep and Gareth
    c. Vitalite
    d. GLP
    e. Power Africa: MHR and [name]
2. D2FTF:
    a. Nepal Mission POCs- conference call focus group possible
    b. BFS:
    c. [name]
    d. [name]
    e. Data Working Group

Inclusion/Exclusion Criteria of Participants

Participants/Interviewees were selected based on the need to speak with key LWP partner POCs, or those holding/managing relationships with core partners, the team-identified 'strongest' relationships, and the team-identified 'weakest' relationships. Focus groups were done with all core members of the LWPs who are fully situated within the LWP portfolio and regularly work with or communicate with the partner Bureau.

Knowing that more KIIs will be necessary in order to collect the necessary data for the research question(s), including a second round needed for this question both with LWP staff, as well as a round with select partners themselves, we wanted to minimize the burdens to the teams on the number of interviews/time required by the Evaluator, as well as ensure the interviews were right-sized to ensure sufficient but not superfluous data collection to answer the research question(s).

Data Management

How will data (and records) be collected, stored and secured

All interview notes will be collected either via transcribed Word files, Google Docs, or via written documentation that can then be uploaded to limited access folders on the DEPA MERL Google Drive. For SBU content or otherwise sensitive material, it will either remain offline until approval is received or uploaded to a separate folder with access limited to the Evaluator (and persons sharing the file if relevant). Most notes will be stored on Google Drive within the private DEPA MERL Consortium Working folder that currently has restricted access for just the active members of the DEPA MERL Consortium from the implementing partners who have all signed an NDA associated with their contracts, as well as select members of the EIA staff at the Global Development Lab, primarily the COR on the DEPA MERL contract. Notes will also be uploaded and coded into Dedoose, utilizing the secure Dedoose Cloud drive. Quotes will be anonymized in any reports or other outputs from these KIIs, and any sharing of data otherwise will have all sensitive files scrubbed from the shared data set.

Informed Consent

Description of consent/assent process

Each participant will be briefed on the purpose of the interview and given an overview of the content and focus of the interview questions. Participants will then be told about the process of information collection, analysis, and what they should expect to hear and/or receive back from the research process and within what timeline, mostly focusing on seeing their input directly in the content for identified, and yet to be identified, points of input for the DE, without any personal identifiable information. The Evaluator will then explain the intended data usage and storage procedures and verbally ask for informed consent. If consent is given, the Evaluator will transcribe consent. If consent is not given, the interview will be terminated and any early notes taken deleted.

Study Methods and Procedures

Study design

This is a small set of KIIs and a handful of focus groups (one for each LWP around the partner Bureau relation, with a potential third with Mission POCs within the Lab) being utilized to answer the DE prioritized Research Question #1 listed above. In order to keep the data collection burden small and have a lean intervention impact, identification of key informants was minimized to those the Evaluator felt handled and knew the outliers, both the bright spot relationships that were perceived as the most effective at achieving or contributing to sustained uptake, as well as those that have proved the most frustrating or have not been as productive as anticipated. This selection was made in order to help formulate a theory and to identify conditions for working relationships (the identification, implementation, and management) that should be avoided and those most effective at contributing to sustained uptake.

Data collection started with light-touch stakeholder mapping conducted with both LWPs. It was completed in two rounds including a brainstorming session and then a request for input into a partially completed database built from the brainstorming session. Both rounds were supported with visualization of the stakeholder map given to the individual teams to confirm and refine the relationships. As is appropriate, helpful to the teams, and relevant to answering the DE research questions, the stakeholder maps will be refined and built up with additional partner-related data. First round KIIs and the need to do partner Bureau focus groups for each LWP came from identification of strategic and particularly influential or troublesome partnerships. Sampling was done based on this information, paired with ongoing findings from document review and data from the pre-Acculturation Workshop round of KIIs.

Sampling over the course of the DE and in response to the research questions is theoretical and therefore iterative in nature, also reasoning why second round interview candidates from the partners have yet to be selected (see above), and with theories developing throughout data collection and analysis regarding each prioritized research question.

Other necessary information and validation, when necessary, will be pulled from document review. Additional interviews with a larger batch of stakeholders, including select partners, is anticipated.

The KIIs and Focus Groups themselves will be semi-structured focusing on Partner Setup, Roles and Responsibilities, Communication, Looking Forward, and Comparative questioning. Additional document review will include targeted analysis of selection processes and criteria. The total number of interviews and focus groups to answer Question #1 has yet to be determined, but will occur in rounds and progress

as necessary to achieve reasonable saturation. These interviews will be paired with data from ongoing document review from shared Lab documentation according to the following coding hierarchy (further adaptation and refinement of which will continue during coding of these interviews as themes and patterns emerge around Research Question #1).

Limitations

As with the pre-Acculturation Workshop KIIs, there are still implications of shifts in rhetoric and opinions based on the continued budgeting and restructuring discussions happening at USAID that may not hold true for more long term perspectives and desires for the DE. This is specific reviewed, coded for, and analyzed from ongoing meetings and in interviews where and when appropriate.

Stakeholder mapping and partner commentary has been subjectively provided by LWP team members thus far. The effectiveness and productivity of the 'strongest' identified relationships will be compared to their reporting to date, outputs and outcomes related to sustained uptake to verify perceived levels of efficacy. A second round of data collection will also be done on the partner side, as mentioned, to see if perceptions are mutual related to the strengths and/or weaknesses as applicable of the partnership(s).

Analysis Plan

The KIIs and Focus Groups, along with currently shared Lab documentation, requested company profiles, any reporting obtained, and relevant notes from other meetings that highlight partner interactions and working relationships, will be input into Dedoose and coded according to the above referenced coding hierarchy (which is inclusive of anticipated future coding nodes in addition to nodes specific to the Research Question #1). Data will collectively be analyzed to determine both individual and comparative elements of effective and 'frustrating' working relationships as it relates to achieving goals around sustained uptake. Analysis will also look at patterns and themes emerging from all the suggested research questions, using graphic representation of references to particular questions if relevant. The data will further be analyzed to identify any barriers and enablers that might indicate current avenues for adaptations of existing relationships, and any possible input into upcoming partnering decisions. The data is also being coded into the broader DE project file and will potentially contribute to analysis further down the line regarding the prioritized research question(s).

Focus Group

1. Focus groups are focused on the partnered Bureau relationship for each LWP (D2FTF with BFS; SOGE with Power Africa) and how those partnerships have enabled or created barriers to achieving sustained uptake for the LWPs and evolved over time.
    a. Can you describe the process of setting up your relationship with BFS/Power Africa?
    b. Was there anything unique about [names'] engagement with Power Africa/BFS that affected the partnership setup or progress?
2. People have spoken about the influence of having Judy Payne as a key influencer or Brian King's networking on the BFS side as critical to ensuring a working relationship with BFS. What about those relationships was unique (D2FTF only)? Are there any other pivotal people (both teams)?
3. Do you have an integrated work plan with your partner Bureau? How did it come about? Has it been successful? If so, in what ways?

4. What is the role of BFS's/Power Africa's ecosystem (i.e. budget, development policy, resources, leadership etc.) in relation to the LWP ecosystem? Has it enabled or inhibited the LWP work in any way?
5. How regular/frequent is communication with your partner Bureau? How involved are they in the day to day happenings of the LWP and how does that affect your work?
6. What are specific, identifiable barriers that prevent LWP work from happening as planned caused by BFS/Power Africa, if any?
7. What are frustrations in working with BFS/Power Africa, but perhaps are not barriers to the work itself?
8. What are bright spots, specific instances when things have gone smoothly or worked well in terms of achieving objectives towards sustained uptake? How was BFS/Power Africa engaged in that process?

Interview Questions

Partner Setup:

1. How did you identify this partner pre-evaluation through selection criteria? If there are selection criteria, can you share them?
2. How did you set up a relationship with this partner?
    a. Is it a formal partnership? What was necessary to make it formal?
    b. Did you engage or work together informally before it was official? If so, how?

Roles and Responsibilities:

1. How have you delineated the roles and responsibilities of this partnership?
    a. Is it formalized in any way?
    b. How have the roles and responsibilities changed over time?
2. How do you think you've held up to what you set forth that you or your team would do (LWP)?
3. How do you think the partner has done? Please give specific instances of when they have met and not met the set or perceived roles and responsibilities of this partnership.

Communication:

1. Are you able to get in touch with this partner when you need to?
    a. Are they responsive?
2. How effective do you feel the SOPs for communication are? Are they formalized, why or why not?
3. What has worked well in your communication with this partner?
    a. What has been the most difficult?

Looking Forward:

1. What is a bright spot event with this partner, something that went well that really stood out?
2. What has been this partner's most significant impact on progress towards sustained uptake within your LWP efforts?
3. What do you wish would improve with this partner, why?

Comparative Questions:

Shell Foundation (Maurice):

1. Why is this partnership a valued partnership?
2. Are there other partnerships that could have this level of significance for SOGE's work? If so, is there a strategy for engagement?

Pillar I (Maurice):

D.Light
Fenix
GLP
ORB Energy
PEG
Shinbone Labs
Village Energy
Vitalite

1. You labelled all the Pillar I partnerships as strong. What makes a strong partnership for you?
2. With 8 partnerships, there has to be some variance between them. Are there any standouts amongst the 8 grantees on Pillar I? Why are they a standout?
    a. Do all these grantees report about the same levels of expected outputs/outcomes?
3. Have all of these partnerships always been strong? What relationship was the easiest to setup and why? What relationship took the longest to setup and why?
4. D.Light seems to be a bit of a showcase partnership. Why is that?
    a. Is it a partnership model you'd like to replicate or do you have a better/stronger partnership in mind?

USAID PCM vs. USAID DIV relationships (Molly):

*Notes from SOGE Partner Map Data from Molly

USAID-Connectivity	Medium	Early stages of exploring how Connectivity/SOGE teams can collaborate

USAID- DIV	Strong	DIV provided significant support in last year's SOGE awards and regularly sends pipeline proposals to SOGE for review
USAID- PCM	Weak	Multiple attempts to engage PCM but capacity doesn't seem like it's there

1. You listed each partnership along a spectrum from weak to strong, what constitutes a strong partnership for you?
2. What do the different OU partnerships contribute or provide to SOGE (USAID Connectivity, DIV, PCM)?
3. What does SOGE provide to each of these OU partners?
4. How would you describe the capacity differences between DIV and PCM? How is the structure of those relationships different (level of POCs, how they interact with other OUs, etc.)?
5. How did you get DIV 'bought-into' the SOGE vision? Do you think that is why they send you pipeline proposals?
6. Was your DIV relationship always strong? How has it changed over time?
7. What would constitute a strong relationship with PCM for you? What are the specific barriers, even specificities around capacity that have prevented that type of relationship from developing thus far?

Norfund vs. rest of investor portfolio (Molly):

1. Is there a model for investor partnerships that you are aiming for? What are the unique implications of the energy sector and off-grid energy in particular in establishing and maintaining these partnerships?
2. How do you identify investor partners in this sector? Have you developed formal selection criteria/processes? Do you think they're effective?
3. What do you expect from an investor partnership? How are you capturing output or progress in these partnerships?
4. What does SOGE provide to these partnerships? How are you aligning with investor interests?
5. Even though you mentioned that there has been minimal engagement with each investor in the portfolio you maintain and mentioned these should be strong relationships in the future, you placed all relationships except Norfund at Medium. Why does Norfund standout? How has that partnership engagement differed from selection to implementation to ongoing management from others in the investor portfolio thus far?
6. You mentioned difficulties with Sunfunder, tensions related to identifying ideal funding channels. Did you go through a similar process with other investors? If so, why do you think it was more difficult with Sunfunder? How are you working towards resolving this?

Interviews/Focus Groups with SOGE/D2FTF partners:

7. (SOGE-Shell) Is there a model for investor partnerships that you are aiming for? What are the unique implications of the energy sector and off-grid energy in particular in establishing and maintaining these partnerships?

(SOGE- Shell) What do you expect from an investor partnership? How are you capturing output or progress in these partnerships?

8. Can you describe the process of setting up your relationship with SOGE/D2FTF?
    a. What was the most appealing aspect of the partnership?
    b. What were you most concerned about at the beginning, before starting the partnership?
    c. Were there any key people who were crucial to the process of securing the partnership? Why were they so important?
9. How have you delineated the roles and responsibilities of this partnership internally? How does that impact the partnership?
10. How regular/frequent is communication with SOGE/D2FTF? What information do you want from SOGE/D2FTF? Is there any way you would improve your communications?
11. What are specific, identifiable frustration or barriers in your opinion to effective work with D2FTF/SOGE?
12. What is one thing you would improve in the partnership?
13. In your opinion, what is the best outcome thus far from the partnership? What outcome are you most anticipating?
14. What is one thing you would want to replicate from the partnership (activity, process, person, etc.)?
15. How, if in any way, does this partnership influence your work?
    a. Your broader objectives in this sector?
    b. Thinking about this sector?
    c. Your future planning?
    d. Has engagement in this partnership spurred any additional activities, projects, or processes that are indirectly related, or that the Lab team is not a part of?
16. Are there any learnings from the developmental evaluation that you are particularly keen to hear about?

PROCESS TRACING

The Evaluator developed the following design report to guide work on the primary evaluative effort under RQ—a case study of the D2FTF, SOGE, DI, and DFS workstreams with SUAID/Uganda. This study employed process tracing to assess factors that contribute to successful or unsuccessful Mission engagements.

Purpose of the Study

A significant part of achieving sustained uptake of a particular intervention or initiative at USAID is dependent upon engagement with and uptake at Missions. Understanding the enabling factors for engagement at a Mission, such as interest, bandwidth, and resources, as well as efficacy of different processes of engaging the Mission, can help improve uptake efforts within the Lab and the Agency more broadly. USAID/Uganda presents a unique opportunity to examine these dynamics, as all four Lab teams: have ongoing work with this Mission; perceive the Mission to have a strong enabling environment; and currently have successful workstreams with the Mission, IPs, and even private sector actors in this space. Thus, the objective of the Uganda case study is to facilitate learning surrounding strategies to promote sustained uptake. This will complement the DE's wider efforts, as well as highlight contributing enabling environment factors to be used for Mission identification criteria in the future.

Evaluation Questions

The underpinning evaluation question for this study comes from the three main questions from the Uptake Developmental Evaluation. This Uganda Case Study is one evaluative effort among four data collection processes designed to answer DE Research Question #2:

How do we determine which current Lab approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can we learn from Lab models?

In addition to the overarching DE Research Question that led to this study, the evaluation questions this study seeks to answer are as follows:

1. How do Lab teams select Missions to approach? Are there some criteria that indicate more potential for uptake than others?
2. For the teams' work dependent on Mission uptake, how do they secure initial activities/partnerships with the Mission?
3. What are the turning points in engagement with the Missions? When does a Mission-Lab initiative solidify?
4. How effective are the various teams at achieving uptake with their audiences (available data to date)?
5. Are there some Mission engagement strategies that are more effective than others?
6. What are the barriers and enablers to engaging with a USAID Mission?
7. What are the contextual factors at the Uganda Mission that contribute to successful uptake of Lab-based initiatives?

Study Methods and Procedures

Study design

As noted above, the Lab's engagements in Uganda present a unique opportunity to compare and contrast the various teams' engagement strategies and enabling environment factors in the same context. The case study will further test the conclusions drawn in response to Research Question 1 about the teams' uptake strategies.

The team conducting the case study will employ a series of minimally invasive qualitative data collection and analysis methods. First, the team will develop a coding hierarchy, which it will use as it conducts an extensive document review (see section IX below for a preliminary list of documents). From this review, the team will develop a series of draft hypotheses in response to the guiding lines of inquiry for this case study. The hypotheses will suggest what types of approaches are or are not successful in engaging Missions. The team will triangulate these hypotheses by conducting a handful of Washington-based interviews with key stakeholders knowledgeable about the Lab's work streams in Uganda.

Once the team refines the hypotheses to the extent necessary, it will test them through a second round of data collection with Uganda-based stakeholders. The team will conduct KIIs and possibly a limited number of focus group discussions with USAID/Uganda staff, as well as local partners and counterparts. The DE team understands the need to minimize burdens on USAID/Uganda staff and thus will avoid planning for in-country data collection if at all possible; rather, it will plan to conduct KIIs remotely. However, the team may find through the course of the document review that it is essential to conduct a short TDY to Kampala to collect data essential to properly respond to the lines of inquiry.

The purpose of this second round of data collection will be to test the hypotheses generated in accordance with a Process Tracing methodology. Once all the data are coded and analyzed, the team will subject the hypotheses to four tests:

- 'straw in the wind', which lends support for an explanation without definitively ruling it in or out,
- 'hoop', failed when examination of a case shows the presence of a necessary causal condition, when the outcome of interest is not present. Common hoop conditions are more persuasive than uncommon ones
- 'smoking gun', passed when examination of a case shows the presence of a sufficient causal condition. Uncommon smoking gun conditions are more persuasive than common ones
- 'doubly definitive' passed when examination of a case shows that a condition is both necessary and sufficient support for the explanation. These tend to be rare.

The team will analyze the data through this framework and at the end of this case study, will be able to conclude with relative certainty that certain approaches have been more successful than others.

Sampling

This study will employ theoretical sampling both in the development of hypotheses to be used for process tracing, as well as for the purpose of testing those hypotheses. The initial purposive sample is based on those best informed from the Lab perspective to articulate the intended process of Uganda Mission engagement for each team. The hypotheses will then be tested in an iterative manner through engaging with three categories of participants: Mission staff working with the Lab Teams, other Lab staff working with the Uganda Mission, and Lab team external partners connected to workstreams with the Uganda Mission (ex: implementing partners that are delivery on services in-country in place of Lab team staff). Additional input may be solicited from each Lab team's team lead (current or active during initial Uganda

Mission engagement) in order to clarify and provide contexts to the hypotheses. Additional participants may be selected over the course of the iterative sampling process as they relate to the team's work or understanding USAID HQ to USAID Uganda Mission engagement processes. This sampling approach was selected as it best supports the chosen study design.

Inclusion/Exclusion Criteria of Participants

Interviewees were selected based on the need to speak with those managing, interacting, or participating in implementation of the Lab teams' workstreams with the Uganda Mission. There are no unique gender or other demographic criteria for inclusion or exclusion of participants, especially given the small sampling pool available when considering those who meet the first criteria. Team members that have worked on one discrete activity or as part of covering for another person for a short period of time (less than one month) are not anticipated to be included in the sampling. The iterative and selective nature of this sampling methodology will help right-size the case study, while also ensuring sufficient but not superfluous data collection to answer the research question.

Informed Consent

Each participant will be briefed on the purpose of the interview and given an overview of the content and focus of the interview questions. Participants will then be told about the process of information collection, analysis, and what they should expect to hear and/or receive back from the research process and within what timeline, mostly focusing on seeing their input directly in the content for identified, and yet to be identified, points of input for the DE, without any personal identifiable information. The evaluators will then explain the intended data usage and storage procedures and ask the interviewee to sign an informed consent statement (unless it is a remote interview, in which case the evaluators will solicit verbal consent). If consent is given (through the form or verbally), the evaluators will transcribe consent. If consent is not given, the interview will be terminated and any early notes taken deleted. For the verbal consent statement, see this document.

Interviewees

First Round: Lab Team Uganda POCs

- D2FTF: [name]
- DFS: [name]
- SOGE: [name] (gone); [name] (Power Africa)
- Digital Inclusion: [name]

Second Round: Mission staff working with Lab Teams

- To be mapped out in the First Round Interviews, for most recent Mission staff contacts, historical contacts, and connections through Lab Team POCs

Third Round: Other connected parties (Lab staff working on Uganda, other Lab team external partners and IPs working on their initiatives)

- Lab, CAI: [name]

- NetHope/SIA: [name]
- mSTAR: TBD
- ? : [name] (works with SOGE on the ground)
- More to be mapped out in the First Round Interviews with Lab Team POCs

Limitations

Due to the attention and amount of Lab interactions with the USAID Uganda Mission, there is likely survey fatigue among some members of the Mission staff. More importantly, there is already push back against any additional field work in Uganda by Lab staff due to the assumed perception that another evaluation effort seen to benefit the Lab, and which burdens Uganda Mission staff, would be unfavorable to Mission relations. The evaluation team is taking every precaution and necessary coordination step in both raising awareness of the possible need for a week or two of fieldwork in Uganda for this case study, as well as assessing the gaps in available data sources to determine the need and make a strong case for field work if necessary. KIIs with Mission staff will be necessary with or without field work, and each one will be purposefully selected and seek to minimize the time requests and any repetitive questioning on Mission staff. Connecting this effort to the Concept Note and development of a Uganda Innovation Center (also known as the mini-Lab effort) may be an additional way to frame this study as value add to Mission staff versus another evaluative effort seen only to benefit the USAID HQ Lab.

Also, due to the limited number of staff in each teams' interactions, as well as the complexity of other ongoing data collection efforts, it is not anticipated that any hypotheses will demonstrate 'double definitiveness' through the process tracing efforts. This methodology was selected acknowledging this limitation. Process tracing was chosen as an appropriate methodology to test the perceptions and processes of Mission engagement that have led to successful workstreams for each DE stakeholder team with the Uganda Mission, as well as a rigorous and well-known approach that would lend legitimacy to the findings at the Lab and more broadly at the Agency, which is an expressed desire of the DE stakeholders.

Analysis Plan

The KIIs, along with all documentation from the document review, will be input into Dedoose and coded according to the above referenced coding hierarchy. Documentation sourced through the document review, as well as the first round of interviews will be analyzed first to develop hypotheses around how Lab teams' engaged with the Uganda Mission (both those seen as successful and those identified as ineffective). Subsequent rounds of KII data will be analyzed on an ongoing basis to support the theoretical sampling and test each hypothesis until a reasonable conclusion is drawn based on sufficient data. Data and analysis of each hypothesis will also be compared between Lab teams in order to identify any similarities, divergent process paths, or contradictory aspects of engaging the Uganda Mission from Lab HQ. The data will further be analyzed to identify any barriers and enablers that might indicate current avenues for adaptations of ongoing workstreams with the Mission, and any possible input into upcoming partnering decisions. The data is also being coded into the broader DE project file and will contribute to analysis further down the line through the collective data analysis effort for Research Question #2 and in the refinement of principles to share under Research Question #3.

Data Management

All interview notes will be collected either via transcribed Word files, Google Docs, or via written documentation that can then be uploaded to limited access folders on the DEPA MERL Google Drive.

SBU content or otherwise sensitive material will either remain offline until approval is received or uploaded to a separate folder with access limited to the Evaluator, the Project Manager, and the Project Director. Most notes will be stored on Google Drive within the private DEPA MERL Consortium Working folder that currently has restricted access for just the active members of the DEPA MERL Consortium (whose contracts include non-disclosure provisions), as well as select members of the EIA staff at the Global Development Lab—the DEPA MERL COR. Notes will also be uploaded and coded into Dedoose, utilizing the secure Dedoose Cloud drive. Quotes will be anonymized in any reports or other outputs from these KIIs, and any sharing of data otherwise will have all sensitive files scrubbed from the shared data set.

Key Deliverable

The team will produce a 10-12 case study report that contains the following components:

- Overview of each entity's implemented model in Uganda;
- Review of Uganda Mission enabling environment;
- Demonstration of sustainability factors observed in model implementation; and,
- Findings and conclusions around effective (and ineffective) components of the various models for sustained uptake.

Tools

<u>First Round Interviews (rival hypothesis generating)</u>

- First Round: Interview with each Team's Uganda POC
- [name] (Digital Inclusion)
- [nme] (Power Africa/SOGE)
- [name] (ex-SOGE)
- [name] (DFS/D2FTF)

*See Informed Consent Above

Eval Q: How do Lab teams select Missions to approach? Are there some criteria that indicate more potential for uptake than others?

1. How did you identify Uganda as a Mission you wanted to engage with?
    a. What was the rationale for approaching Uganda in particular?
    b. What criteria (if any) were used?
    c. Were there any other internal or external factors that influenced the final selection?

Eval Q: For the teams' work dependent on Mission uptake, how do they secure initial activities/partnerships with the Mission?

2. What were your initial ideas for activities/engagements with this Mission?

    a. How do those compare to the activity(s) that were initiated at first (evolution of those ideas, selection from those ideas, something new, etc.)?
3. Can you describe the process from first outreach to securing the first activity with the Mission? Prompts: Who reached out? To whom? When? How so?
4. Is there anything unique about this initiative process compared to the other Missions you work with?
5. What steps (if any) did your team take to facilitate/secure buy-in by Mission staff?
    a. To support the Mission in setting up the first activity?

Eval Q: What are the turning points in engagement with the Missions? When does a Mission-Lab initiative solidify?

6. What signs did you use or identify as having secured buy-in more broadly to your team's mission/values/objectives?
7. What would you say are the contributing factors to solidifying your team's engagement with the Mission?

Eval Q: How effective are the various teams at achieving uptake with their audiences (available data to date)?

8. What data do you have that demonstrates uptake with the Uganda Mission?
    a. Have there been extensions or follow-on activities? If so, why did they get approved/funded? To what extent are they aligned with the current or previous CDCS?
    b. In particular, is there data or evidence of uptake captured somewhere outside of reporting against your results framework?
    c. What would you say are the undocumented or observed successes around uptake?

Eval Q: Are there some Mission engagement strategies that are more effective than others?

9. Taking a look at your Uptake Model Canvas, was this the approach you used to engage with Uganda?
    a. If not, how was it different, and why?

Eval Q: What are the barriers and enablers to engaging with a USAID Mission?

10. What have been the barriers and enablers to engaging with the Uganda Mission?
    a. Have any of the barriers been dealt with? If so, how?
    b. What are the persistent barriers that you are still dealing with? What strategies have you tried to address them?
    c. Have you leveraged any of the enablers in your engagement strategy? If so, how?

Eval Q: What are the contextual factors at the Uganda Mission that contribute to successful uptake of Lab-based initiatives?

11. What are the contextual or enabling factors at the Uganda Mission and in Uganda more broadly that you would say have contributed to the success of your engagement in Uganda?

12. Do you agree with the following statements? If you disagree, or would make alterations, please explain.
    a. D2FTF's model for Mission engagement was effective and efficient in achieving buy-in with the Uganda Mission.
    b. Uganda Mission Leadership is the most important enabling factor that supports implementation of Lab team activities.
    c. Uganda's available digital infrastructure (mobile phone use, connectivity, etc.) and market has allowed for Lab teams to have more advanced work or larger portfolios in Uganda.
    d. The Lab teams selected the Uganda Mission for their activities because of pre-existing entry points/relationships instead of leveraging a criteria for identifying a receptive environment for uptake.
    e. Lab teams depended on existing entry points to initiate engagement with the Uganda Mission. Their activities with the Mission were limited to the sector/niche/focus of that entry point.
    f. Aligning with Mission needs and going above and beyond to take care of administrative logistics jointly contribute to securing activities with the Uganda Mission.
    g. Alignment with the Mission's CDCS enables expansion of a team's workstream and more likelihood for sustained uptake.
13. Who have Uganda Mission staff POCs been? Can you introduce us?
14. Who else has helped implement your workstream in Uganda (IPs, other Mission folks, other people at the Lab or other Bureaus)?

Document Review

Document Review Process

Documents will be reviewed in three rounds

Document Request:

- Uganda STIP Integration Workplan (access)
- AADs
- PADs
- MOUs
- Historical emails from DFS and Digital Inclusion detailing or setting up their Uganda Mission engagement (have some from the LWPs, need to process those first before request to them)
- D2FTF Programming and Assessment toolkits (have access)
- Results Frameworks (have access)
- Uganda Mission CDCS (have)
- Uptake Model Canvas (have)
- CAI PE data (have)

Partner Interviews

1. What was the first interaction with the Lab that you remember?
    a. What did you feel like the Lab was offering in Uganda?

    b. Were any of the offers more attractive than others to Mission colleagues that you know of?
2. How do the ideas that were originally proposed compare to the activity(s) that were initiated?
3. Can you describe the process from the Lab team's first outreach to securing the first activity?
4. Is there anything unique about this initiative process compared to the other engagements and activities coming from Washington?
5. Did you have to secure additional buy-in with other parts of the Mission or other stakeholders before the activities could be implemented? How did you secure that buy-in and with whom?
6. When would you say the relationships with the Lab solidified? Were there any specific events or actions they took that you felt strengthened the relationship?
7. What are the opportunities for more long-term engagements and for the Lab team to support the Uganda Mission better in the future?
8. Have you felt any barriers at the Mission or more broadly in your engagement with the Lab teams? How have you dealt with those barriers?
9. Was there any existing support and entry points that you leveraged to bring on the work of the Lab teams into the Missions work?

If they've worked with multiple Lab teams:

1. Have you observed differences in way teams at the Lab interact with Missions?
    a. Do you think any team is more effective than another? Why?
    b. Do you think any team is more efficient than another? Why?
2. What differences do you observe between the teams you work with in the Lab?
3. Have there been any complications in working with multiple teams on similar activities?
4. Have you seen any compounded benefits from the similar work implemented by the teams in the Lab in Uganda?

Mission Staff Interviews

1. What was the first interaction with the Lab that you remember?
    a. What did you feel like the Lab was offering you?
    b. Were any of the offers more attractive than others?
    c. How did the offers align with existing priorities and interests at the Mission?
2. How do the ideas that were originally proposed compare to the activity(s) that were initiated?
3. Can you describe the process from the Lab team's first outreach to securing the first activity?
4. Is there anything unique about this initiative process compared to the other engagements and activities coming from Washington?
5. Did you have to secure additional buy-in with other parts of the Mission before the activities could be implemented? How did you secure that buy-in and with whom?
6. When would you say the relationships with the Lab solidified? Were there any specific events or actions they took that you felt strengthened the relationship?
7. Has the work of the Lab teams expanded beyond your office and partnership with them at the Mission?
8. What are the opportunities for more long term engagements and for the Lab team to support the Uganda Mission better in the future?

9. Have you felt any barriers at the Mission or more broadly in your engagement with the Lab teams? How have you dealt with those barriers?
10. Was there any particular existing support and entry points that you leveraged to bring on the work of the Lab teams into the Missions work?
11. Is there anyone else we should speak with in particular about the Lab teams work in Uganda?

BRIGHT SPOT CASE STUDIES

This design report was developed for another evaluative effort under RQ2—the bright spot case studies. These studies employed a positive deviance methodology discussed below.

PURPOSE OF THE STUDY

Under Research Question #2, concerning effective approaches for achieving sustained uptake, it will be beneficial to not just know which approaches or parts of approaches are effective, but also which efforts or particular applications have been most effective at achieving sustained uptake. It is surmised that these cases may offer evidence of how teams have overcome particular barriers, leveraged enablers in an innovative manner, or tweaked the application of their model advantageously. By compiling mini case studies on these outliers, utilizing a positive deviance approach, we should be able to better understand each team's ideal application of their model, what contextual factors were at play, and which aspects would most ideally be replicated. The positive deviant case will be jointly identified with each team, and each team will receive an individualized case study. The studies will then be analyzed collectively to highlight any similarities, contradictory findings, and where teams might be able to adapt from each others' learnings.

EVALUATION QUESTIONS

The underpinning evaluation question for this study comes from the three main questions from the Uptake Developmental Evaluation. This Bright Spots Case Studies is one evaluative effort among four data collection processes designed to answer DE Research Question #2:

How do we determine which current Lab approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can we learn from Lab models?

In addition to the overarching DE Research Question that led to this study, the evaluation questions this study seeks to answer are as follows:

1. Which engagements by the Lab teams demonstrate the most success, or highest potential for uptake?
    a. Which of these engagements demonstrate indications for sustainability of that uptake?
2. How was each team's model applied in that best case?
    a. What was unique about the application of the team's model?
    b. How did it diverge from other applications/engagements?
3. What contextual factors influenced the uniqueness of each team's best engagement?
4. What factors are contributing to the likelihood of sustainability of uptake for each team's best engagement?
5. What additional efforts are needed to enhance the sustainability of the uptake achieved?
6. Is there any prioritization of factors contributing to uptake in these cases as compared to others?
7. What are the similarities and dissimilarities comparatively between the team's best engagements?
8. Have any of the factors leading to success in the best engagements led to negative effects in other engagements? If so, why?
9. How dependent are the best engagements on external or contextual factors?

STUDY METHODS AND PROCEDURES

STUDY DESIGN

The first component of this study is to establish a definition for what would constitute a positive deviant case. Understanding that the issue at hand is the struggle to get desired stakeholders to utilize and/or implement an identified and beneficial innovation. It is not just a singular use case that teams are looking for, but rather a pattern of behavior that would indicate continued use, growth, and proactive sharing on the benefits of the innovation by the desired stakeholder group. In the case of the Uptake DE, a positive deviant then would be any unique application of a team's model that demonstrates through observational and monitoring data (and/or other indicators for uptake identified by that team) successful initial uptake, as well as indications for sustained use/growth. The case(s) chosen should be those demonstrating the strongest data available to date on their sustainability.

With that definition in mind, positive deviants will be jointly selected by the teams through facilitation by the Evaluator. Each team will select one case to be evaluated. This self-selection process leverages the amount knowledge the individual teams have of their past and present model applications and also ensures that the case study aligns with other interests they have in terms of data collection, sharing their success, and the current political climate. The Evaluator will ensure these decisions are evidence-driven and have final approval of the case study selection.

Once cases are selected, data collection will commence focusing on comparing the identified positive deviant case to the team's established model and selection criteria, making note of any evolutions in the current models being compared to, as well as model adaptations made based on the positive deviant case itself. Models are captured in the Uptake Model Canvases, but may need to be supported with older documentation of previous iterations of the team's model. Data collection will include a document review of any formal documents detailing the engagement, with particular requests for email exchanges documenting the initiation of the relationship with the key stakeholder, decision making around the engagement, and initial implementation. Requested documentation should also include any data that has been collected regarding demonstration of uptake and its sustainability.

Document review will be compared against key informant interviews, completed in three rounds. The first round interviews will be conducted with each team's main point of contact or activity manager for the identified positive deviant engagement. This interview will provide the most nuanced and complete picture of the engagement, to be validated through the document review, and further refined with subsequent interviews. A second round of interviews with relevant Mission/OU/primary stakeholder informants will provide an external perspective on the engagement and allow for further validation of sustained uptake by these key actors, as well as any 'exceptional' aspects of the identified positive deviant engagement from their perspective. Finally, a final round of interviews with implementing partners and other engaged parties should expound upon details from the ground, throughout implementation, and allow for testing of some preliminary data trends by another external party.

Analysis should look to A) tell the story of the engagement and highlight anything that was particularly different or divergent from other model applications (from the perspective of the team, the Mission/primary stakeholder, and the primary IPs where applicable), and B) identify trends, patterns, confirmed levers, contextual factors, selection criteria, or engagement protocols that contributed most effectively to achieving uptake. This analysis will be presented in 3-5 page case studies for each individual identified positive deviant case. Identification of current and future applications within case studies and

across with then be conducted for a larger comparative case study geared towards possible adaptations teams can take in their future engagements from cross-study learnings.

SAMPLING

This study will employ purposive sampling. The initial purposive sample is based on those best informed from the Lab perspective to articulate the process of engagement and current status of uptake for each identified positive deviant case. Following interviewees will be identified from these initial points of contact, who will also be necessary to make introductions and identify best available time slots for some of the more sensitive interviewees, such as Mission staff. All key relevant personnel, who have been directly engaged in the initiation, solidification of engagement, and implementation of activities for each positive deviants case study should be interviewed. This may include people who have changed positions, but can still be accessed through existing contacts. The total sample for each case study should be sufficient to validate the engagement story and triangulate key findings, with minimal overlap in perspectives. This sampling approach was selected as it best supports the chosen study design.

INCLUSION/EXCLUSION CRITERIA OF PARTICIPANTS

Interviewees were selected based on the need to speak with those managing, interacting, or participating in implementation of the Lab teams' workstreams with the identified positive deviant cases. There are no unique gender or other demographic criteria for inclusion or exclusion of participants, especially given the small sampling pool available when considering those who meet the first criteria. Team members that have worked on one discrete activity or as part of covering for another person for a short period of time (less than one month) are not anticipated to be included in the sampling. The iterative and selective nature of this sampling methodology will help right-size the case study, while also ensuring sufficient but not superfluous data collection to answer the research question.

INFORMED CONSENT

Each participant will be briefed on the purpose of the interview and given an overview of the content and focus of the interview questions. Participants will then be told about the process of information collection, analysis, and what they should expect to hear and/or receive back from the research process and within what timeline, mostly focusing on seeing their input directly in the content for identified, and yet to be identified, points of input for the DE, without any personal identifiable information. The evaluators will then explain the intended data usage and storage procedures and ask the interviewee to sign an informed consent statement (unless it is a remote interview, in which case the evaluators will solicit verbal consent). If consent is given (through the form or verbally), the evaluators will transcribe consent. If consent is not given, the interview will be terminated and any early notes taken deleted. For the verbal consent statement, see this document.

INTERVIEWEES

The Identified Positive Deviant Case Studies are:

- D2FTF- Nepal
- DFS- Rwanda
- SOGE- Funding financial intermediaries [Delayed until later in DE after consultation with the team due to early status of implementation of awards]
- Digital Inclusion- Peru [Pending approval from [name] (activity manager)]

The responsibility for completion of each case study is as follows:

- Nepal- [name]
- Rwanda- Search
- Funding financial intermediaries- DELAYED
- Digital Inclusion- Search
- Comparative- [name]

First Round: Lab Team Positive Deviant POCs

- D2FTF : [name] (past); [name] (current)
- DFS: [name]
- SOGE: [name]
- Digital Inclusion: [name]

Second Round: Mission staff working with Lab Teams

- To be mapped out in the First Round Interviews, for most recent Mission staff contacts, historical contacts, and connections through Lab Team POCs

Third Round: Other connected parties (Lab staff working on a particular positive deviant engagement, other Lab team external partners and IPs working on their initiatives)

- To be mapped out in the First Round Interviews with Lab Team POCs

LIMITATIONS

Typically a positive deviance approach is a much more participatory and iterative process than what is planned for these case studies. This is indeed a light touch application of positive deviance, done to identify actionable 'best' practices for achieving sustained uptake at the Lab, leveraging existing data and analysis completed under Uptake DE Research Question #1, as well as the Uganda Process Tracing case studies, the Enabling Environments Outcome Harvesting study, as well as ongoing day-to-day data collection completed under the DE. Given the other robust evaluative efforts, as well as existing knowledge of what is working under each team's uptake models, the decision was made to make these positive deviant case studies more lean. The minimized participation is not seen to be an issue given the fact that the stakeholders needed for adaptations to be employed in model application are only the Lab team's themselves, as this is a higher level, strategic developmental evaluation, versus one with more programmatic implications and on-the-ground beneficiaries that could be involved in the adaptation processes, and the fact that the application of adaptations process will be highly participatory.

The lean nature of the case studies is seen both in the light touch participatory nature of these case studies, as well as in the lack of fieldwork (given the placement and number of interviews need it was deemed unnecessary) and shorter nature of the anticipated deliverables. This light touch approach will be mitigated through the overarching, robust evaluation efforts that are going into answering Research Question #2.

The cases also do not work through the application of the possible recommendations as with a more traditional positive deviance approach as part of the study design, as recommendations will be given

collectively and workshopped in a participatory manner that builds on all the different ongoing evaluative efforts being utilized to answer Research Question #2.

ANALYSIS PLAN

The KIIs, along with all documentation from the document review, will be input into Dedoose and coded according to the above referenced coding hierarchy. The data from the document review, Lab POC interviews, and Mission/primary stakeholder interviews should go through a round of light touch analysis to identify preliminary trends and patterns in order to inform the final round of interviews to ask more targeted questions for the purpose of triangulation or further validation based on identifying a clear history of the engagement, data that demonstrates uptake has been achieved, and any model, implementation, contextual or other factors that contributed to effective uptake. After all the data is collected a final round of analysis should be completed to uncover the above-mentioned details for each identified positive deviant case. Data and analysis at this point should be kept strictly to each individual case. All documentation, coding, and analysis should be done within the overarching Uptake DE Dedoose project file.

The data from all four individual case studies will be further analyzed to identify any barriers and enablers, as well as consistent best practices or contradictory findings that might indicate current avenues for adaptations of ongoing workstreams with relevant stakeholders, and any possible input into upcoming partnering decisions. The data is also being coded into the broader DE project file and will contribute to analysis further down the line through the collective data analysis effort for Research Question #2 and in the refinement of principles to share under Research Question #3.

DATA MANAGEMENT

All interview notes will be collected either via transcribed Word files, Google Docs, or via written documentation that can then be uploaded to limited access folders on the DEPA MERL Google Drive.

SBU content or otherwise sensitive material will either remain offline until approval is received or uploaded to a separate folder with access limited to the Evaluator, the Project Manager, and the Project Director. Most notes will be stored on Google Drive within the private DEPA MERL Consortium Working folder that currently has restricted access for just the active members of the DEPA MERL Consortium (whose contracts include non-disclosure provisions), as well as select members of the EIA staff at the Global Development Lab—namely the DEPA MERL COR. Notes will also be uploaded and coded into Dedoose, utilizing the secure Dedoose Cloud drive. Quotes will be anonymized in any reports or other outputs from these KIIs, and any sharing of data otherwise will have all sensitive files scrubbed from the shared data set.

KEY DELIVERABLE

There will be two sets of deliverables from this study:

1. Identified Positive Deviant Case Studies:
    a. 4 case studies; one for each identified positive deviant case or one per team;
    b. Each case study will be 3-5 pages in length; and,
    c. The case study content will consist of: Brief summary of methodology, review of history of engagement highlighting unique or divergent aspects of the model application,

discussion of identified trends and patterns for effective uptake and achieving sustainability, conclusion and recommendations to specific team.

2. Comparative Case Study:
    a. A single case study comparing the four team's approaches to achieving sustained uptake;
    b. The case study is anticipated to be 8-10 pages in length;
    c. The case study is be accompanied by a 1-2 page summarization of findings geared towards Lab leadership and other Agency leadership; and,
    d. The larger comparative case study content will consist of an introduction to the Uptake DE's Research Question #2 approach, a brief summarization of the methodology, a 1 page review of each team's uptake model identified positive deviant application; a review of the key findings from each individual case study, findings, conclusions, and recommendations from the comparative data.

TOOLS

PRE-KII QUESTIONS

1. *Which engagements by the Lab teams demonstrate the most success, or highest potential for uptake?*
    a. Positive Deviants selection process with Team Leads.
2. *Which of these engagements demonstrate indications for sustainability of that uptake?*
    a. Defining exercise to narrow Positive Deviants selection with Team Leads. Indications for sustainability of uptake assessed mainly through observational data from Lab Teams at this stage.

FIRST ROUND INTERVIEWS (PD LAB POC)

*Italicized text are the evaluation questions, not the interview questions. Notes for Interviews should only contain the interview questions.

1. How was each team's model applied in that best case?
    a. Walk me through the initiation and implementation of work with identified positive deviant primary stakeholder (IPD).
    b. How was IPD selected? What criteria was used?
    c. Follow up if not covered under first question: What was the progression of implementation of existing activities with this IPD?
2. What are the similarities and dissimilarities comparatively between the team's best engagements?
    a. Now look at this engagement compared to the engagement where you've struggled the most or failed to achieve uptake. Is there anything specific that stands in stark contrast between the two processes of engaging, activities implemented, or other contributing factors?
3. What was unique about the application of the team's model? How did it diverge from other applications/engagements?
    a. What was unique about the application of the team's model? How did it diverge from other applications/engagements?
4. What contextual factors influenced the uniqueness of each team's best engagement?
    a. What were the contextual factors at play that you observed that influenced your engagement with IPD?

    b. How have you seen these contextual factors influence your work with any other engagement?
    c. What are the additional factors outside of your own team's actions and contextual factors that you believe positively influenced the success of this engagement?
5. Have any of the factors leading to success in the best engagements led to negative effects in other engagements? If so, why?
    a. Have any of the factors leading to success in the best engagements led to negative effects in other engagements? If so, why do you think so?
6. Is there any prioritization of factors contributing to uptake in these cases as compared to others?
    a. In your opinion, how would you prioritize the factors contributing to uptake in this case as compared to others?
7. What factors are contributing to the likelihood of sustainability of uptake for each team's best engagement?
    a. How do you define the likelihood of sustainability of uptake with this IPD?
    b. How are you tracking the sustainability of uptake?
8. What additional efforts are needed to enhance the sustainability of the uptake achieved?
9. What additional efforts are needed to enhance the likelihood of sustainability of uptake in this case?
10. Are there any such initiatives underway?
11. How are you tracking their contributions to the success of this engagement?

DOCUMENT REVIEW

DOCUMENT REVIEW PROCESS

Documents should be reviewed and coded on a rolling basis, with the exception of the Uptake Models, which should be familiar pre-interviews. Documentation of activities, interactions with the IPD, or otherwise should be viewed as a separate data source to be compared against the interview data, versus foundational data on which the interviews are based.

DOCUMENT REQUEST:

1. AADs
2. MOUs
3. Historical emails from DFS and Digital Inclusion detailing or setting up their PD engagement (have some from the LWPs, need to process those first before request to them)
4. D2FTF Programming and Assessment toolkits (have access)
5. Results Frameworks (have access)
6. Uptake Model Canvases (have)

MISSION STAFF INTERVIEWS

1. Walk me through the initiation and implementation of work of how the team from the Lab engaged with you on X activity.
    a. When and on what criteria did you decide that the proposed initiative or partnership was worthwhile?
    b. What was the identified value add?

2. Looking at how this activity or work with this Lab team has impacted the Mission, is there anything specific that stands in stark contrast between the this process of engaging, activities implemented, or other contributing factors versus similar activities that the Lab has initiated?
3. What has been the best part of this engagement, in your opinion?
4. What has been the best outcome, in your opinion?
5. What were the contextual factors at play that you observed that influenced your engagement with IPD?
6. How has the work expanded since it was first initiated?
    a. Are there any additional Mission staff engaged in this workstream?
    b. How has this work been embedded in the Mission's work or with Mission partners?
7. How do you define the likelihood of sustainability of this type of work?
    a. What additional efforts are needed to enhance the likelihood of sustainability of uptake in this case?
        i. Are there any such initiatives underway?
        ii. How are you tracking their contributions to the success of this engagement?

PARTNER INTERVIEWS

1. Walk me through the initiation and implementation of work with [Lab team] on [activity relevant to partner].
    a. How did they first reach out to you?
    b. What was the process of setting up the SOW?
2. Have you worked with [Lab team] or any other team at the Global Development Lab in any other engagement? Was there anything unique about the work with this team on this project?
3. What were the contextual factors at play that you observed that influenced your engagement in [country] or with the [country's Mission]?
    a. How have you seen these contextual factors influence your work with any other engagement?
    b. What are the additional factors outside of your own team's actions and contextual factors that you believe positively influenced the success of this engagement?
    c. Have any of the factors leading to success in the implementation of the prize led to negative effects in other engagements? If so, why do you think so?
4. In your opinion, how would you prioritize the factors contributing to success of [relevant activity]?
5. How do you define the likelihood of sustainability of uptake with this IPD?
    a. What additional efforts are needed to enhance the likelihood of sustainability of uptake in this case?

OUTCOME HARVESTING

PURPOSE OF THE STUDY

As part of answering Research Question #2 under the Uptake DE regarding effective models for sustained uptake, it is necessary to look at the various USAID Global Development Lab teams' approaches to achieving uptake under what they call an Enabling Environment approach. This work includes uptake of innovations external to the Agency, that facilitates either immediate acceleration or builds the infrastructure necessary for the innovation(s) to scale. This work is complex and very context or market specific, however the goal of this study is not to provide a performance-based judgement on one approach that is better than others for this uptake pathway. Instead, it is necessary to understand 1) how this work interplays with the more Agency-focused uptake work the teams' are doing, 2) what the outcomes of this work have been given that most assuredness of its effectiveness is grounded in anecdotes and/or output-level data, and 3) share lessons learned on what has and has not worked regarding various components of the team's models and USAID's particular role to play in enabling environments work. For example, this case study will strive to see what outcomes have come from building high-level, collaborative, and external partnerships to leverage increased investments and awareness in a sector, and why certain Lab team approaches in this have been more successful than others. This study will also look at how USAID strives to influence policy and emerging markets, not to say one strategy is best or preferred, but to provide data on what has worked to a broader audience, and identify what has not worked as well and can be improved.

EVALUATION QUESTIONS

The underpinning evaluation question for this study comes from the three main questions from the Uptake Developmental Evaluation. This Enabling Environments Study is one evaluative effort among four data collection processes designed to answer DE Research Question #2:

1. *How do we determine which current Lab approaches are most effective at sustained uptake? What has been the perceived and real value add of the approaches? What can we learn from Lab models?*
2. In addition to the overarching DE Research Question that led to this study, the evaluation questions this study seeks to answer are as follows:
3. What have been the outcomes of the Lab team's enabling environment activities?
4. How do those outcomes compare to expected outcomes and what is captured in the team's results framework (and older versions of the results frameworks)?
5. What are the perceptions of outcomes from the Lab team's versus their partners?
6. What is the frequency/consistency of particular outcomes across engagements?
7. What outcomes best contribute to the team's higher level objective(s)? And, how does that relate to the achievement of sustained uptake with the teams' primary stakeholders?
8. How sustainable are the outcomes?

What lessons learned can be derived from the teams' enabling environment approaches and the outcomes of that work in different sectors?

STUDY METHODS AND PROCEDURES

STUDY DESIGN

This study is using an outcome harvesting approach to contribute to findings around the Uptake DE Research Question #2. Outcome harvesting was chosen as an appropriate methodological component to

the evaluative efforts under this Research Question because of the proportion of each Lab teams' portfolio that is focused on Enabling Environment work as an approach to achieving sustained uptake, and the lack of data concerning the impact of that work. Establishing what outcomes related to sustained uptake have come from this work will help teams to better articulate the value add of their enabling environment work. And, understanding how those outcomes came about and their relative significance will support the teams in adapting their enabling environment work, leveraging past lessons learned and incorporating more successful strategies that best leverage USAID's particular contributions to these spaces.

Identifying Outcomes: The first component of this study, past protocol development of useable questions, is to conduct a series of interviews with key stakeholders both from the Lab teams, their core collaborative partners, and primary 'beneficiaries' as they relate to this work in order to identify a list of possible outcomes from each team's enabling environment portfolio. This initial list is not meant to be a comprehensive harvesting of all possible outcomes, and will still be focused on outcomes related to the teams achieving uptake. Outcome descriptions at this phase should be preliminary drafts.

Prioritizing Outcomes to be Substantiated: Once a preliminary list is established for each team, a list overview with shortened outcome descriptions will be shared with the teams and each team will undergo a prioritization exercise to identify the key outcomes they would like further substantiated. This will be a participatory outcome selection process, and the evaluation team will also request input from Lab leadership and/or other identified OU leadership as requested by the teams to identify any additional outcomes that would be of interest to a broader audience. The prioritization exercise will also involve a smaller, secondary scoping exercise to dig deeper into those outcomes, relevant documents to request, and any additional possible interviewees to add to the list.

Substantiating Outcomes: A third round on interviews, possibly a fourth, and additional document review will then be leverage to substantiate the prioritized outcomes, including KIIs with the Lab team POCs that focus in on the prioritized outcomes. Incoming data will be monitored against the prioritized outcomes to track how much data is supporting the various prioritized outcomes, and more importantly the outcome descriptions will be further flushed out and refined with incoming data.

Testing Outcomes: The last step of the study will be to analyze the data for each outcome to test which can be validated and where data can be triangulated. From analysis of the outcomes and data collected through this process the evaluation team will compose findings, conclusions, and recommendations matrices for each team to share what can be learned from the outcomes and the teams' strategies to their enabling environments work.

SAMPLING

This study will employ purposive sampling. The initial purposive sample is based on those best informed from the Lab perspective to articulate the enabling environment work that has been done by the four DE stakeholder teams, share documentation of that work and it's outputs/outcomes, and provide further identification of interviewees. From there, the evaluators will review the lists of possible interviewees provided and delineate a second, third, and possible fourth grouping of interviewees. The first group should be core actors, no more than one from each major stakeholder group, that may be able to best identify outcomes from the enabling environments work that was done. The second group should be others involved in activity implementation and anyone deemed as a primary beneficiary (Missions, government partners, awardees) that can help substantiate the prioritized outcomes. The final grouping

should be backup actors, anyone that may be able to contribute to substantiating outcomes, but was identified by the teams or subsequent interviewees as more tangentially involved. This group will only be interviewed is particular outcomes need additional testing past interviews with the third group and document review. This sampling approach was selected as it best supports the chosen study design and the scope of possible respondents for the type of work the Lab teams' are doing.

INCLUSION/EXCLUSION CRITERIA OF PARTICIPANTS

Interviewees were selected based on the need to speak with those managing and receiving services from implementation of the Lab teams' enabling environment workstreams. There are no unique gender or other demographic criteria for inclusion or exclusion of participants, especially given the small sampling pool available when considering those who meet the first criteria. Team members that have worked on one discrete activity or as part of covering for another person for a short period of time (less than one month) are not anticipated to be included in the sampling, and if so will be in the fourth grouping. The iterative and selective nature of this sampling methodology will help right-size the case study, while also ensuring sufficient, but not superfluous, data collection to answer the research question.

INFORMED CONSENT

Each participant (external to Lab team members who have already be briefed on this many times) will be briefed on the purpose of the interview and given an overview of the content and focus of the interview questions. Participants will then be told about the process of information collection, analysis, and what they should expect to hear and/or receive back from the research process and within what timeline, mostly focusing on seeing their input directly in the content for identified, and yet to be identified, points of input for the DE, without any personal identifiable information. The evaluators will then explain the intended data usage and storage procedures and ask the interviewee to sign an informed consent statement (unless it is a remote interview, in which case the evaluators will solicit verbal consent). If consent is given (through the form or verbally), the evaluators will transcribe consent. If consent is not given, the interview will be terminated and any early notes taken deleted. For the verbal consent statement, see this document.

INTERVIEWEES

FIRST ROUND:

- DFS: [name] (Enabling Environments POC) and [name]
- Digital Inclusion: [name] and [name]
- SOGE: The whole team- [name]; [name]; [name]; [name]; and [name] depending on team input about her participation in this first scoping conversation
- D2FTF: [name] *this conversation will need to determine the extent to which D2FTF is even covered by this study depending on if they qualify any of their work as enabling environment work.

SECOND ROUND:

To be determined based on input from Lab team Enabling Environment POCs and scoping conversations

THIRD ROUND:

To be determined based on input from Lab team Enabling Environment POCs and scoping conversations

FOURTH ROUND:
To be determined based on input from Lab team Enabling Environment POCs and scoping conversations

Interview tracker can be found here.

LIMITATIONS
The lengths of each teams' enabling environment activities does raise concern about the strength of outcomes that can be sourced. The lack of evidence for some facets and evolution of the teams' theory of change(s) related to their enabling environment work may also lead to a very small list of possible outcomes. Given the lack of evidence the team's currently possess about the outcome-level impact of this aspect of their work, any outcomes that can be identified through this study will be of value to the teams.

Given the small number of stakeholders engaged in this work and the non-traditional beneficiary profile, there is some concern that the number of interviewees may limit possible substantiation of some outcomes. The evaluation team will strive to conduct the maximum number of purposeful interviews possible for this study to help mitigate this concern.

The contextual nature and sectoral differences in enabling environments work may limit the usefulness of findings outside the originating DE Stakeholder Lab teams. The core focus of the DE is how USAID (the DE stakeholder teams in particular) achieve uptake, what strategies are more effective given USAID's positioning/resources/bureaucracy, and what it takes for those strategies to be effective. The goal of this study is not to say this is the ideal enabling environment outcomes or holistic model for all enabling environments work. But, through gathering currently non-existent data on what is effective at the outcome-level and how the enabling environment work was rolled out by the various teams, this study aims to see both operational and strategic approaches that best leverage what USAID has to offer and have led to positive outcomes in the past.

ANALYSIS PLAN
The KIIs, along with all documentation from the document review, will be input into Dedoose and coded according to the existing and evolving Uptake DE coding hierarchy, with additions made to best capture patterns and trends from the enabling environment data. The data from scoping conversations with DE stakeholder team POCs should go through a round of lighttouch analysis to identify the preliminary list of possible outcomes in order for subsequent rounds of interviews to ask more targeted questions for the purpose of prioritization of outcomes, and later triangulation or further substantiation of those outcomes. All documentation, coding, and analysis should be done within the overarching Uptake DE Dedoose project file.

Once all data collection has been completed and coded, analysis should be done for each team's prioritized outcomes to test the strength and validity of the outcomes. Other individual team trends, patterns, and lessons learned from implementation of their enabling environments strategies should be analyzed at this time too.

The data from all four teams will be further analyzed to identify any barriers and enablers, as well as consistent best practices or contradictory findings that might indicate current avenues for adaptations of ongoing workstreams with relevant stakeholders, and any possible input into upcoming partnering decisions. The outcomes from individual teams' work should also be comparatively assessed to check for any similarities or common lessons learned. The data is also being coded into the broader DE project file

and will contribute to analysis further down the line through the collective data analysis effort for Research Question #2 and in the refinement of principles to share under Research Question #3.

All data and documentation should be coded to the relevant enabling environments codes within the codebook on Dedoose, as well as any other relevant codes related to the broader Uptake DE codebook, especially those related to Influencing Factors, What Works, and What Doesn't Work. Relevant Actors must be coded for each excerpt.

DATA MANAGEMENT

All interview notes will be collected either via transcribed Word files, Google Docs, or via written documentation that can then be uploaded to limited access folders on the DEPA MERL Google Drive.

SBU content or otherwise sensitive material will either remain offline until approval is received or uploaded to a separate folder with access limited to the Evaluator, the Project Manager, and the Project Director only. Most notes will be stored on Google Drive within the private DEPA MERL Consortium Working folder that currently has restricted access for just the active members of the DEPA MERL Consortium (whose contracts include non-disclosure provisions), as well as select members of the EIA staff at the Global Development Lab—namely the DEPA MERL COR. Notes will also be uploaded and coded into Dedoose, utilizing the secure Dedoose Cloud drive. Quotes will be anonymized in any reports or other outputs from these KIIs, and any sharing of data otherwise will have all sensitive files scrubbed from the shared data set and approval from DE stakeholders secured before sharing.

KEY DELIVERABLES

1. Findings, Conclusions, and Recommendations (FCR) Matrices
    a. Audience: Each DE Stakeholder team
    b. Purpose: A utilization-focused sharing of the findings and recommendations for the team's to deal with the meat of the study and focus on possible adaptations. ***This may be good to accompany with an all-of-DE stakeholder presentation to go over the findings as a high-level on the day for disseminating the FCRs and Study Memo mentioned below.***
    c. Each team will receive a utilization-focused FCR Matrix upon completion of the Enabling Environments study.
    d. The FCR Matrices will contain individualized content for each team, as well as comparative content based on comparative analysis of outcomes across the teams' enabling environment work.
    e. The Recommendations listed will be prioritized by validation of findings and anticipated impact to adapting the teams' work.
    f. The FCR Matrices will be accompanied by a brief, facilitated Strategic Learning Debrief for each team to talk through the findings, identify internal prioritization of recommendations, and make an action plan for any adaptations the teams' would like to make at the time the study is delivered.
2. Enabling Environments Study Memo
    a. Audience: DE Stakeholder teams, EIA, Lab Leadership, possibly T3
    b. Purpose: A more polished and concise presentation of the findings, conclusions, and recommendations that is geared more for dissemination of any findings, etc. that would be useful outside of the DE stakeholder teams.

c. A single memo comparing the four team's approaches to achieving sustained uptake outcomes with their enabling environments workstreams;
d. The case study is anticipated to be 5 pages in length, the shorter the better. If longer than 5 pages, it should be accompanied with a one-page briefer as well;
e. The memo content will consist of an introduction to the Uptake DE's Research Question #2 approach, a brief summarization of the methodology, a paragraph review of each team's enabling environment work and how it integrates into their uptake model; a review of the key findings from each team, and findings, conclusions, and recommendations from the comparative data.

TOOLS

DOCUMENT REVIEW

Documents should be reviewed and coded on a rolling basis, with the exception of the Uptake Models, which should be familiar pre-interviews. Documentation of activities should be viewed as a separate data source to be compared against the interview data, versus foundational data on which the interviews are based. Document review is anticipated to provide substantial background information of the Lab teams' enabling environments work, as well as a clearer understanding of the evolution of the teams' enabling environments strategies and uptake model. Some documentation may be available to help with the substantiation of outcomes, but it is an acknowledged limitation that most reported data on this work is output-level.

DOCUMENT REQUEST:

1. AADs
2. MOUs
3. Historical emails from Lab teams detailing or setting up their enabling environments work
4. Enabling Environments initiative program documents and reports (ex: from A4AI, mWomen, etc.)
5. Teams' Results Frameworks (have access)
6. Uptake Model Canvases (have)
7. Additional documentation for collection and review will be identified through the scoping conversations

SCOPING CONVERSATION PROTOCOL (LAB TEAMS ENABLING ENVIRONMENT POCS)

OBJECTIVES:

1. Elicit a concise definition of what qualifies as enabling environments work for each team, for comparison between teams and as a quality assurance measure against their activity selection.
2. Identify which discrete past and current activities each DE stakeholder team considers to be a part of their Enabling Environment portfolio.
3. Identify core and tangential stakeholders that either participated directly in implementing this work for the Lab team, collaborated in the implementation of the work, are perceived to have benefited from the work, or are perceived to have astute observations on the work, in order to develop an interviewee list.
4. Identify and request supporting documentation that covers the initiation, solidification, implementation, and any documented results of the enabling environments activities the teams highlight.

RELEVANT QUESTIONS:

1. Define Work
    a. How do you define Enabling Environments work on your team?
    b. What aspects of this type of work does your team explicitly focus on?
    c. How does Enabling Environments work tie into your Results Framework, in your own words?
2. Identify Activities
    a. What activities, past/current, that your team has implemented do you consider to be a part of your Enabling Environments portfolio? [*Ensure the list is composed of discrete activities*]
    b. What are the Activity Names? [*from procurement mechanisms, PADs, etc.*]
    c. If there are activities you qualify as discrete, but are not procured through a mechanism, what is/are the:
        i. Name of activity?
        ii. Objective of activity?
        iii. What are the actions/support/work done under this activity?
        iv. Where has this been done? [*Distinct implementation examples*]
        v. How does activity this tie in with your model or results framework?
3. Identify Stakeholders [*Going through each named activity one-by-one*]
    a. What stakeholders/partners were directly involved in the implementation of this Enabling Environment activity?
        i. Who from those stakeholder/partners was involved?
        ii. What stakeholders collaborated on the implementation of this activity?
        iii. Who from those stakeholder/partners was involved?
        iv. Who benefited from this activity?
        v. Who from those beneficiary groups could best speak to the benefits?
        vi. Who else would have thoughts, opinions, perspectives on the outcomes of this activity? [*Get specific names*]
        vii. [*Secure contact details for all mentioned*]
        viii. Who from the list you've provided will we need to be introduced to through you? Do you have any other requests in terms of protocol for reaching out and interviewing these stakeholders?
    b. Identify Documentation [*Going through each named activity one-by-one*]
        i. What types of documentation do you have from this activity?
        ii. Where can I find this documentation?
        iii. Is there any documentation that might exist of the results of this activity that you do not currently have? Are there other stakeholders with whom we should check for documentation of the outcomes or progress of this activity? [*Secure names and specifics on what type of documentation they might possess*]
        iv. [*Secure access through follow-up on specific document names*]

IF INSUFFICIENT DATA IS COLLECTED:

1. Follow up with direct questions via email the day after. Wait up to three days for a response. Ensure Team Lead is CC'd.

2. Follow up with an interview/scoping conversation request with the Team Lead, stating you need additional information. Refine questions for that conversation based on gaps in data collection from initial scoping conversation with POC.
3. Collect more information from first round of implementing stakeholder to expand the scoping data.
4. Document any limitations due to lack of information received.

NEXT STEPS:

1. Compare Enabling Environments work definitions from all teams once secured for any identifiable discrepancies. Take note for analysis.
2. Secure access to all documentation identified. Review for relevancy. Ensure upload to corresponding GDrive-Uptake DE folders. Upload relevant documents to Dedoose. Code.
3. Fill in Interview Tracker with stakeholder/interviewee details. Review interviewee list and prioritized based on proximity to activities, scheduling with direct implementers/recipients first. Compose Interview Request email and identify which interviewees will require introductions through Lab team POCs. Send first round on interview request and schedule interviews.

FIRST ROUND INTERVIEW PROTOCOL (CORE STAKEHOLDERS TO E WORK)

**Italicized text are the evaluation questions, not the interview questions. Notes for Interviews should only contain the interview questions.*

OBJECTIVES:

1. [Ideally completed during Scoping Conversations and follow up] Confirm activities to be included in the Enabling Environment case study with Lab Team POCs, per Lab Team.
2. Describe the activity/activities and confirm the status of the work. This will confirm and add clarity to document review data and initial activity details provided during the scoping conversations with core stakeholders.
3. Identify a list of emerging or actualized outcomes related to the activity's enabling environment work. This preliminary list will be prioritized and substantiated in the next phases of the case study with other stakeholders.
4. Refine/add to the list of tangential (second and third round) stakeholders who collaborated in the implementation of the work, are perceived to have benefited from the work, or are perceived to have astute observations on the work (and enabling environment outcomes in particular).
5. Identify and request any additional supporting documentation that verifies emerging or actualized enabling environment outcomes of the activity.

RELEVANT QUESTIONS:

Opening: *[Activity/activities]* were identified by *[Team/Scoping Conversation respondent]* as activities that, in part, seek to change/effect the Enabling Environment in some way in *[reference a sector, specifics of the activity and country]*. *[Team/Scoping Conversation respondent]* recommended we speak to you considering your role as *[note why the individual was selected as a key stakeholder/respondent]*. We would like to ask you some questions about these activities, and in particular talk about outcomes (those emerging or actualized) from these activities that you have observed or are currently observing.

DESCRIBE ENABLING ENVIRONMENT WORK OF EACH ACTIVITY

[Repeat following questions for each identified discrete activity for inclusion in this case study for each Lab Team. Also use this section to follow up on remaining questions from the scoping conversation.]

1. To prepare for this conversation, I reviewed several documents about this activity and spoke with *[Team/Scoping Conversation respondent]*. Based on this review, I first want to confirm the details of this enabling environment activity.
    a. What is the name and objective of this discrete activity?
    b. What is the status of this activity *[ongoing or completed]*?
    c. What are the key outputs the activity has achieved/seeks to achieve? What does/did the activity do toward removing/addressing barriers in the enabling environment? [*Output are the products, goods and services which result from an intervention.]*
    d. Who benefited/is benefitting from this activity *[the enabling environment work in particular]*?
    e. Please describe *[Lab team]*'s engagement with this activity. How has *[Lab team]* supported the enabling environment work you just described?

IDENTIFY OUTCOMES (EMERGING OR ACTUALIZED)

Outcomes are a result or effect that is caused by or attributable to a project, program or policy. Outcomes can be intermediate or intended effects, such as changes in behavior, relationships, actions, activities, policies, or practices of an individual, group, community, organization or institution. For example, drafting and integrating new procurement language may be an output of an activity with a Mission. The outcomes of that activity are how the new procurement language impacts which types of organizations apply and why, how proposals evolve to meet the new criteria, and most importantly how that new criteria influences the types of programs that are implemented. Now that we have discussed the progress and outputs of the activity as they relate to enabling environments, let's discuss the outcomes that are either emerging or already achieved (observed).

1. [Outcome brainstorm with the respondent if outcomes are not immediately apparent to the respondent/stakeholder, or they are unclear about the distinction between outputs and outcomes. Use some or all of the questions below – and pull from initial list of outcomes developed during document review – and make a list of outcomes mentioned.]

    a. You mentioned [output] resulting from the activity's enabling environments work. What has been the impact/effect of this output?
    b. Have this activity's outputs influenced/changed [positively or negatively]…
        i. Policies/laws/regulations/decrees?
        ii. Markets/market standards?
        iii. Budget allocations?
        iv. Financing strategies?
        v. International agreements/conventions/treaties?
        vi. Public infrastructure?
        vii. Norm or customs?
        viii. Expectations?
        ix. Availability of information?
        x. (one of the above *not* changed, in-action)?

xi. Other changes?

c. To confirm, [outcome] has helped/hindered the movement of a product or service along its value chain. Correct? [Confirm how value chain actors behaved, and how they behave now in response to the enabling environment output/outcome achievement.]

[For each identified outcome for which evidence exists, dive deeper with the respondent. Focus on outcomes that the respondent believes can be verified/substantiated.]

a. [Define] Please describe this outcome. What changed and when? At what level is this outcome [international, national, local]? Where did this outcome occur/take place?
b. [Contribution] Who/what caused the change? How did the change agent contribute to this outcome? Did [Lab team] have any influence on this outcome?
c. [Significance] Why is this outcome significant/why does it matter? [Why is the outcome important? How did it change the enabling environment?]
d. [Alternate Explanations] What other factors may have influenced/contributed to this outcome?

DOCUMENT/DATA REQUESTS

[Interviewer can also use this time to follow up on scoping conversation questions still unanswered regarding documentation.]

a. What type of documentation do you have regarding the outcomes that we discussed? What evidence is there that substantiates the outcomes we have discussed?
b. How can I access this documentation?
c. Is there any documentation that might exist of the outcomes of this activity that you do not currently have? Are there other stakeholders with whom we should check for documentation of the outcomes or progress of this activity? [Secure names and specifics on what type of documentation they might possess]

STAKEHOLDER IDENTIFICATION

[Interviewer can also use this time to follow up on scoping conversation questions still unanswered regarding stakeholder identification.]

We want to speak with additional stakeholders that can talk about this activity and the impact it is having/has had.

a. *[Team/Scoping Conversation respondent]* mentioned *[name of stakeholder]* as someone that would be helpful to speak with about activity outcomes. Do you agree? Can you provide/confirm contact information for *[name of stakeholder]*?
b. Who else do you recommend we speak with to learn more about the outcomes of this activity? Who from the beneficiaries you described would best speak about the benefits of the activity? Who else would have thoughts, opinions, perspectives on the outcomes of this activity? *[Get specific names]*
c. Who from the list you've provided will we need to be introduced to through you? Do you have any other requests in terms of protocol for reaching out and interviewing these stakeholders?

IF INSUFFICIENT DATA IS COLLECTED:

a. Follow up with direct questions via email the day after. Wait up to three days for a response.
b. TBD…

NEXT STEPS:

a. Insert identified outcomes into the 'Harvested Outcome Description_Template'. Complete details for each outcome, where possible, and revise/tailor interview protocol for next round of interviews based on holes in the data, per outcome.
b. Secure access to all documentation identified. Review for relevancy. Ensure upload to corresponding Gdrive-Uptake DE folders. Upload relevant documents to Dedoose. Code.
c. Fill in/update Interview Tracker with stakeholder/interviewee details. Review interviewee list and prioritize based on proximity to activities, scheduling with direct implementers/recipients first.
d. Compose Interview Protocol and Request email for next round of interviews, and identify which interviewees will require introductions through Lab team POCs. Send interview requests and schedule interviews.

PRIORITIZATION EXERCISE PROTOCOL (FOR LAB TEAMS)

Preliminary outcomes per team/project are tracked in the Outcome Tracker. Disaggregate by team/project and prepare a handout of outcome basics (outcome name, brief description, contribution). This information can also be projected if technology is available. The prioritization exercise will be conducted by the Evaluator and include relevant Lab team members. Document discussion with/amongst the team throughout the process.

1. Confirmation of Outcome Harvest Purpose/Goal (for each team)

   The evaluator should do the following:

   a. Define 'outcome'
   b. Define Enabling Environment work, according to each Lab Team (see result of scoping conversations)
   c. Restate purpose of the case study overall (for the DE)
   d. State unique purpose the case study can serve for each Lab Team
   e. Better document what [Lab Team] has achieved
   f. How outcomes can influence/evolve team's Enabling Environment strategies (depending on the team)

NOTES:

2. Discussion of Preliminary Outcome Harvest Process and Resulting Outcomes

Refresh the team on the process used to identify the outcomes on the handout (document review, # scoping conversations, # first round interviews, coding)

a. Briefly describe each preliminary outcome
b. Make sure to communicate to Lab Teams that no outcomes have been substantiated at this stage
c. Discuss, as necessary (for example, Lab Teams may not have seen one or two of the outcomes before as they may have come up in first round interviews. The evaluator should describe and answer questions as necessary so that the team understands the outcomes and can shift toward prioritization)

NOTES:

3. Prioritization

This is a participatory process that teams can do on their own according to their own needs and goals within the scope of the DE (see result of Section I above), but the evaluator should recommend the teams consider the following in selecting 2-3 outcomes for substantiation for each activities/workstream under review, and facilitate the process as necessary.

A. Identifying 2-3 dissimilar outcomes could increase learning from the harvest. All prioritized outcomes should relate to 'uptake' of the team's enabling environment work to align and contribute to answering Uptake DE Research Question #2. The evaluator should have access to a white board to be able to document and note the team's prioritization progress/decisions, as they discuss. Some different outcome categories the evaluator can prompt with, are:
    a. Outcomes direct relation to higher team objective
    b. Approach used to achieve the outcome
    c. Differing aspects of enabling environment work (such as regulatory, policy, private sector engagement, funding/investments, access, etc.)
    d. Expected or unexpected outcome
    e. Negative or positive outcome
    f. Sustainability of the outcome
    g. Potential for use of substantiated outcome in ongoing or future Lab work
B. Facilitation Questions
    a. If you could only pick one potential outcome to substantiate, which would it be?
    b. Which potential outcome would be most relevant in the new Bureau?
    c. Which potential outcome is most relevant to your current Enabling Environment strategy?
    d. Which potential outcome would teach you the most you don't already know about your work?
    e. Which potential outcome could contribute to knowledge about your theory of change?
    f. Which potential outcome is the scariest?

g. Which potential outcomes are you most skeptical about, in terms of the possibility to substantiate them?

C. Support for Other Situations

a. The evaluation team only has capacity to substantiate 2 (maybe 3) outcomes per activity/workstream. (2 per activity x 2 activities per Lab team x 3 teams = 12 outcomes). However, depending on how the outcomes stack up, teams may want to 'trade' the number of outcomes substantiated per workstream within their two worksteams (ex: 1 outcome and 3 outcomes respectively or 0 outcomes and 4 outcomes). This is acceptable as long as teams can provide sufficient reasoning for the decision and demonstrate that it is utilization focused in nature.

b. In the case that there is 2 or less outcomes for an activity/workstream, the entire prioritization exercise is not necessary. In such cases, the evaluator can either set aside time in the weekly meeting or email the Lab team staff with brief descriptions of the potential outcomes and confirm that they want those outcomes substantiated, as well as request any additional documentation or stakeholder information necessary to move onto second round interviews.

NOTES:

4. Reflection and Documentation

The evaluator should document the reasons why outcomes were or were not prioritized by the team. When outcome prioritization is complete, the evaluator should describe the reasoning behind the selection as she understands it and seek confirmation from the Lab Teams. Prioritized outcomes should be circulated to the teams after the prioritization exercise for final confirmation before second round interviews are conducted.

NOTES:

5. Next Steps

a. Confirm/clarify second round interview stakeholders (as necessary)
b. Request additional documentation (as necessary)
c. Update Lab Teams on Case Study timeline
d. Start filling out outcome forms for each prioritized outcome and identify gaps (flag for inclusion in second round interview protocol, for substantiation)

D. Second Round Interview Protocol (Lab POCs, core stakeholders, primary 'beneficiaries', etc.)

This round of interviews is for outcome substantiation.

E. Third Round Interview Protocol (Follow-up with more removed stakeholders)

To be developed in case of need

ANNEX 6: WORKS CITED

Griswold, S., Van der Bijl, S., Burns, C., Plotkin, G., Herrington, R., Esper, H., . . . Jurgens, C. (2016, October 24). *Joint Partnership Plan for Developmental Evaluation Pilot Activity Monitoring, Evaluation, Research, and Learning BETWEEN Office of Evaluation and Impact Assessment (EIA) via the DEPA-MERL consortium AND USAID/Global Development Lab: Lab-Wide Priority 2 (D2FTF), Lab-Wide Priority 3 (BTGx) [PDF]. Washington, D.C.: USAID.*

USAID. (2018, September 10). Cross-Cutting Activities | U.S. Global Development Lab. Retrieved February 1, 2019, from https://www.usaid.gov/GlobalDevLab/about/cross-cutting-activities

USAID. (2018, November 09). Transformation at USAID | What We Do. Retrieved February 1, 2019, from https://www.usaid.gov/what-we-do/transformation-at-usaid