

MEASURING WHAT MATTERS: Initial Lessons from a collaborative research on Community-led Development

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Abstract: This article summarizes learnings to date from an ongoing analysis of 284 evaluation reports of community-led development programs from 67 countries being undertaken by The Movement for Community-Led Development. Using a collaboratively created CLD rubric, the review found that these evaluations pose a major challenge for CLD as the reports do not cover the key characteristics of the approach. This makes it difficult to evaluate the impact of these characteristics or to link any measured impact from these programs to their community-led approach. This is particularly true of dimensions like accountability, community assets, sustainability, transformative change and adaptiveness. The research has demonstrated the need to unpack how CLD programs work on the ground and to ensure that evaluations of CLD programs reflect its key characteristics and capture their impact.

INTRODUCTION

As the world learns to cope with the new realities created by the Covid 19 pandemic, there have been increasing calls for localization or Community-led Development (CLD).¹ The truth is that even before Covid 19 changed the world as we know it, CLD had become the flavor of the year in the development and humanitarian sectors. It was the theme or sub-theme in many global conferences and their plenaries. Yet, most current evaluation reports (admittedly, written before this ‘flavor of the year’ period) do not address the values and principles of CLD. Key ingredients of the approach include respect for and incorporation of community capabilities and assets, developing and enabling community leadership, transformation of community mindset from dependency to agency, continuous learning and adaptation, and a consultative and well-planned exit strategy to ensure sustainability. Few of these are mentioned in evaluation reports of CLD programs. This emerged from an ongoing analysis of 284 evaluation reports from 67 countries, submitted by 31 partners from The Movement for Community-Led Development as part of a large multi-phase collaborative research project. This poses a question and a challenge for CLD practitioners and advocates. The question: why are these elements not being reported if they are so integral to our work? And the challenge: if these elements are not reported, how will their impact be evaluated?

Even as the research team for this collaborative study forges ahead with its analysis, it is increasingly clear that this research needs to be complemented by a three-pronged strategy. Firstly, to disseminate and promote adoption of tools created by the research team to improve and strengthen the current practice of CLD (in particular, the CLD self-assessment rubric in Annexure 1). Secondly, to train program and evaluation professionals to articulate and evaluate the key elements of CLD. And finally, to generate

¹Guggenheim, Scott, Covid 19 and Community Responses (<https://cic.nyu.edu/sites/default/files/covid-and-community-responses-web.pdf>); World Bank, Community responses to Covid 19: The Resilience of Indonesia (<https://www.worldbank.org/en/news/feature/2020/06/01/community-led-responses-to-covid-19-the-resilience-of-indonesia>); ICVA, Reinforce, Reinforce, reinforce: Localization in the Covid 19 Global Humanitarian Response (https://www.icvanetwork.org/system/files/versions/ICVA_Localization_COVID19.pdf); Cechvala, Sarah, Locally Led Leadership: Is it now or never? (<https://www.cdacollaborative.org/blog/local-leadership-is-it-now-or-never/>)

awareness among donors on what needs to be evaluated. Only then will our evaluations enable us to truly understand whether, which and how outcomes are achieved as a result of CLD.

The BACKSTORY

In February 2019, the Movement for Community Led Development (The Movement or MCLD) began a large collaborative research study to understand the impact of Community-led Development (CLD). The research questions, based on extensive consultation with member organizations, were:

- 1) Where has community-led development worked? How and why? (Consequently also, where has it not worked and why?)
- 2) What has been the impact of CLD programming on developmental outcomes like resilience, gender equity, sustainability and self-reliance?
- 3) How do we adapt existing evaluation methods to capture the complexity of CLD and its impact – which is non-linear and multi-dimensional?

Between April and August 2019, the Movement began this multi-phase, multi-year collaborative research by collecting evaluation reports for programs described by member organizations as being community-led. 419 reports were submitted. MCLD mobilized a team of 35 Monitoring, Evaluation, Research Learning and Program professionals from 23 organizations to carry out different aspects of the work through 3 sub-groups: Scoping, Impact and Evaluation. An advisory group comprising practitioner experts and academics was created to guide the research and ensure quality control. For the first phase of the research, the research team set out to answer the following initial questions:

- a) What is meant by Community-led Development? What are organizations doing when they say they are carrying out CLD programming? (Scoping Group)
- b) What is the theorized impact of CLD? (Impact Group)
- c) What should be the criteria for the selection of sufficiently robust and high-quality reports for the synthesis from the large tranche of evaluation documents submitted for the research? (Evaluation Group)

The three working groups met regularly between April and November 2019 and developed 3 tools: a self-assessment rubric based on 11 practitioner-identified characteristics of CLD (Annexure 1, hereafter referred to as the CLD rubric); an impact table based on a survey with partner organizations; and a quality appraisal tool adapted from a complex USAID tool to check reports for rigor, irrespective of the size of the program or the evaluation methodology.² These tools were presented to internal and external audiences in November 2019 and feedback on the tools, particularly the CLD rubric, was collected between December and March 2020.

² This is emergent research. As the research team identified the methodology for the review, it recognized that while the quality assessment tool would be extremely useful for organizations within the Movement to ensure quality of their own evaluations, a realist synthesis requires a different set of questions to determine inclusion. This realist tool will be developed in part 2 of the research under the guidance of Prof Gill Westhorp, a noted expert in realist methodologies. The current quality assessment tool will be available as a self-improvement tool for organizations within The Movement after appropriate revisions. It can also be used to conduct a qualitative meta-synthesis should The Movement decide to do so at a later date.

In February this year, the research team began to analyze the reports submitted for the study against the CLD rubric.³ Even as the Scoping Group is in the process of analyzing the results from applying the rubric, this article pieces together some early findings about the current landscape of CLD practice that is emerging.⁴

What is Community-led Development?

The Movement defines CLD as the process of working together to create and achieve locally owned visions and goals. What does this mean in practice? What are some key elements of CLD programming that distinguish it from other types of development programming that articulate similar aims? Identifying these characteristics became the first task of the scoping sub-group.

As the research is implementor-led (and advised by academics), the team decided to adopt an inductive approach centered around practitioner knowledge and articulation of “theories-in-use.” They referred to a few key texts (and a quick literature review conducted by the Metric working group for the Movement) but relied heavily on discussion and deliberation among professionals who worked with CLD programming to identify the key characteristics.

The final list comprised of 11 characteristics. These were: Participation and Inclusion, Voice, Community Assets, Capacity Development, Sustainability, Transformative Capacity, Collective Planning and Action, Accountability, Community Leadership, Adaptability and Collaboration (both within communities and with local governments).

The group then began to unpack how these 11 characteristics would manifest in the life cycle of a program and this was developed into the CLD rubric. Rubrics “provide a harness but not a straitjacket for assessing complex change and they help stakeholders build a shared understanding of what success looks like... Rubrics allow us to think about **membership** rather than measurement.”⁵ The research team was not telling organizations that their programs were good CLD or bad CLD. It recognized that there is a spectrum of practice around CLD and different organizations would be at different places depending on many contextual variables. So, it chose to create a tool that would allow us to see what organizations are doing when they say they are practicing CLD. At the same time, this rubric has the potential to be used as a self-assessment tool by organizations to see where they are in their journey of CLD and how much more they can do. At the time of writing this reflections piece, at least one Movement member has begun to examine its programming against this rubric. The team drew inspiration from the Bond tool for evaluation of international development created by a group of non-government organizations in the United Kingdom.

³ After the removal of baseline studies, meta-studies and other documents that were not mid-line, end line or ex-post evaluations or end of project reports for CLD programs, the 419 reports were reduced to 284.

⁴ This paper is based on the author’s reflections as she reviewed the 284 reports that have been submitted for the research with the help of the CLD rubric developed by the Scoping Group. It does not represent the landscape of CLD programming based on a systematic analysis of the application of the rubric. That analysis is currently being carried out by the Scoping Group and results are expected in September 2020.

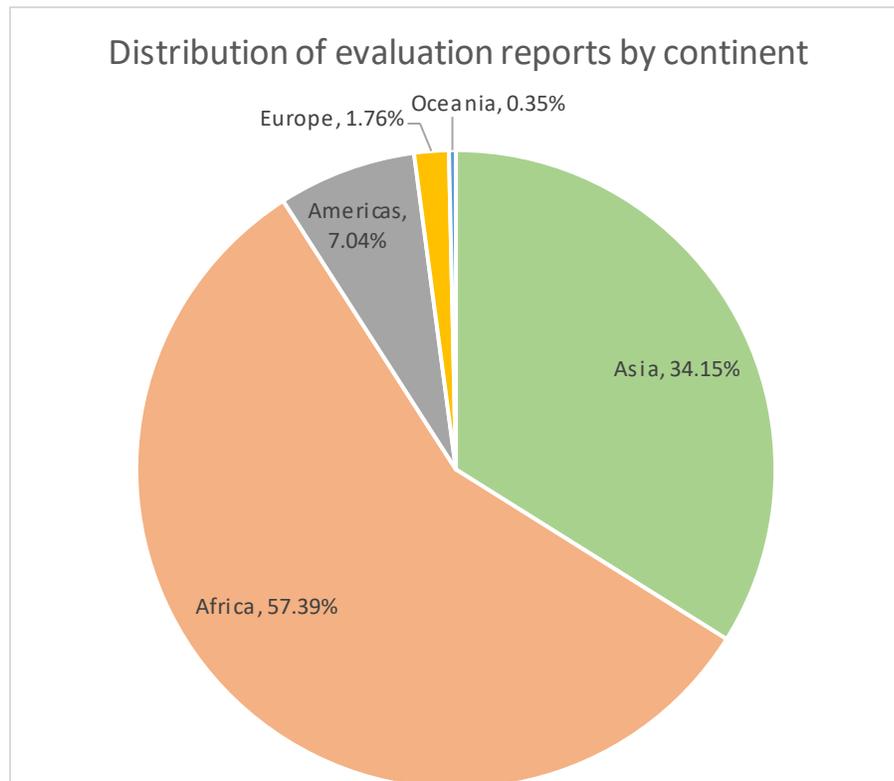
⁵Thomas Aston (2020), Rubric as a Harness for Complexity, at <https://www.linkedin.com/pulse/rubrics-harness-complexity-thomas-aston/>

Methodology

While the scoping team began to collate the feedback on the CLD rubric, the research lead began to review the reports that had been submitted with the help of the rubric. Two additional sets of reviewers contributed to the review, to minimize bias which may arise from a single viewpoint - a group of trained interns and a small group of MCLD professionals. The interns underwent a day long orientation on CLD and the CLD rubric. They did sample reviews which were tested against their scores before they were each given 50-60 reports to review. The professionals went through a short 30 minutes briefing about the purpose of the tool and were given 5 randomly selected reports. After much consideration and a debrief with the interns on how they used the tool, it was decided that their scores would not be suitable for checking inter-rater reliability. Their limited exposure to CLD had led to a different understanding of many key characteristics and elements. Instead, the research team decided to measure inter-rater reliability by comparing the lead researcher's scores with those of the group of professionals who worked on CLD programs either as MERL or program officers. Thirty-one randomly selected reports were reviewed by the professionals to serve as a sample: the results from this process will be available in the near future. These reviews also provided valuable feedback on the tool itself. It is expected that the tool will be revised once the landscape for CLD programming has been created.

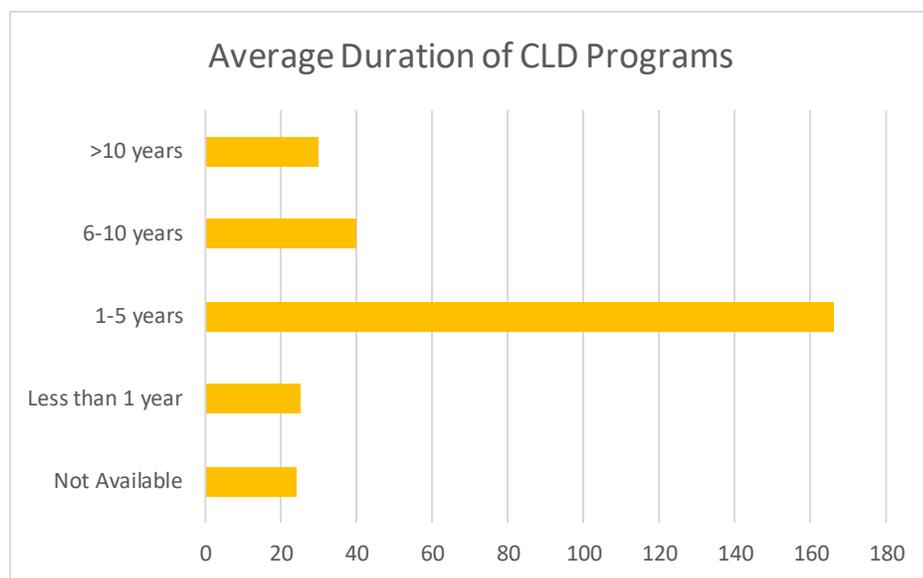
Landscape of CLD Programming: The Who, Where and How long questions

The Research team received an interesting variety of reports representing a wide array of programming from humanitarian work to focused food security interventions and more integrated approaches. Not



everyone was equally rigorous in their selection of reports. Some smaller members who seem to do remarkable CLD work did not have evaluation reports to share, while others sent a whole tranche of reports without apparently putting too much effort in the selection process. Larger organizations or ones which believed that all their work is community-led submitted many more reports than smaller ones. Nonetheless, it seems likely that these reports are reasonably illustrative of CLD programming

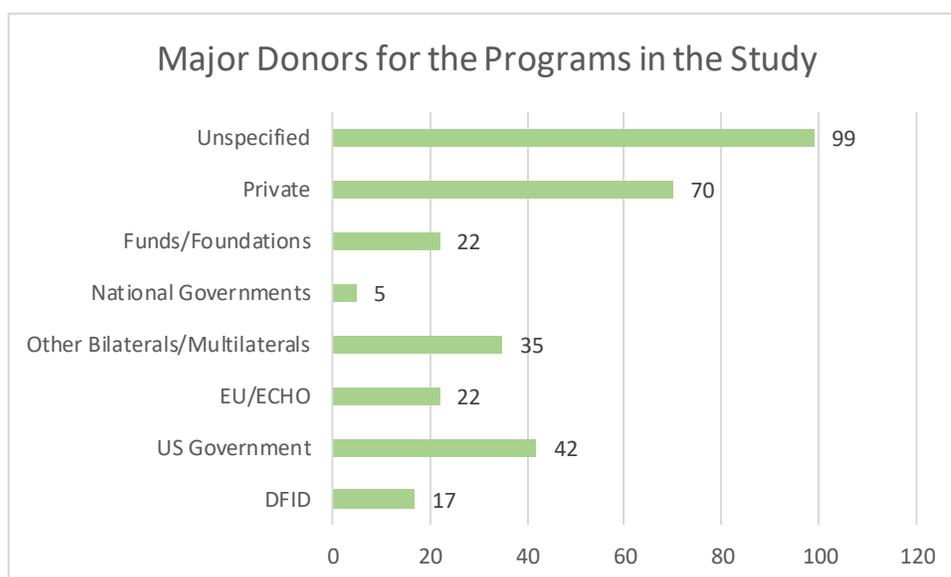
globally⁶ as they encompass a wide range of organizations (31 Movement members and many other partners who worked with them on these projects). The reports represent work in 67 countries. Figure 1 shows the distribution of these reports across continents.⁷ The highest number of reports are for Uganda (27), followed by Ethiopia (26), Malawi (16) and Bangladesh (15). In the end, the research team narrowed the study set to 284 reports.



About 48% of the evaluation reports were end-line evaluations conducted towards the end of the program or after it was concluded. (See Annexure 2 for distribution of reports by stage of evaluation). The average duration of programs in the study was 4.9 years and almost 10% of the programs ran for a year or less. Many reports

highlighted the need for longer programs because changing mindsets and behaviors is a process and takes time. Here it must be noted that most of the programs that ran for less than two years were humanitarian programs, often designed at very short notice to respond to emergencies. The other category of

programming that was relatively more short-term focused on livelihoods. In many cases however, the NGOs had worked in the program areas for many years through different initiatives. In the current data set, programs by The Hunger Project and World Vision seemed to run the longest.



⁶ Here it must be noted that for logistical reasons, the study currently only includes evaluation reports that have been written in English. The research team recognizes that the landscape that emerges will therefore only partially reflect CLD programming – it will exclude all programs where the evaluation reports were written in other languages.

⁷ Please note that many reports cover more than a single country.

Of the 256 reports that had some information on the area of program operation, 57 were in urban locations and 189 were in rural. Some programs were in both and a few focused on refugee camps or advocacy projects.

Many reports (99) did not specify who had funded the CLD programs. USAID, DFID and the European Union were the biggest multilateral and bilateral funders, followed by SIDA and Global Affairs Canada with 6 programs each. Three programs were World Bank supported while 3 were backed by the Bill and Melinda Gates Foundation. Much of the longer-term programming relied on private funding. This refers to money raised by the organization through online donations, investors, child sponsorships and so on.

Dilemmas for the Research Project

One of the early tasks for the research team was to construct a ‘landscape’ (that is, an overall description) of current CLD programming based on the evaluation reports. The intent was to use the CLD rubric as a framework for analysis. Attempting to do so, however, revealed a fundamental limitation to the approach. It was applying a tool that required in-depth program information to reports which typically provided only a brief program description along with, in some cases, the theory of change.

The evaluation reports submitted for the study were rarely designed to report on CLD aspects of programming or to capture its impact. They seldom addressed the 11 characteristics of CLD identified by the multi-organizational research team. In fact, in many reports there was little that would distinguish these programs from other food security, livelihood or health interventions that followed non-CLD approaches. In discussions with practitioners, three possibilities emerged to explain why CLD characteristics were not addressed:

1) CLD is such an integral part of their approach that practitioners did not see the need to specify it explicitly. For example, practitioners talked of how they sat with the community in workshops to develop indicators for the evaluation and a monitoring plan. These participatory processes were however not captured in the evaluation report.

2) Some organizations may not be truly practicing CLD. There may be several reasons for this. It may be that organizations want to follow the CLD approach but are unable to (either because they don’t fully understand it or due to donor restrictions). Or potentially, CLD is the new buzz word – particularly with USAID’s focus on localization – but perhaps only some organizations are being true to the approach. For instance, lack of community leadership in program design was evident in discussions with some partners about their approach and methodology.

3) Evaluation reports, especially those done by external consultants, carry very little program information. So, unless the evaluation design requires the evaluator to collect the right kinds of information from program staff and communities, (s)he may not learn of these features. Further, the evaluator may not consider these features important or relevant to the (potentially) limited goals of the evaluation.

There may be other reasons too but all of them present a dilemma for this research and potentially for CLD in general. Because of the ways in which many evaluations are commissioned and conducted, there is little knowledge about what is being done in CLD programming or how it is being done in these reports. Absence of evidence in an evaluation report] is not necessarily evidence of absence [of CLD]. Yet what it does mean is that it is difficult to determine which of the aforementioned CLD characteristics

are reflected in programming and whether and how they contribute to impact. Moreover, that CLD projects do not seem to evaluate themselves explicitly on CLD is an important fact that needs to be unpacked. This dilemma has had important implications for the design of this research going forward and the selection of a methodology for the next stage of the synthesis. The research team has decided to undertake a realist review that would enable them to understand whether, how and why CLD programs contribute to the impact that is often attributed to them.

It also appears, from the content of reports (as well as from conversations among MERL practitioners), that evaluations are more often designed for accountability to donors than for learning and program improvement. This in turn could contribute to under-use of evaluation findings. There may well be a need to rethink the purpose for evaluation of CLD programs - what needs to be included and why? Refocusing evaluation design could support greater use and help organizations and communities improve their programming.

Finally, there were other weaknesses in many of the reports. Often reports did not contain basic information like programming years, year of evaluation, purpose of evaluation, country context or funder. This information may be known (or 'assumed') by the parties directly involved in a particular evaluation, but their absence reduces the utility of reports for learning 'across' programs or over time. Donors requiring evaluation reports, organizations whose programs are being evaluated, and evaluators could all play roles in ensuring that such basic information is included as a matter of course.

CLD Characteristics: What is recurring, what is missing and what needs to be explored further?

Of the 11 characteristics of CLD outlined in the CLD rubric, Inclusion and Participation was the most visible in the evaluation reports. Inclusion was understandably a recurring theme – and yet, inclusion was often understood simply as including women, or particular groups of people. Perhaps because of how the programs were designed and funded, few reports spoke of including all marginalized and excluded groups. Also, while there is a danger of conflating what was reported with what is being done on the ground, a reading of the reports suggests that attempts at inclusion in programs were often limited to service delivery (that is, ensuring that everyone had access to services provided by the program) or participation in meetings. The reporting seemed to suggest that few programs sought to ensure that hitherto excluded groups had a say in decision-making or program design and implementation. Moreover, except in the gender dimension, few evaluation reports looked at attitude change within groups that had initially been more powerful.

Facilitation was often identified as an important process for ensuring inclusion and participation in the reports. Here it must be noted that the research team did not identify facilitation as one of the 11 characteristics of CLD. Instead it felt that the process of facilitation was critical to enable several CLD characteristics, including capacity development, participation, collective planning and action, and transformative capacity. Thus, an entire section of the CLD rubric was dedicated to facilitation (See CLD self-assessment rubric). While there were references to facilitation in many reports, there was little detail on how it was carried out. A simple word search revealed that 54.35 % of reports referred to facilitation, facilitators, mobilisers or animators. Over 96 % of the reports mentioned training or trainers. Also, while facilitation happened at multiple levels – organizational, governmental, and community - facilitation at the community level was the one that was most commonly referred to. Facilitation at the community level often took place for the capacity development of community mobilisers/ volunteers/ animators or for convening community groups for priority-setting, decision-making, knowledge sharing

or service delivery. A significant number of reports alluded to the danger of unpaid or poorly paid facilitators.

According to a seminal paper on CLD based on the decade long pan-Canadian Vibrant Communities initiative, “Community-led initiatives are guided by local leaders who typically co-create a governance process to help plan and advance the ongoing work.”⁸ Though around two thirds of the reports in the study used the term community/local/village leadership, this does not necessarily mean that the reports capture community leadership as is integral to CLD programming (that is, as identified by the scoping group).⁹ Often, community leaders were referred to in the context of key informant interviews for the evaluation, and not in their role of leading and creating community governance and decision-making processes. Very few of the reports discussed strategies used in programming to include or build community leadership. Here it must be noted that two programs widely considered to be CLD success stories (Vibrant Communities in Canada and Inspiring Communities in New Zealand) stressed the importance of community leadership in CLD processes, a belief supported by many current CLD practitioners.

Finally, the characteristics that were often missing from program descriptions in evaluation reports were accountability (except as feedback mechanisms from the community to the implementing organizations), adaptability, sustainability, collective planning and action, and community assets or capabilities. One impediment to collective planning and action is the lack of transmission of information on program effectiveness to the community. While 50% reports use the term feedback, a closer reading suggests that this is often feedback from the community on the programs. Very few reports talk about providing feedback on program performance to the communities to enable them to make decisions about program design, improvement, continuation and exit.

The term sustainability itself was frequently used. A word search revealed that 80% of the reports contained the terms sustainability or sustainable. One reason for this could be that sustainability is a popular term in the development and humanitarian jargon and is often identified as a programmatic goal or desired outcome. However, a thematic review of the reports reveals that the reference is often only as an aspiration or a superficial mention. Relatively few evaluations reported on the strategies that were used in programs to support either sustainable programming, or sustainability of outcomes. Moreover, sustainability is a term that is used and understood differently by different organizations and even individuals. As such the mere occurrence of the term in reports cannot be taken to verify the presence of sustainability in either programming or outcomes.

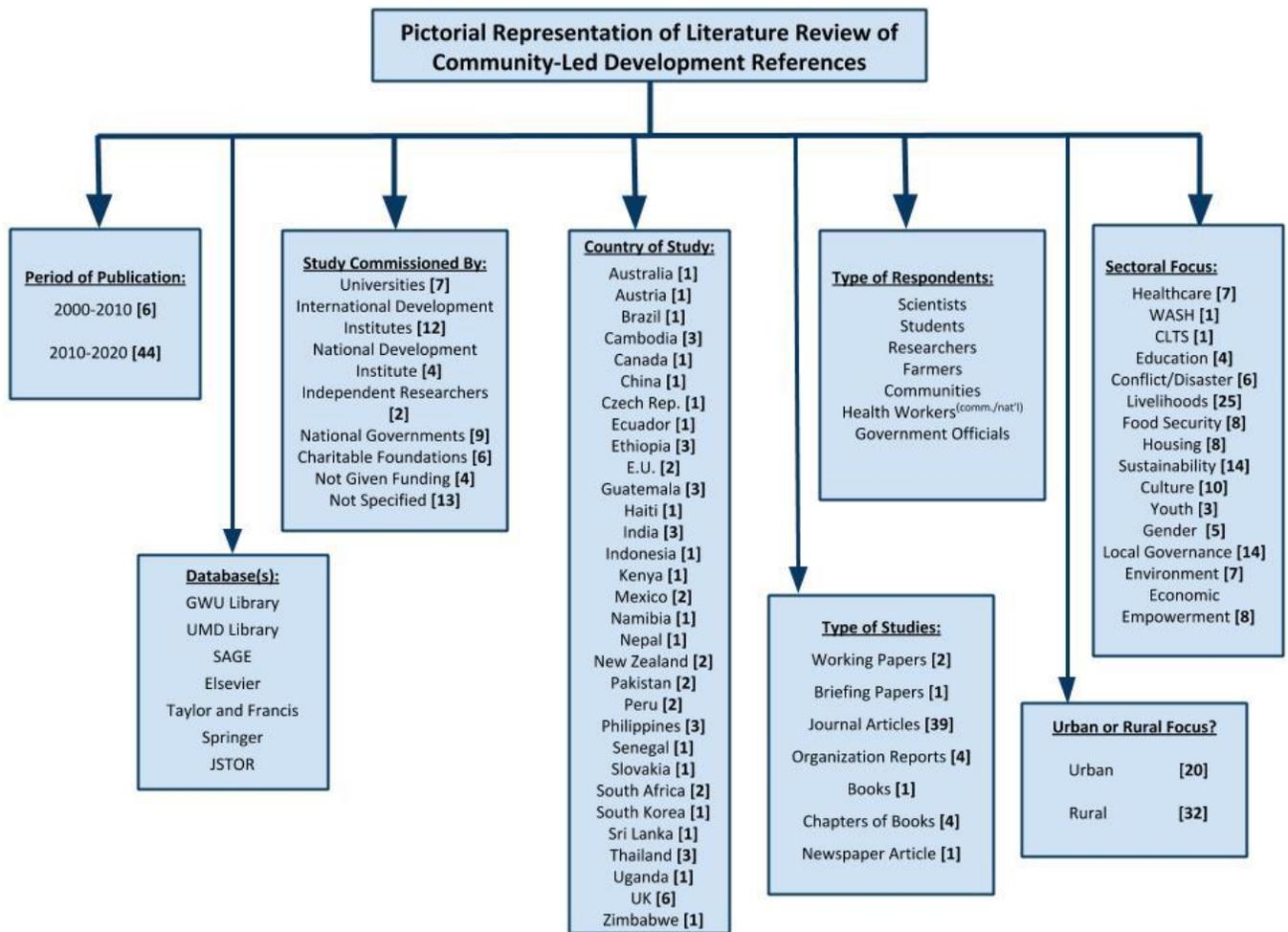
⁸ Sherri Torjman and Anne Makhoul (2012), Community-led Development, Caledon Institute for Social Policy, Canada.

⁹ The closest understanding of how the scoping group looked at community leadership can be found in Whitney et al (2010), *Appreciative Leadership*, McGraw Hill, New York in Hanna Nel (2018) *Community Leadership: A comparison between asset-based community-led development (ABCD) and the traditional needs-based approach*, Development Southern Africa, available at https://www.researchgate.net/publication/326949592_Community_leadership_A_comparison_between_asset-based_community-led_development_ABCD_and_the_traditional_needs-based_approach The paper defines community leadership as, “the enabling of the relational capacity of community members to initiate the creative and often hidden potential of the community and turn it into initiatives driven by empowered community members. It is an organic process, situated in all community members and encompasses dialogical, collective decision-making ‘to set in motion positive ripples of confidence, energy, enthusiasm and performance.’”

What some external CLD Literature tells us

This practitioner-led research sought to understand CLD as it is currently “understood”, “practiced” and “aspired to.” Thus, at the beginning of its work, the research team decided to eschew an exhaustive literature review in favor of consultation with CLD experts to identify key texts and existing documentation around some of the most noted CLD initiatives globally – Vibrant Communities in Canada, Inspiring Communities in New Zealand, comprehensive community initiatives in the US and a World Bank run CDD program in Indonesia.

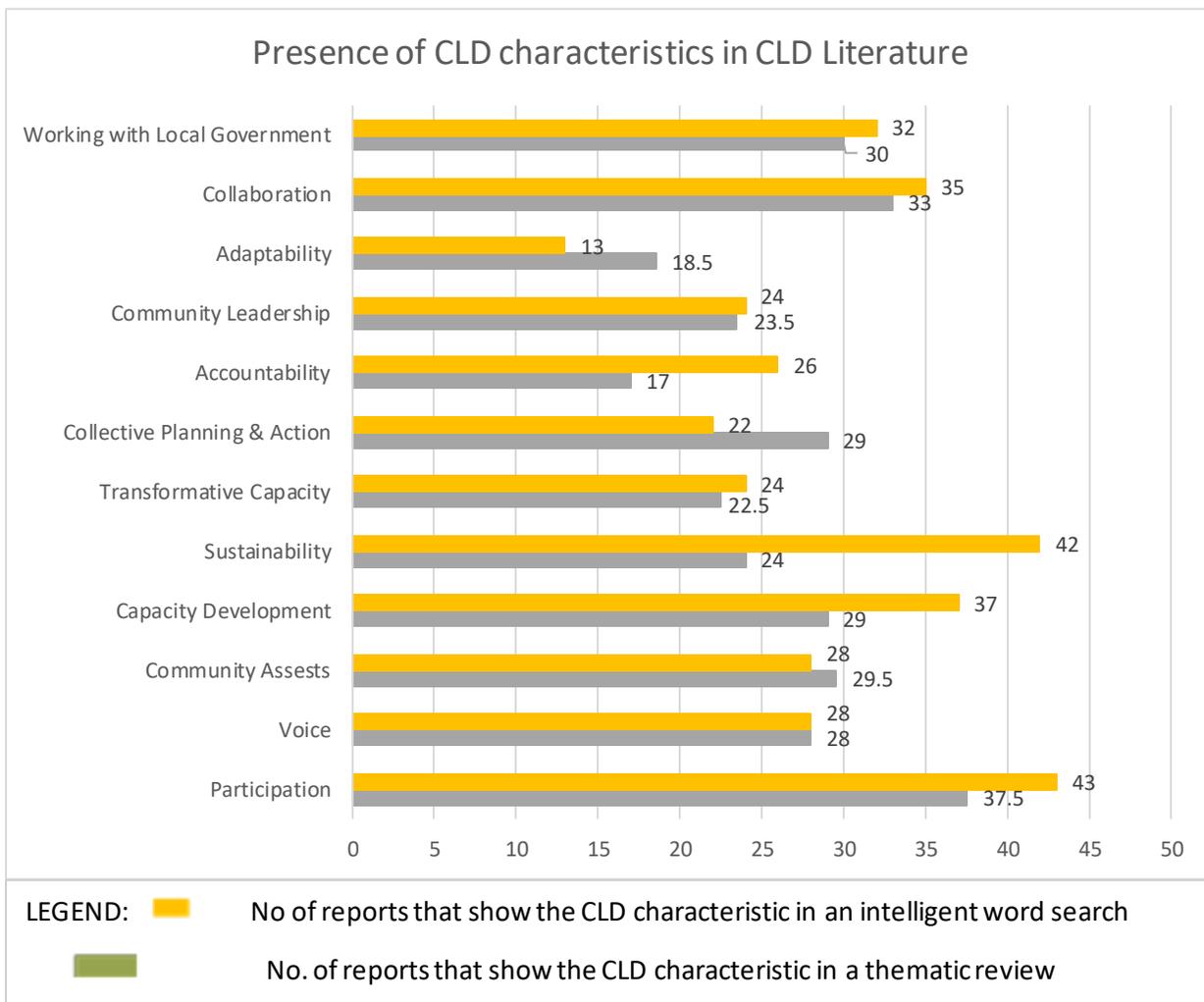
In a first attempt to triangulate the 11 characteristics of CLD identified by practitioners with characteristics identified in the literature, two interns were asked to do a database and journal search to identify 50 readings on CLD. All readings that formed a part of the initial study/ literature consultation were removed. The following table depicts the nature of references used:



After a discussion to arrive at the common understanding of the 11 CLD characteristics, these reports were independently reviewed by both interns to see how many of these characteristics were identified in the reports. Since both interns were at a similar level of understanding of CLD, their scores were

averaged. Subsequently, a quick (yet intelligent¹⁰) word search was also carried out to see how frequently terms referring to the 11 characteristics appeared in these reports. Here, one must acknowledge that different organizations and people use words and terms differently. Moreover, many of the terms used to describe the CLD characteristics are loosely used in a variety of contexts, so their appearance may not be enough to confirm the importance of these characteristics. But their absence would potentially tell multiple stories about CLD programming, and evaluation. Finding the right and exhaustive set of search terms for such concepts is not easy. However, the intent here was not to find an exhaustive list but a relatively comprehensive one. For more details on the searches around every characteristic, refer to Annexure 3.

The results of the exercise are depicted below.



¹⁰This means that instances where the word was used in a different sense (ie was part of a program name or the name of an organization or in the footnotes, it was excluded. For example, instances where agency was used to refer to an organization or entity as opposed to agency of people were not included.)

Most of the external CLD literature reviewed speaks of participation and inclusion and collaboration. Sustainability scores well on the word search, but as with the evaluation reports, a thematic analysis reveals that few of the readings talk about the various facets of sustainability. Finally, as with the evaluation reports, few reports in the literature review allude to adaptability and accountability.

The Good News: Learning by Doing

While the characteristics of CLD may not make an appearance in most reports submitted for the research, almost 70% of these reports use the term 'beneficiary' at least once. Most use it liberally and in toto the term appears 3842 times in all the reports. It was the most frequently used term after training and empowerment. This poses a huge problem for CLD. At its core CLD is about mindset transformation – not just in the communities but among the implementing agencies as well. As long as organizations view communities and community members as 'beneficiaries', they will not recognize them as equal partners who can and must have a say in their own development. While it is true that the term has a long history in the development and humanitarian sectors and is often used by organizations out of habit (and the stipulations made in the request for proposals) and convenience, it leaves community members with a feeling of disempowerment. It relegates them to the status of passive recipients. However, this collaborative research is beginning to change the usage of the term within partner organizations. As a result of the discussions that took place within the various sub-groups for the research, a few partners stepped up to sponsor [a special event](#) around the practice of CLD and the use of the term "beneficiary" on October 2, 2019 in Washington DC. Subsequently, two large member organizations publicly committed to removing the term from their communications (unless mandated by donors). In small debrief sessions, research team members have also admitted that in developing the tools, they have engaged much more with the concepts of CLD. This has improved their own understanding of the approach and they have carried their learnings (and these tools) to colleagues within their organizations. This research has led to increased interest and engagement by Movement partners. The pursuit of common goals within the research agenda and the joint presentation of findings at external platforms has created solidarity forged out of a shared journey of learning.

Limitations

The biggest strength of this research is its collaborative nature and its breadth, which covers a range of organizations, scenarios and countries. However, it does suffer from several limitations that have been identified through the course of this article. The biggest limitation is the clear risk of conflating what makes it into the reports with what is happening on the ground. It is important for the research team as well as people who read the study to remember that an absence of CLD characteristics in evaluation reports does not necessarily translate into or result from the absence of these characteristics in programming.

Secondly, many of the terms and concepts used to identify the characteristics are used and understood differently by different organizations in different places and at different times. This article often refers to results of a word search that was carried out alongside a review of the reports. It is important to note that this word search was simply applied here to understand whether the key concepts of CLD were mentioned in reports. It does in no way substitute for or provide by itself a picture of CLD programming and should be read with caution.

The Next Steps

The collaborative research has been an exercise in learning-by-doing. It has changed the understanding of CLD within the research team and gradually changes in practice are beginning to emerge in some organizations (for instance, removal of the term ‘beneficiary’, and assessing internal programs by applying the CLD rubric). As the research team develops tools and methodologies to better understand, and inform improvements to CLD practice over time, there is hope that the landscape of CLD will look different in a few years from now. But this requires action on multiple fronts. First and foremost, an understanding of how CLD is being practiced currently is important. A simple synthesis of the impacts that emerge from a deep dive of the evaluation reports is no longer sufficient (or even feasible given the variety in evaluation reports and programming). Such an exercise may tell us whether or not certain programs (which are recognized as community-led by the organizations that run them) contribute to a certain set of outcomes, but it will definitely not tell us whether those outcomes take place because of the CLD approach. That understanding requires a deeper dive into how and why certain programs contribute to certain outcomes. What mechanisms are at the play that result in these outcomes or their absence. A realist review allows us to identify how “mechanisms” interact with various elements of context to create outcomes and is therefore the next logical step in this emergent research.

Meanwhile, the research team is currently revising the CLD rubric based on feedback from practitioners who have applied the tool to their programs and evaluation reports. It will conduct sense-making workshops with National Chapters in various countries to test the applicability of this rubric and its relevance to national and local NGOs that have adopted the CLD approach. Once the rubric has been revised to reflect the common understanding of CLD developed by both international and national NGOs, it needs to be disseminated widely and effectively to enable organizations to assess and recalibrate their own programs. At the same time the Movement needs to launch a massive campaign to train evaluators and program professionals on how to effectively evaluate CLD. This may even entail adapting existing evaluation methodologies to the complexity of CLD. Finally, there is a need for dialogue with donors around what is being evaluated, how and why.

Transforming mindsets and developing capacities is the essence of CLD. It is time now to transform our own mindsets and to build our capacities, as development and humanitarian professionals to practice, articulate and measure CLD.

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Annexure 1: The CLD Rubric

Note: This rubric has been developed by the Scoping Group comprising of Holta Trandafilii (World Vision), Julie Carandang (Nuru International), Brigitta Bode (Institute for State Effectiveness), Nelly Mecklenburg (Institute for State Effectiveness), Prof Martha Cruz Zuniga (Catholic University), Randy Lyness (Global Communities), Alexis Banks (Root Change), Janet Edmond (Conservation International), Alison Carlman (Global Giving) along with the research lead, Gunjan Veda (The Hunger Project). The CLD assessment tool that was used for a review of the reports, included two other sections in addition to the CLD rubric. Section A sought to gather basic background information about the program (including name, areas of programming, duration, country of evaluation, stage of evaluation and method of evaluation, implementing organization, donor among other things). Section B of the tool sought to gather more details about the program and how it was implemented (including scale of programming, budget, areas of focus, key participants, support offered by the program, socio-economic and political situation at the time of programming among other things).

Presence and level of KEY CLD characteristics in the program

A DIMENSION: PARTICIPATION, INCLUSION, AND VOICE -- YES, NO					
	Insufficient Information	1 -doesn't try	2 -tries	3 -progressed	4-succeeds
A.1 The CLD program ensures the participation of excluded groups.	No/insufficient information to make a judgement.	Potential factors of exclusion (gender, ethnicity, age, economic status) are not analyzed.	Implementers have identified potential factors of exclusion and include the views of these community members.	Implementers strengthen the collective voice in the community of those potentially excluded and build community solidarity. Note: have voice and are heard but are not decision-makers	Those who risk exclusion are central actors in decision making in the program. Note: have voice, are heard and are decision-makers
A.2 Community members decide focus of the CLD program (assessment phase)	No/insufficient information to make a judgement.	Community members had no involvement in the assessment process	Community members actively participated in the assessment process and had involvement in one of the following: (1) designing the process (2) collecting data; (3) analyzing the data (4) formulating the conclusions	Community members actively participated in the process and had involvement in two or three of the following: (1) designing the process (2) collecting data; (3) analyzing the data (4) formulating the conclusions	Community members had involvement in all of the following: (1) designing the process (2) collecting data; (3) analyzing the data (4) formulating the conclusions

<p>A.3 Community members play an active role in CLD program design</p>	<p>No/insufficient information to make a judgement.</p>	<p>Community members had no involvement in the design process</p>	<p>The basis of program design stems from select community members (e.g. leaders or representatives but no participation of wider community members).</p>	<p>The basis of program design stems from wide community participatory processes but without consideration of power/gender dynamics, distribution of resources within a community, different poverty-levels, etc.</p>	<p>The basis of program design stems from wide community participatory processes with consideration of power/gender dynamics, distribution of resources within a community, different poverty-levels, etc. These considerations are used to create a vision and action plans.</p>
<p>A.4 Community members play an active role in the CLD program implementation (including adaptation)</p>	<p>No/insufficient information to make a judgement.</p>	<p>Community members had no involvement in the implementation process</p>	<p>Select community members (e.g. leaders or representatives) are kept informed of program performance and decisions regarding implementation or adaption.</p>	<p>Community members and local leaders are informed of program performance and can influence decision-making around program activities, and adaptation.</p>	<p>Community members (including those at risk of exclusion) and local leaders drive decision-making on on-going program activities, review of program performance and any needs for adaptation.</p>
<p>A.5 The CLD program systematically builds voice and confidence of community members especially those at risk of exclusion to express their thoughts, ideas, share experiences, etc.</p>	<p>No/insufficient information to make a judgement.</p>	<p>The program makes no efforts to build voice and confidence</p>	<p>The program may build voice and confidence among some community members and/or local leaders but has no systematic approach to doing it.</p>	<p>The program is intentional about building voice and confidence among community members and/or local leaders through capacity building and mentoring.</p>	<p>The program is intentional about building the voice and confidence of local leaders and community members, including those at risk of marginalization (enabling them to learn, practice how to articulate, and present ideas among other things)</p>
<p>A.6 The CLD program raises awareness and builds advocacy skills amongst local structures, leaders, and community members to press for their social, economic and political rights</p>	<p>No/insufficient information to make a judgement.</p>	<p>The program does not raise awareness of peoples' social, economic and political rights nor does it build advocacy skills</p>	<p>The program raises awareness of peoples' social, economic and political rights but does not build advocacy skills</p>	<p>The program raises awareness of peoples' social, economic and political rights and builds advocacy skills</p>	<p>The program raises awareness of peoples' social, economic and political rights and builds advocacy and social movement skills</p>
<p>B. DIMENSION: LOCAL RESOURCES AND KNOWLEDGE -- YES, NO</p>					

B.1 The CLD program builds on Local Resources and Knowledge	No/insufficient information to make a judgement.	The program does not consider local resources and knowledge	The program is aware of local resources, but knowledge is transmitted by the front-line staff	The program builds on local resources and takes local knowledge into account	The program uses and celebrates local knowledge and resources <i>*celebrates refers to recognizing the value of local knowledge and pursuing it.</i>
B.2 Community contributes their resources (e.g. time, cash, labor, land, materials, etc.)	No/insufficient information to make a judgement.	Community does not contribute towards program implementation in cash or kind or labor.	Community members contribute time/labor or resources (land, cash, materials), but only because it is mandatory.	Community members contribute time/labor or resources (land, cash, materials), when asked but do not volunteer it.	Community members decide what is needed, willingly identify additional resources that would contribute to outcomes (time/labor, land, cash, materials) and volunteer them.
C. FACILITATION INVESTMENT AND INTENSITY -- YES, NO <i>[Facilitators are the front-line staff who explain the program and work with communities on a day to day basis to facilitate planning and action. Facilitators may work for NGOs, be community volunteers, etc.]</i>					
C.1 The CLD program facilitators are equipped with skills and practice for their roles	No/insufficient information to make a judgement.	Facilitators receive a basic orientation in the classroom	Facilitators are trained in basic facilitation skills as well as participatory analysis and planning in the classroom	Facilitators are trained in facilitation skills, participatory analysis and planning in the classroom and in communities	Facilitators are trained in facilitation skills, participatory analysis and planning, as well as collective action in the classroom and in communities
C.2 The CLD program has reasonable provisions to ensure flexibility to respond to changes in demand for community facilitators (e.g. with scale of program, changes in context or pace of CLD)	No/insufficient information to make a judgement.	No assessment of changes in demand for community facilitators AND/OR No resource provision for increasing scale of program AND/OR No processes in place for reducing numbers of facilitators or slowing pace of program	Ad-hoc assessments of numbers and capacity of community facilitators relative to the context, intended scale of the program and pace of the program. Changes are made if program performance has suffered.	Regular assessments of numbers and capacity of community facilitators relative to the context, intended scale of the program and pace of the program. Changes are made ONLY if program performance has suffered.	Regular assessments of numbers and capacity of community facilitators relative to the context, intended scale of the program and pace of the program. Program has budgetary provisions and processes in place to respond.
C.3 The CLD program has reasonable provisions to support the quality of local facilitation (clear intake	No/insufficient information to make a judgement.	There is no provision to support quality of local facilitation. There is no clear intake criteria, no proper knowledge and	There is some ad-hoc provision to support local facilitation. The program has one of the following components built into it:	There is a reasonably good provision to support local facilitation. The program has two of the following components built into it: 1)	Provisions to support local facilitation are fully integrated into the program. The program has all of the following components built

criteria; knowledge and skills assessment; provision of training and support for local facilitators)		skills assessment is undertaken and there is no provision for training and support of local facilitators.	1) There is a clear intake criteria; 2) proper knowledge and skills assessment is undertaken; 3) there is provision for training and support of local facilitators.	There is a clear intake criteria; 2) proper knowledge and skills assessment is undertaken; 3) there is provision for training and support of local facilitators.	into it: 1) There is a clear intake criteria; 2) proper knowledge and skills assessment is undertaken; 3) there is provision for training and support of local facilitators.
C.4 The pace of the CLD program is determined collaboratively with communities and, where appropriate, with funders	No/insufficient information to make a judgement.	The pace of the program is determined by the implementing organization/funder with no community consultation and information dissemination.	The pace of the program is determined by the implementing organization/funder. The community is informed of the pace and community feedback is obtained (but not acted upon).	The pace of the program is determined by the implementing organization/funder. Community representatives/ leaders are systematically consulted in designing the pace of the program.	The pace of the program is determined collaboratively with community members including representatives of marginalized groups. It is cognizant of the different pace preferred by different groups in the community.
D. DIMENSION: ACCOUNTABILITY MECHANISMS -- YES, NO (Accountability mechanisms include parties sharing monitoring reports, accounting for their decisions and spending through public notice boards and through interactive sessions such as public forums e.g. social audits or quarterly or bi-annual decentralized workshops where all communities can be represented, etc.)					
D.1 The program fosters partnerships with genuine mutual accountability	No/insufficient information to make a judgement.	There are no accountability mechanisms that involve the community.	Accountability mechanisms exist from communities to implementing agencies.	Two-way accountability mechanisms exist between communities and implementing agencies.	Accountability mechanisms are practiced not only between communities and implementing agencies, but within communities themselves and/or with the local leaders (groups or elected councils).
E. DIMENSION: RESPONSIVENESS TO CONTEXT SPECIFIC DYNAMICS – YES/NO					
E.1 The CLD program is responsive to power differentials and dynamics	No/insufficient information to make a judgement.	The program does not assess or consider the power differentials and dynamics in the community	The program design assessments point to differences and dynamics, but there is no strategy to take these differences into account.	Community analysis highlights the contextual variation in power relations, but neither the program nor the facilitators are equipped to address them.	The Program is responsive to power differentials and dynamics within and across communities and facilitators are equipped to address/maneuver them.

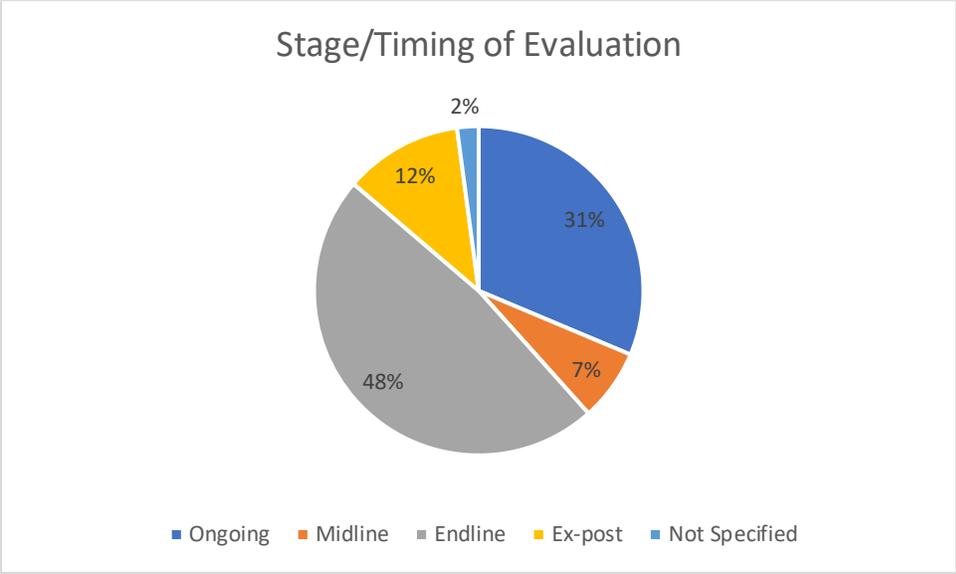
E.2 The CLD program is responsive to community needs and contexts	No/insufficient information to make a judgement.	The program cannot respond to contextual community needs (program applies a blue-print approach)	The program cannot respond to changing community needs and contexts, but the implementing organization looks for other interventions to address these	The program can adapt to a certain extent, but this is limited to the design characteristics	The program is iterative and able to adapt to crises, successes or changes in community needs and contexts. (e.g. floods, droughts, seasonal hunger, arrival of new technologies, changes in political systems, etc.)
F. DIMENSION: COLLABORATION WITHIN AND AMONGST COMMUNITIES -- YES, NO					
F.1. The CLD program builds collaborative relationships horizontally, vertically, and across communities [measured as an indicator or described as a process]	No/insufficient information to make a judgement.	The program does not intend to build collaborative relationships	The program builds horizontal collaborative relationships (e.g. poor to poor; female to female; Christian to Muslim, etc) within the community	The program builds both horizontal and vertical collaborative relationships (rich to poor, caste to caste, female to male) within the community	Program builds collaborative relationships 1. horizontally (socio-economic, gender, religion); 2. vertically (socio-economic, castes); 3. across communities
F.2 The CLD program links local structures or leaders to local federations or wider social movements	No/insufficient information to make a judgement.	The program does not link local community structures or leaders to any federations or movements	The program links local community structures or leaders to local federations	The program links local community structures or leaders to local and regional federations	The program links local community structures or leaders to local and regional federations and nation-wide social movements
G. DIMENSION: CLD LINKED TO SUB-NATIONAL GOVERNMENTS – YES, NO					
G.1 The CLD program's local community structures or leaders are linked to sub-district or district government	No/insufficient information to make a judgement.	Sub-district or District Government is not aware of the program	Sub-district or District Government is aware of the program, but there is no platform / space for interaction between the participatory community structures or leaders and sub-district or district officials	Sub-district or District Government is aware of the program, and there is ad hoc interaction between the participatory community structures or leaders and sub-district or district officials. The program strengthens the community's ability to demand its rights/entitlements from	Sub-district or District Government is aware of the CLD program. The CLD program establishes systematic engagement between the community and sub-district or district government to achieve community goals.

				sub-district or district government.	
H.DIMENSION: EXIT STRATEGY LINKED TO SUSTAINABILITY AND RESILIENCE					
H.1 Communities are central to developing exit strategies of the CLD program	No/insufficient information to make a judgement.	There is no exit strategy	The exit strategy is created by the implementing organization without consultation with community leaders or community members	The exit strategy has been created in consultation with local leaders and community members	Exit strategy is owned by community members and local leaders.
H.2 Planning for responsible exit is woven throughout the CLD program [all the life-cycle phases]	No/insufficient information to make a judgement.	There are no exit strategies	The exit strategies are formulated towards the end of the program (very close to closure or at closure).	The exit strategies are planned at design and revisited towards the end of the program (very close to closure or at closure).	The planning for exit strategies started at design, is iteratively revised during implementation and finalized towards the end of the program.
H.3 Exit strategies of the CLD program describe the mechanisms left in place to ensure sustainability and/or resilience	No/insufficient information to make a judgement.	There are no exit strategies	There is an exit strategy but does not point to sustainability or resilience mechanisms	There is a logical plan that describes the mechanisms through which desired impact will continue after the intervention has ended.	There is a logical plan that describes the mechanisms through which impact determined by community members will continue after the intervention has ended. This includes assessment of capacities/ resources needed by local actors.
H.4 The CLD program impact is measured post-closure with local participation	Not applicable	Program impact is not planned or measured 2+ years post closure.	Program impact is measured 2+ years post-program closure. Community actors are informed about the exercise and provide information as requested.	Program impact is measured 2+ years post-program closure. Community actors are consulted about the exercise and provide information as requested.	Program impact is measured 2+ years post-program closure. Community actors are active participants in all the stages of the post-program evaluation (design to report to action plan).

H.5 Community members (including the most marginalized) are still benefiting from CLD program	Not applicable	The program has left no traceable impact (positive, negative, neutral).	Little evidence of sustainable impact is evident. No to little adaptation has happened.	Mixed impact but mostly positive. Community members and/or structures have practiced some adaptation and skills gained from the CLD program.	Mostly positive evidence. Community members and/or structures have regularly used adaptive mechanisms and skills gained from the CLD program.
I. DIMENSION: MONITORING AND EVALUATION PRACTICES SUPPORT CLD -- YES, NO					
I.1 The CLD program M&E system/practice makes provisions for feedback mechanisms to communities	No/insufficient information to make a judgement.	There are no feedback mechanisms	Feedback to communities is left to facilitators with no systematic approach	Feedback to communities is provided only when key issues arise	Based on M&E data, decentralized interactive learning workshops are used to provide feedback to communities in a systematic way and to help them make plans to address key issues
I.2 Participatory monitoring is carried out	No/insufficient information to make a judgement.	There is no community participatory monitoring	Community monitoring happens but is mostly facilitated by front-line staff	Community monitoring happens and is mostly facilitated by community members. Feedback to wider community <i>[through participatory sessions]</i> is however ad-hoc.	Community Participatory Monitoring (CPM) is central to the M&E approach of the program. Community monitoring is facilitated by community members or structures and includes reporting back to the larger community regularly e.g. every six months
I.3 Participatory evaluation is carried out	No/insufficient information to make a judgement.	There is no community participatory evaluation	Community members are involved in ONE or TWO of these evaluation stages: 1) Planning; 2) Data Collection; 3) Analysis; 4) Validation; 5) Conclusions and Recommendation; 6) Action planning.	Community members are involved in many (THREE or FOUR) of these evaluation stages: 1) Planning; 2) Data Collection; 3) Analysis; 4) Validation; 5) Conclusions and Recommendation; 6) Action planning.	Community members are central in ALL the evaluation stages: 1) Planning; 2) Data Collection; 3) Analysis; 4) Validation; 5) Conclusions and Recommendation; 6) Action planning.

<p>I.3 M&E findings are disaggregated according to sex, disability and other relevant social differences AND acted upon</p>	<p>No/insufficient information to make a judgement.</p>	<p>No disaggregation of findings by social differences</p>	<p>Findings are disaggregated, but a number of social differences relevant to the intervention are missing. There is little explanation to elucidate why outcomes are different for different groups.</p>	<p>Findings are disaggregated according to all social differences relevant to the intervention. There is some explanation to why outcomes are different for different groups and what that means for the program.</p>	<p>Findings are disaggregated according to all social differences relevant to the intervention. There is good explanation to why outcomes are different for different groups and what that means for the program [translated to recommended action].</p>
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Annexure 2: The Distribution of Evaluation reports used for the study by stage of Evaluation



Annexure 3: The Word Search

S.No	Characteristic	Terms used (variations of)
1	Inclusion and Participation	Inclusive, Inclusion, Participatory, Community Participation
2	Voice	Voice
3	Community Assets	Community/village/local assets, community/village/local resources, community capacity, community/village/local/traditional knowledge
4	Capacity Development	Capacity Development, Capacity Building, Facilitation, Facilitator, Animator, Mobiliser, Mobilizer, Volunteer
5	Sustainability	Sustainable, sustainability
6	Transformative Capacity	Agency, Transformative capacity, transformational, Transformative Change, mindset shift, mindset change, mindset transformation, social/community mobilization
7	Collective Planning and Action	Collective Action, Participatory Planning, Participatory Design, Co-creation
8	Accountability	Accountable, accountability, feedback
9	Community leadership	Community/local/village leaders, community/local/village leadership
10	Adaptability	Adaptive, adaptation, adaptable, collective learning, collaborative learning
11	Collaboration	Collaboration, Collaborative
12	Local Government	Local Government, citizen engagement

