



USAID
FROM THE AMERICAN PEOPLE

CBLD-9

Why does this matter? LLD Spectrum

LESS LOCALLY LED

MORE LOCALLY LED



Local actors receive information regarding a project and may share their views. USAID may or may not consider or act on these views.

Local actors share their views with USAID. USAID is committed in some way to consider or act on these views and to communicate how local input is being used.

Local actors are part of a formal system that provides an opportunity to work with USAID to make decisions jointly.

Local actors take the lead in making decisions and taking action with regard to a development effort within jointly agreed upon parameters.

USAID supports an initiative that originates with, and is managed by, host country actors.

What is CBLD-9?

***“Percent of USG-assisted organizations
with improved performance”***

Raise your hand if you've used CBLD-9.



PHOTO: ADOBE STOCK IMAGE

What is this indicator??



PHOTO: Flickr user: CollegeDegrees360

CBLD-9 is calculated as:

$$\begin{array}{l} \text{Percent of USG-} \\ \text{assisted} \\ \text{organizations with} \\ \text{improved} \\ \text{performance} \end{array} = \frac{\text{Numerator: Number of organizations with} \\ \text{improved performance}}{\text{Denominator: Number of organizations} \\ \text{pursuing performance improvement with} \\ \text{USAID support}}$$

Question Time 1!

True or false?

If USAID (or an IP) provides good quality capacity strengthening support to a local organization, that organization can be counted in the numerator of CBLD-9.



PHOTO: STOCKVAULT.NET

Question 1 Answer: False!

Performance improvement takes time, so simply implementing planned capacity strengthening support (interventions) does not guarantee improved performance.

But WAIT! There are a few criteria. (DENOM)

Organizations should only be counted in the **denominator** if they have fulfilled ALL conditions in points (a) and (b) below:

- (a) **INTENTIONAL:** Documentation reflects that resources (human, financial, and/or other) were intentionally allocated for organizational capacity strengthening.
- (b) **PROCESS:** An organization demonstrates that it has undergone and documented a process of performance improvement, including:
 - (i) Collaborating with the supported organization and/or any other relevant stakeholders to **jointly define** desired performance improvement priorities;
 - (ii) Identifying the **difference between current and desired performance**;
 - (iii) Selecting and implementing **performance improvement solutions** (the capacity strengthening interventions); and
 - (iv) Identifying and using a **performance improvement metric(s)** by which the organization will monitor and measure changes in performance.

Criteria (NUMERATOR)

Organizations should only be counted in the **numerator** if they are counted in the denominator **and meet condition (c)**:

(c) POSITIVE CHANGE: An organization demonstrates that its performance on at least one key performance metric has improved.

Let's walk through each criterion.



What is required to count an organization under CBLD-9? (Part 1)

Criterion (a): **Intentionality.**

Key Question:

Did the activity intentionally allocate resources (human, financial, other) for organizational capacity strengthening?

What is required to count an organization under CBLD-9? (Part 2)

Criterion (b.i): **Jointly defined priorities.**

Key Question:

Did the supported organization define their **own** performance improvement priorities?

Brainstorm! (Part 1)



Photo Credit: Cidalia, NGO HIM in Timor-Leste

What are methods or processes
YOU have used to define
performance improvement
priorities with an organization?
Or if you haven't done this in
the past, what IDEAS do you
have?

Enter your ideas in the chat box!

What is required to count an organization under CBLD-9? (Part 3.a)

Criterion (b.ii): **Current vs desired performance**

Key Question:

Did you clearly identify the difference between current and desired performance?

What is required to count an organization under CBLD-9? (Part 3.b)

Criterion (b.ii): **Current vs desired performance**

Key Question:

Did you clearly identify the difference between current and desired performance?

If we work on our resource diversification efforts for the next two years, where would we be? What would it look like?

What would we be achieving, specifically?

How does this compare to where we are now?

What is required to count an organization under CBLD-9? (Part 4)

Criterion (b.iii): **Implement solutions.**

Key Question:

Did USAID, an IP, or another stakeholder provide support tailored to an organization's performance priorities?

Brainstorm! (Part 2)



Photo Credit: Evangeline Pindog of AKAP, Philippines

What types of capacity strengthening support have you used or do you plan to use? (Hint: think **beyond** training!)

Enter your ideas in the chat box!

Examples of capacity strengthening interventions



Photo Credit: Nataly Fabrikantova/NCBA CLUSA/USAID
Cooperative Development Program

This could be:

- Mentoring
- Coaching
- Facilitating relationships
- Facilitating peer-to-peer learning
- Training
- Other technical assistance
- “Learning by doing”
- Many other options!

From the Local Capacity Strengthening Policy:

“**Many kinds of capacity and approaches may be necessary** to improve both short- and long-term performance of local actors and systems. Some **technical, management, and financial capacities** help an actor better deliver goods or services or play specific roles, such as conducting and maintaining a rigorous sponsored research or medical program. **Other functional or relational capacities** help an actor to reflect and be accountable to community feedback, serve and govern as a responsible leader, problem solve and adapt to remain relevant, or forge new partnerships to leverage collective expertise and resources...Too often, we default to an approach that relies on training for capacity strengthening because it is predictable and visible. However, **training frequently models one-size-fits-all ideas about how local actors should look** and often prioritizes outside expertise over local knowledge.”

-LCS Policy, p. 11

What is required to count an organization under CBLD-9? (Part 5)

Criterion (b.iv): **Measure.**

Key Question:

Did you measure improvement using a performance metric?



PHOTO: ADOBE STOCK IMAGE

Question Time 2!

True or false?

There are two choices for measuring performance improvement under CBLD-9: The Organizational Capacity Assessment (OCA) and the Organizational Performance Index (OPI).



PHOTO: STOCKVAULT.NET

Enter your answer in the chat!

Question 2 Answer: False!

It is NOT necessary to use any specific survey, assessment or index (such as the OCA or OPI) to measure performance!

Whenever possible, performance metrics and approaches already being used by the local organization should be used in place of those created for the sole purpose of reporting to USAID.

“Indicator within an indicator!”

Brainstorm! (Part 3)

A municipal strengthening activity provides **coaching and peer networking opportunities to municipalities** to increase their effectiveness. One aspect of this is **improving revenue mobilization to fund local services such as waste management and youth recreational programs.**

What would be an indicator of improved performance?

5 MINUTES in breakout groups to discuss!



Photo Credit: FreePik User pplahotya

Brainstorm! (Part 4)

A municipal strengthening activity provides **coaching and peer networking opportunities to municipalities** to increase their effectiveness. One aspect of this is **improving revenue mobilization to fund local services such as waste management and youth recreational programs.**

How could we measure performance improvement?

Just a few ideas:

% of municipal budget funded by local tax revenues

Number of children enrolled in after school programs.

Citizen satisfaction rating on government responsiveness/legitimacy (assessed via survey)

Careful!

If you DO use a formal framework or assessment, make sure it meets your purpose.



Photo: Adobe Stock

If you do use a “tool,” remember: different tools have different purposes.

- **Performance Measurement Tools or Indicators** monitor and measure the extent of performance change. Use them to set a performance baseline and to monitor whether capacity strengthening activities are contributing to improved performance.
- **Capacity Action Planning Tools** (ex: SWOT, OCA self-assessment) help local actors identify their own priorities for performance improvement and become motivated to own and manage their own progress. Use these to understand the existing capacity of the local actor and establish capacity strengthening goals linked to action plans.
- **Risk Mitigation Tools** (ex: NUPAS) are primarily designed to assess and help develop plans to mitigate risks to USAID or other donors when partnering with an organization. While these tools may identify existing strengths of local actors, they should not be used as a substitute for catalyzing the process of local capacity strengthening or for measuring performance improvement.

Summary: Criteria for the denominator

Intentionality

Jointly defined priorities

Define current vs.
desired performance

Implement solutions

Measure change

The Numerator

Numerator criterion: **Positive change.**

Key Question:

Does the organization demonstrate that its performance on at least one performance metric has improved?

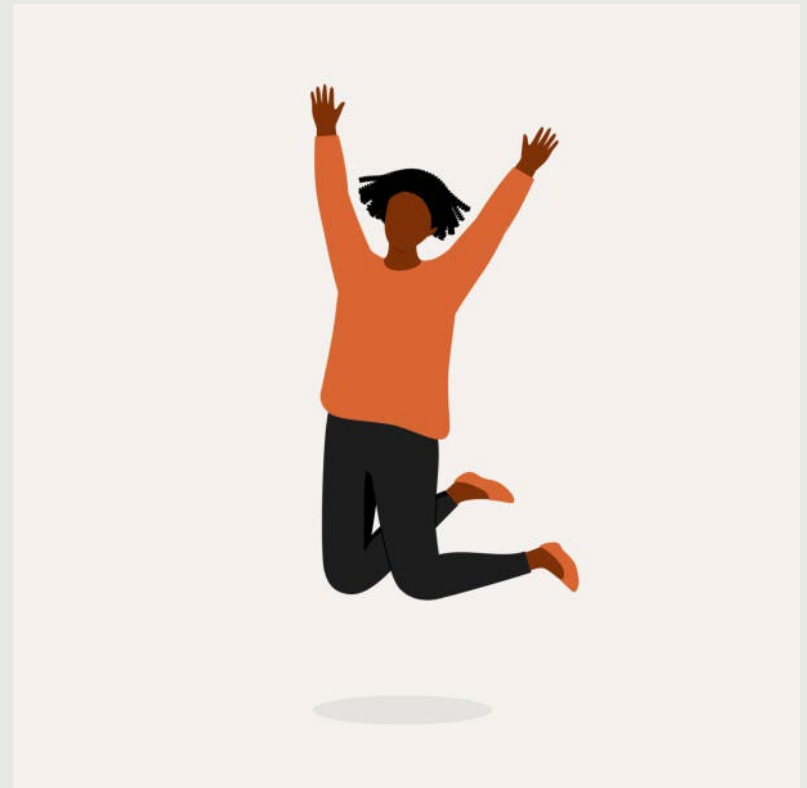
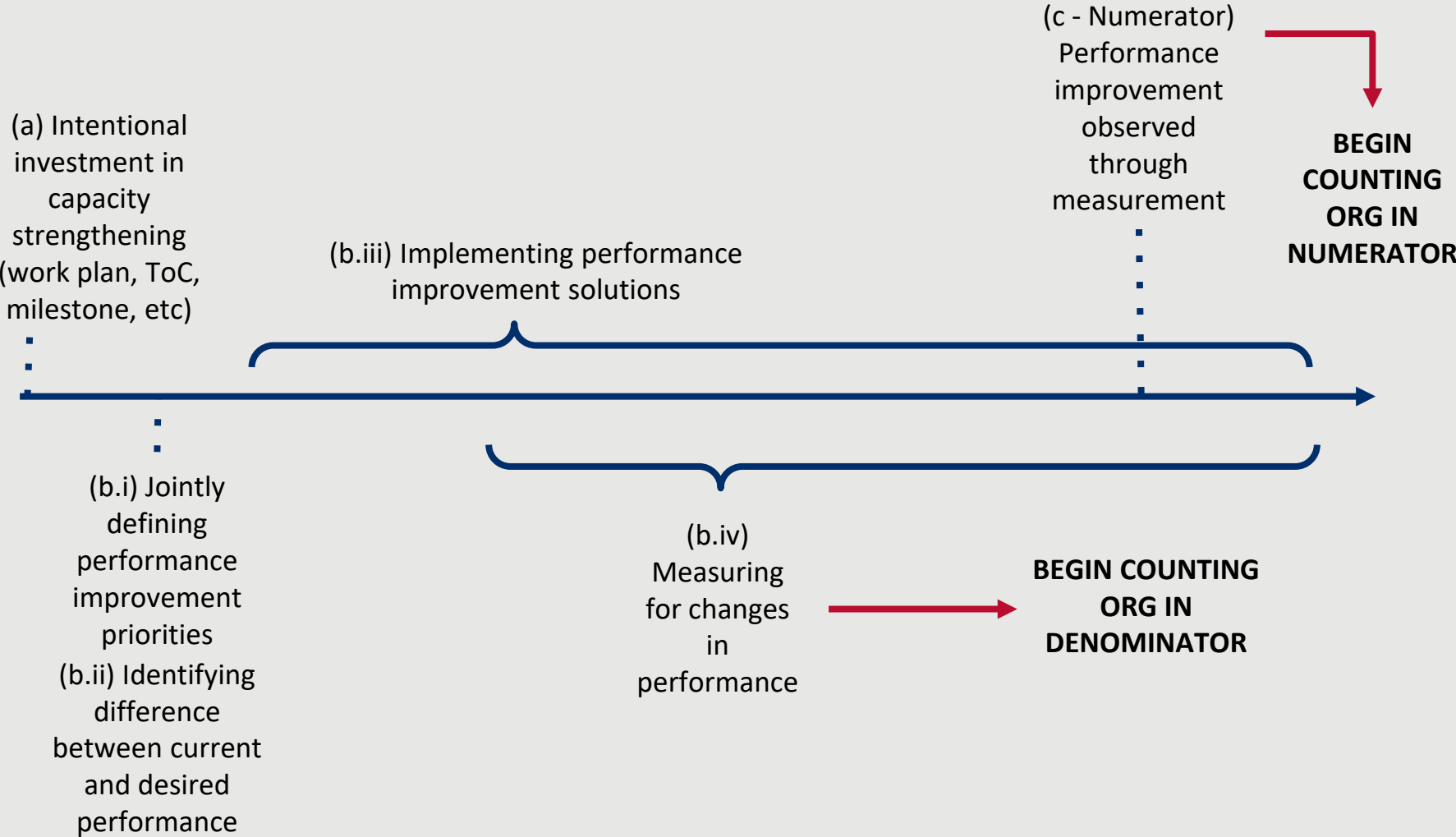


Photo Credit: iStock, simplehappyart

Timeline of meeting CBLD-9 criteria



A reminder: Performance, NOT Capacity

“Percent of USG-assisted organizations with improved performance”

This indicator measures improved **performance**, NOT **unused capacity**.



Photo Credit: USAID/Vietnam Local Works for Environmental Health

POLL 1!

Enter your answer (A, B, or C) in the chat box!

Question: An organization's goal is to support local communities to improve natural resource management (NRM).

Which of these is an example of improved *performance* for this organization?

- A. The organization learns about best practices for forestry protection.
- B. The organization increases the number of communities engaged in NRM initiatives.
- C. The organization improves its internal systems for monitoring its conservation initiatives.

POLL 1! (Answer)

Enter your answer (A, B, or C) in the chat box!

Question: An organization's goal is to support local communities to improve natural resource management (NRM).

Which of these is an example of improved performance for this organization?

- A. The organization learns about best practices for forestry protection.
- B. The organization increases the number of communities engaged in NRM initiatives.**
- C. The organization improves its internal systems for monitoring its conservation initiatives.

POLL 2!

Enter your answer (A, B, or C) in the chat box!

Question: A farmers' organization exists to provide useful services to its members, including training in agricultural practices.

Which of these is an example of improved performance?

- A. An organization begins holding regular meetings with its farmer members.
- B. An organization develops an annual work plan to guide its activities.
- C. An organization begins incorporating the feedback of its members, leading to new trainings on topics that are more relevant to farmers.

POLL 2! (Answer)

Enter your answer (A, B, or C) in the chat box!

Question: A farmers' organization exists to provide useful services to its members, including training in agricultural practices.

Which of these is an example of improved performance?

- A. An organization begins holding regular meetings with its farmer members.
- B. An organization develops an annual work plan to guide its activities.
- C. **An organization begins incorporating the feedback of its members, leading to new trainings on topics that are more relevant to farmers.**

Your turn! Breakout groups.



Photo Credit: Doreen Hove, USAID/Zimbabwe

In your groups, discuss:

Think of a USAID/Guatemala activity (current or in design phase) that includes capacity strengthening. Based on that activity:

- (1) Prioritizing:** How did you or do you plan to decide what performance improvement areas to focus on? (Be specific.)
- (2) Local leadership:** How could you have done this/how could you do this in a way that prioritizes the supported organization's *own* priorities? What specific actions or processes would this involve?

10 minutes. **Appoint one person from your breakout group to share back in a 1 minute report-out.**

What is an organization?

An organization is a group of people who work together in **an organized way** for a **shared purpose**.

It does NOT have to be a formal legal entity.

Types of organizations (disaggregates)

- Education (higher education, secondary, primary)
- Research institutions
- Cooperative (formal, registered)
- Producer group (informal, unregistered)
- Faith-based
- Governmental (national or sub-national levels)
- Health (service delivery, advocacy, professional associations)
- Private sector firms (excluding coops)
- Non-governmental and not-for profit organizations
- Other

Organizations/programming that should NOT be counted under CBLD-9.

- Organizations receiving support that is not specifically tailored to their priorities.
- Organizations that have received capacity strengthening support, but have not yet conducted measurement of performance change.

Additional Resources

- CBLD-9 Performance Indicator Reference Sheet
 - (FY23 version - pending approval by State/F)
- [Guide to Distinguishing Tools Used for Local Capacity Strengthening](#)
- For additional context: [Local Capacity Strengthening Policy](#)
- [CBLD-9 Measurement Guide](#)
- [Resource page](#) with FAQs, Target-setting Guidance, and Worksheets
- Coming soon... CBLD-9 PIRS Spanish Version

Questions? Want one-on-one support? Contact CBLDSupport@usaid.gov.

QUESTIONS?