



UNPACKING COMMUNITY-LED DEVELOPMENT: A Study of 173 Programs Across 65 Countries



Collaborative Research Team,
The Movement for Community-led Development

DRAFT Report, January 2021

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Preface

Aboriginal social activist Lilla Watson famously said, “If you have come here to help me you are wasting your time, but if you have come because your liberation is bound up with mine, then let us work together.”¹

Community-led Development (CLD) is not a new idea. Even before the pandemic demonstrated why the world needs CLD, terms like localization, community-driven development and locally-led development had begun to gain traction in the development discourse. And with them came questions around impact and efficacy. In 2019, the Movement for Community-led Development, a global consortium of 70+INGOs and hundreds of local civil society organizations from around the world, began a collaborative research to unpack what happens when we put communities front and center in development. The goal was to systematically review CLD programming from around the world to understand where CLD had worked, how, why and for whom. But before we could delve into questions of impact, we needed to arrive at a common understanding of CLD and what organizations are doing as part of their CLD programming.

This report represents a collaborative study of 173 programs across 65 countries that were identified by their implementing organizations as being community-led. While there have been a few attempts to capture the impact of CLD,² to the best of our knowledge, this is the first attempt at creating a landscape of current CLD practice. Here, we do not look at the quality of CLD programming, its impact or effectiveness. Instead, we seek to understand the current nature of CLD programming. What are its defining features, how does it compare with our vision of community-led development, and how does it vary with context-- socio-economic, political and programmatic?

This research is designed for both practitioners and funders of CLD. It is an attempt to build a common understanding of CLD and a common language to talk about it, because CLD is, “common sense but elusive. It’s hard to describe and capture because it never looks the same in two places.”³ The tools developed during this study provide a harness. They are not by any means a checklist to be followed in every situation. The research team identified Adaptability or Responsiveness to Context as a key characteristic of CLD. Both our findings and recommendation should be read with this in mind.

The biggest strength of this research has been the process by which it was conducted. A truly collaborative exercise, it built on the experience and understanding of practitioners working across

¹ Cited in John Coonrod, “Eleven Days for Community-led Development: Day 1 Participation and Inclusion,” The Movement for Community-led Development, January 18, 2021, <https://mclcd.org/11days-1a/>.

² Some examples include Susan Wong “What have been the impacts of World Bank Community-Driven Development Programs? CDD impact evaluation review and operational and research implications.” *World Bank, Washington, DC* 7 (2012); Elisabeth King, “A critical review of community-driven development programmes in conflict-affected contexts.” (2013); Howard White, Radhika Menon, and Hugh Waddington. “Community-driven development: does it build social cohesion or infrastructure? A mixed-method evidence synthesis.” (2018): 1-52; *Mansuri, Ghazala; Rao, Vijayendra. 2013. Localizing Development : Does Participation Work?. Policy Research Report;. Washington, DC: World Bank. © World Bank. <https://openknowledge.worldbank.org/handle/10986/11859> License: CC BY 3.0 IGO.*

³ Inspiring Communities, “Learning by Doing: community-led change in Aotearoa NZ.” *Wellington, New Zealand Inspiring Communities Trust* (2013), 20.

different organizations, sectors, countries, communities and program focuses. It sought to capture the varied understandings of and approaches to CLD. The team had people who designed programs and people who evaluated them, practitioners and researchers. All tools were developed after extensive consultation, debate and discussion, and were piloted both by CLD “veterans” and new entrants, from different parts of the world. Thus, we believe that the tools that have been developed are more inclusive and more representative of CLD. Yet, by no means was this a perfect exercise. While the initial team represented organizations of various sizes, team members were US-based and mostly people who had English as their first language. The documents included in the study were also in English and mostly submitted by US or UK based organizations. We sought to remedy our biases by consulting practitioners and advisors from different parts of the world. Later, the team expanded to have a more heterogeneous composition.

This research has been an exercise in learning by doing. In trying to unpack current CLD practice, the team began to develop a clearer understanding of what is CLD and what it is not. We carried this understanding back to our respective organizations and work. We believe that in piecing together a picture of CLD practice and trying to develop a common language around it, we have become better CLD practitioners.

A great limitation of this study is that it is research based exclusively on secondary data. It relied on information present in program documents, journal articles and evaluation reports. Documents which varied hugely in purpose, methodology, length and the level of detail they contained. Also, documents that were for the most part “donor driven,” written to satisfy grant requirements. And grants are often disbursed by thematic focus areas — food security, livelihoods, gender, humanitarian assistance or governance —and evaluated for indicators specific to these areas. While a few reports in this study did seek to evaluate social capital and community mobilization, none measured how “community-led” an initiative was and how this impacted development outcomes. Thus, even if a program was community-led, it would not necessarily emphasize those elements in its report unless the donor specifically required reporting on it. This was largely evident from our dataset. A way to mitigate this would have been to contact the program staff for additional information and clarifications. Primary data can “ground truth” and refine explanations derived from secondary data. This research, carried out without any external donor support, did not have the resources to do so.

Absence of evidence is therefore not evidence of absence. Yet, the findings of this study speak to the priorities of funders and practitioners. They also highlight a need for better alignment between donors and program managers, as well as between communities and implementing organizations. If we truly believe in the power and potential of communities, if we truly are committed to #ShiftThePower in international development and philanthropy, then we need to re-examine the way we do our work, the way we evaluate it and the way we document it.

Finally, at the heart of any discussion on CLD is the community. The term “community” can be defined in multiple ways – by shared physical space, common interests or agenda, faith or belief systems, to name a few. In CLD programming, “community” often refers to people living within a particular geographic area who share an imagined membership, social interactions and access to

material resources, even as they inhabit multiple other “communities” of practice, faith and kinship.⁴ The research team did not have the resources to go to the communities where these programs are implemented to find out how CLD programming was being done; how people described these programs that sought to amplify their voices and concerns as compared to those that viewed them as “beneficiaries.” The biggest limitation of this study is the absence of community voices. It is our hope that this research will motivate funding agencies to invest in building on this work so that we can go directly to community members and complete our landscape of CLD practice with their perspectives on what CLD currently looks like and what it should be.

A final caveat: while this report does map the nature of CLD programming, it does not claim any correlation between the presence of CLD characteristics in a program and the impact it has. MCLD, with support from USAID under *The Implementer Led Design, Evidence, Analysis and Learning (IDEAL) Activity*, is currently undertaking a rapid realist review to understand the impact of CLD and the human change process that causes this impact. Titled InCLuDE (Impact of Community-Led DEvelopment), this project seeks to examine how, why and under what circumstances community leadership and facilitation lead to improvements in equity and resilience. We believe it will be a first step in understanding and evidencing the multi-directional impact of CLD. Findings from InCLuDE are expected to be released in September 2021. Stay tuned!

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⁴ Beniamino Cislighi, "The potential of a community-led approach to change harmful gender norms in low-and middle-income countries." *Advancing Learning and Innovation on Gender Norms (AliGn)* (2019) p.6

Executive Summary

In 2019, The Movement for Community-led Development (MCLD) began a collaborative research project to assess the impact of CLD programs and share learnings with international development actors and local communities. The purpose of this multi-phase research was to understand not just the impact of CLD in different contexts, if any, but also the human change processes that lead to this impact.⁵ To do so, the diverse and multi-organizational research team had to first arrive at a common understanding of CLD and map the current state of CLD programming.

We collected over 400 evaluation and program reports from 29 MCLD members, which were self-identified as being community-led by the implementing organizations. Within these reports, the team assessed the presence of CLD characteristics and how they varied with socio-political and economic contexts, program length, funding, focus and activities. We sought to answer the following questions:

- *What are organizations doing as part of their CLD programming?*
- *How does the nature of CLD programming vary with context?*

This report outlines the current landscape of CLD practice based on an analysis of evaluation and project reports of 173 programs across 65 countries. It does not look at the question of impact. Rather, it seeks to identify the current practice of CLD programming—its strengths and weaknesses—so that implementing organizations and funders can course-correct where needed.

The team followed a process of inductive reasoning to arrive at the 11 characteristics that define CLD. These were:

1. Accountability
2. Adaptability
3. Capacity Development
4. Collaboration
5. Collective Planning and Action
6. Community Assets
7. Community Leadership
8. Participation and Inclusion
9. Sustainability
10. Transformative Capacity
11. Voice

Recognizing that CLD will look different depending on context, the team designed a rubric to reflect how these 11 characteristics would appear in the program lifecycle (Annex A, hereafter referred to

⁵ For further information about the collaborative research refer to Gunjan Veda, “Measuring What Matters: Initial Lessons from a Collaborative Research on Community-led Development,” *Movement for Community-led Development*, August 15, 2020 <https://mclcd.org/research/>.

as the CLD rubric). This rubric contained 9 dimensions and provided a benchmark for measuring progress towards them, even as it acknowledged the diversity and varying scope of CLD programming. It was tested for inter-rater reliability and applied to the 173 programs shortlisted for the study. Both qualitative and quantitative analysis was carried out to bring in analytical rigor.

The biggest strength of the study is the diversity of experience of its multi-organizational research team, representing different streams of CLD programming. The study included a vast array of reports across sectors, methodologies, continents and organizations. Yet, the sample was limited by both language and membership of the Movement. It is also important to remember that the team relied on data from different types of program documents, with varying purpose and detail. Absence of evidence is therefore not evidence of absence and this landscape of CLD programming is limited by the information contained in the documents in the study. Finally, this study reports on the nature of CLD programming, not on its impact. It does not claim any correlation between the presence of CLD characteristics in a program and its impact.

Findings

Programming Duration: On average, CLD programs in the study ran for 5.23 years – 45% programs ran for less than 3 years. It must be noted that many short-term programs were in communities where the implementing organization or its partners had already been present through other projects. Despite this there is a clear correlation between program duration and the presence of CLD characteristics. Programs that ran for 3 years showed less CLD characteristics than those that ran for 7 years or more and this result was statistically significant.

Types of CLD Programming: There are six types of CLD programs in this study based on their principal focus and activity: Service Delivery, Agency and Empowerment, Service Delivery and Agency, Capacity Development, Policy Advocacy and Social Accountability.

Presence of CLD Characteristics: On average, programs in the study reported 6 out of the 9 dimensions outlined in the rubric. Participation, Inclusion and Voice (Dimension 1) was present in about 93% reports and Facilitation (Dimension 3) in over 97% of the reports. Accountability (Dimension 4) was the least present dimension, followed by Sustainability and CLD-congruent monitoring and evaluation practices. Further, a sub-component wise analysis of the dimensions revealed that despite the high presence of participation and facilitation, most CLD program reports contained very little evidence of specific aspects of these dimensions. For instance, only 40% program documents report that the community plays a role in needs assessment or program design. Less than 11% reports in the study show any evidence of flexibility in facilitation to meet community needs.

Who is Included in CLD Programs? While almost all reports scored on presence of participation and inclusion, a qualitative analysis revealed that for most programs inclusion was limited to the participation of women or people living in extreme poverty. Unless they focused on specific vulnerable groups like people with disabilities or refugees, programs did not report participation of marginalized groups. Notably missing were LGBTQ communities, people with disabilities and

people belonging to religious or ethnic minorities. Moreover, 36% of the documents did not have any gender component in their programming or evaluation.

Gender: Programs in the study reported a heavy reliance on women's participation individually or through community groups. While this is important for addressing harmful gender norms and ensuring inclusion of women in public and political spaces, it does raise the question of women's time poverty, particularly in the short run.

Sectoral focus and integrated programming: Programs that focused on governance reported up to 20% or 1.8 more CLD characteristics, while those that focused on health reported up to 17% or 1.6 more CLD characteristics than those that did not. On the other hand, programs that focused on economic empowerment reported a significantly lower number of CLD characteristics. While the difference in the presence of CLD characteristics in various programs can be attributed to many reasons, including reporting requirements and donor focus, they need to be examined closely. About 54% of the study sample comprised programs that were considered integrated (co-located, multi-sectoral interventions or sectoral interventions that took a holistic approach) and these programs reported a significantly higher presence of CLD characteristics. It must be noted that many governance and health programs fell into this category, while economic empowerment programs were often single sector, capacity development or service delivery programs, with shorter durations.

Program participants: Programs that had youth participants reported a significantly higher presence of CLD characteristics than those that did not. Over 80% of the CLD programs in the study report working through existing or new community groups. These groups are often used for saving, information dissemination and training, in addition to serving as platforms for community mobilization and organization. Programs that created new community groups or worked with local government functionaries and community leaders showed a significantly higher presence of CLD characteristics than those that did not.

Funding Agencies: The U.S. government was the single largest funder of the programs analyzed, followed by the Department for International Development (formerly DFID, now the Foreign, Commonwealth and Development Office). On average, reports for programs funded by bilateral agencies and through private funding (including investors, child sponsorship, crowdfunding) showed a high presence of CLD characteristics. Programs funded privately also ran for significantly longer durations than others, perhaps because they were not subject to donor restrictions.

Context: CLD programs in humanitarian situations differed from those in development settings in duration and activities undertaken. Programs in humanitarian settings were mostly service delivery oriented or service-delivery and empowerment oriented as their immediate focus was to provide relief. These programs also often ran for shorter durations. While there were broad trends, the study did not find any significant impact of socio-economic and political context on the presence of CLD characteristics. However, this does not mean that context does not matter. It only means that our sample did not have sufficient information on context for us to undertake this analysis.

RECOMMENDATIONS:

For MCLD: MCLD should work through partner organizations and national chapters to conduct sense-making workshops at the national and regional level on these tools and the CLD characteristics to ascertain whether our understanding of CLD aligns with how local CSOs and communities view CLD. Tools should be suitably and periodically modified to reflect the learnings that emerge.

MCLD should also create a platform where organizations can share data around their CLD programming to build a better-informed landscape of CLD programming.

For funders and implementing organizations: This study reveals that reports for CLD programs and evaluations provide very little information on what makes these programs CLD. Accountability, sustainability, community-based monitoring or evaluation, feedback loops are mostly missing from program and evaluation reports. Details about the nature of participation and facilitation or about adaptability are rarely available. Community resources are mostly discussed in the context of community contribution in program implementation. Few reports speak about building on community knowledge or assets. Most evaluations focus on thematic indicators which are often determined by organizational priorities or the grant. Thus, evaluations of most CLD programs contain very little information that would distinguish them from other programming or enable us to gauge the impact of CLD.

If we want to truly #ShiftThePower in international development and fulfill our aspiration for sustainable, locally-led development, then donors and implementing organizations need to align better on how CLD programs are evaluated and reported. The CLD Assessment Tool and the Quality Appraisal Tool for CLD Evaluations are designed to assess and improve program design and evaluation reports respectively. These collaboratively developed tools need to be adopted and improved based on user feedback. Organizations can use them to collect data on their own CLD practices and promote organizational learning. Donors can use them to ensure that their grants strengthen communities instead of making them “aid dependent.” By systematically collecting data through these tools, we can develop a better-informed landscape of CLD practice and also monitor how it evolves with time. This will also help us to better evidence and understand the impact of CLD.

This study throws up many areas that need to be explored further to ensure that we “do no harm.” Research on various dimensions of CLD, including how it changes with context and the importance of programming duration, needs to be funded. These are vital for funders to improve their grant-making processes (eg how long should programs run) and for implementers to improve their program design processes. The gender story unfolding in CLD programming also needs to be examined. Most importantly, CLD studies need to include primary research where communities can be a part of this process.

Introduction

Community-led Development (CLD) is grounded in the belief that every person has a right to voice in decisions that affect their life through the creation and realization of local goals. It prioritizes the participation of communities in their own change processes by encouraging participatory local governance and citizen engagement.⁶ Achieving CLD on a transformative scale requires long-term processes wherein it is often challenging to quantify progress. Moreover, there is no common understanding of CLD or what its practice should, can, and does look like. “CLD is common sense yet elusive. It’s hard to describe and capture because it never looks the same in two places. But it’s not what’s on the surface that counts – it’s what’s underneath that’s the most important.”⁷

In 2019, The Movement for Community-led Development (MCLD) began a collaborative research project to assess the impact of CLD programs and share learnings with international development actors and local communities. The purpose of this multi-phase research was to understand not just the impact of CLD in different contexts, if any, but also the human change processes that lead to this impact.⁸ To unpack the impact question, the diverse and multi-organizational research team had to first arrive at a common understanding of CLD and map the current state of CLD programming. We collected over 400 evaluation and program reports, which were self-identified as being community-led, from 29 MCLD members. Within these reports, the team assessed the presence of CLD characteristics and how they varied with socio-political and economic contexts, program length, funding, focus and activities. We sought to answer the following questions:

- *What are organizations doing as part of their CLD programming?*
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This report outlines the current landscape of CLD practice based on an analysis of evaluation and project reports of 173 programs across 65 countries. It does not look at the question of impact. Rather, it seeks to identify the current practice of CLD programming—its strengths and weaknesses—so that implementing organizations and funders can course-correct where needed. The impact question is being explored in a separate study under phase 2 of the collaborative research.

This report is divided into four sections: Section A provides background information about the collaborative research, Section B describes the methodology and limitations, Section C provides an overview of the programs included in this study and summarizes the preliminary findings, and Section D discusses the implications of these findings and the next steps for CLD implementing organizations and funders.

⁶ Sherri Torjman and Anne Makhoul, *Community-led development*, Caledon Institute of Social Policy, 2012, 4.

⁷ Inspiring Communities, "Learning by Doing: community-led change in Aotearoa NZ." *Wellington, New Zealand Inspiring Communities Trust* (2013), 20.

⁸ For further information about the collaborative research refer to Gunjan Veda, "Measuring What Matters: Initial Lessons from a Collaborative Research on Community-led Development," *Movement for Community-led Development*, August 15, 2020 <https://mclcd.org/research/>.

Section A. Background

The Movement for Community-led Development ([MCLD](#)) is a consortium of 70+ INGOs and hundreds of local CSOs advocating for local communities to develop, own, and drive their own development goals. The Movement derives its richness from its heterogeneity. Our members vary in size, geographical spread, reach, and thematic focus. Yet, we are bound together by a shared belief in communities' capacity to be the agents of their own development.

In February 2019, MCLD began a collaborative research study to understand what happens when we put communities front and center in development. After extensive consultation with member organizations, three research questions emerged:

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 development outcomes?
3. How do we adapt existing evaluation methods to capture the complexity of CLD and its non-linear and multi-dimensional nature?

MCLD mobilized a team of 35 Monitoring, Evaluation, Research, and Learning, as well as Program professionals from 23 organizations to undertake different aspects of this work through three sub-groups: Scoping, Impact and Evaluation. Each sub-group concentrated on one key question that would take the research closer to answering the three research questions stated above. (See Diagram 1 for structure of the research.) To implement the research, these questions were divided into further sub-questions. For example, the Scoping sub-group set out to lay the foundation for answering research question 1 by starting with: *What do we mean by community-led development? What are organizations doing as part of their CLD programming? How does the nature of CLD programming vary with context?* An advisory group comprising practitioner experts and academics guided the overall research to ensure quality control.

This report outlines the work of the Scoping Group (hereafter referred to as “the group”).

One mandate of the group was to agree on the definitions and common principles of Community-led Development (CLD). A process of inductive reasoning was used to identify the most important characteristics. After intense debate and discussion, followed by a literature review, the group agreed upon these 11 characteristics:

1. **Accountability:** the program practices multi-directional accountability but the vision set by the community remains central.
2. **Adaptability:** the program uses learning and adapting strategies based on current context and data; the program is open to failure.
3. **Capacity Development:** the program is rooted in the belief that communities have the capacity and capability to script their own development.
4. **Collaboration:** the program builds horizontal and vertical solidarity within communities and amongst communities.

5. **Collective Planning and Action:** the community members or groups within the community are engaged in the analysis process and discussions about the current situation and arrive at strategies and action plans to address issues.
6. **Community Assets:** the program identifies, mobilizes, and celebrates local resources including finances, material goods, and local knowledge and time.
7. **Community Leadership:** the program creates an environment where every community member is seen and sees themselves as a leader (active citizen) who can affect change.
8. **Participation and Inclusion:** all major development activities include a broad range of residents from all neighborhoods and people from all socio-economic groups.
9. **Sustainability:** defined as the institutionalization of the CLD approach, as well as continued optimum use and the maintenance and care of community resources.
10. **Transformative Capacity:** the program strengthens the capacities of people to create a vision for themselves and to design pathways to achieve that vision.
11. **Voice:** this relates to program planning, design, monitoring and implementation, evaluation, and adaptation.⁹

The group examined how these characteristics would appear during the program lifecycle and designed a rubric to capture this (Annex A, hereafter referred to as 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.”¹⁰ The use of a rubric to measure CLD characteristics acknowledges the range and scope of Community-led Development practices. It provides a benchmark for measuring development and progress towards a program’s goals. The group later developed this rubric into a CLD Assessment Tool for organizations (See Box 1 below).

Box 1: The CLD Assessment Tool

The CLD Assessment Tool is the first step towards creating standards for CLD and is designed to enable improvements in programming at the community, organizational, and systems level. The tool is designed as an Excel-based rubric that seeks to balance the complexity of the approach with the simplicity required for everyday usage. There are two segments to the tool: the first assesses CLD characteristics and the second processes inherent to CLD. Both segments present practitioner-informed understandings of CLD in program life-cycles. The results can be used by implementing organizations and donors to reflect on current programs and improve their design and reporting and by communities to provide feedback. You can download the toolkit in multiple languages here.

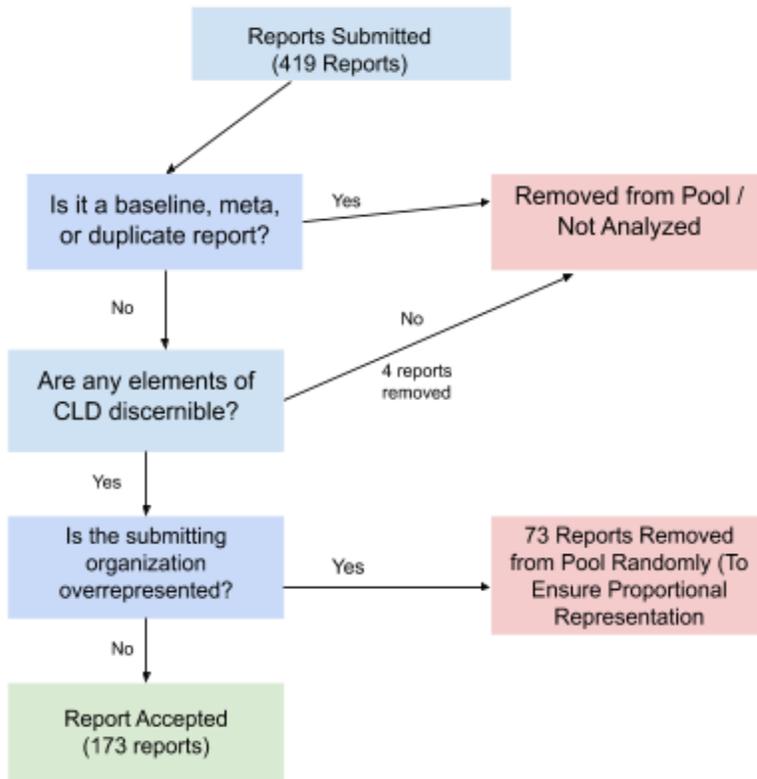
⁹ Definitions by the research team and contextual uses identified in literature reviews for these characteristics can be found at https://mclcd.org/wp-content/uploads/2021/01/Definitions_-11-Characteristics-for-CLD.pdf (hereafter referred to as the 11 Characteristics for Community-led Development)

¹⁰ Thomas Aston, “Rubrics as a Harness for Complexity.” LinkedIn, April 7, 2020. <https://www.linkedin.com/pulse/rubrics-harness-complexity-thomas-aston/>.

Community-led Development is by no means a linear process. Capturing its impact is complex. The collaborative research study undertaken by the Movement analyzes how CLD looks in different contexts, in order to better determine how it works in practice.

Section B. Methodology

Figure 1. Decision Tree Showing Report Selection Process



The Research team for this study consisted of professionals from various MCLD member organizations and was led by the Senior Advisor, Global Collaborative Research from The Movement for Community-led Development (See report cover for composition of the research team). Student researchers from Catholic University and The Hunger Project were involved in various aspects of the study, including the review of reports to test the robustness of the tool, data cleaning, and data analysis. The advisory

group reviewed all research processes and products on a periodic basis to provide feedback and suggest course corrections as required.

MCLD invited all member organizations to submit evaluation reports for programs that they identified as being community-led. We received 419 reports (mostly evaluations, but also end of project reports, published studies, learning briefs, PowerPoint presentations, and journal articles) for the study. From the initial collection, we removed baseline reports, multiple reports for the same program, meta-reviews, and documents with no program information. The remaining reports were analyzed against the CLD rubric, and a few reports (4) that showed no discernible CLD characteristics (as outlined in the rubric) were removed. Of the final sample, 80% were evaluation reports. The remainder consisted of end of project reports, learning briefs, and journal articles, among others. These documents were included since many smaller partner organizations did not have evaluation reports or chose to submit program reports instead. In order to ensure a more evenly-distributed pool that reflects the diversity of CLD experiences across multiple organizations,

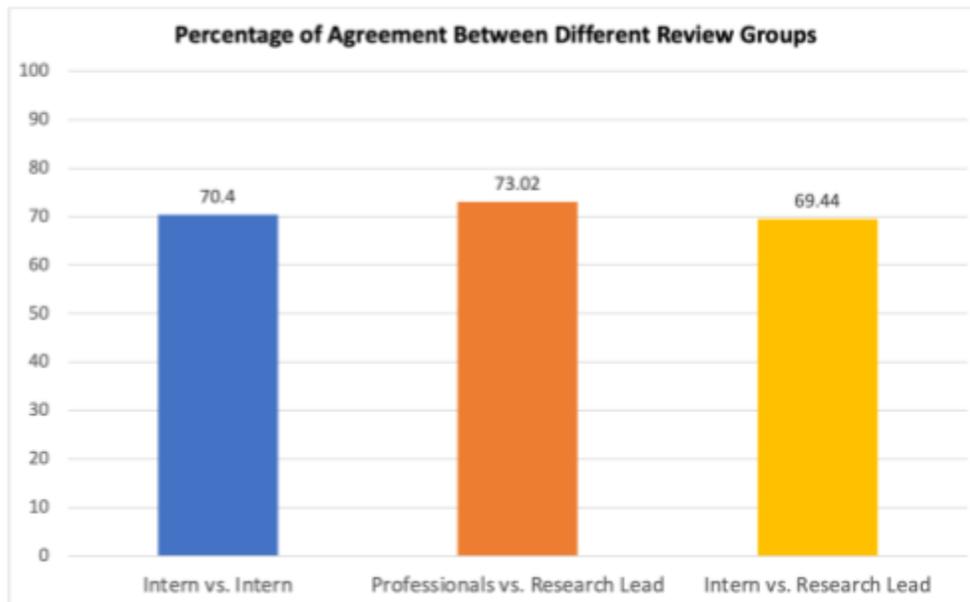
a random selection of reports were also discarded for organizations including Oxfam, The Hunger Project, and World Vision, who were overrepresented in the sample. Figure 1 depicts the decision tree that the group used to arrive at the final pool of 173 reports considered for the study.

The team used a Google form-based data extraction tool (Annex B) to record the data from these reports. This tool contained three sections: Section A documented basic program information, including program name, implementing organizations, programing years, and funders. Section B collected data on program characteristics, including area of focus, scale, target population groups, context of programming, program activities, budgets, and types of support offered. Section C contained the CLD rubric. Together, the three sections sought to record data to understand not only what organizations are doing in their CLD programs, but also how the nature of CLD programming changes with socio-political context, program duration, budget, activities, target groups, program participants, and focus areas. To further the data analysis, the group added metrics for economic, political, social, and cohesion context using standard indices like the Democracy Index, State of Fragility Index, and the UN's annual World Economic situation reports.¹¹

Early in the data analysis process, the group used inter-rater (also known as inter-coder) reliability to check reviewer bias and the robustness of the CLD rubric. Thirty-three reports (19% of the study pool) were randomly selected and reviewed by professionals working in the field of Community-led Development. The joint probability of agreement between the professionals and the research lead on individual dimensions of the CLD rubric (See Annex A) was 73%. Additionally, all 173 reports were reviewed by student researchers who underwent training on the principles of CLD and the use of the data extraction tool. At least 18% of the reports were reviewed by two student researchers to check for inter-rater reliability scores for the CLD rubric from people new to CLD. Student researchers had a 70.5% joint probability of agreement amongst themselves and 70% joint probability of agreement with the research lead. Further discussion revealed that disagreements

¹¹ Economic context was sourced from the United Nations' annual World Economic Situation and Prospects (WESP) report. Political context was sourced from the Democracy Index, which is compiled by the Economist Intelligence Unit. The social and cohesion context elements were sourced from the Fund for Peace's Fragile States Index.

Figure 2: Inter-rater reliability scores



mostly centered around three questions: accountability, sustainability and M&E practices and were based on the difference in how these terms were being interpreted, particularly by student researchers. For instance, some student researchers interpreted program closure as sustainability. In the end, since we were using a rubric based on characteristics identified by the group, we decided to go with the group's interpretation of these terms. The lead researcher's scores were based on these. This, along with time and resource constraints, led the group to ultimately only use the research lead's scores for data analysis and the creation of the landscape of CLD programming.

The research team used Stata, a general-purpose statistical software package favored by social science researchers, for data cleaning, standardizing, and analysis. A second round of computations was carried out using statistical packages on Excel to verify the data and computations. The team used scatter plots to visualize the data and ran linear regressions to examine correlations and trends associated with CLD presence. In the second round of computations, where the relationship was not linear (this was often the case) and the samples displayed unequal variances, a Welch T-test was carried out using excel data analysis packages to see if the difference in means was statistically significant (at 95% confidence level) and to determine the confidence intervals.

B1. Ethics

No primary research was undertaken for the completion of this review, and all participants who submitted reports were informed of the purpose of the research being conducted and its procedures. A secondary ethics protocol and confidentiality agreement was signed by all team members. Additionally, all interns involved in the collaborative research team underwent an ethics training course.¹²

¹² "Research Ethics Online Training." Global Health Training Centre. <https://globalhealthtrainingcentre.tghn.org/elearning/research-ethics/>.

B2. Limitations

Spread of data:

The reports gathered are examples of CLD in practice, representing a large range of CLD programming. While most of the studies were submitted by INGOs that are Movement members, the programs themselves represent the work of many local civil society and community-based organizations that worked in partnership with these NGOs. Yet, the reports studied, and results found, should not be considered as representative of the full set of CLD interventions, or generalizable in terms of approaches adopted by organizations around the world. Additionally, only documents in English were considered, and the evaluation reports used often did not contain exhaustive program and context information. All reports were submitted voluntarily,¹³ but the presence of a large number of reports from a few big INGOs may have skewed the data. To minimize the skew, some reports from these organizations were randomly selected and removed from the review. It must also be noted that some smaller member organizations did not have evaluation or project reports to submit. Furthermore, the reports contain CLD efforts at varied stages of a project's lifecycle (ongoing, mid-term, end-line, ex-post), which may have affected the presence of CLD characteristics and produced under or overvalued results. The reports pooled also had varying scopes and methodologies. Since the goal of this research was to understand current practice, not to gauge the impact or quality of programming, information in the reports was taken without conducting a quality assessment of the report.

Use of the rubric:

In hindsight, the less general aspects of the rubric require a certain degree of knowledge of CLD.¹⁴ Therefore, not everyone who uses the rubric will fill it out in the same way. To try to minimize discrepancies for this study, the research team: 1. Pre-tested the rubric among the research team members and interns; 2. Trained reviewers on the rubric (to arrive at a common understanding of terms); and 3. Paired reviewers (interns and study lead; expert reviewer and study lead). In order to assess how practitioners new to CLD may apply the rubric, interns also applied the rubric to assess the same evaluation reports that had been reviewed by CLD professionals. As discussed above, the interns' results demonstrated some discrepancies to those of the professionals. However, there was still about 70% joint probability of agreement between the interns and the lead researcher, signifying the robustness of the tool. It is important to note that the interns underwent a day-long orientation on CLD and the CLD rubric; professionals completed a 30-minute briefing on the purpose of the tool.

At the time of the research, the Ethics course offered by the Global Health Training Centre (adapted from a WHO course for internal staff and developed in collaboration with the University of Oxford) was available online and completed by student researchers who had not undergone an ethics training as part of their coursework.

¹³ In the interest of time, a few reports for CARE were taken from their public database as per their advice. The remaining were submitted by the CARE team.

¹⁴ The rubric was shared with MCLD partners and the wider international development community in November 2019 and feedback was sought between November 2019 - May 2020. Extensive feedback was received from many organizations. The rubric was thereafter revised and released as a CLD Assessment tool. However, this study is based on the initial rubric that the team had developed and piloted.

Given that the rubric measures the presence in the report, not effectiveness, of CLD characteristics in a program, the results obtained from its use do not reflect on the quality of implementation.

Reading the results:

The accuracy of results depends on the content of the reports. Since these reports were written prior to the definition of the CLD characteristics or the creation of the CLD standards by MCLD, the outcomes obtained from the use of the rubric may not accurately reflect the reality of CLD efforts. The rubric can only represent the characteristics as noted in the submitted reports. (Please see Annex A for the rubric as it was used in this study). Results therefore need to be read with context in mind. When interpreting the program focuses, it is important to remember that reviewers were asked only to select the top three focuses from their reading of the report. Therefore when considering, for example, that 64 programs listed gender as a focus, one must remember that this does not mean that the remaining 109 did not consider gender; it means that gender was simply not one of the program's top three focuses as mentioned in the report. It is possible that the program focused on gender, but the evaluation report submitted was only looking at facilitation or accountability processes. Additionally, the results represent less than half of the 400+ evaluation reports submitted, in part due to the paucity of program information in the reports, and in part due to the need to avoid over-representation of a few key organizations that adopt a similar approach across multiple contexts and programs.

Section C. Findings

C1. Overview of Programs: Answering the Who, Where, What, and For how long questions

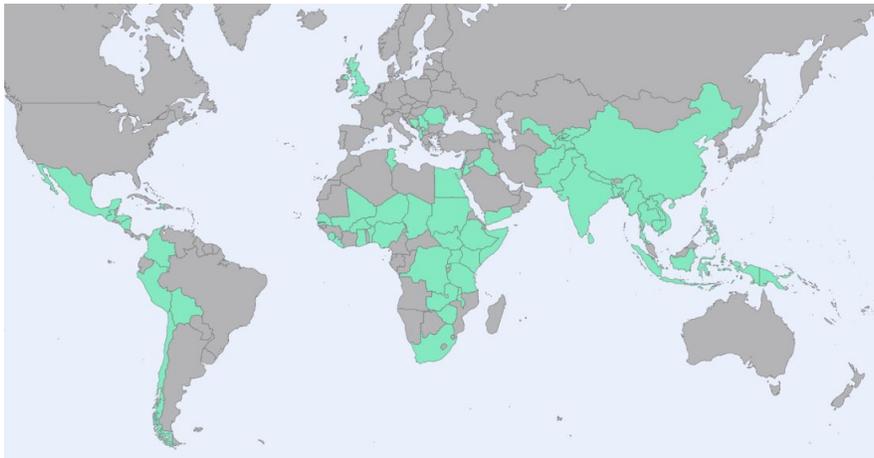
- Reports represent 173 programs across 65 countries. Half of the reports were for end-line evaluations; about 45% used a mixed methods approach.
- Most programs in the study had multiple focuses; the research team selected up to three priority focus areas per report. The top three focuses from this subset of reports are health, gender and economic empowerment.
- The average duration of CLD programs in the study was 5.23 years.

Program Countries: The selected reports represent 173 programs across 65 countries. The highest number of reports¹⁵ stemmed from projects in Ethiopia and Uganda (18 each). There were also a high number of programs representing India (9), Kenya (10), Malawi (10), Bangladesh (8), and Sierra Leone (7). Approximately 58% of the reports were from Africa, 31% from Asia, 9% from the Americas and 3% from Europe¹⁶. One report was from Oceania. There is an over-representation of English-speaking countries because the study only included reports in English.

¹⁵ Based on the country of evaluation in case of evaluation report or country of programming in case of other reports.

¹⁶ Some evaluations took place in multiple countries.

Figure 3. The coverage of the reports is highly concentrated in Africa and Asia.



The vast majority (95%) of countries in which the evaluations were carried out were considered either “developing” or “least-developed” by the UN’s World Economic Situation and Prospects (WESP) reports in the midpoint years for the programming. Furthermore, almost 93% of the countries where the programs took place had the “alert” or “warning” statuses for social context at the time of programming, wherein social context considers demographic pressures and displacement within a country plus flow of refugees into others.¹⁷ Similarly, 91% were in the “alert” or “warning” status for the cohesion context, which refers to security apparatus, factionalized elites, and group grievances.¹⁸ These categories indicate that these countries “display features that make significant parts of their societies and institutions vulnerable to failure.”¹⁹ Only one program took place in a country rated as full democracy (United Kingdom) by the Democracy Index at the time of programming.²⁰ About 48% (83) of reported programs took place in countries designated as having hybrid regimes, including Nigeria, Kenya, Bangladesh and Lebanon. One of every five programs (36) was carried out in a “flawed democracy,” such as India, Thailand, Chile, or Sri Lanka, while 24% (41) of programs were in countries categorized as authoritarian regimes (including the Democratic Republic of the Congo, Yemen, Ethiopia and Afghanistan). The research team was careful to account for programs in the same country with different date ranges, which may have occurred during different political contexts—since the Democracy Index is updated each year. For example, in 2010

¹⁷ “Fragile States Index 2020.” The Fund for Peace. Last Accessed December 2020.

<https://fundforpeace.org/2020/05/11/fragile-states-index-2020/>.

¹⁸ Ibid.

¹⁹ “What Do the Colors and Categories in the Index and on the Map Signify?” Fragile States Index. Accessed November 25, 2020.

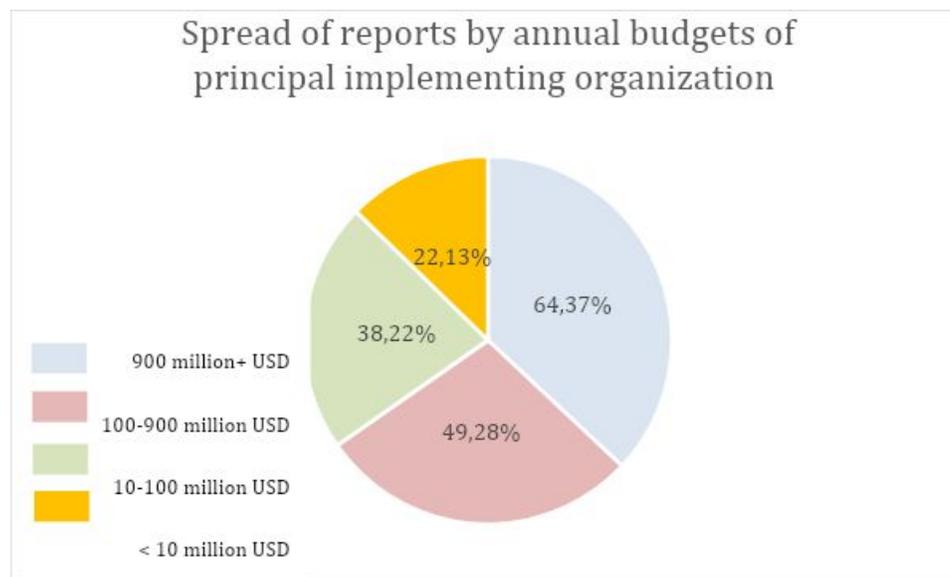
<https://fragilestatesindex.org/frequently-asked-questions/what-do-the-colors-and-categories-in-the-index-and-on-the-map-signify/>.

²⁰ The Democracy Index ranks governments under the following categories: full democracy, hybrid regime, flawed democracy, authoritarian regime. Read more here: <https://www.eiu.com/topic/democracy-index>. In most cases this refers to the status of the country at the midpoint year except where data was not available for midpoint year and the nearest year was taken for which data was available and the programming was running. For 12 reports, this status was not available.

Burkina Faso was considered an authoritarian regime, but by 2014 its categorization shifted to that of a hybrid regime.

Implementing Organizations²¹: The research team reviewed reports submitted by 29 Movement partner organizations, representing the work of 100+ INGOs and local partners who worked with them in implementing the programs. Oxfam, The Hunger Project, CARE and World Vision were the most heavily represented organizations. An analysis of annual budgets of organizations submitting the reports shows a skew towards larger budgets. Even though 45% of the sample represents reports submitted by small and mid-sized organizations, this study acknowledges the need to look at programming run by more local and national organizations and study the differences, if any, in the way CLD processes are applied by organizations of different sizes. It must also be acknowledged that implementing organizations have only been categorized by annual budget sizes (which were not always available for the same year and from the same source). The influence of organizations or their areas of work is not necessarily proportional to the size of their annual budgets. Hence this data should be viewed with care.

Figure 4. This graph represents the spread of reports by the annual budgets of the organization that submitted the report (and was often though not always the primary implementing organization).²² Though there is a skew towards organizations with bigger annual budgets, 45% of the reports still represent organizations with annual budgets of less than USD 100 million.



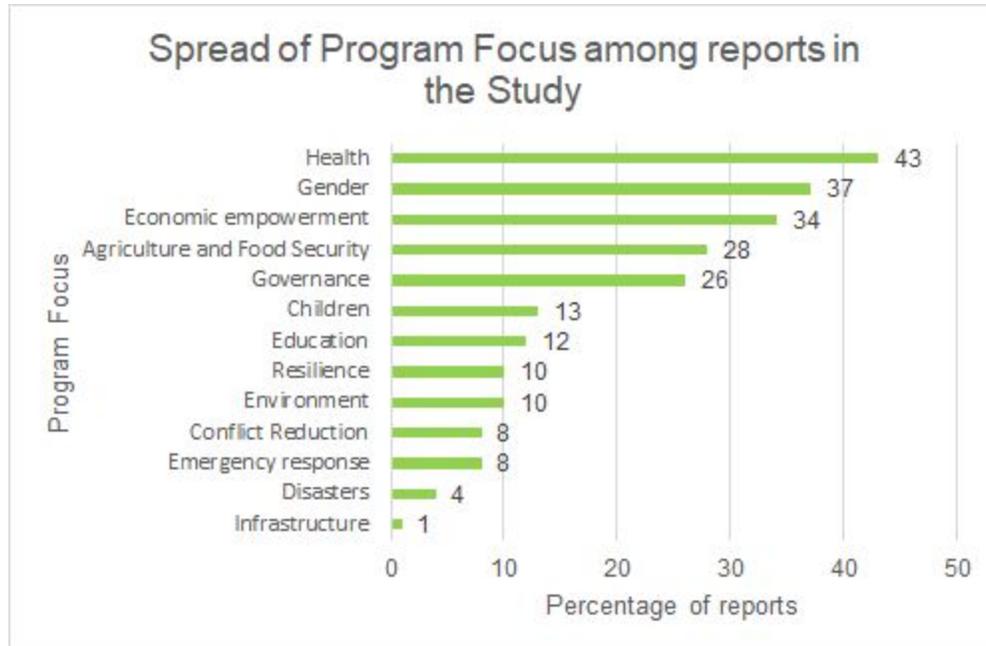
Focus Areas: Although most programs in the study had multiple focuses, demonstrating the integrated nature of CLD programming, the Research Lead selected up to three of the most significant focus areas in each program based on her reading of the reports (the selected focus

²¹ See Annex C for a list of organizations that submitted reports.

²² Defined by their latest annual budgets on 990s as reported on Charity Navigator, Guidestar, or the annual budget as reported by the organization's website. Please note that for some large federated organizations (Save the Children, Care), the budget for their HQ or US branches were used unless they offered aggregate numbers for the whole organizations. The distribution between the two biggest organization sizes may therefore change.

areas were verified through a random check by the research team of 50% of the reports). The largest subsection of programs focused on health (43%), followed by gender (37%), economic empowerment (34%), food security (28%), and governance (26%). Many programs also focused on child protection/development (13%), education (12%), environment (10%), resilience (10%), emergency response (8%) and conflict reduction (8%). Figure 5 shows the number of reports per priority areas discerned by the reviewer.

Figure 5. The top three program focuses are health, gender and economic empowerment. Note that the study captured the three primary focuses of programs, not *every* focus.

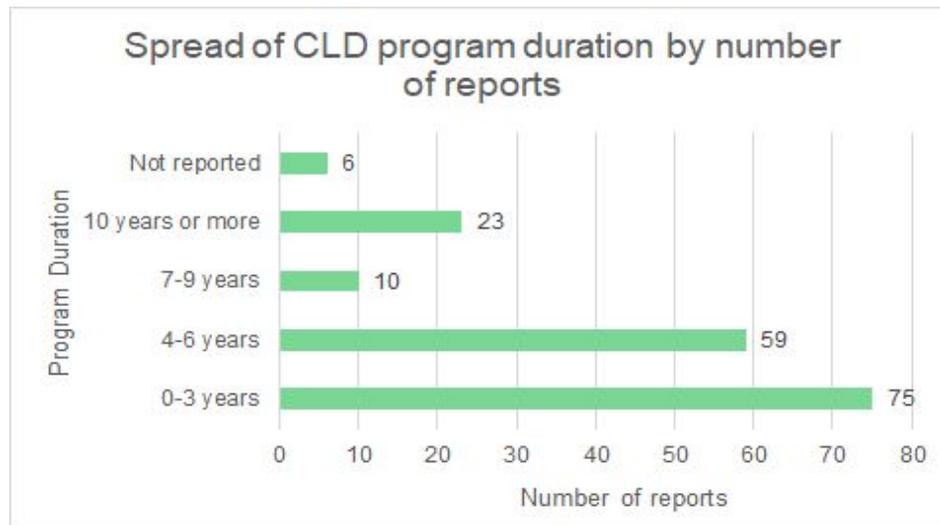


Programming Duration: About 48% programs whose reports are included in this study started in 2010 or later, 36% started between 2000-2010 and 10% started before 2000. About 6% program reports did not have information on the starting year.

The average length of programs²³ in the study was 5.23 years—45% of the programs ran for 3 years or less. Of these, 28% were humanitarian programs, often designed at short notice to respond to emergencies.

²³ Please note this included both length of finished programs and projected length of ongoing programs. Where program end dates or lengths were not available, this was estimated as ending at one year after the evaluation year for ongoing programs and at doubling the program length till the evaluation year for midline reports.

Figure 6. 45% of the programs lasted for less than 3 years, while 20% lasted for more than 7 years.



Evaluation Type: As mentioned earlier, 80% of the documents included in the study were evaluation reports. For other document types, evaluation type was left blank unless the report or journal article referenced the findings of an evaluation and provided details about it. Half of the evaluation reports were end-line evaluations conducted towards the end of the program or after it was concluded, while a little over a third (60) were ongoing or midline evaluations conducted during the program’s lifespan. Only 14% of the reports were ex-posts. In terms of evaluation methodology, almost half the evaluations (45%) used a “Mixed Methods” approach while 23.5% took a strictly qualitative approach, and 31.5% took a strictly quantitative approach.²⁴

Funding: Program budgets are important from the transparency and accountability perspective. However, about three quarters of the reports included in this study did not contain information about the program’s budget; 34% reports did not even mention the source of program funding. From the 45 reports that included information about the program budget, it becomes evident that CLD comes in various shapes and sizes; the minimum annual budget is \$19,000²⁵ and the maximum is \$225 million for a World Bank-funded national-level CDD²⁶ program.

The United States government, the United Kingdom’s Department for International Development, and the European Union were the largest multilateral and bilateral funders for programs in this study. However, this may simply be because reports were mostly submitted by US and UK-based organizations. Many programs (36) were funded through private sources, including individual

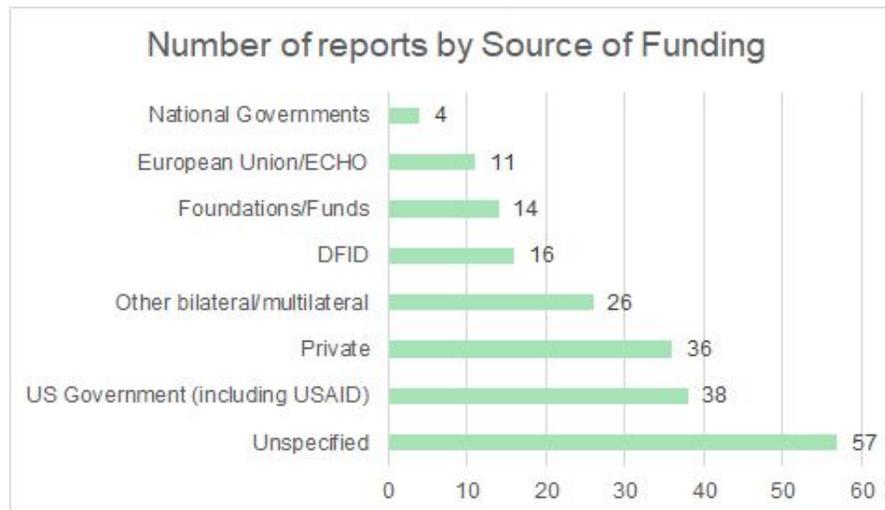
²⁴ Quantitative methods included, quasi-experimental designs, randomized control trials, surveys, pre-test and post-test designs among others. Evaluations that relied primarily on key informant interviews and focus group discussions, followed the most significant change, realist or process tracing methodology were classified as qualitative unless the methodology indicated use of quantitative methods as well. Evaluations that used both qualitative and quantitative methods, outcome harvesting, outcome mapping, cross sectional observational methods among others were classified as mixed methods.

²⁵ Annual budget was calculated by dividing the total budget by the program’s duration in years. For further information see Data Documentation report.

²⁶ CDD refers to Community Driven Development

investors, child sponsorship, shops, and crowdfunding. More than 60% of the programs that ran for 10 years or longer received private funding while over 80% of the programs that received multilateral funding ran for 3 years or less.

Figure 7. Almost a third of the reports did not specify the source of funding; of those that did, the US government was the largest donor named in 22% (38) of the evaluation reports.



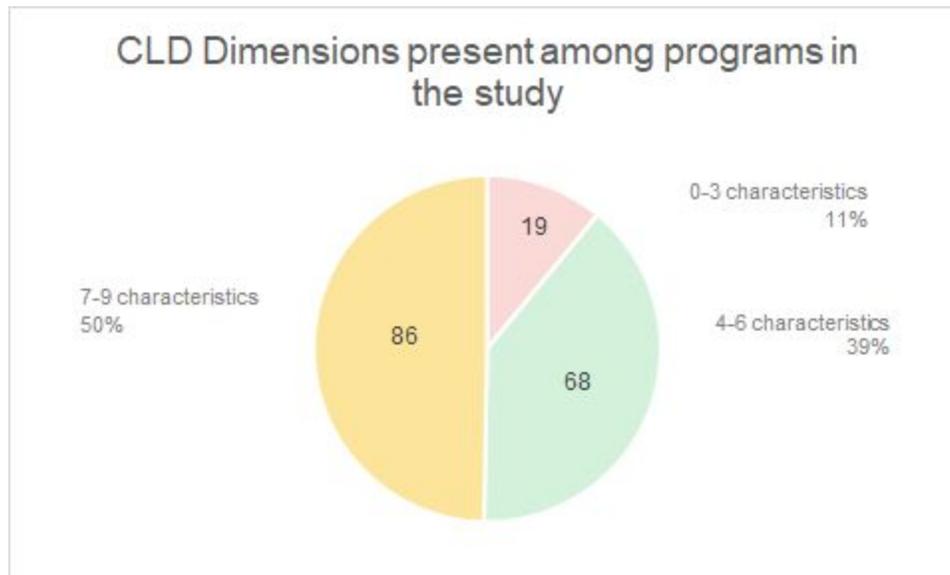
C2. Overview of CLD Characteristics

- On average, program and evaluation reports reflected 6 of the 9 dimensions of CLD. Facilitation was the most reported dimension, showing up in 97% of reports. Accountability was the least reported.
- The high presence of a dimension does not indicate the depth of its implementation. Moreover, the sub-components of a CLD dimension were often not present in reports.

The 11 characteristics of CLD identified by the Scoping Group were represented through nine dimensions in the rubric used to review the programs (Annex A for rubric). These were: Participation & Inclusion, Local Resources, Facilitation, Accountability, Responsiveness to Context, Collaboration, Links to Sub-national Government, Sustainability, and Monitoring & Evaluation.

On average, the reports in this study reflected six dimensions (6.05) from the rubric. Just under 10% (17) seemed to reflect all nine dimensions. It must be reiterated that four reports that did not reflect **any** CLD characteristic as per the rubric were removed from the study pool even though they had been reported as CLD programs by the submitting organizations. Also, while reading this section, it is important to remember that **absence of evidence is not evidence of absence**. In other words, it is possible that the programs in the study included many more dimensions of CLD but simply did not report on them. That being said, ultimately, what is reported denotes what is valued, suggesting that unmentioned factors may not have been priorities.

Figure 8. Almost half of the reports displayed between 7 and 9 of the CLD rubric characteristics.



Facilitation and Participation & Inclusion were the most common rubric characteristics among the reports, with 97% reporting some element of facilitation investment and intensity, and 92% reporting some element of participation, inclusion, and voice. Comparatively, Exit Strategy/Sustainability and Accountability dimensions were the least represented at 42% and 36%, respectively. These numbers do not signify the extent to which reports focused on a characteristic, but merely represent whether a characteristic was mentioned or discerned as being present based on the information provided in the report. Therefore, these numbers may be an over-representation of certain characteristics. However, the fact that accountability and sustainability found the lowest presence is in itself telling.

As previously mentioned, we are assessing the presence not quality or depth of implementation of CLD characteristics. For example, 167 reports were marked as containing the presence of Facilitation Investment and Intensity. Of these, 70 (42%) had insufficient information to answer any of the sub dimensions of this category, including whether facilitators were equipped with skills and practice and whether the program has reasonable provisions to support the quality of local facilitation. Moreover, the high percentage of reports containing investment in the facilitation of CLD does not actually speak to the quality of facilitation implementation in practice. A report that just talks extensively about facilitation (but where the program never did quality facilitation) would be ranked the same as another that did brilliant facilitation.

Figure 9. Seven of the characteristics appear in more than half of the evaluation reports.

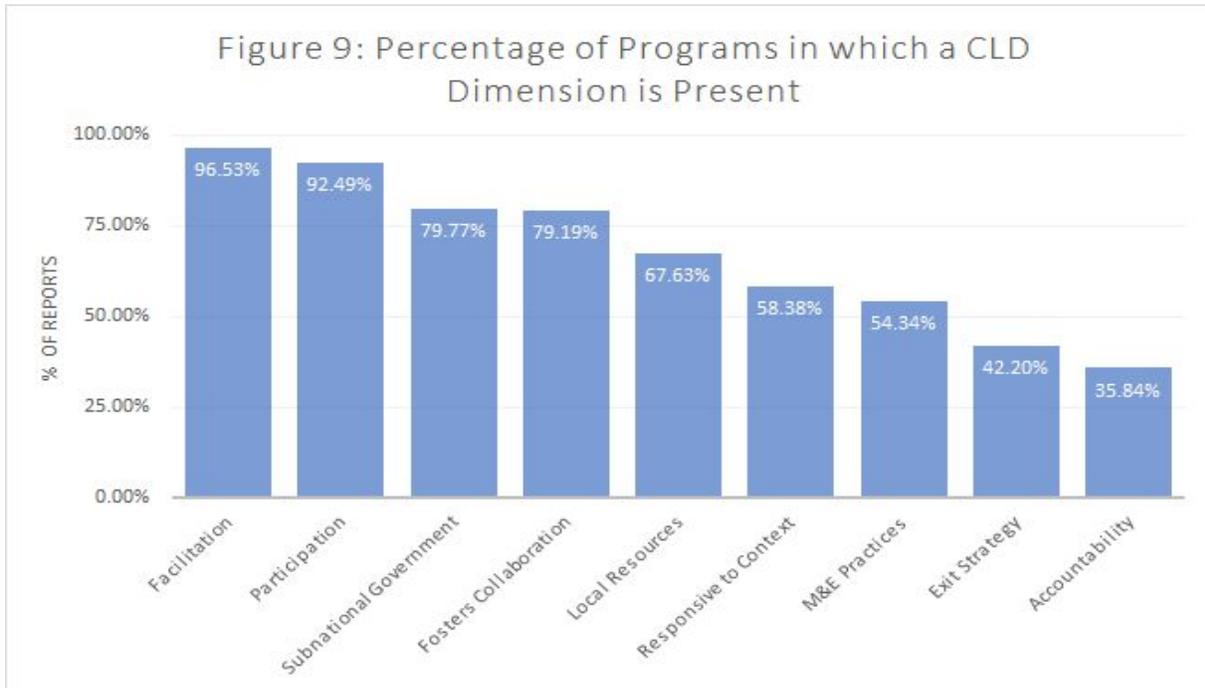
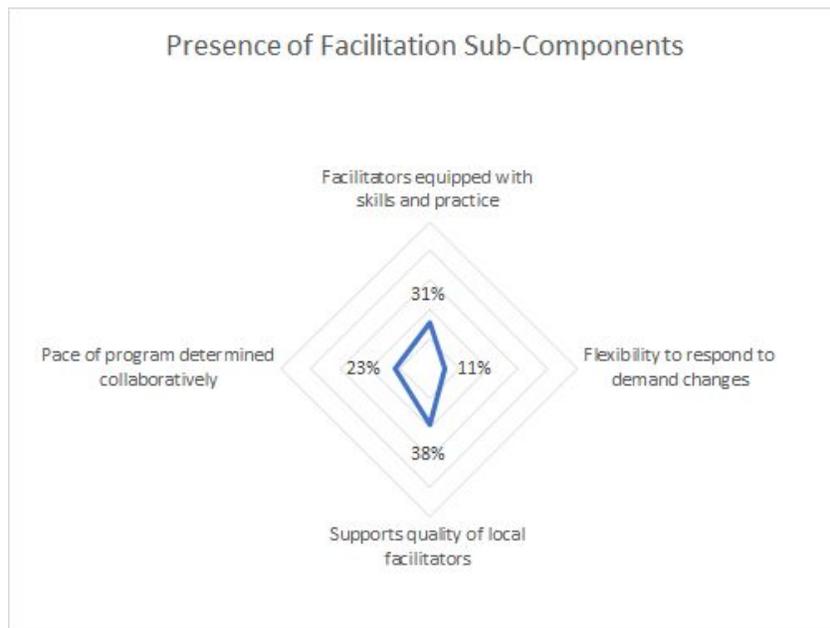
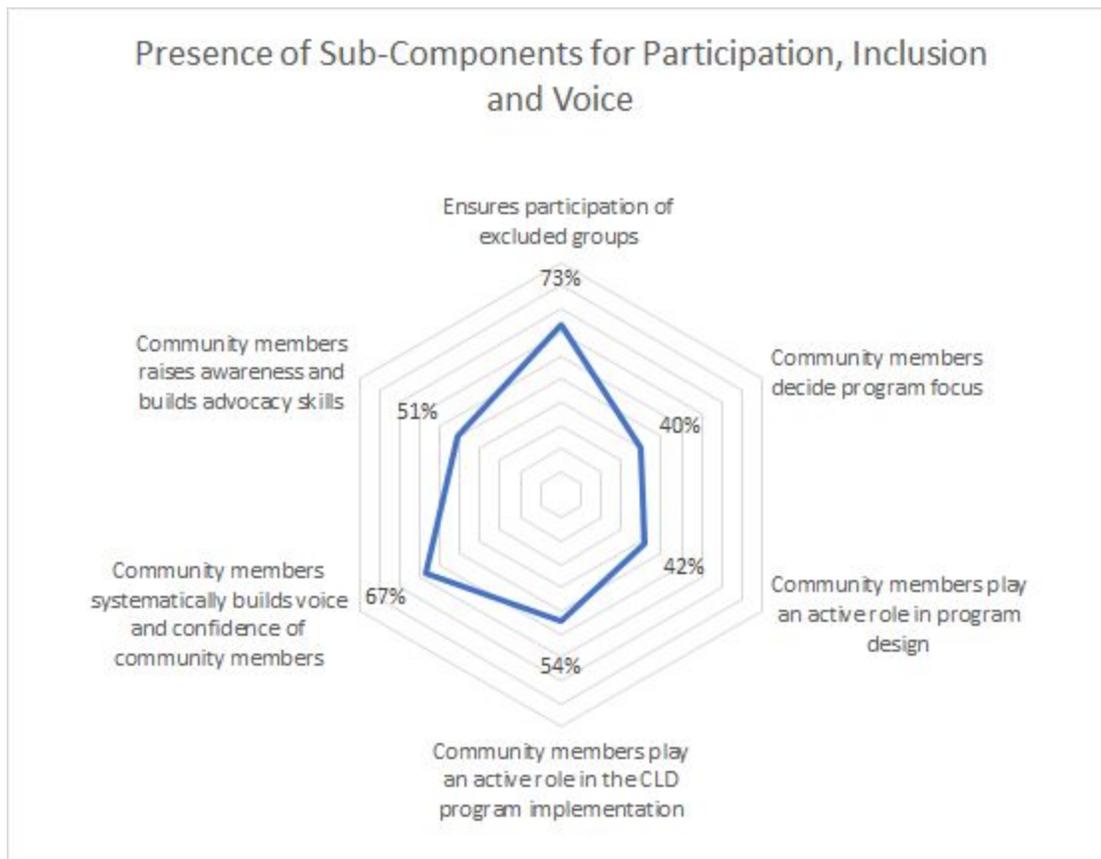


Figure 10. Though 97% reports scored a “yes” on the overall Facilitation component, over 42% of them did not report evidence on even one facilitation sub-component. Only 11% of all reports reported evidence for any flexibility in facilitation.



In contrast, an analysis of the reports of Participation shows a higher presence of sub-components. All but eight reports provided information on at least one sub-component. Nevertheless, not every sub-dimension of Participation is equally represented in these reports. Reports that indicate its presence rate highly in the more general questions of “ensures the participation of excluded groups” and “builds voice and confidence” while rating lower in other areas like “involvement of community members in decisions around program focus, design and implementation”. For example, despite over 90% of reports displaying participation of community members in programs, more than half of these reports do not indicate any evidence that community members play an active role in program design. The large degree of participation of community members is encouraging, but does not necessarily indicate the extent of their substantive and meaningful participation.

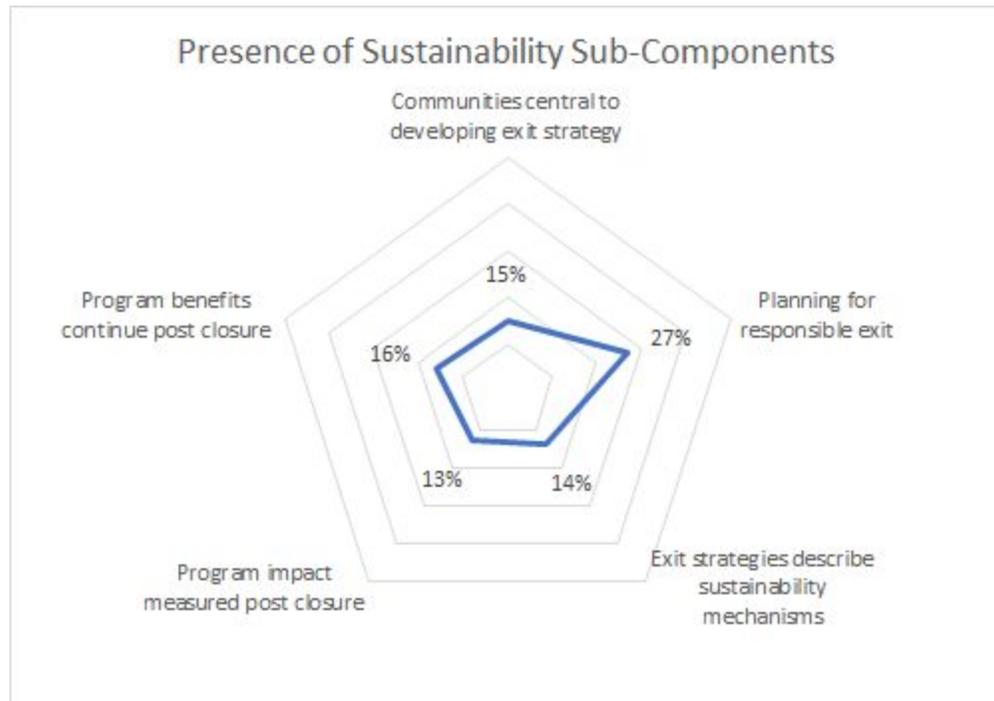
Figure 11. This graph demonstrates the presence of sub-dimensions of Participation, Inclusion and Voice. Though 92.5% of the reports were listed as showing the overall characteristic, evidence for different sub-components of this characteristic was scant. Just over 40% of the reports showed evidence of involving community members in decisions around program focus and design.



Almost 75% of the reports that scored on the Exit Strategy and Sustainability dimension are in either the ex-post or end-line evaluation stages. This is not a surprise, as reports of programs that have ended or are near their end tend to give more information about exit strategy. However, it

does seem to indicate that programs either do not plan for sustainability in their initial design or, if they do, they do not record this planning in their evaluation reports.

Figure 12. Even for the 42% of reports that scored a “yes” on the Sustainability characteristic, less than 25% of total reports contained any of the subcomponents (with the exception of planning for a responsible exit).



The Local Resources characteristic of CLD contains two sub-dimensions:

- a) The CLD program builds on local resources and knowledge.
- b) The community contributes their resources.

Of the 117 reports that note the presence of the Local Resources characteristic, 68 reports either do not meet or contain insufficient information on the first sub-dimension. Therefore, more than half the reports that scored on the Local Resources component do so only through the contribution of community resources (often labor), rather than by building on local knowledge and resources.

Figure 13. Under half of all reports showed any indication of building on local resources, being responsive to community needs, and responding to power differentials; communities contributing resources is just over 50%.

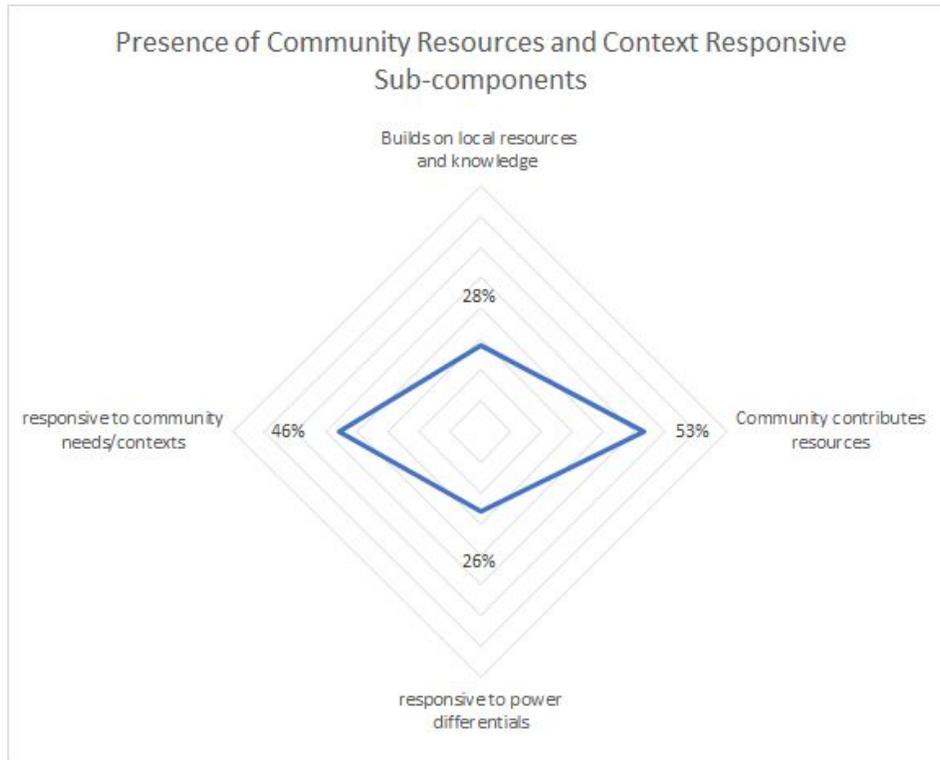


Figure 14. Though over half the reports scored a “yes” on general M&E practices, less than a third of them displayed any of the subcomponents, which include participatory monitoring and evaluation, feedback mechanisms, and disaggregating findings.

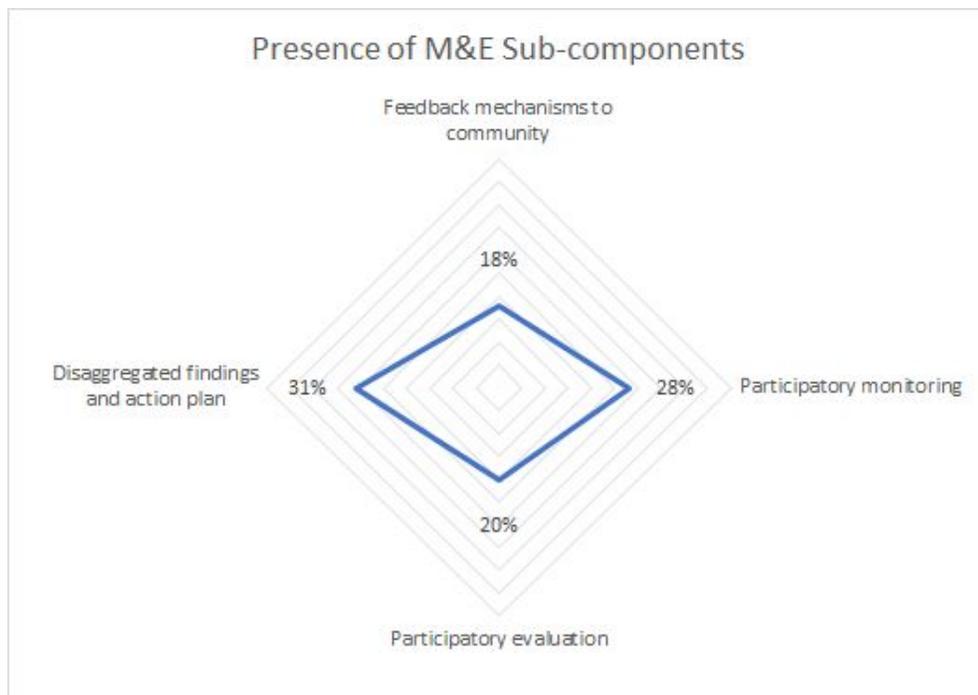
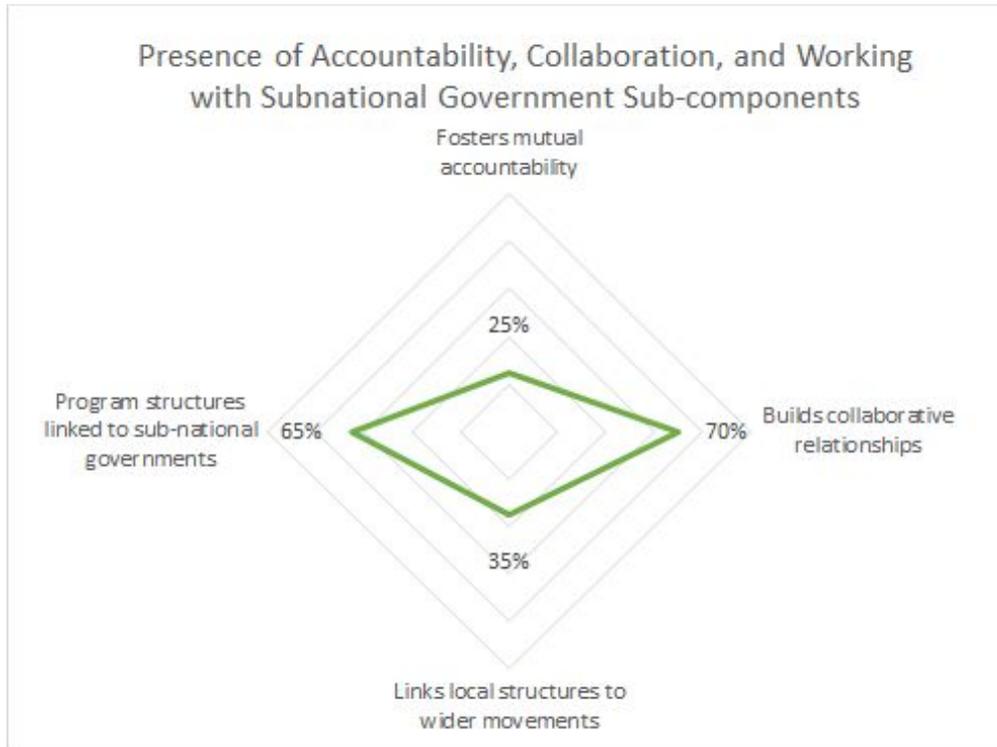


Figure 15. Mutual accountability and linkage to wider movements were present in under 35% of reports. In contrast, 65% or more of the reports contained evidence of programs' linkages to sub-national governments and building collaborative relationships.



Therefore, while encouraging, the high average presence of CLD characteristics in the reports should be viewed with caution. These numbers are driven, at least in part, by lack of information in the reports, heavy leanings toward certain subcategories, and report features such as the evaluation stage.

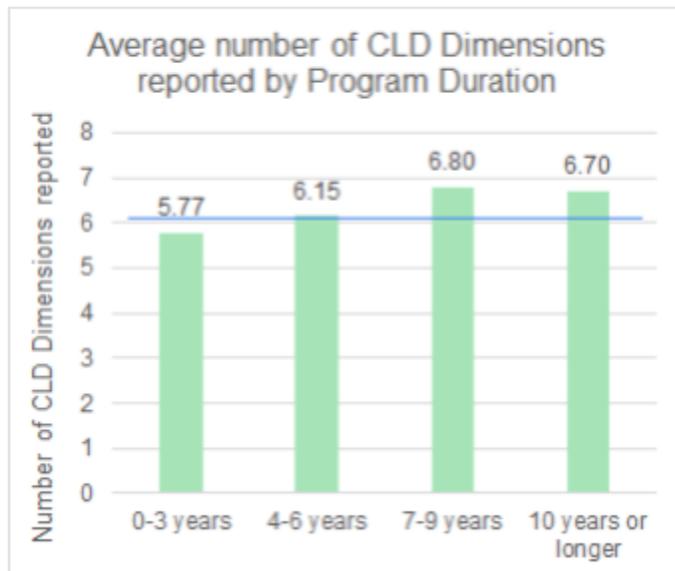
C3. Program Characteristics and CLD

- Programming duration is correlated to presence of CLD characteristics, where longer programs tended to report more dimensions of CLD than shorter ones.
- Programs focused on health or governance report a higher number of CLD characteristics than others; programs that target youth report a very high presence of CLD characteristics.
- Economic empowerment programs and those that target farmers show a lower than average number of CLD characteristics.
- 99% of the programs reported some form of Capacity Development
- Reports for programs which included advocacy and NGO-distributed grants demonstrated an above-average presence of CLD characteristics.

Program Length: A linear regression shows that program length demonstrates a positive and a statistically significant (p value= 0.008) correlation with the number of CLD characteristics present. Programs that run for less than three years display about 1.5 less CLD characteristics than those that run for 7 years or longer and this result is statistically significant at 95% confidence level. (Welch t test, p value = 0.02; α : 0.05) However, the difference in means between programs that run 4-6 years and those that run longer or shorter is not statistically significant. Moreover, the coefficient of determination (R Square) for the linear regression is very low, indicating that the data is noisy or the relationship between programming length and presence of CLD characteristics is not necessarily linear.

Two other factors need to be considered here. The data is heavily skewed in favor of programs with a shorter duration. Only 33 programs ran for longer than 6 years. Of these, only 10 ran for 7-9 years. Moreover, many short-term programs (particularly those that ran for 1 year or less) are humanitarian interventions in areas where the implementing organization had a long history of work. Thus, while we can conclude that the programming length and the presence of CLD characteristics are correlated, more data is needed on longer-term programming to be able to predict the relationship more accurately.

Figure 16. The reference line is the average number of CLD characteristics across all programs

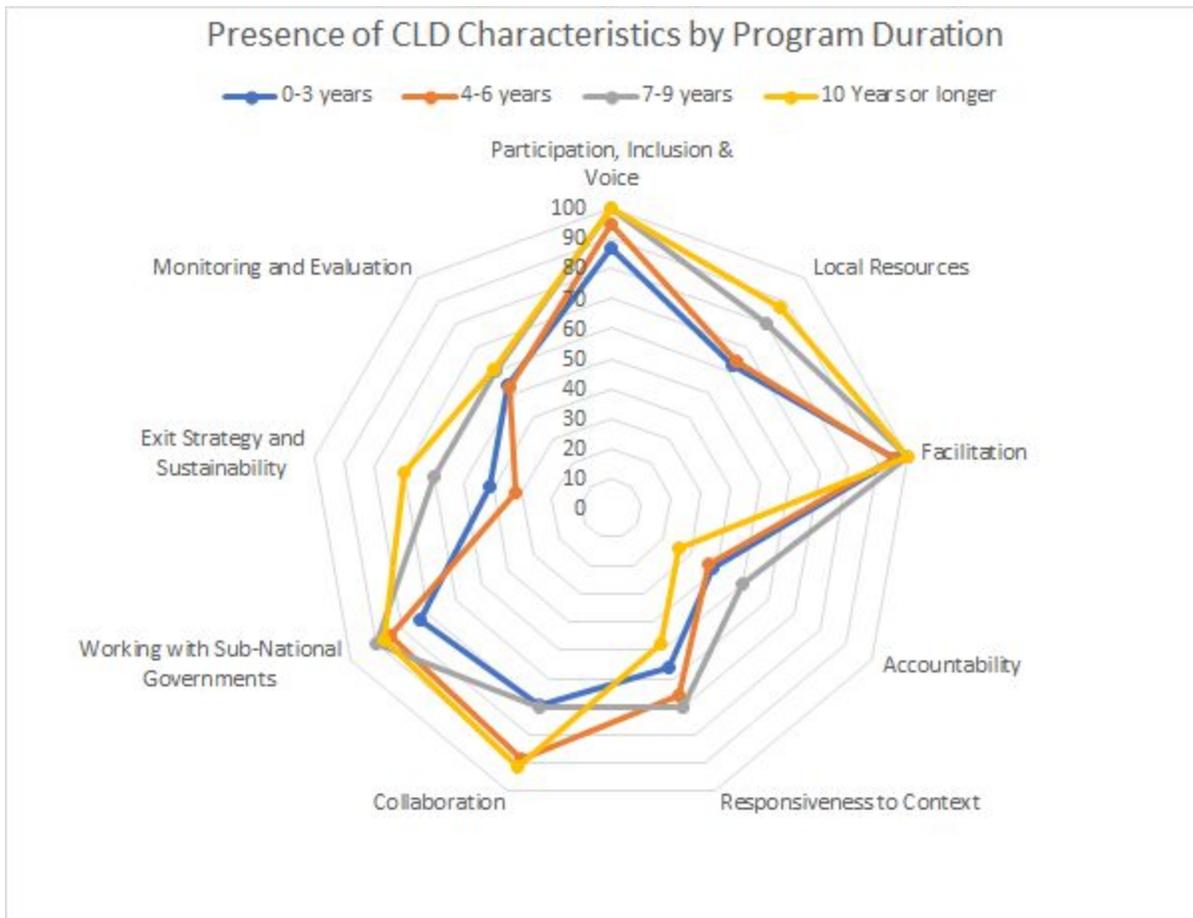


Programs that ran for three years or less also reported a lower presence of two dimensions: collaboration and working with sub-national governments as compared to others, and this difference is statistically significant. The reasons behind this need to be investigated. A few possible explanations emerge from a qualitative analysis of the reports. Most short-term programs in the study were humanitarian responses, often in situations that did not have a functional local government, making it difficult to work in partnership with governments. Moreover, these programs tended to be more service delivery-oriented and therefore paid less attention to creating vertical and horizontal relationships across population groups (unless they were in conflict situations).

Finally, community groups need to build internal structures and trust before they can connect with broader movements and networks. This requires time and is often carried out later in a program's life.

Finally, the spider graphs suggest that reporting of sustainability planning is very low in programs that are 4-6 years long and accountability is largely missing from programs that run longer than 10 years. However none of these results are statistically significant.

Figure 17. Overall, longer programs reported more CLD elements than shorter ones (with some exceptions).

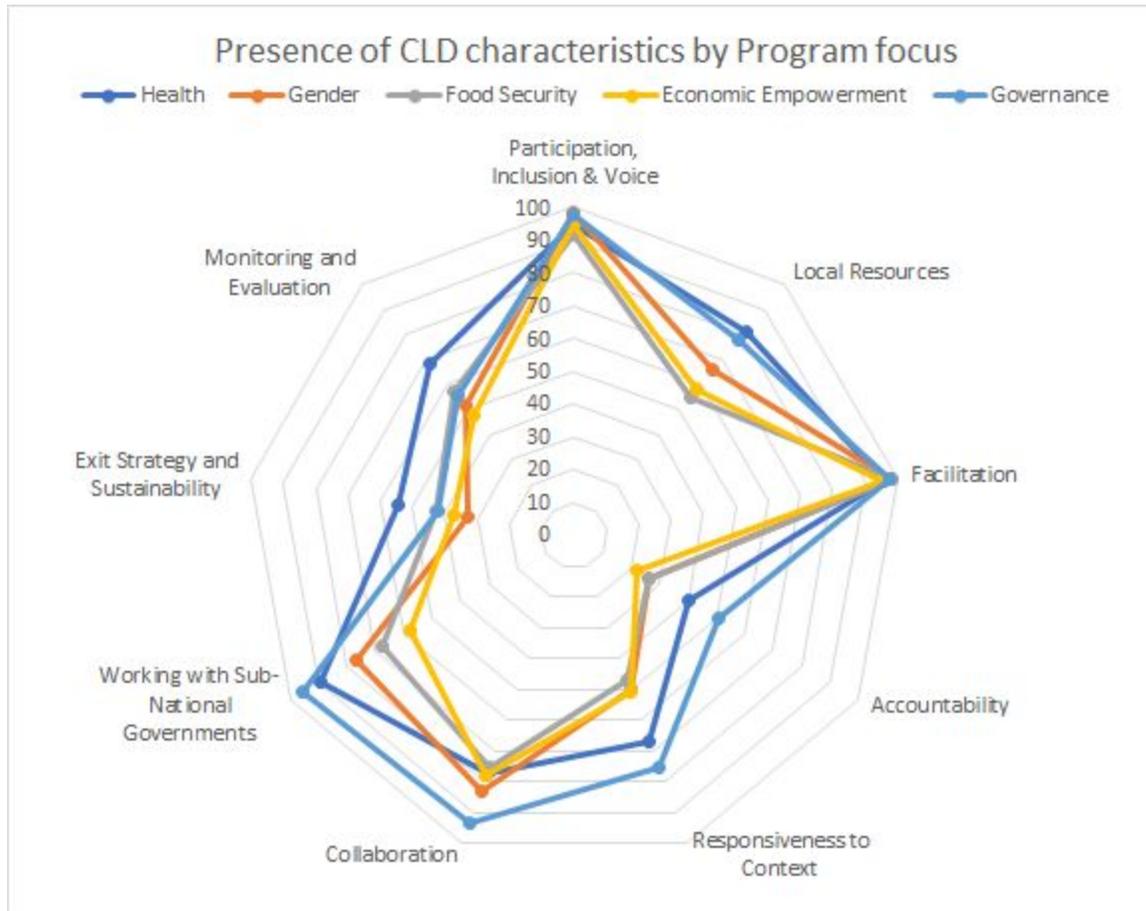


Program Focus: Programs focused on education, governance, health, and emergency response all demonstrate a higher-than-average number of CLD characteristics. Welch's t-tests were performed to determine if there was a statistically significant difference in the number of CLD characteristics reported for programs that focus on specific areas versus those that do not. The tests revealed that reports for governance-focused CLD programs reported up to 0.5-1.7 more CLD characteristics than those that do not. In other words, governance-focused programs report up to 20% more CLD characteristics (out of the total of 9) than non-governance focused ones. (p value=0.0004, α =0.05)

Reports for health-related programs, by far the largest subset of programs in this study, had a high presence of Local Resources, Context Responsiveness, Sustainability, and Monitoring and Evaluation practices. On average, these programs report 0.5-1.6 5 more CLD characteristics than programs that don't. (statistically significant at 95% confidence interval; p value= 0.0001; α =0.05). In other words, health-focused programs have 17% more presence of CLD characteristics (out of a total of 9 CLD characteristics) compared to others. With an average duration of 5.6 years, these programs also ran slightly longer than other CLD programs (5.2 years). Whether the higher presence of CLD characteristics included in reports is due to the increased length of programming

or the nature of health programs themselves cannot be ascertained from this study and requires further investigation.

Figure 18. Reports for Health programs showed a higher presence of CLD congruent M&E practices, context responsiveness, sustainability and Local Resources. Reports for governance related programs demonstrated a high presence of all dimensions except sustainability and M&E.

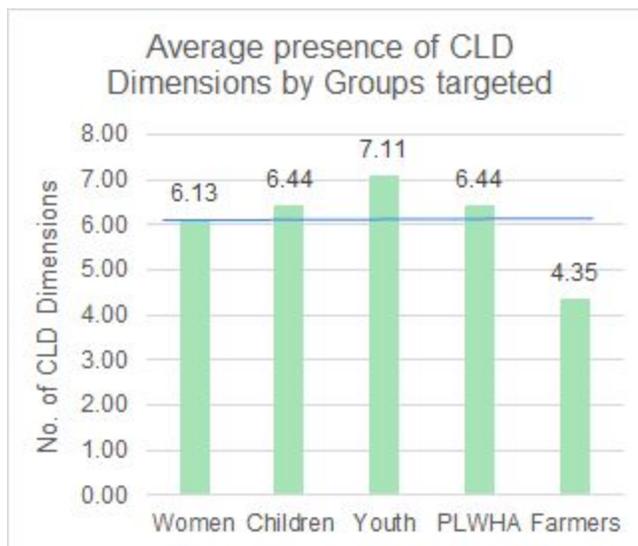


On the other hand, the reports of programs with a focus on food security, economic empowerment, and resilience demonstrated a lower presence of CLD characteristics. Compared to the sample mean of 6, reports for food security, economic empowerment, and resilience-focused programs had an average number of 5.6, 5.4 and 4.6 CLD characteristics, respectively. However, a Welch t-test revealed that the difference in means was not statistically significant for food security while the sample size of programs focusing on resilience was deemed inadequate to meaningfully carry out the test.

The tests did reveal clearly that reports for programs that focus on economic empowerment contained up to 20% less CLD characteristics than those that did not. (p value=0.003; α =0.05, confidence interval:0.34-1.66 , *Statistically significant at 95% confidence interval.*)

Who did the program target and who participated: Program targets refer to people whose quality of life the program sought to impact. According to the reports, most programs sought to improve the quality of life for women (77 reports), children (45), farmers (23), and youth (18). More than half the programs targeted households in general. On average, programs that targeted farmers reported 1.7-2.8 CLD characteristics less than other programs. ($p=2.3E-05$; $\alpha=0.05$; Welch t-test). This is not unexpected, as most programs for farmers focused on economic empowerment or food security, both of which reported a lower presence of CLD characteristics than others. Furthermore, these programs often ran for 3 years or less.

Figure 19. Programs that focus on improving the quality of life for youth report the highest number of CLD characteristics while those that focus on farmers report the least.



'Program participants' refers to all the people or groups who participated in a program. These may differ from program targets. For instance, a program that sought to improve the quality of life for children may have women (mothers) or parents (households) as participants. Similarly, a program that sought to reduce violence against women, may have men or youth or community leaders as participants.

As with program targets, women were the most well-represented group among individual program participants (104 reports). A large number of reports also named households (86), youth (47), and

farmers (30) as individual participants in programs. Here it must be noted that men were not listed as participants or targets unless specifically mentioned in the report. However, programs with household participation often saw men participating in them.

There is no statistically significant relationship between the presence of characteristics and the program participants when it comes to gender. However, Welch t-tests show that programs with individual youth participants report 0.5-1.6 more CLD characteristics than those without (p value: 0.0002; $\alpha=0.05$). In other words, youth programs report up to 17% more CLD characteristics (out of 9) than others.

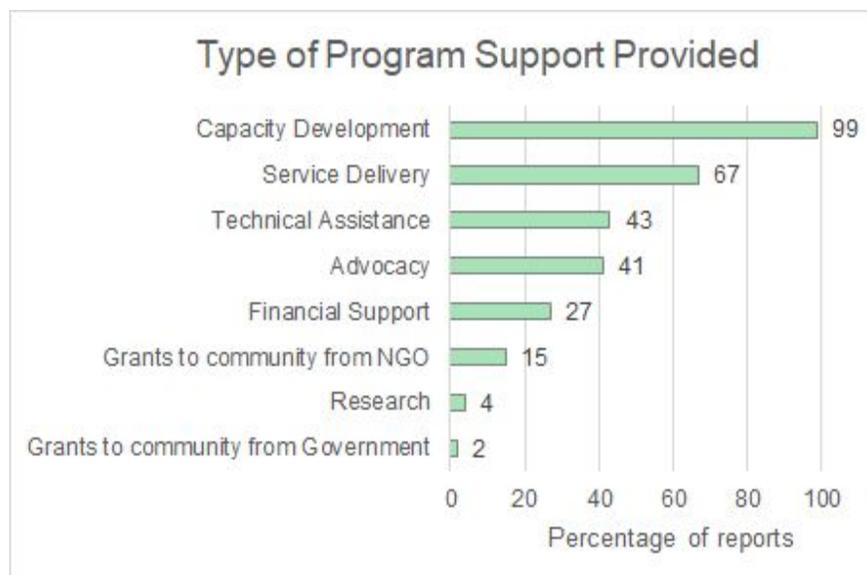
Formation of community groups or use of existing community groups has emerged as an important feature of CLD programming. Over 67% of the programs reported creating new groups through the program, while 42% reported working through existing groups (some programs used both existing groups and new groups). The purpose of these groups varied based on the program focus but they were often used for information dissemination, training, organizing and mobilizing community members, savings, and holding local officials accountable. Further, most of the groups were

women-only or had a substantial representation of women. Only about 18% of the programs did not report working through community groups. These focused on strengthening community-based organizations or CSOs, or worked with volunteers, frontline workers, and community leaders, among others. Other group participants that came up frequently in the sample included community leaders (35%), CSOs (32%), and local government representatives (43%).

On average, programs that saw the creation of new groups reported 0.5-1.8 additional CLD characteristics as compared to those that did not (p value: 0.001; $\alpha=0.05$). Similarly, programs that saw the participation of local government functionaries (often through training or advocacy initiatives) reported 0.6-1.7 additional CLD characteristics when compared to those that did not (p value: 6.4E-05; $\alpha=0.05$), while those that saw the participation of community leaders reported up to 1.3 additional characteristics (p value: 0.009; $\alpha=0.05$).

Program Activities: Almost all (99%) of the programs provide some form of Capacity Development as noted in their reports. This could include leadership, gender or rights training, and skills training for livelihoods, among others. Additionally, these reports show a strong overlap between service delivery²⁷ and Capacity Development; service delivery was present in two-thirds (114) of the programs that provided Capacity Development. Other categories of support that were present in the reports include technical assistance, advocacy, grants given to the community by NGOs, and research. About 27% of the program reports alluded to microfinance activities, revolving fund or direct cash incentives.

Figure 20. Almost all program reports mention some form of capacity development



²⁷ Service delivery included infrastructure projects, programs that provided health, education, food distribution, or any other direct services. Access to credit where it was through micro-finance initiatives was listed under microfinance. Technical assistance is "knowledge-based assistance to governments intended to shape policies and institutions, support implementation and build organizational capacity." as cited in Marcus Cox and Gemma Norrington-Davies. "Technical assistance: New thinking on an old problem." *Agulhas Applied Knowledge* (2019), 6.

Of these categories, reports for programs which included advocacy and NGO-distributed grants demonstrated a statistically significant, above-average presence of CLD characteristics. Reports for programs that provided grants to the community showed between 0.5 and 2.1 additional CLD characteristics as compared to programs that did not (p value:0.002; α : 0.05). In other words, these programs reported up to 23% additional CLD characteristics (out of 9 in the rubric).

Program Context: The high concentration of developing countries in which programming took place makes substantial comparisons across economic contexts difficult to achieve. For social context and cohesion context, the data was too heavily skewed towards “alert” and “warning” status (as opposed to “stable” and “sustainable”) to yield any significant trends or patterns. Finally, while political context offered a more evenly-distributed dataset, linear regressions and Welch t-test did not yield any statistically significant results. The same was true of categories like humanitarian context, post-disaster, and recurring natural disasters.

Funding Agencies: As noted earlier, the U.S. government was the single largest funder of the programs analyzed, followed by the Department for International Development (formerly DFID, now FCDO). That being said, these two funders are not necessarily the biggest CLD funders. Most MERL professionals consulted for the study were US or UK based, which may explain the large number of reports for programs being funded by these governments. Furthermore, only reports in English were considered, which may also rule out certain funders.

Among the 39 U.S. government-funded programs, donors include the U.S. Department of Health & Human Services, the Department of Labor, the Department of State, the Environmental Protection Agency and USAID. U.S. government-funded programs demonstrated a slightly higher average of CLD characteristics present at 6.74, compared to the sample average (6.06). In particular, U.S. government-funded programs showed higher than average presence of Exit Strategy and Monitoring & Evaluation practices and the difference was statistically significant.

On average, programs funded by bilateral agencies and private funding (including private investors, child sponsorship funds, crowdfunding, other income sources) had more CLD characteristics (up to 18% more on a total of 9) than those that did not.²⁸ Private sources of funding are not subject to donor restrictions and therefore offer greater room for flexibility both in program design and report. This may account for why these reports contain a higher presence of CLD characteristics. However, the higher presence of CLD characteristics in programs funded by bilateral donors needs further exploration.

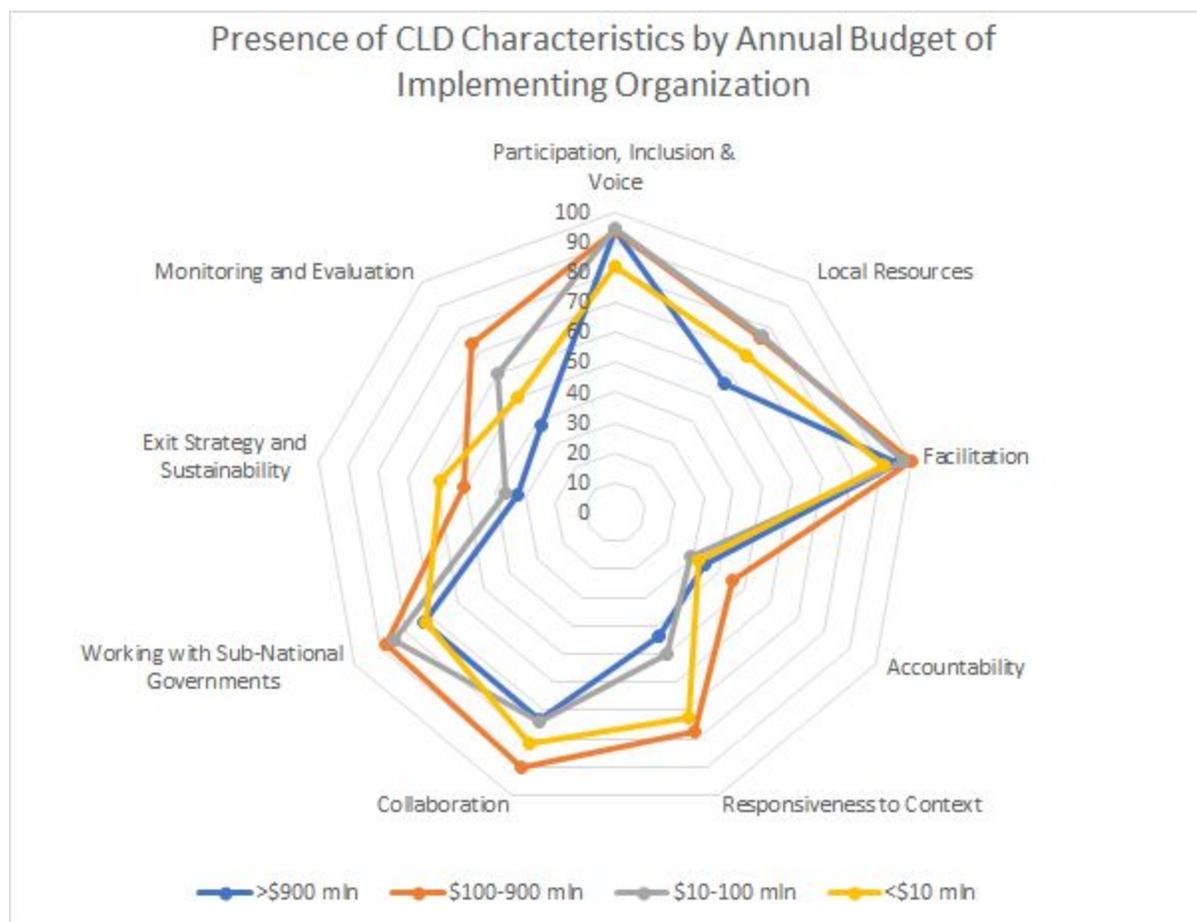
Implementing Organizations: The following graph shows the presence of CLD characteristics in programs based on the annual budget of the organization that submitted the report. Reports for programs run by organizations with the largest annual budgets demonstrated only 5.4 characteristics of CLD on average compared to 6.9 characteristics for organizations with annual

²⁸ Welch t-test on private funding had a p value of 0.007, and a confidence interval of 0.3-1.5 at alpha:0.05. The Welch t-test on bilateral funding had a p value of 0.0003 and a confidence interval of 0.5-1.6 at alpha:0.05. The difference of means in the presence of CLD characteristics between private funding and bilateral funding could not be computed as the fields were not completely independent and some programs were funded by multiple sources of funding.

budgets between \$100-900 million. On average, reports for programs run by organizations with annual budgets of \$100-900 million dollars showed up to 1.8 more characteristics of CLD than programs run by other organizations (p value=2.24E-05; confidence interval: 0.7-1.8 at alpha: 0.05).

Programs run by the organizations with the largest annual budgets showed a low presence of Use of Local Resources, Responsiveness to Context, and CLD-congruent Monitoring and evaluation strategies and this difference was statistically significant at 95% confidence level. Reports in this category belong primarily to two organizations and this could be a reflection of their programming and reporting priorities. It is also possible that large sized organizations receive bigger grants and focus more on compliance in their evaluation reports. However, this statistic needs to be viewed with caution as many of these programs were implemented by a consortium of INGOs and local partners. Thus, while in most cases the submitting organization was the primary implementer of the program, this was not always the case. Many factors like the number of implementing partners, nature of partnership, role of primary implementing organization and local organization may have come into play here preventing us from drawing meaningful conclusions about the relationship between implementing organization and number of CLD characteristics reported.

Figure 21: Reports for organizations with implementing budgets between \$100-900 million per year display the most CLD characteristics, while those for organizations with annual budgets > \$900 million display the least.



Humanitarian Programming: A third of the programs that ran for less than three years took place in humanitarian contexts. The average duration of humanitarian programs in this study is 4.14 years. There are two kinds of humanitarian programs in the study- those that focus on emergency response and are typically less than 3 years, and those that focus on long term rehabilitation in conflict areas that can run up to 25 years.

Reports for programs run in humanitarian settings displayed 6.4 CLD characteristics on average. They demonstrated a lower-than-average presence of building on Local Resources. The presence of Accountability and Context Responsiveness was higher than average. Compared to a sample-wide average of 36% presence of Accountability, the presence of Accountability in Humanitarian contexts was high at 54%, which is statistically significant. Finally, reports for programs in humanitarian settings also have a high presence of the dimensions of Monitoring & Evaluation practices and Links to Sub-national Government, but this is not statistically significant.

D. The Way Forward

D1. Discussion

On average, CLD program documents in this study reported on six of the nine dimensions of CLD. This means that despite the variety in CLD programming and the contexts in which they are carried out, many of the underlying principles are common. Standards for CLD programming are therefore not only desirable, they are also possible. But any discussion on CLD standards needs to acknowledge that different things may matter to people in different contexts. Standards for CLD programming will therefore always be a guide that can be adapted to local realities.

The absence of any information on specific aspects of CLD in program and evaluation reports poses a challenge not just for this study but for CLD practitioners in general. How do we gauge the impact of something that we are not documenting and measuring?

Evaluation reports—which comprised 80% of the documents in this study—are not the best source of program information. Moreover, these reports—evaluation or program—were not written with this study in mind. Therefore, this study is limited by the data it has to work with. All results must be read keeping in mind the limitations of the research and sampling frame. It is also important to remember that this report does not comment on the effectiveness of CLD programs. It simply seeks to create a picture of the current practice of CLD programming.

However, the study does offer valuable insights into what organizations in this sample are doing and reporting on as part of their CLD programming. It covers a wide array of countries, contexts, organizations and programming types. The quantitative tests in the earlier section revealed interesting results that need to be investigated further. For instance, do economic empowerment programs actually contain less dimensions of CLD than other programs or do they simply report less as the goal of their evaluation reports is to look at tangible indicators for change in household income among other things? Similarly, why do governance or health-related programs report more CLD characteristics than other programs? Mindset transformation through behavior change

communication is an integral part of health programming. Does this have an impact on the nature of programming? Why do programs report such a low presence of accountability which seems to be so central to the work we do?

This section combines a qualitative analysis of the reports with the statistical findings from earlier to look at what we know about CLD programming and what needs to be investigated further.

TYPES OF CLD PROGRAMMING

CLD programming is designed to ensure sustainable development and social transformation in communities.²⁹ A qualitative analysis of the reports submitted for this review reveals that CLD programs can be divided into six categories, based on their primary intent and activities:

1) Service-Delivery focused: The primary purpose of these programs (in both humanitarian and developmental settings) is to ensure Service Delivery to meet the Sustainable Development Goals (SDGs). Such programs use CLD processes to ensure that the services reach the right people, in the right manner, and are used appropriately. Examples include community volunteers who promote preventive health behaviors, and consultation with community members to identify the most vulnerable or to identify the best design for toilets to be constructed. Capacity development is limited to the knowledge required to carry out these functions effectively. These programs may have a sectoral focus or take an integrated approach. Some would consider these as community development programs rather than community-led ones that focus, “first and foremost on enabling the community to identify its core questions.”³⁰ About 36% of the reports in the study were for programs that could be classified as being Service Delivery focused.

2) Agency and Empowerment focused: These initiatives focus on creating and developing capacities of community-based organizations, leaders and/or volunteers, and ensuring that community members are aware of their rights and the power of their voice. They focus on strengthening “community capacity”³¹ through a series of capacity-development initiatives that may be supported by grants to encourage communities to practice their newly-acquired skills to engage in collective planning, decision-making, and action. Such programs are more common in development settings. About 20% of the programs in the study could be seen as being agency and empowerment-focused.

3) Service Delivery and Empowerment focused: These programs seek to build agency among participants to ensure appropriate Service Delivery—helping meet community-defined goals. Compared against the first group of Service Delivery programs (where the focus is decided by the funder/implementing NGOs), these CLD processes are used to encourage communities to prioritize needs and/or design appropriate Service Delivery programs. Such programs are primarily found in developmental settings but can take place in humanitarian situations as well. In this study, about 27% of the programs would fall into this category.

²⁹ Wubshet Loha, "Community-led Development: Perspectives and Approaches of Four Member Organizations," (2018).

³⁰ Sherri Torjman and Anne Makhoul, *Community-led development*, Caledon Institute of Social Policy, 2012, 10.

³¹ Flora, Cornelia Butler. "Innovations in Community Development." *Rural Development News* 21, no. 3 (1997): 1.

4) Capacity/Skills Development focused: These programs focus on capacity development in select sectors to meet project-specific goals. For example, training in alternate livelihood options, building stoves, fisheries, or nutrition. Compared with Agency and Empowerment programs, which focus on gender, leadership training and mindset transformation, these trainings focus on technical skill or knowledge building. Unlike the Service delivery programs, here the focus is on the skills, not on additional inputs (like seeds or revolving funds) that may be provided after those skills have been strengthened. About 8% of the programs in this study could be classified as being Capacity development-oriented based on their reports. These were mostly livelihoods focused programs.

5) Policy or Advocacy focused: These programs are designed to strengthen the advocacy capacities of CSOs, CBOs, and community leaders. They also involve systematic engagement with, and/or capacity development of, government institutions and functionaries to create intrapreneurs “who champion, navigate, educate and advocate within their own organization to enable broader awareness and internal systems change.”³² About 9% of the reports in the study were for programs that had an advocacy or policy change focus.

6) Social Accountability focused: These programs focus on using CLD processes to provide information and strengthen the capacity of the community to hold government representatives accountable in delivering services that impact lives. About 14% programs in the study were in this category.

WHAT DO CLD PROGRAMS DO

Almost all CLD programs include elements of community mobilization and community organizing. In the context of CLD, community organizing focuses on building community power through collaboration (instead of confrontation) and collective action—resulting in greater accountability and improved lives. (The Harvard Law School defines community organizing as: “A process by which people are brought together to act in common self-interest and in the pursuit of a common agenda. Community organizers create social movements by building a base of concerned people, mobilizing these community members to act, and in developing leadership from and relationships among the people involved. Organized community groups seek accountability from elected officials, corporations and institutions as well as increased direct representation within decision-making bodies and social reform”).³³ In the reports in this study, community organizing took place through existing, or often new, community groups created under the CLD program. Almost 82% of reports alluded to working through existing or new community groups. Many of these groups focused on specific sections of the community (e.g., women, people living with HIV/AIDS, youth), or activities (savings group, WASH group). The role and efficacy of these groups in providing spaces for the exercise of community leadership and in initiating collective action merits further exploration.

³² Inspiring Communities, “Learning by Doing: community-led change in Aotearoa NZ.” *Wellington, New Zealand Inspiring Communities Trust* (2013), 7.

³³ Jennifer Lentfer. “Community Mobilization vs. Organizing: Why Are We Here?” *How Matters*, November 13, 2017, <http://www.how-matters.org/2017/11/12/community-mobilization-organizing/#:~:text=Community%20mobilization%20meant%20you%20were,kind%20of%20future%20you%20wanted.&text=Community%20organizing%20is%20a%20process,global%20philanthropy%20and%20aid%20sectors>.

Community mobilization in CLD programs is carried out through facilitation—by both external and community facilitators (in the form of community workers, volunteers or leaders). The review found that almost all reports have some mention of facilitation. However, there is little information on the nature of facilitation being carried out or how it results in improved development outcomes like equity and resilience.

WHO IS INCLUDED IN CLD PROGRAMS?

For most reports in this research, inclusion was limited to women participants or gender-related training. Very few programs spoke of inclusion of other marginalized groups in program design or implementation, unless a program was designed for a specific group. This was particularly true of people with disabilities, LGBTQ populations, and ethnic and religious minorities. The pattern of limited inclusion extended to the evaluations as well, where data was only disaggregated by gender (and even this was not always the case).

Any program that does not ensure inclusion of marginalized groups in decision-making and leadership can unwittingly exacerbate inequities. Including women and girls is important, but insufficient. Furthermore, just inclusion of women in groups and their participation in meetings is not enough. Their voices need to be heard in those forums. Who is being included, who is participating, and whose voice is being heard in CLD programs needs to be explored further or documented better.

GENDER AND CLD

Inclusion is one of the fundamental principles of CLD. Yet, more than a third of the documents in this study did not report any component of gender either in their programs or in their evaluations. Reports for Gender-focused programs showed statistically significant lower rates of Accountability, which was present in 26% of these programs compared to 36% of the entire sample. Similarly, the group found that reports for programs with a gender focus were found to have had a statistically significant lower presence of Sustainable Exit Strategies; this characteristic is present in 33% of programs with a gender focus, compared to 42% overall.

It is abundantly clear from the reports that CLD programs rely heavily on women and their leadership. In over 60% of the programs in the study, women are the primary participants. It is they who step into the roles of community volunteers, health workers, and mobilisers. They attend workshops, information sessions and training. They participate in community meetings and are often involved in direct program implementation. Where community groups are created, they are often women's groups. In fact, many programs create new community groups to provide a forum for women to come together, strengthen capacities together, and create a support network that amplifies their voices and their economic well-being (savings groups).

Women's participation in decision-making and programming is important, as is their inclusion in spaces that have traditionally sought to exclude them. The good news is that many CLD programs seem to recognize this. However, the overwhelming dependence of CLD programming on women also raises questions about women's time poverty. Time-use surveys from across the world show

that women work more hours than men and disproportionately bear the burden of unpaid care work and household chores, adversely affecting their ability to participate in paid economic activity.³⁴ What then is the impact of these capacity development and other activities on their existing workload in the short term? How does the nature of women's engagement in CLD processes evolve over time and is there any correlation between this evolving relationship and their overall time poverty? Are certain types of CLD programming better placed to address these issues as they increase access (to firewood, water, health, or child-care services) or result in mindset change (on sharing of household responsibilities among other things)? Is there any relationship between women's participation in CLD programs and program sustainability?

This study did not delve into these questions, both due to the restricted and limited data sources that were available and resources constraints that prevented primary research. However, given the centrality of gender in CLD programming, this area needs to be studied further.

INTEGRATED PROGRAMMING

Programs were recognized as "integrated" in the study if they addressed/focused on multiple sectors in their work or applied a holistic approach to a single sector. For instance, a program that sought to tackle Violence Against Women by addressing education, health, political participation, and livelihoods issues was recorded as an instance of integrated programming. Based on this criteria, about 54% of the programs in the study seemed to carry out some form of integrated programming. A Welch t-test revealed that programs that take an integrated approach on average report 5-20% more CLD characteristics than those that do not and this difference was statistically significant at 95% confidence level. (p value: 0.0004, $\alpha = 0.05$, confidence interval: 0.49=1.65).

While the presence of more CLD characteristics in integrated programming in our sample does not mean more or better integration or indicate quality of programming overall, it shows to donors and practitioners that designing and implementing integrated interventions, to some extent, aligns programming closer to CLD.

PROGRAMMING DURATION MATTERS

This study shows that program duration matters, particularly to the number of CLD characteristics being reported. Mindset transformation, community mobilization, and community organizing all take time. Relationships and trust do not get built overnight. The journey from 'I can't' to 'I can' and eventually 'we can' is long and often non-linear. It is therefore not surprising that programs that run for less than 3 years report less CLD characteristics than programs that run for 7 years or longer. However, this relationship needs further exploration because it can have a huge impact on how donors fund programs and how implementers design them.

³⁴ Asian Development Bank, *Balancing the Burden?: Desk Review of Women's Time Poverty and Infrastructure in Asia and the Pacific*. Asian Development Bank, 2015.
<https://digitalcommons.ilr.cornell.edu/cgi/viewcontent.cgi?article=1485&context=intl>.

THE IMPACT OF CLD PROGRAMMING

Program evaluations, and often even program reports, tell us very little about the nature or impact of community-led development programming. Programming information is often related to overall activities, not the processes and guiding principles which characterize these activities in CLD programming. The study shows us that characteristics like accountability, sustainability and adaptability are particularly missing from the reporting of CLD programs. Other characteristics like inclusion or celebration of community assets find greater mention but are seldom paired with enough evidence for the research team to remark on their implementation. M&E processes for CLD programs are not just about feedback loops and disaggregated data, but about community members designing, implementing, and learning from these processes. Yet, evaluation reports seldom talk about these M&E practices in the description of the methodology; there is no mention of engaging community members as more than key informants, interviewees, or enumerators. Data sharing and report backs on evaluation findings to communities, if they do happen, do not find a place in these documents.

The impact of CLD cannot be understood without unpacking the human change process that underscores it: the relationships it strengthens and the power of those relationships, the trust it builds and the agency it helps unleash—of the self and the collective. There is a need to develop not just a common understanding of CLD but also a common language to report about it and tools to capture its impact, even when this impact is difficult to measure. The CLD Assessment tool and the Quality Appraisal Tool for CLD Evaluations are steps in this direction.

D2. Recommendations :

For the Research Team

- Conduct sense-making workshops with evaluators from different organizations to understand the results and unpack the possible reasons behind the trends that are emerging.
- Conduct sense-making workshops at the country level on the CLD Assessment Tool and 11 characteristics to ensure that the tool reflects the understanding of CLD at the country and the community level.
- Create ease-to-use evaluation checklists that provide basic information to be included in reports.
- Create a feedback mechanism to solicit comments and recommendations from different audiences as the report and the CLD Assessment tool are shared. Iterate the rubric and fine-tune the CLD characteristics after listening to all the different stakeholders, particularly those closest to the communities.

- Create a mechanism for organizations to share their data as the tool is used to enable a more informed analysis of the landscape of CLD practice.

For Implementing Organizations

- Use the CLD Assessment tool through a participatory review with community members and program staff to see how community-led your programming is and take steps to improve program design.
- Consciously report on the CLD elements in your programs. Remember, what is not reported is not recorded and what is not recorded cannot be measured or used as evidence. Absence of evidence is not evidence of absence, but it is often treated as such.
- Ensure that the evaluations of CLD programs are true to the principles of CLD. The Quality Appraisal tool developed by the Collaborative Research Team attempts to unpack how the CLD principles would be operationalized in evaluations of CLD programs. It can be a valuable starting point.
- Share your feedback on the tools and the research with the research team to ensure that the tools are practical and reflect a common understanding and aspiration of CLD

For Donors

- Create space for dialogue with implementing organizations on program and evaluation priorities such that evaluation processes and reporting captures what is truly important to the communities and practitioners. Greater alignment between funders and program managers is required on what needs to be evaluated and how..
- Reporting back to communities should be an important and mandatory aspect of evaluations. Currently, program evaluations can be extractive exercises where community members are treated as data sources or enumerators, but seldom informed on what the evaluations say. If communities are to take charge of their own development, they need this information. But implementing organizations often lack the resources to do so. This needs to be built into evaluation requirements.
- There is a definite correlation between the presence of CLD characteristics and program duration. This needs to be studied further. Meanwhile, program funding mechanisms need to make space for flexibility in design and implementation. Only then can CLD programs truly be adaptable to the context, responsive to community needs and led by them.
- This study throws up many interesting questions that need to be explored further. Primary data can "ground truth" and refine our explanations derived from secondary data. Partner with collaborative fora like the Movement to carry out this research.

- Adapt the CLD Assessment Tool to their own programming needs and use it as a simple tool for partners and grantees to determine how community-led they are and how they can course correct.

Annex A: The CLD Assessment Rubric

Note: This rubric has been developed by the Scoping Group comprising of Holta Trandafili (World Vision), Julie Carandang (Nuru International), Brigitta Bode (Institute for State Effectiveness), Nelly Mecklenburg (Institute for State Effectiveness), Prof Martha Cruz Zuninga (Catholic University), Randy Lyness (Global Communities), Alexis Banks (Root Change), Janet Edmond (Conservation International), Alison Carlman (Global Giving) in consultation with the research lead, Gunjan Veda (The Hunger Project).

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 BEFORE the actual design of the program.	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
A.3 Community members play an active role in CLD program design	No/insufficient information to make a judgement.	Community members had no involvement in the design process	The basis of program design stems from select community members (e.g. leaders or representatives but no participation of wider community members).	The basis of program design stems from wide community participatory processes but without consideration of power/gender dynamics, distribution of resources within a	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.	community, different poverty-levels, etc. These considerations are used to create a vision and action plans.
A.3 Community members play an active role in the CLD program implementation (including adaptation)	No/ insufficient information to make a judgement.	Community members had no involvement in the implementation process	Select community members (e.g. leaders or representatives) are kept informed of program performance and decisions regarding implementation or adaptation.	Community members and local leaders are informed of program performance and can influence decision-making around program activities, and adaptation.	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.
A.4 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.	No/ insufficient information to make a judgement.	The program makes no efforts to build voice and confidence	The program may build voice and confidence among some community members and/or local leaders but has no systematic approach to doing it.	The program is intentional about building voice and confidence among community members and/or local leaders through capacity building and mentoring.	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)
A.5 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	No/ insufficient information to make a judgement.	The program does not raise awareness of peoples' social, economic and political rights nor does it build advocacy skills	The program raises awareness of peoples' social, economic and political rights but does not build advocacy skills	The program raises awareness of peoples' social, economic and political rights and builds advocacy skills	The program raises awareness of peoples' social, economic and political rights and builds advocacy and social movement skills

B. DIMENSION: LOCAL RESOURCES AND KNOWLEDGE -- YES, NO

<p>B.1 The CLD program builds on Local Resources and Knowledge</p>	<p>No/insufficient information to make a judgement.</p>	<p>The program does not consider local resources and knowledge</p>	<p>The program is aware of local resources, but knowledge is transmitted by the front-line staff</p>	<p>The program builds on local resources and takes local knowledge into account</p>	<p>The program uses and celebrates local knowledge and resources</p> <p><i>*celebrates refers to recognizing the value of local knowledge and pursuing it.</i></p>
<p>B.2 Community contributes their resources (e.g. time, cash, labor, land, materials, etc.)</p>	<p>No/insufficient information to make a judgement.</p>	<p>Community does not contribute towards program implementation in cash or kind or labor.</p>	<p>Community members contribute time/labor or resources (land, cash, materials), but only because it is mandatory.</p>	<p>Community members contribute time/labor or resources (land, cash, materials), when asked but do not volunteer it.</p>	<p>Community members decide what is needed, willingly identify additional resources that would contribute to outcomes (time/labor, land, cash, materials) and volunteer them.</p>

C. FACILITATION INVESTMENT AND INTENSITY -- YES, No

[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.]

<p>C.1 The CLD program facilitators (whether it is community leaders, staff or facilitating partners) are equipped with skills and practice for their roles.</p>	<p>No/insufficient information to make a judgement.</p>	<p>Facilitators receive a basic orientation in formal trainings (classroom)</p>	<p>Facilitators are trained in basic facilitation skills as well as participatory analysis and planning in formal trainings (classroom)</p>	<p>Facilitators are trained in facilitation skills, participatory analysis and planning in the classroom and in communities</p>	<p>Facilitators are trained in facilitation skills, participatory analysis and planning, as well as collective action in the classroom and in communities</p>
<p>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)</p>	<p>No/insufficient information to make a judgement.</p>	<p>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</p>	<p>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.</p>	<p>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.</p>	<p>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</p>

					processes in place to respond.
C.3 The CLD program has reasonable provisions to support the quality of local facilitation (clear intake criteria; knowledge and skills assessment; provision of training and support for local facilitators)	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 skills assessment is undertaken and there is no provision for training and support of local facilitators.	There is some ad-hoc provision to support local facilitation. The program has one of the following components built 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.	There is a reasonably good provision to support local facilitation. The program has two of the following components built 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.	Provisions to support local facilitation are fully integrated into the program. The program has all of the following components built 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 either from communities to implementing agencies, or from implementing agencies to communities.	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 multiple power differentials and dynamics (e.g. gender, economic status, ethnicity, etc.)	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; 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

<p>F.2 The CLD program links local structures or leaders to local federations or wider social movements</p>	<p>No/insufficient information to make a judgement.</p>	<p>The program does not link local community structures or leaders to any federations or movements</p>	<p>The program links local community structures or leaders to local federations</p>	<p>The program links local community structures or leaders to local and regional federations</p>	<p>The program links local community structures or leaders to local and regional federations and nation-wide social movements</p>
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G. DIMENSION: CLD LINKED TO SUB-NATIONAL GOVERNMENTS – YES, NO

<p>G.1 The CLD program's local community structures or leaders are linked to sub-district or district government</p>	<p>No/insufficient information to make a judgement.</p>	<p>Sub-district or District Government is not aware of the program</p>	<p>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</p>	<p>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.</p>	<p>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.</p>
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H. DIMENSION: EXIT STRATEGY LINKED TO SUSTAINABILITY AND RESILIENCE

<p>H.1 Communities are central to developing exit strategies of the CLD program</p>	<p>No/insufficient information to make a judgement.</p>	<p>There is no exit strategy</p>	<p>The exit strategy is created by the implementing organization without consultation with community leaders or community members</p>	<p>The exit strategy has been created in consultation with local leaders and community members</p>	<p>Exit strategy is owned by community members and local leaders.</p>
<p>H.2 Planning for responsible exit is woven throughout the CLD program [all the life-cycle phases]</p>	<p>No/insufficient information to make a judgement.</p>	<p>There are no exit strategies</p>	<p>The exit strategies are formulated towards the end of the program (very close to closure or at closure).</p>	<p>The exit strategies are planned at design and revisited towards the end of the program (very</p>	<p>The planning for exit strategies started at design, is iteratively revised during implementation</p>

				close to closure or at closure).	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.
I.4 M&E findings are disaggregated according to sex, disability and other relevant social differences AND acted upon	No/insufficient information to make a judgement.	No disaggregation of findings by social differences	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.	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.	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].

Annex B: Data Extraction tool

Section A: General information

Program Name:	
Implementing Organization:	
Who carried out the Evaluation:	
Programming Countries:	
Country/Countries (where evaluation was carried out):	
Provinces/ region where evaluation was carried out:	
Evaluation Stage:	Ongoing Midline End-line Ex-post
Evaluation Methodology:	
Year of Evaluation:	
Programming years:	
Donor name (put all donors):	

Section B: General CLD program information

B.1	At what geographic level is the specific project/program implemented?	1. National 2. Sub-national (regional) 3. District/Division/Municipality 4. Single/ Few Communities <i>Other, please specify:.....88</i> <i>Information not reported.....99</i>
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<p>B.2</p>	<p>Within the communities, who does the program specifically target (in terms of benefits)?</p> <p><i>(check the most relevant groups, maximum of 3)</i></p>	<ol style="list-style-type: none"> 1. Households (entire) 2. Women 3. Children 4. Men 5. Youth 6. Elderly 7. People with Disabilities 8. People living with HIV/AIDS 9. LGBTQ 10. Internally Displaced Population (IDP) 11. Refugees 12. Minorities (religious and ethnic) <p><i>Other, please specify:.....88</i></p> <p><i>Information not reported.....99</i></p>
<p>B.3</p>	<p>Within the communities, who are the primary participants in the program?</p> <p><i>If participants are individuals choose from options 1-13</i></p> <p><i>If participants are community groups/structures/bodies, choose from options 14-20</i></p> <p><i>If no information is provided choose 21</i></p> <p>NOTE: Programs may reach out to and involve many groups of people. However, they often have a primary focus group e.g. Women and adolescent girls for nutrition programs. If there is a primary focus group/groups, please select them. If the program works with all members of the household, select households. If the program works with civil society organizations, then please select 16)</p>	<ol style="list-style-type: none"> 1. Households (entire) 2. Women 3. Children 4. Men 5. Youth 6. Elderly 7. People with Disabilities 8. People living with HIV/AIDS 9. LGBTQ 10. Internally Displaced Population (IDP) 11. Refugees 12. Religious or ethnic Minorities (individuals) 13. Other individuals (specify) _____ 14. Community elders/leaders 15. Existing community groups 16. Civil Society organizations 17. Private enterprises 18. Local governments/ government representatives 19. Religious leaders/groups or communities 20. Other groups (specify) _____ <p><i>Information not reported.....99</i></p>
<p>B</p>	<p>Is there additional support for the poorest and/or marginalized (including women, religious minorities, people with disabilities, etc) in the community? (i.e. grain banks, work programs, special training)</p>	<ol style="list-style-type: none"> 1. Yes 2. No 3. Information not reported

<p>B.5</p>	<p>Funding Scale: What is the entire program's budget?</p> <p><i>(Please select currency first)</i></p>	<p>1. Volunteer/ Unfunded 2. Funds:</p> <table border="1" data-bbox="852 252 1274 462"> <tr> <td data-bbox="852 252 1063 310">2.1 Currency</td> <td data-bbox="1063 252 1274 310"></td> </tr> <tr> <td data-bbox="852 310 1063 369">2.2 Amount</td> <td data-bbox="1063 310 1274 369"></td> </tr> <tr> <td data-bbox="852 369 1063 462">2.3 USD conversion</td> <td data-bbox="1063 369 1274 462">Automated</td> </tr> </table> <p>Information not reported.....99</p>	2.1 Currency		2.2 Amount		2.3 USD conversion	Automated
2.1 Currency								
2.2 Amount								
2.3 USD conversion	Automated							
<p>B.6</p>	<p>What is the source of funding for the program?</p> <p><i>(Choose all that apply and put % if available)</i></p>	<p>1. Bilateral donor 2. Multilateral donor 3. Foundation national 4. Foundation international 5. Private Funding (includes small donations from individuals, High Net worth Individuals (HNIs), un-tied funding, gifts, crowdfunding) 6. Government (national) 7. Devolved government funding (e.g. district/local govt. funds) 8. Community Contribution through donation, matching contribution, etc.)</p> <p>Other, please specify:.....88 Information not reported.....99</p>						
<p>B.7</p>	<p>What kind of support does this program provide?</p> <p><i>(Select all that apply)</i></p> <p>NOTE: Technical assistance refers to non-financial assistance provided by local/international specialists e.g. sharing information and expertise, instruction, skills training, transmission of working knowledge, and consulting services --may also involve the transfer of technical data</p>	<p>1. Technical assistance 2. Service Delivery (include infrastructure) 3. Grants (community gets grant from NGO) 4. Grants (community gets through government) 5. Capacity Development (skills/knowledge)</p> <p>Other, please specify:.....88 Information not reported.....99</p>						

<p>B 7.1</p>	<p>If the program undertakes capacity development, at what level is it taking place</p>	<p>1. Individuals/Groups 2. Organizations/ Institutions 3. Government/Societal Information not reported.....99</p>
<p>B 7.2</p>	<p>If the program undertakes capacity development, what type of capacity development is undertaken</p>	<p>1. As skills and knowledge 2. As systems and processes Information not reported.....99</p>
<p>B 7.3</p>	<p>If the program undertakes capacity development, what is the strategy for it?</p>	<p>1. Training 2. Mentorship 3. Peer learning approaches Other, please specify:.....88 Information not reported.....99</p>
<p>B.8</p>	<p>What is the development context of programming? At the time the program was being implemented, check all the situations that best describe the community settings.</p> <p><i>(Select all that apply)</i></p>	<p>1. Active conflict/ Humanitarian 2. Post-conflict 3. Post-disaster 4. Resource rich region with poor developmental indicators 5. Prosperous/developed region 6. Low income region with poor developmental indicators 7. Recurring natural disasters</p> <p>Other, please specify:.....88 Information not reported.....99</p>

B.9	<p>At the time the program was being implemented, what would best define the political and economic status of the country in which the program was being implemented?</p> <p><i>(Select all that apply from each list -the political situation and economic situation)</i></p> <p>NOTE: Emerging economies refer to countries moving from developing to the developed country status due to rapid economic growth e.g. India, China. Transition economies refer to economies that are moving from central planning to a free market economy. They generally refer to former communist countries (e.g. Albania, Georgia, Serbia, Ukraine). Normally the UN and the WB have a list of such countries.</p>	<p>1) Political situation:</p> <p>1.1 Dictatorship/ Authoritarian regimes 1.2 Democracy 1.3 Communist 1.4 Newly formed/independent country (less than 10 years old) 1.5 Others (please specify) 1.6 Information not available</p> <p>2) Economic situation:</p> <p>2.1 Low income county with poor developmental indicators 2.2 Emerging/Transition economy: 2.3 Developed Country/ Prosperous economies 2.4 Other (please specify) 2.6 Information not reported</p>
B.1 0	<p>Who are the community's representative body that collaborates with the program?</p> <p><i>(Select all that apply)</i></p>	<ol style="list-style-type: none"> 1. Existing legal local governance structure (e.g. formal village council) 2. Existing community group 3. Community groups elected through the CLD process 4. There is no representative community body, but volunteers lead/support the program 5. There is no representative elected body, anyone can participate <p>Information not reported.....99</p>
B.1 1	<p>Are there additional partners involved?</p> <p>NOTE: Partners refers to other NGOs, or consortia, academic partner, govt. entity, etc.</p>	<ol style="list-style-type: none"> 1. No 2. Yes, in implementation 3. Yes, in the evaluation <p>Other, please specify:.....88 Information not reported.....99</p>

<p>B.1 2</p>	<p>What is the program's focus/<u>starting</u> point?</p> <p><i>(check max top three most applicable descriptions)</i></p>	<p>A. Agriculture and Food Security</p> <p>B. Child Protection</p> <p>C. Education</p> <p>D. Emergency Response</p> <p>E. Environment and Natural Resource Management</p> <p>F. Gender</p> <p>G. Governance and citizen engagement</p> <p>H. Health, Nutrition and WASH</p> <p>I. Infrastructure</p> <p>J. Livelihoods and Economic Empowerment</p> <p>K. Other (Please specify)</p> <p>L. Information not provided</p> <p>Other, please specify:.....88</p> <p>Information not reported.....99</p>
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Section C: CLD Assessment Rubric (See Annex A)

Annex C: List of Organizations that submitted reports

1. CARE
2. Catholic Relief Services
3. ChildFund International Zambia
4. Church World Service
5. Concern Worldwide
6. Conservation International
7. FHI 360
8. FXB International
9. Global Communities
10. Heifer International
11. Masum India
12. Mercy Corps
13. Nuru International
14. One Village Partners
15. Oxfam UK
16. Pact
17. Project Concern International
18. Relief International
19. Restless Development
20. Root Change
21. Sarvodaya
22. Save the Children
23. Sparks Microgrant
24. The Hunger Project
25. Tostan
26. Village Enterprise
27. WEEMA International
28. Winrock International
29. World Vision