Charting a path toward local capacity strengthening: Systems and tools for mapping and planning

Webinar co-hosted by Data for Impact and MOMENTUM Monitoring, Evaluation, Innovation, and Learning Working Group

Date: September 6, 2023, 9-10 am EDT

USAID FROM THE AMERICAN PEOPLE

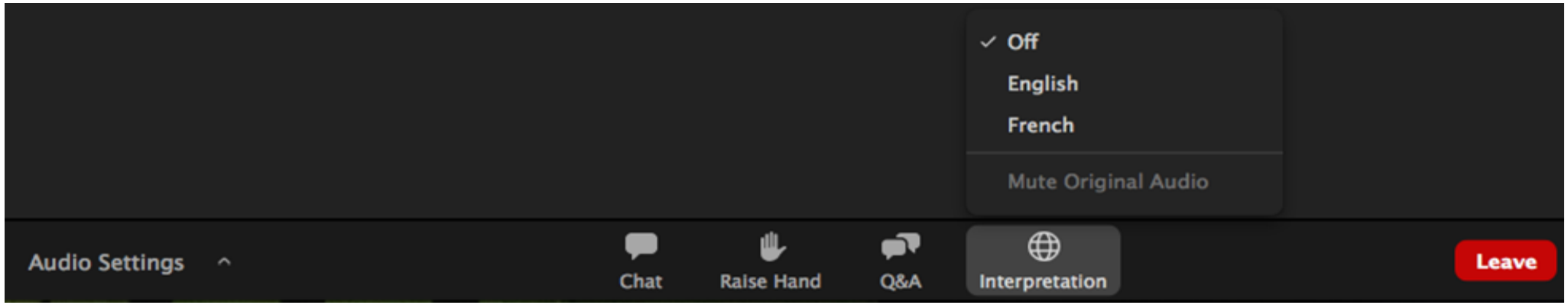
DATA FOR impact

MOMENTUM A Global Partnership for Health and Resilience

Zoom Logistics

This webinar will be presented in English with live French interpretation. Click the "interpretation" icon at the bottom of the screen and select "Off" if you'd like to hear the original English. Click French if you'd like to hear French.

Ce webinaire sera présenté en anglais avec une interprétation en français. Cliquez sur l'icône "interprétation" en bas de l'écran et sélectionnez "Off" si vous souhaitez entendre l'anglais original. Cliquez sur "French" si vous souhaitez entendre le français.



Closed Captioning (sous-titrage codé)

Please select closed captioning if you wish to see live captioning of the session.

Webinar Agenda

Session	Presenter
Introduction	**Jessica Fehringer, PhD** Data for Impact
USAID Local Capacity Strengthening Policy	**Barbara Rawlins, MPH** USAID
MOMENTUM Monitoring, Evaluation, Innovation, and Learning Working Group's Capacity Mapping and Monitoring System (CMMS)	**Meg Kinghorn, MA, & Beryl Levinger, MA, PhD** MOMENTUM Knowledge Accelerator Consultants
Local experiences with D4I's Research and Evaluation Capacity Assessment Tool and Resource Package (RECAP)	**Samson B. Adebayo, MSc, PhD** Data Research and Mapping Consult, Ltd.
Panel Q&A and Discussion	**Liz Millar, MPH** Data for Impact

D4I's Work

Generate Evidence

Use routine and other existing data and generate new data through rigorous methods tailored to budget, timeline, and context

Promote Data Use

Visualize and communicate data in ways that are compelling, user-friendly, and actionable

Integrate Gender

Integrate gender throughout the project to ensure high-quality data for assessment of health and gender outcomes

Ensure Data Quality

Focus on ensuring high-quality data for effective decision making and program outcome improvement

Strengthen Capacity

Strengthen capacity through fostering collaboration, experimental learning, mentoring, and peer networks tailored to partner's needs

Learn

Encourage collaboration, improved results, and timely progress updates through idea exchange and shared learning

Localization and Capacity Strengthening at USAID

Barbara Rawlins, USAID, GH/MCHN/RP

LOCALIZATION

CATALYZING AND SUPPORTING LOCAL CHANGE

Vision: USAID envisions expanding the share of its programs that are locally led, in which a diverse group of local actors define priorities, design projects, drive implementation, measure and evaluate results, and more fully own and sustain efforts to save lives, reduce poverty, strengthen democratic governance, reduce corruption, address climate change, work to prevent conflicts, respond to global pandemics, and emerge from humanitarian crises.

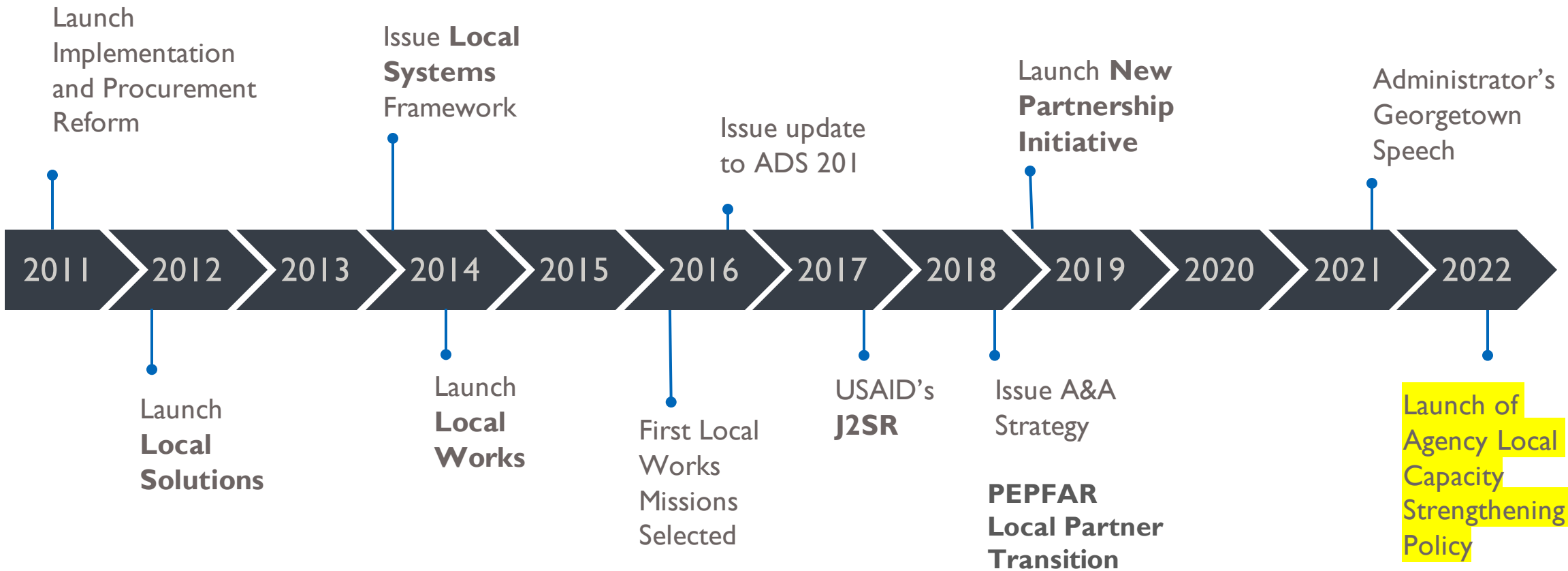
Localization principles must also inform our engagement beyond our projects: our convenings, the expertise we seek, our policy reform dialogues, and all the ways we engage in development.

> If we truly want to make aid inclusive, **local voices need to be at the center of everything we do.**

USAID ADMINISTRATOR
SAMANTHA POWER

See: https://www.usaid.gov/localization

A Decade of Localization at USAID



The Approach: Four Pillars of Localization

1

Adapt our policies and program practices to foster locally sustained change that is tied to each country's unique political, social, cultural, economic, and environmental conditions, while targeting the drivers of and barriers to change.

2

Shift power to local actors and ensure they have a meaningful seat at the table. Localization requires integrating a diverse group of local voices and leadership into all aspects of our work.

3

Channel a larger portion of assistance directly to credible local partners while ensuring accountability for the appropriate use of funds and achievement of development and humanitarian results. Align awards and activities to individual local partners' goals, capacities, and experience with USAID.

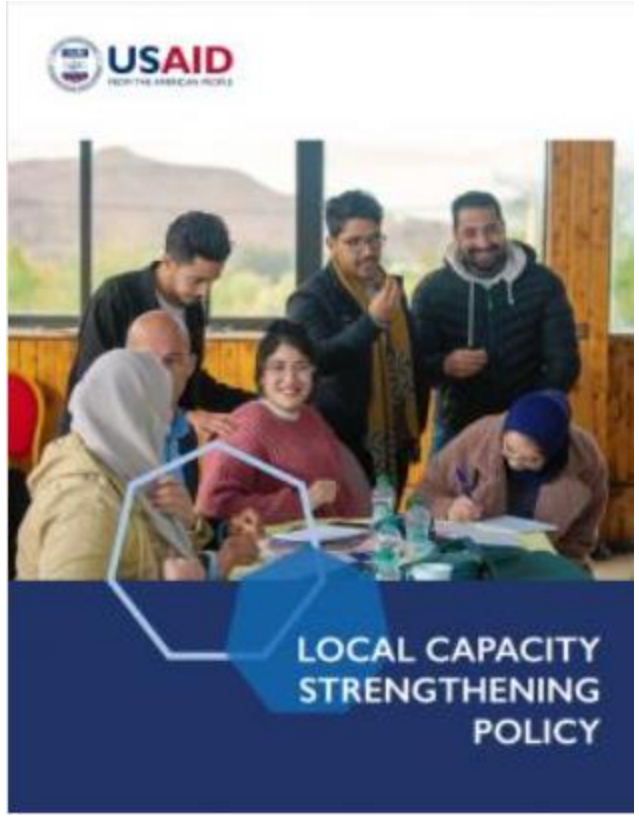
4

Serve as a public advocate and thought leader at the global and country level, using our convening authority, partnerships, voice, and the power of example to catalyze a broader shift to locally led development.

Local Capacity Strengthening: A Key to Advancing USAID's Localization Agenda

USAID's Local Capacity Strengthening (LCS) policy commits the agency to a unified, cohesive, and systemic approach for collaborating with local partners to:

- Define their own vision for success;
- Strengthen their ability to be effective and relevant actors within their local communities and contexts;
- Elevate local ownership in sustaining development results.



See: https://www.usaid.gov/

Localization Targets

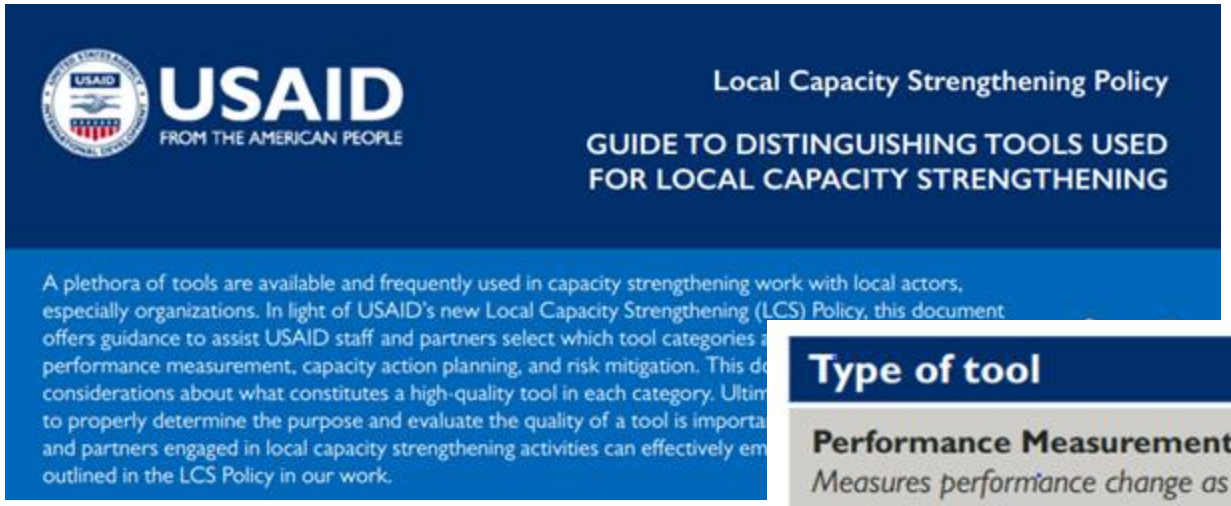
Target 1: USAID will provide at least a quarter of all our program funds directly to local partners by the end of FY 2025.

Target 2: USAID will take steps to ensure that by 2030, fifty percent of our programming will place local communities in the lead to co-design a project, set priorities, drive implementation, and/or evaluate the impact of our programs.

Tracking Locally Led Programs

Categories			
Working Directly with Local Partners	**Creating Effective Local Partnerships**	**Recognizing, Leveraging, and Strengthening Local Capacity**	**Engaging Communities Directly**
14 Good Practices			
• Prime implementing partner/partner government	• Co-design • Flexible award types • Indirect cost recovery	• Demand-driven capacity-strengthening • Capacity strengthening to work directly with USAID • Monitoring, evaluation, and learning plan incorporates local priorities for success • Local subawards >50 percent of the budget (assistance) • Transition awards • Local evaluation expertise	• Co-creation • Listening tour • Accountability and feedback plan • Participatory monitoring, evaluation, and learning

Assessing Local Capacity and Organizational Performance



USAID distinguishes between tools used to assess organizational performance versus capacity strengthening action planning and risk assessment.

Type of tool	Focus of the Tool	Examples
Performance Measurement *Measures performance change as a result of capacity strengthening*	**Performance** Focused on outcomes	CBLD-9 guidance Indicators selected through process of using OPI
Capacity Action Planning *A process for local actors to identify their priorities and improve*	**Process** Primarily focused on catalyzing processes that can improve performance related to programming objectives, but may also touch on procedures related to risk mitigation.	SWOT OCA SALT
Risk Mitigation *Identify and mitigate potential partnering risks*	**Procedure** Focused on internal controls of interest to a donor	NUPAS Risk Assessments

See: https://www.usaid.gov/https://usaidlearninglab.org/sites/default/files/2022-10/distinguishing_tools_for_lcs_guide_508.pdf

Established and Emerging USAID Localization and Capacity Indicators

Established

- CBLD 9: the percent of U.S. Government-assisted organizations with improved performance
- This is an agency-wide standard foreign assistance indicator in widespread use. PIRS and other resources related to CBLD-9 are available here: https://www.usaid.gov/npi/capacity-building-indicator-resources

Being Pilot Tested (by the New Partnerships Initiative

- CBLD-10: Value ($) of non-donor resources mobilized for local development priorities
- CBLD-11, Number of organizations pursuing their own performance improvement priorities with USG capacity strengthening support

The MOMENTUM Suite

- Suite of interconnected awards working to:
  - accelerate reductions in maternal, newborn, and child mortality and morbidity.
  - improve equitable access to high-quality voluntary family planning and reproductive health care.
- 6 centrally-managed awards.
- 5 Mission-led bilaterals (to date).
- Awards started on a rolling basis beginning in January 2020.

MOMENTUM Knowledge Accelerator is the "Connector" award focusing on

- Monitoring & Evaluation
- Knowledge Management
- Adaptive Learning
- Strategic Communication

Capacity Mapping and Monitoring System

D4I and MOMENTUM Knowledge Accelerator Webinar

Meg Kinghorn and Beryl Levinger, Consultants
MOMENTUM Knowledge Accelerator

September 6, 2023

USAID FROM THE AMERICAN PEOPLE

MOMENTUM A Global Partnership for Health and Resilience

Today's Capacity Mapping and Monitoring System Discussion

CMMS Overview

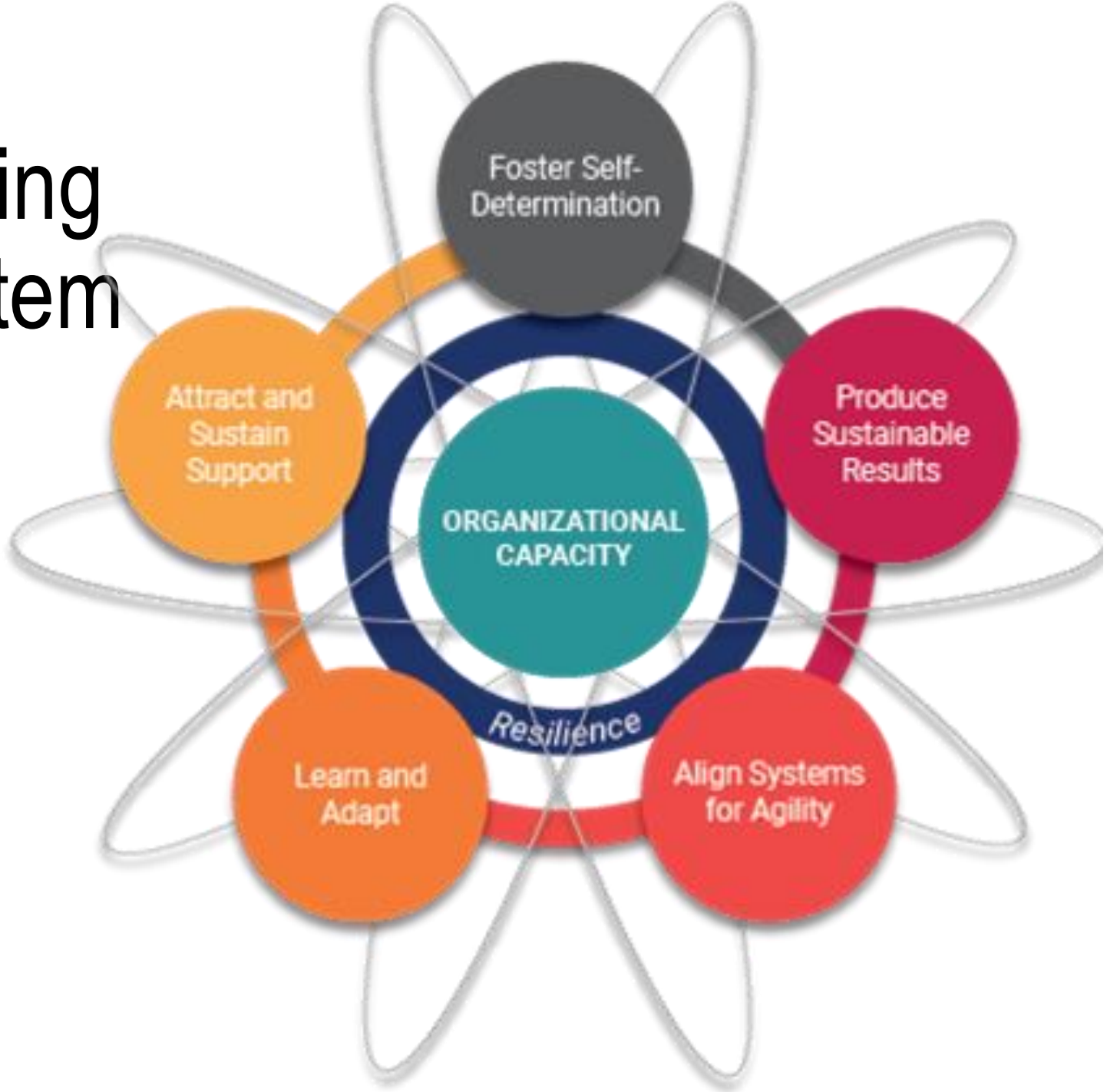
- What is it?
- What are its features and innovations?
- What results are generated?
- How is evidence gathered and utilized?
- What is available to interested users?

The Capacity Mapping and Monitoring System

A systems-oriented tool …

… based on the Enhanced Capacity Development Framework

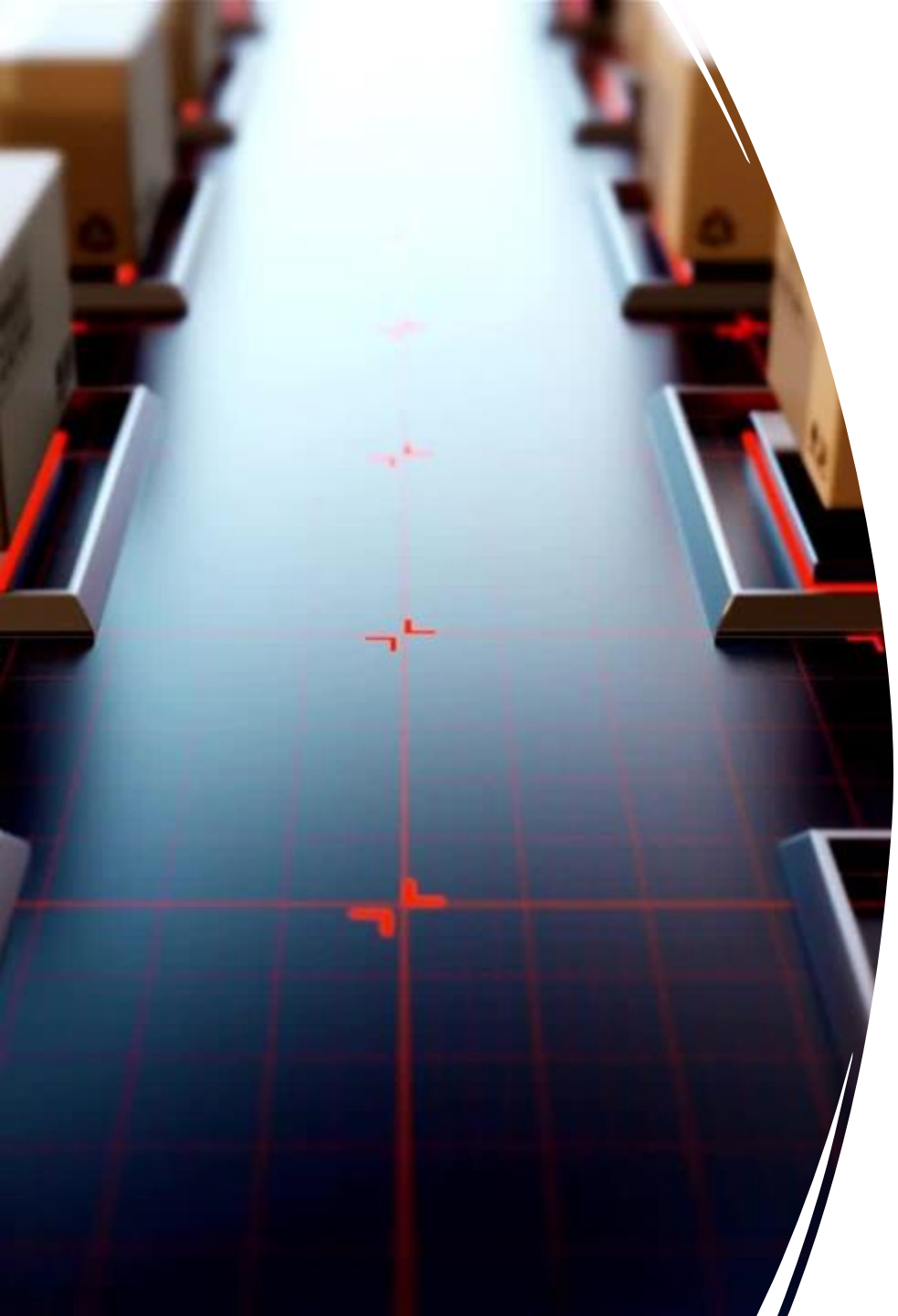
… that assists NGO/CSO partners and program implementers in identifying needed Capacity Development course corrections in a timely manner.



Innovations – It's not about the Mapping, but the Evidence-based Monitoring!

CMMS stimulates critical, evidence–based thinking about performance

1. User-centric – Centered on the NGO/CSO's vision of what it is trying to become or accomplish.
2. Urgency index – performance strength + priority rating.
3. Drivers and determinants of +/- performance.
4. Real-time data analysis.
5. Sources of and use for evidence.
6. Integration of capacity measurement and capacity strengthening – 100-day plans, regular monitoring, focus on drivers.



Additionally …

- Mirrors the principles of USAID's draft Capacity Development (CD) Policy and criteria for CBLD-9.
- Draws upon systems thinking, complexity, resilience, and adaptive management.
- Builds upon insights about the why and how CD changes occur.
- Flexible regarding the timing and frequency of data collection.

Mapping Scoresheets in Excel

Capacity domain	Practice area
Attracts & sustains support	*Regularly* communicates with *stakeholders* about organizational achievements and challenges
Attracts & sustains support	Provides stakeholders, *on an ongoing basis,* with *meaningful* opportunities to contribute to the organization's work
Attracts & sustains support	*Actively* participates in multi-stakeholder networks
Attracts & sustains support	*Frequently* shares useful information and valuable resources with peer organizations
Attracts & sustains support	*Frequently* takes joint action with *cross-sectoral actors* to address issues of common concern
Aligns systems for agility	*Routinely* tasks cross-functional teams to meet objectives
Aligns systems for agility	Consistently *takes steps to recruit staff members from the local community.*
Aligns systems for agility	*Consistently* manages finances so that *stakeholders* receive timely, useful and accurate information.
Aligns systems for agility	Secures *sufficient* support from different sources to ensure that funding streams are diversified
Aligns systems for agility	Maintains reserve funds to cover at least two months of operational activity.
Fosters self-determination	*Regularly* communicates a transformative vision of an ideal future *to diverse stakeholder groups*
Fosters self-determination	*Routinely* takes initiative to mobilize resources as new community needs emerge
Fosters self-determination	*Routinely* sets aside times for staff, volunteers and stakeholders to reflect on values and practices
Fosters self-determination	Consistently *demonstrates practices* that builds leadership capacity all staff levels
Fosters self-determination	*Periodically* identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development
Learns & adapts	*Routinely* solicits and uses stakeholder feedback to expand impact
Learns & adapts	*Regularly* scans for trends relevant to organizational mission and services
Learns & adapts	Regularly uses data to monitor project performance
Learns & adapts	Meets *regularly* to learn lessons from project successes and failures
Learns & adapts	*Routinely* fosters innovations by testing out new ideas
Produces sustainable results	*Consistently* offers services that reflect user needs and preferences
Produces sustainable results	Routinely works with stakeholders to create a strategy for sustaining results when external support ends
Produces sustainable results	*Periodically* assesses current practices against quality standards
Produces sustainable results	*Regularly* works with local communities to build upon their assets and ideas
Produces sustainable results	*Consistently* promotes solution to develop challenges that address root causes

CMMS results

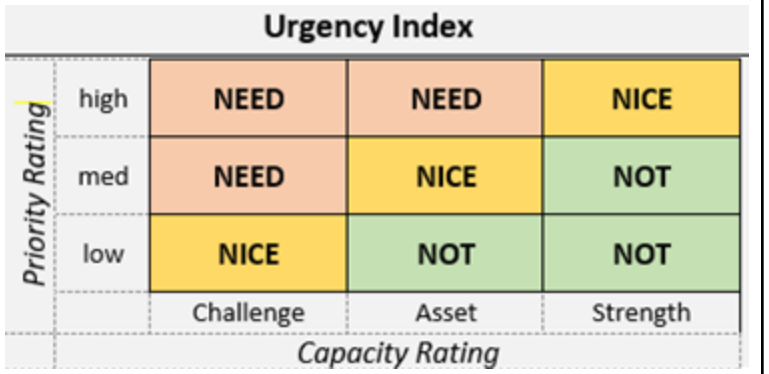
✓ **Practice rating**

✓ **Priority rating**

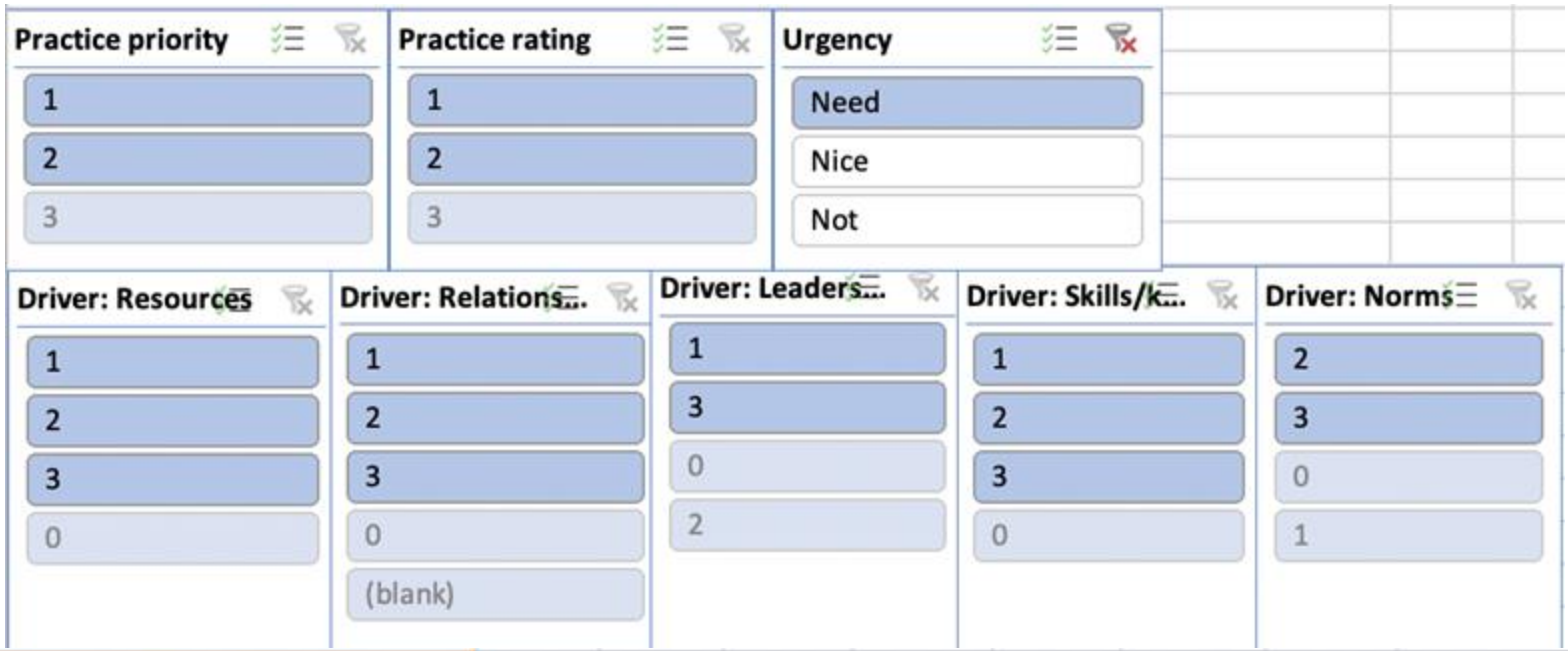
✓ **Urgency index**

✓ **Performance driver rating**

Performance Drivers
• Knowledge / skills • Resources • Supportive leadership • External relationships • Norms or culture

Practice Rating	Priority Rating	Urgency Index
Strength: Organization demonstrates this practice routinely in their ongoing work. **Asset**: Organization inconsistently demonstrates this practice in their ongoing work. **Challenge**: Organization has not yet incorporated this practice into their ongoing work.	**High**: Critical to success at this time. **Medium**: Important but not critical to success at this time. **Low**: Not important to success at this time.	

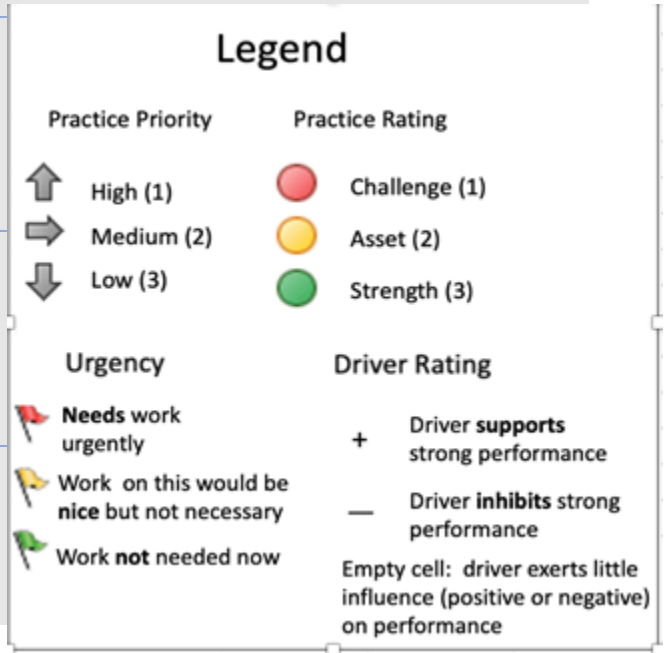
Mapping Analysis in Excel



Click here to refresh table	Practice priority	Practice rating	Urgency	Driver: Resources	Driver: Relationships	Driver: Leadership support	Driver: Skills/knowledge	Driver: Norms
Attracts & sustains support								
Actively participates in multi-stakeholder networks	⇧	🟡	🚩	+	+	+		+
Fosters self-determination								
Regularly communicates a transformative vision of an ideal future to diverse stakeholder groups	⇨	🔴	🚩			-	-	
Consistently demonstrates practices that builds leadership capacity all staff levels	⇧	🟡	🚩	-	+	+	+	
Learns & adapts								
Regularly scans for trends relevant to organizational mission and services	⇧	🟡	🚩			-	-	
Produces sustainable results								
Periodically assesses current practices against quality standards	⇨	🔴	🚩	-	-	+	-	+

Mapping Analysis in Excel

Click here to refresh table	Practice priority	Practice rating	Urgency	Driver: Resources	Driver: Relation-ships	Driver: Leadership support	Driver: Skills/ knowledge	Driver: Norms
Attracts & sustains support								
Frequently collaborates with cross-sectoral actors to address issues of common concern	↑	Challenge	Needs work urgently	◔				
Regularly communicates with stakeholders about organizational achievements and challenges	→	Asset	Work on this would be nice but not necessary	◑				
Provides stakeholders, on an ongoing basis, with meaningful opportunities to contribute to the organization's work	↓	Strength	Needs work urgently	●	●	◔	◑	●
Frequently shares useful information and valuable resources with peer organizations	→	Asset	Work on this would be nice but not necessary					
Actively participates in multi-stakeholder networks	↑	Challenge	Needs work urgently	◔	◑	●	◑	◔
Builds agility								
Routinely tasks cross-functional teams to meet objectives	↓	Strength	Needs work urgently					
Secures sufficient support from different sources to ensure that funding streams are diversified	↓	Strength	Needs work urgently					
Consistently manages finances so that stakeholders receive timely, useful and accurate information.	↑	Strength	Work on this would be nice but not necessary					
Consistently maintains reserve funds to cover at least two months of operational activity.	↓	Strength	Needs work urgently					
Routinely has representation from the organization's stakeholder community on implementation teams.	↑	Strength	Work on this would be nice but not necessary					
Fosters self-determination								
Introduces, on a timely basis, initiatives to address emerging needs	→	Asset	Work on this would be nice but not necessary					
Regularly communicates a transformative vision to diverse stakeholder groups	→	Asset	Work on this would be nice but not necessary					
Periodically identifies strengths and growth areas as part of an ongoing, self-directed process of capacity development	↑	Asset	Needs work urgently	●				
Routinely sets aside times for staff, volunteers and stakeholders to reflect on values and practices	→	Asset	Work on this would be nice but not necessary					
Consistently practices leadership that builds distributed leadership capacity	↑	Asset	Needs work urgently	◑				
Learns & adapts								
Routinely fosters innovations through small-scale experiments	↑	Challenge	Needs work urgently	●				
Uses periodic meetings to analyze causes and effects of program successes and failures	↑	Challenge	Needs work urgently	◔				
Routinely solicits and uses stakeholder feedback to expand impact	↑	Challenge	Needs work urgently	◔				
Regularly analyzes and interprets data to identify key lessons	↑	Challenge	Needs work urgently	◑				
Regularly scans for trends relevant to organizational mission and services	↑	Challenge	Needs work urgently	◔				
Produces sustainable results								
Offers services that reliably and demonstrably build community strengths and assets	↑	Challenge	Needs work urgently	◑				
Promotes systemic solutions to development challenges on an ongoing basis	→	Asset	Work on this would be nice but not necessary					
Regularly co-designs solutions grounded in local assets and ideas	↓	Strength	Needs work urgently					
Periodically assesses current practices against quality standards	↑	Challenge	Needs work urgently	◔				
Routinely assesses results against established targets	→	Asset	Work on this would be nice but not necessary					



Monitoring and Evidence

Definitions:
→ **Relevance** = Evidence presented is directly linked to the domain and practice and is not more than 18 months old (except under special circumstances)
→ **Sufficiency** = The quantity and scope of the evidence presented is sufficient to draw conclusions about the degree to which the domain and dimension under consideration fulfill the criteria delineated in the rubric.
→ **Detail adequacy** = The evidence presented has enough specificity about what, when, where, and how to support the internal assessment team's rating.

A broad understanding of evidence: anything that can support a "claim of quality" (performance scores of 2 or 3).

An external panel reviews evidence and, as needed, adjusts performance scores.

Scoring Scale:

2 = The evidence completely supports the rating assigned by internal assessment team.

1 = The evidence partially supports the rating assigned by internal assessment team.

0 = The evidence does not supports the rating assigned by internal assessment team in any way.

NE = No evidence provided (in the case of "Developing" ratings)

NOTE: The internal assessment team does not need to provide evidence to justify a rating of "Developing." Evidence is only required to support ratings of "Accomplished" and "Exemplary." Use the comments section of the scoresheet to explain ratings of "Developing."

RESULTS CALCULATION: If the total evidence score reported in the last column is…

3 or 4 - the internal assessment team's rating will be accepted

2 - the internal assessment team's rating will be accepted with reservation

0-1 - the rating should automatically be changed to a "challenge"

What Does the Process Look Like?

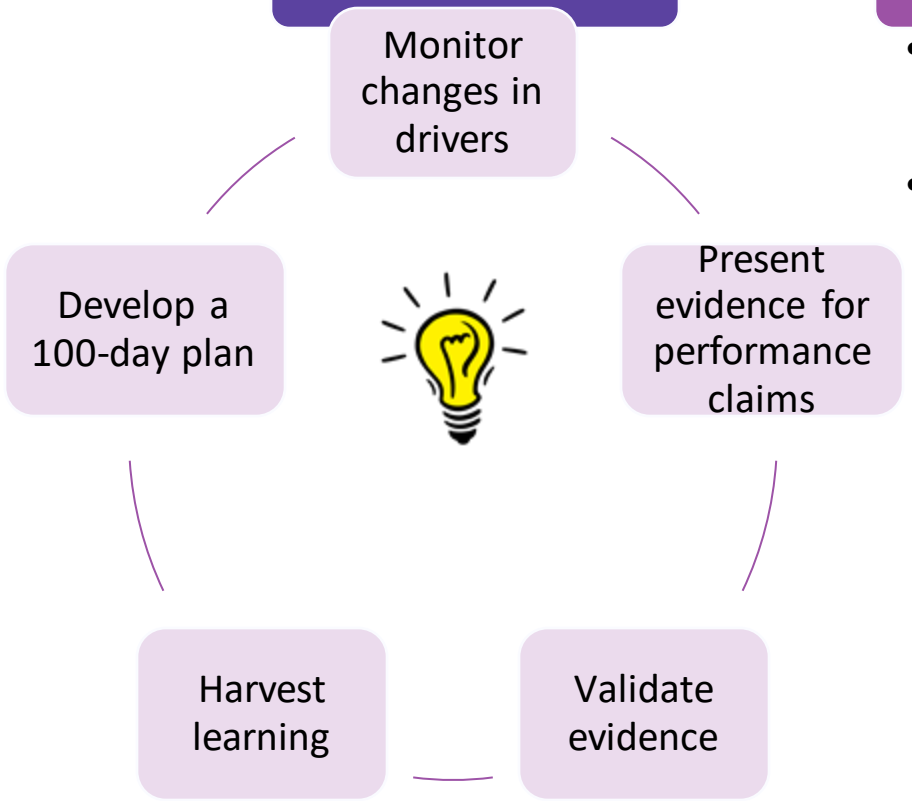
PREPARATION

- Assemble the team
- Articulate an organizational vision

MAPPING

- Score practices by *strength* and *priority*
- ID Practices that **NEED** attention
- Score adequacy of performance drivers
- Analyze patterns to find leverage points

STRENGTHENING and MONITORING



EVALUATION

- Reassess practices for change
- Draw conclusions on progress (or not) and causes

Information for Interested Users

- Piloted for proof of concept – estimated timings were accurate; mapping and analysis templates were understood; users found the experience to be of value.
- Facilitator's Guide being finalized.
- Virtual training will be conducted in late September.
- Next year the CMMS will be adapted for a different stakeholder group, e.g., clinic or government department.

Strengthening capacity in Nigeria with D4I's RECAP

Samson B. Adebayo, MSc, PhD
Data Research and Mapping Consult, Ltd.

Nigeria-based DRMC Ltd team at a D4I training © 2022 Data for Impact

USAID FROM THE AMERICAN PEOPLE

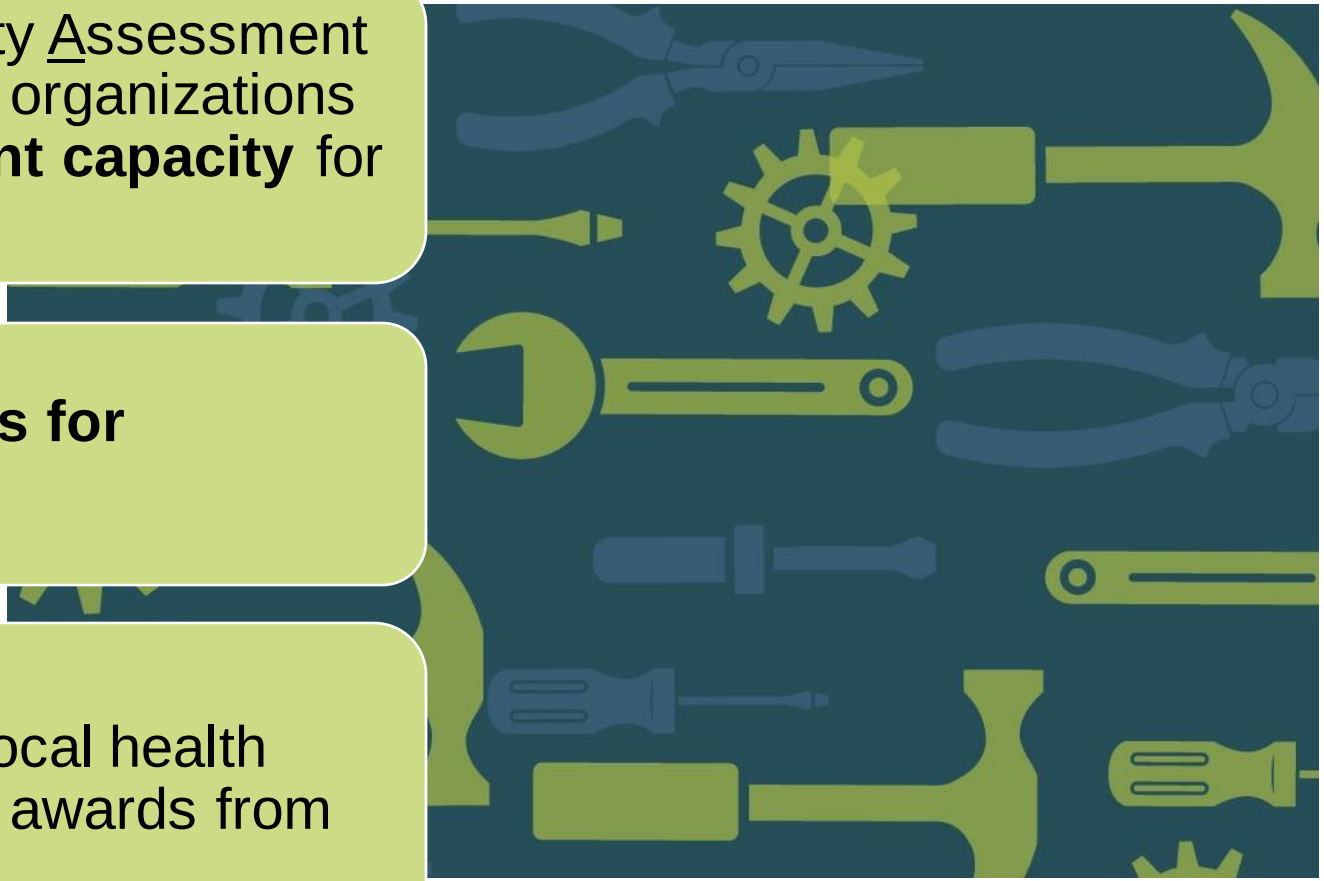
DATA FOR impact

How does RECAP support D4I and other organizations?

The Research and Evaluation Capacity Assessment Tool and Resource Package supports organizations to **assess technical and management capacity** for conducting research and evaluations

RECAP users create **actionable plans for institutional strengthening**

Designed to **strengthen country and organizational capacity** to address local health information gaps and to receive direct awards from USAID and other funders



The DRMC example

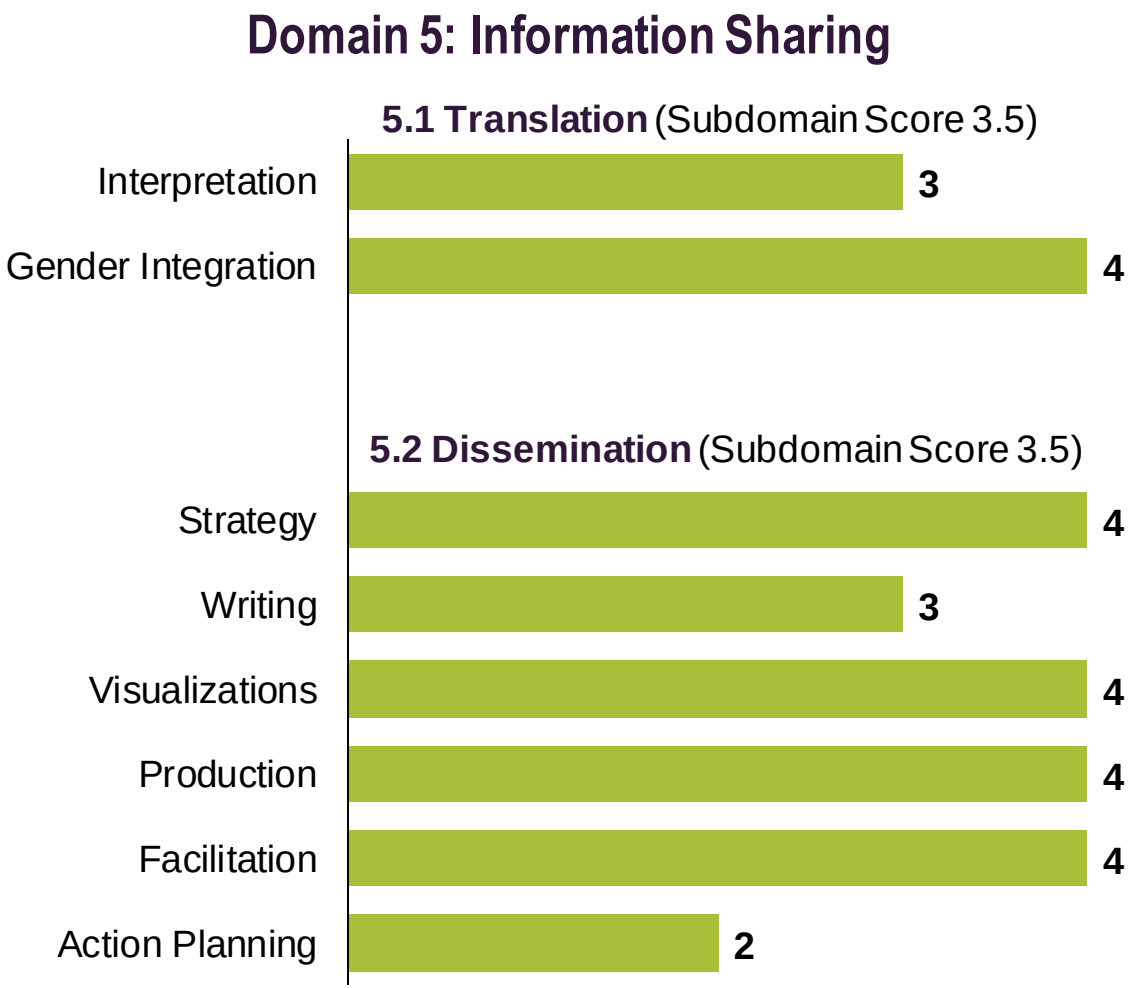
Data Research and Mapping Consult, Ltd. (DRMC) is a Nigeria-based research organization.

D4I and DRMC partnered to co-implement a large-scale evaluation of USAID-funded activities in Nigeria.

DRMC used RECAP to identify organizational priorities for capacity strengthening.

Practice group during qualitative analysis training.
© 2022 Milissa Markiewicz, Data for Impact

Pilot: Highlight of Assessment Results with DRMC



5.1. Translation – Interpretation

"Before there was no qualitative! We need to learn it!"

5.1. Translation – Gender Integration

"Most of the time we do this, but really depends on what the client wants. Always keep option to integrate the gender divide in our analysis, especially in our recommendations. But we must follow what the client wants, we cannot add questions to their instruments."

5.2. Dissemination – Writing

"As individuals we have done a lot, but as [organization] we have not done most of these things [e.g., journal articles, conference presentations, development blogs] and there is a need to move further."

Institutional Strengthening Framework

Review results in Excel workbook

- Highlights from assessment dashboard
- Notes and evidence text data for deeper context

Prioritize needs

- Capacity gap prioritization
- Funding
- Strategic positioning
- Staff professional development
- Feasibility

Design the plan

- Define strategic responses using the workbook
- Use RECAP Resource Guide to identify free/low-cost opportunities by subdomain

Follow-up actions

- Define roles and responsibilities
- Timeline
- Monitoring

Approach, process, and outputs

Approach

- **Learning through action**:
  - Integrating training during every stage of the evaluation process
  - Collaboratively engaging in actual evaluation activities.
- D4I provides ad-hoc support and engages in capacity-building activities as needs arise.

July-Aug 2022

Data collection

- Collaborative review of data collection processes and tools
- Tailored training on data collection and field testing qualitative methods

Sep 2022- Jan 2023

Data analysis

- In-person qualitative analysis training
- Collaborative development of codebooks and co-coding of qualitative data
- Virtual training sessions on thematic analysis and memo writing

Jan-May 2023

Dissemination

- Coaching for memo/report writing
- Joint development of presentations for stakeholders and partners
- Joint presentations of findings

Facilitators and challenges

Facilitators

- **Use of a participatory tool to drive change (RECAP)**
- Application of an integrated approach
- Adoption of a system perspective

Challenges

- Competing interests in activity timelines
- Challenges related to long-distance collaboration
- Measuring performance is more difficult than assessing latent capacity

…the contacts I had with the D4I have greatly enhanced my research capabilities. Specifically, I have learned more about qualitative data collection methodology… My skills on thematic analysis of qualitative data were also significantly improved. Moreover,… for the first time, I was introduced to and mastered the Most Significant Change methodology." – DRMC Researcher

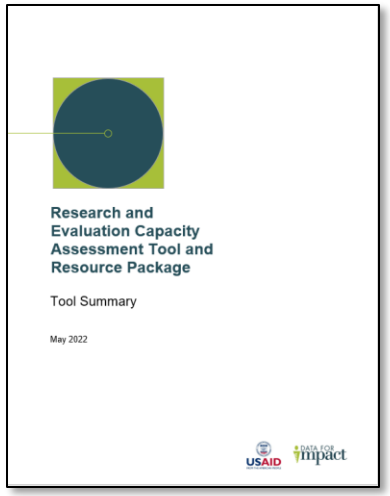
"Our partnership with D4I will surely impact positively on our future work especially to someone like me who still pursues research work. With the theoretical and practical knowledge acquired, we will now be able to carry out qualitative studies in a better way (in research design, data collection and analysis)." – DRMC Researcher

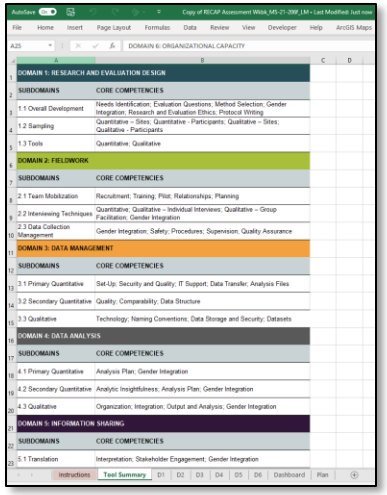
Source: Access the brief **Strengthening Capacity in Nigeria: A Case Study** on D4I website to learn more about our capacity-building efforts in Nigeria.

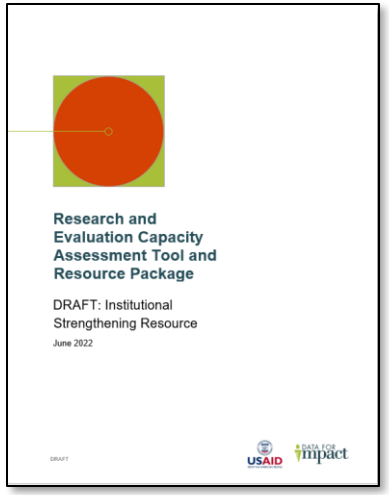
How to Access RECAP

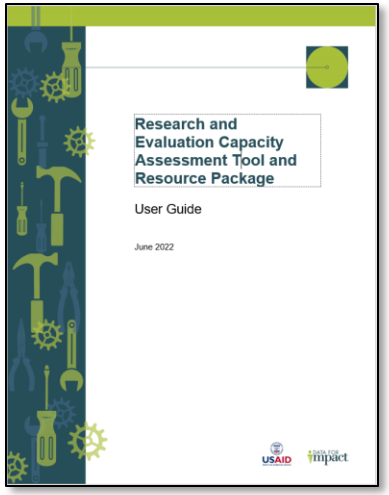
The RECAP package is **available on the D4I website.**

A webinar held on June 2022 provides more information on how to use the RECAP tool.









RECAP URL: https://www.data4impactproject.org/publications/recap/

Q&A with Panel

USAID FROM THE AMERICAN PEOPLE

DATA FOR impact

MOMENTUM
A Global Partnership for Health and Resilience

This webinar was produced with the support of the United States Agency for International Development (USAID) under the terms of the Data for Impact (D4I) associate award 7200AA18LA00008, which is implemented by the Carolina Population Center at the University of North Carolina at Chapel Hill, in partnership with Palladium International, LLC; ICF Macro, Inc.; John Snow, Inc.; and Tulane University. The views expressed in this publication do not necessarily reflect the views of USAID or the United States government.

www.data4impactproject.org

USAID FROM THE AMERICAN PEOPLE

DATA FOR impact