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CAPACITY STRENGTHENING FRAMEWORK

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A guide to facilitating
collaborative, sustainable solutions

FHI 360 CAPACITY STRENGTHENING FRAMEWORK

A guide to facilitating collaborative, sustainable solutions

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Design: Design Lab 360

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ABBREVIATIONS AND ACRONYMS

BAFO	Best and Final Offer
CAP	Capable Partners Program
CAT	Capacity Assessment Tool
CBSP	Capacity Building Service Provider
C-Change	Communication for Change
CLs	Capacity Leaders
CS	Capacity Strengthening
CSO	Civil Society Organization
DQA	Data Quality Assessment
EOI	Expression of Interest
FANTA	Food and Nutrition Technical Assistance
FFP	Food for Peace
FIELD	Financial Integration, Economic Leveraging, Broad Based Dissemination and Support
GLG	Global Learning Group
HBC	Home-Based Care
IDF	Institutional Development Framework
LIFT	Livelihood and Food Security Technical Assistance Project
LPCB	Local Partners Capacity Building Program
LWA	Leader with Associates
MPHSRP	Madhya Pradesh Health Sector Reform Project
NACO	National AIDS Control Organization
NACS	Nutrition Assessment, Counseling and Support
NPI	New Partners Initiative
OCA	Organizational Capacity Assessment
ODT	Organizational Development Toolkit
ODF	Organizational Development Facilitators
OVC	Orphans and Vulnerable Children
PO	Partner Organization
RFA	Request for Application
SAMARTH	Strengthen Abilities to Manage And Respond Effectively To HIV/AIDS
SBCC	Social and Behavior Change Communication
SFP	Supplemental Feeding Program
STI	Sexually Transmitted Infection
TA	Technical Assistance
TOCAT	Technical and Organizational Capacity Assessment
QI	Quality Improvement

DEFINITIONS

Buy-in	the commitment of interested or affected parties (often called stakeholders) to agree to support a decision, plan or approach, often by having been involved in its formulation.
Capacity	the resources (human, financial, material, technical) available to a system, program or organization that enable it to perform and meet its objectives; also, the knowledge, skills and abilities that enable an individual to perform a task or fulfill a role.
Capacity Strengthening	a multi-step, collaborative process that improves the ability of a system, organization or individual to meet objectives and perform better.
Evidence Base	proven facts, findings and results that are used to inform, design, refine and improve interventions.
Guidelines	a set of recommendations that are based on scientific evidence or expert consensus to assist in making decisions about a course of action.
Monitoring	periodic and systematic tracking (for example monthly, quarterly, annually) of progress against plans. It requires gathering and analyzing data and information about what is being done, who is being reached, and how activities are being implemented.
Organizational Capacity Domains	core areas of institutional competence that affect performance, including governance, financial management, human resources, program management, monitoring & evaluation, and communication and external relations (including, marketing, fundraising, and resource mobilization).
Partner	organization or institution at local, regional, national or international level (civil society organization, government, network) that is a recipient of technical assistance.
Stakeholder	any group or individual who can affect or is affected by the achievement of a program's objective.
Systems Approach	emphasizes how parts work together to form a functional whole and achieve a common goal. It moves away from linear notions of change to a more dynamic view of capacity strengthening as a process influenced by a multitude of factors interacting simultaneously.
Sustainability	an organization's ability to fulfill its purpose and serve its beneficiaries over the long term and to generate the funds to do so. It may also refer to whether an individual project or program can continue after a grant or contract period ends.

PREFACE

More than ever before beneficiaries are demanding accountability for the quality of the services they access and funders for return on their investments in strengthening the capacity of institutions to deliver services. As such, performance and capacity are inextricably linked. In response we must be able to show how our capacity strengthening efforts link to improved performance, achievement of concrete results over time and responsible use of scarce resources.

This understanding buoys our efforts to articulate a framework that can contribute to fostering more accountable, responsive and sustainable institutions across sectors and at any level.

FHI 360's Capacity Strengthening Framework is a product that reflects the breadth and depth of our development portfolio, including health, education, civil society, environment, economic productivity and research programs. As you'll see in the annexes, the principles articulated in this framework continue to be tested, implemented and supported by our Leadership and Capacity Development practice area and projects.

Experience shows that strengthening capacity involves more than improving technical skills, developing new systems or establishing quality assurance and improvement standards. Yes, these are important, but strengthening capacity is essentially about changing behavior. That takes focus, commitment and time. This framework establishes the principles and basic processes proven to work across technical sectors. It is a flexible framework—one that will evolve over time. We hope you will use it as you take on the challenge of facilitating solutions that improve the well-being of communities and individuals.



INTRODUCTION

In today's development landscape, greater emphasis is being placed on local ownership; this includes increasing the proportion of resources that are locally managed. USAID, for instance, through *USAID Forward* and *Implementation and Procurement Reform* is aiming to obligate 30% of its total funding directly to local partner country governments and organizations by FY 2015.

Our commitment and approach to strengthening local capacity aligns with this emphasis on building local capacity and ownership to enhance aid effectiveness. This is reflected in the projects we implement and how we approach partnership, provide technical assistance (TA) and foster sustainable results. Capacity strengthening has been at the center of our projects for over four decades. Through this work we have developed and refined approaches, tools and other resources to help our partners' achieve better results.

Capacity strengthening is about change for the better. This publication aims to present a coherent and practical framework that captures FHI 360's experience and responds to the increasing demand for collaborative solutions that increase the capacity of systems, ministries, organizations and individuals to shape their own futures.

Goals of the Framework

The goals of the framework are to:

1. Establish a common FHI 360 'language' for capacity strengthening;
2. Develop a general framework for capacity strengthening that can be adapted to different sectors and contexts; and
3. Communicate FHI 360's capacity strengthening approach to internal as well as external audiences.

The framework aims to help articulate our approach to bolstering partners' capacities across organizational development (OD) domains—governance, financial management, human resources, program management, communication and external relations, and monitoring and evaluation—and technical sectors. It describes a process that is dynamic and flexible enough to accommodate the range of unique cultural, socioeconomic, and technical contexts in which we work.

OUR PRINCIPLES: FHI 360'S CAPACITY STRENGTHENING APPROACH

Our aim is help partners realize measurable improvement toward achieving their goals and fulfilling their missions. Five principles govern our approach to strengthening their capacity to do so:

1. Focus on Relationships

Relationships are at the center of any successful capacity strengthening effort. No assessment tool, process or methodology can foster organizational change in the absence of a relationship characterized by mutual trust, confidence and respect. Building these relationships requires compromise, humility and careful investments of time and attention. Promising more than can be delivered realistically is a sure-fire way to undermine the organizational change process. Clarify expectations in the early stages of the relationship to set the stage for addressing the challenging and often difficult issues that may surface.

2. Value Differences

From the start, appreciate the importance of context and culture. Context refers to the often complex, dynamic, unpredictable and difficult-to-control external forces that characterize many of the places where we work. Culture is the glue that binds an

organization together—shared outlook, expectations, behaviors, attitudes and experiences.

To achieve long-term impact, FHI 360 believes that capacity strengthening needs to be contextually and culturally appropriate and specific and take into account existing country structures, systems and plans. One size does not fit all.

3. Collaborate

Employing participatory approaches is essential and fosters buy-in to interventions and results. A facilitator respectfully poses challenging questions, builds consensus through dialogue and compromise, and encourages broad participation without taking over the process.

To succeed, the partner must drive the process, including assessing its own strengths and weaknesses, defining its goals, shaping and implementing improvement plans, and monitoring and evaluating progress toward its critical capacity and performance outcomes. Our aim is to encourage, grow and strengthen ownership over the capacity strengthening process and outcomes.

4. Emphasize Performance and Results

Capacity strengthening efforts must be closely linked to clearly defined results, with the aim of sustaining improvements over the long term. Feedback mechanisms must assess an intervention's quality and effectiveness and its relationship to the organization's ability to deliver better services. Employ quantitative as well as qualitative measures to evaluate progress.

Work with partners to foster continuous review of internal capabilities, involve beneficiaries and address areas for growth

and learning. This process nurtures partners' capacity to plan and effectively navigate the ever-changing environments in which they work.

5. Use Evidence

Base capacity strengthening interventions on the best available evidence and practices. FHI 360 is committed to monitoring and evaluating our capacity strengthening practices, seeking feedback, documenting lessons and learning from successes (and failures) in order to increase the evidence base and advance the field.

OUTCOMES

When we discuss the outcomes of our capacity strengthening efforts, we look specifically for measurable improvement in the achievement of partner goals in the areas of their work as well as in specific capacities. We have identified various outcomes. They are not mutually exclusive, and many depend on each other. Desired or expected outcomes will vary according to the organization and the particular operating environment. The key outcomes of FHI 360's capacity strengthening work are:

Stronger organizations

A main outcome of a capacity strengthening process is to enhance an organization's ability to realize its mission, serve its constituency and have greater ownership over the development process. Stronger organizations should lead to stronger systems and more resilient communities. When working with an organization, we focus on enhancing or developing systems and structures to improve performance, work towards sustainability and achieve its goals.

Empowered individuals

Through our capacity strengthening interventions, people develop new skills and learn to apply them in ways that add value to their work and enhance the effectiveness of development initiatives in their organizations and communities.

Enhanced linkages

Capacity strengthening efforts are incomplete if they only focus is on improving internal functioning and performance. By supporting the ability of organizations to better understand their operating environments, form new linkages and collaborate more effectively, we ensure a more sustainable and larger-scale impact.

Greater adaptability

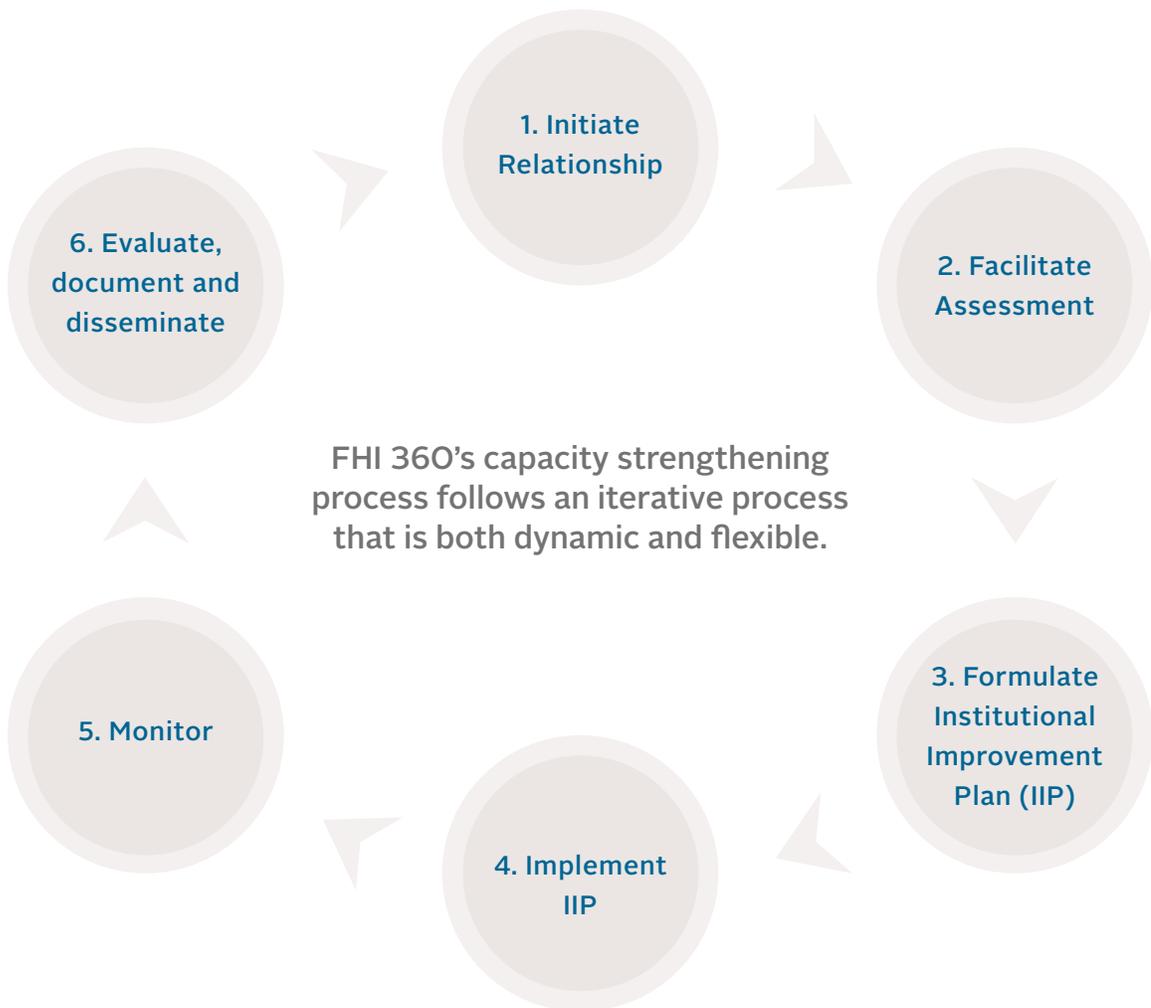
Adaptability is one of the most essential capacities of successful organizations. Organizations need to be able to adapt to evolving conditions, react to changes in their operating environments and respond to new opportunities. In our experience, greater adaptability comes from having highly developed and diverse skill sets and the confidence to apply them in new directions.

Measurable impact

Over time, increased capacity must translate into enhanced performance and development outcomes. Integral to our approach to capacity strengthening is the development of metrics for each area of intervention that allow organizations to monitor and reflect on changes in performance.

OUR PROCESS

FHI 360 has developed a six-step capacity development process: 1) initiate the relationship; 2) facilitate a self-assessment of internal capacities and prioritize needs, 3) formulate an institutional improvement plan, 4) implement the plan in concert with organizational priorities, 5) continuously monitor and 6) evaluate, document and disseminate lessons learned. This iterative process has been proven to help partners realize measurable improvement toward achieving their goals and fulfilling their missions.



1. Initiate Relationship: Building a relationship of mutual trust, transparency and accountability between us and our partner(s) is essential. Three Rs come into play at this stage: readiness, relevance and realism.

- a. *Readiness:* Work with leaders to break down barriers, promote shared values and cultivate a climate that welcomes and anticipates the need for change. Be aware of ingrained organizational attitudes that may include resistance to and/or fear of change, where people defend their own interests and positions. Such threats can undermine the entire process unless they are addressed in an open, non-threatening manner.
- b. *Relevance:* Determine whether the change sought is closely connected to recognized gaps or is being imposed from the outside in or top down.
- c. *Realism:* Dispel unrealistic expectations of what capacity strengthening can achieve. All parties must develop a clear understanding of the capacity strengthening process, especially expectations regarding roles, responsibilities and commitments. Only after a consensus is reached can we move forward together.

2. Facilitate Assessment: Working with the partner's leadership and staff, assess the organization's systems, resources and activities. During the assessment, participants use specific tools (see Annexes) to rate capacities in key organizational domains across a development continuum. The

assessment yields both an organizational profile and quantitative measures that present a baseline from which to track the future evolution of the organization. Together, determine which domains will be addressed first. With limited time and resources, this can be difficult because staff often have their own priorities that must be balanced against organizational, beneficiary and donor priorities. This internal negotiation over organizational priorities fosters ownership of the change process.

Core Organizational Capacity Domains

- Governance and Leadership
 - » Strategic Planning
- Financial Management
 - » Subaward Management
- Administration/Operations
 - » Donor compliance
 - » Infrastructure (facility, computers, logistics)
- Program Management
 - » Project Design and Implementation
- Human Resource Management
- Monitoring and Evaluation
 - » Research
- Communication and External Relations
 - » Marketing
 - » Resource mobilization (fundraising)

3. Formulate an Institutional Improvement

Plan (IIP): Based on identified needs and priorities, the partner develops a plan that articulates the organization's objectives for change, activities in pursuit of that change, any required resources and persons responsible for each activity. This institutional improvement action plan must be flexible enough to serve the short- and long-term goals of the organization. Both the assessment and capacity strengthening plan should encourage discussion about organizational sustainability by looking at the partner's long-term development goals and aspirations.

4. Implement IIP: Based on the partner's priorities, collaborate on how best to meet any TA needs identified in the capacity strengthening plan. When possible, source TA locally and, if needed, support and provide direct coaching and mentoring. TA may include informal, formal and individual and group activities that increase knowledge, build skills, create systems and develop contacts. TA interventions include:

- a. Offering tools, forms and resources:
Tested tools and resources may be readily tailored to help manage grants, comply with donor requirements, conduct performance appraisals and more. (See Annex 1 for a partial list.)
- b. Providing one-on-one, on-site TA and on-the-job training: Technology alone cannot replace the value of face-to-face support to address specific needs identified in

capacity improvement plans (for example, direct meetings, seconding of staff, communication via video or Skype and virtual conferencing, phone calls and e-mails).

- c. Fostering peer-to-peer transfer (twinning): Twinning (South-South) pairs local or regional organizations with one another to facilitate learning and exchange.
- d. Developing job aids: Performance-support materials can help individuals implement what they learn in trainings and TA sessions. Materials include check lists, rubrics and other resources that employees can turn to at critical moments when applying their new knowledge.
- e. Quality Assurance and Improvement (QAI): Quality assurance and improvement standards, tools and checklists may be developed collaboratively and used during site visits and as part of implementing capacity strengthening plans.
- f. Training: Training sessions covering core capacity domains and technical subjects offer a cost-effective way to build essential knowledge (See Core Capacity Domains text box, above). When combined with appropriate follow up, training builds individual knowledge, skills and confidence that in turn contribute to organizational improvement.

5. Monitor continuously and use the feedback to improve outcomes.

Quantitative and qualitative methods gauge the effectiveness of the capacity strengthening work at all stages of the process. Through mentoring, coaching and establishing feedback loops, partners are alerted to the need for course corrections to activities and programs.

6. Evaluate, document and disseminate:

Surveys and qualitative interviews can capture the most significant changes and track progress when measured against baseline capacity assessments. All findings should be shared with partners and stakeholders (for example, funders and beneficiaries).

CONCLUSION

As FHI 360 focuses on providing integrated solutions to development, capacity strengthening will remain a core component of our work. The range of in-house tools and resources we've developed showcase our extensive capacity strengthening expertise. As we move forward, FHI 360 will continue

to emphasize evidence-based approaches and tools and contribute to advancing the field. Our commitment to strengthening local capacity and building local ownership is reinforced through our country-centered delivery model.

ANNEXES

Annex 1: *Selected Capacity Assessment Tools*

The following lists of FHI 360 capacity assessment tools available from the individuals named.

Selected Capacity Assessment Tools

Social and Behavior Change Communication Capacity Assessment Tool (SBCC-CAT)

Contact: Antje Becker-Benton (abecker@fhi360.org), Linda Sanei (lsanei@fhi360.org)

The SBCC-CAT helps organizations, donors, networks, and individuals assess the quality of their SBCC programs and identify the strengths and weaknesses of current programs in five areas: 1) situation analysis, 2) strategy development, 3) materials development, 4) implementation, and 5) monitoring and evaluation. It also helps organizations define activities that strengthen staff capacity, refocus programs, and improve the overall quality of their SBCC efforts. The SBCC-CAT can be used as a measurement tool to allow an organization, network, or individual to measure competency and capacity in SBCC over time.

<http://c-changeprogram.org/resources/sbcc-capacity-assessment-tool>

Institutional Development Framework (IDF)

Contact: Sarah Torrance (storrance@fhi360.org), Barney Singer (bsinger@fhi360.org)

The IDF compresses multiple steps—data collection, analysis and decision-making—into one activity. It provides tools to facilitate a self-assessment of an organization's systems, assets and activities. During the assessment, the participants assign numerical ratings (1-4) to the organization's current status or performance in key organizational development (OD) domains examined using the IDF matrix. The IDF yields both an organizational profile and a calculation sheet that presents a baseline from which to track the future evolution of the organization along a development continuum.

The IDF can help an organization scale up its operations, align with new policy directions, increase efficiency, and chart its own path to institutional development. It can do so by helping an organization to: 1) consider what it will take to make it successful; 2) assess its own strengths and weaknesses in light of those factors, 3) map a prioritized plan for improvement; and 4) measure progress against the goals it sets.

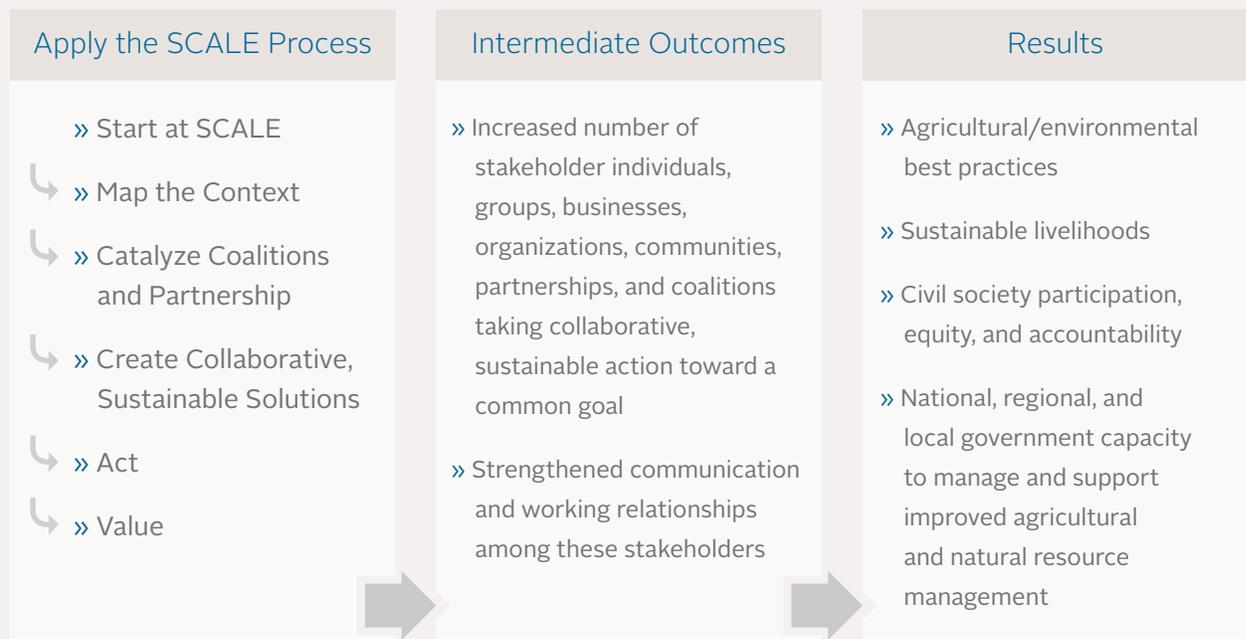
SCALE®: Building and Maintaining Community Engagement to Effect System-Wide Change

Contact: Jennifer Barker (jbarker@fhi360.org)

To accelerate stakeholder engagement, build and reinforce relationships and sustain local collaborative action around development issues, FHI 360 developed a unique methodology with USAID's EGAT Bureau—System-Wide Collaborative Actions for Livelihoods and the Environment, also known as SCALE®. The SCALE framework seeks to generate system-wide change by strengthening effective communication among the stakeholders—individuals, groups, organizations, businesses, and institutions—involved with a common issue and by helping them negotiate and implement concurrent, sustainable, collaborative action toward a common vision. This communications-driven management approach results in greater impact at scale, creating social capital, strengthening governance, and increasing sustainable economic growth and livelihoods.

SCALE works to catalyze movement in multiples—multiple sectors (government, civil society, private), multiple levels (national, regional, and local), multiple solutions and multiple social change methodologies (social marketing, education, organizational development, conflict resolution, mass communication and advocacy)—to quicken existing trends and social norms.

The SCALE process builds trust to transform pilot initiatives into large-scale impact



Over a decade, SCALE has been applied in USAID projects in more than 15 countries in sectors including environment, education, sustainable tourism, natural resource management, agriculture, fisheries, health and economic development. SCALE helps project managers deal with “tough management decisions” and invest wisely in system interventions to support multiple stakeholders in the pursuit of self-established common goals.

Technical and Organizational Capacity Assessment Tool (TOCAT)

Contact: Amrita Mathew (amathew@fhi360.org), Natasha Sakolsky (nsakolsky@fhi360.org)

The TOCAT provides a facilitated process for local implementing agencies to conduct rapid assessments to identify the IAs’ strengths and weaknesses with respect to the core functions of a model organization. The TOCAT comprises a series of checklists with questions about different key areas of organizational management (program, financial and technical) designed to elicit from participants a consensus on the current level of performance and suggestions on how to improve. The TOCAT focuses discussion on three areas: 1) program; 2) finance and administration; and 3) technical. The generic tool is customized for each organization, depending on the make-up of the organization.

Organizational Development Toolkit

Contact: Amita Mehrotra (amehrotra@fhi360.org)

The Organizational Development Toolkit (ODT) is a compilation of sample manuals, forms, policies and guidelines that were distributed to partners as guidance documents during the New Partners Initiative (NPI) program. The resources and tools included in this Toolkit are meant to serve as examples for organizations to reference when creating organizational or project documents. These are not official templates. Organizations are encouraged to adapt them to meet their needs. The toolkit is divided into the following domains: Governance, Organizational Management, Financial Management, Administration, Human Resources Management, Program Management, Sub-Grant Management, Program Close-out, and Monitoring and Evaluation.

<http://www.npi-connect.net/od-toolkit>

CSO Project Development Assessment

Contact: Hayley Bryant (hbryant@fhi360.org)

This tool measures the capacity of civil society organizations (CSOs) to design sound HIV/AIDS prevention, OVC and/or health behavior change projects. It assesses a range of skills, from analysis of the problem to overall project design. It can be used to compare project proposals and/or workplan submissions from CSOs for funding.

CSO Budget Development Assessment

Contact: Hayley Bryant (hbryant@fhi360.org)

This tool measures the capacity of CSOs to develop realistic costs for their technical proposals and/or workplans.

Organizational Assessment Tool to Select NGOs to Partner with FHI 360

Contact: Bitra George (bgeorge@fhi360.org)

This tool is designed to facilitate selecting new organizations to partner with FHI 360. It gauges an organization's intent, passion, enthusiasm, motivation and commitment towards its area of interest and how this interest/cause guides the organization's overall functioning. The organizational assessment tool has three sections:

1. Probes the history and background of the organization (helps determine if the organization fulfills certain mandatory conditions to work with FHI 360. Once the organization is found to be eligible, only then does one proceed to Sections 2 and 3.
2. Covers aspects such as organization's structure, capacity and visibility in the field and each item has to be given a rating on a scale of 1 to 5.
3. Provides open-ended questions about the organization's present context and capacities.

FHI 360 Guide to Developing, Communicating and Monitoring Standards

Contact: Bruno Bouchet (bbouchet@fhi360.org)

Designed for Ministries or other national level agencies that want to improve the management and performance of health programs through a standardization process, it describes a proven quality assurance and improvement (QAI) process to develop, test, communicate, measure and implement standards.

Maatla Technical Organizational Capacity Assessment

Contact: Alison Cooke (acooke@fhi360.org)

Assesses national NGOs and networks along five dimensions: 1) technical planning and design, 2) staff number and skills, 3) linkages and networks, 4) training, supervision and mentoring, and 5) quality assurance/quality improvement. Aligns with PEPFAR's objective of strengthening capacities of local NGOs and networks in HIV/AIDS programming.

Collaboration and Coordination Standards

Contact: Alison Cooke (acooke@fhi360.org)

A self-assessment tool used to collect baseline information to monitor progress and measure project impact, this tool is administered during three phases of the project cycle, for example over a five-year lifespan: in year 1 collect baseline information; in year 3 collect data for mid-term review of the project, and in year 5 for project evaluation.

ANNEXES

Annex 2: *Capacity Strengthening Approaches in Action*

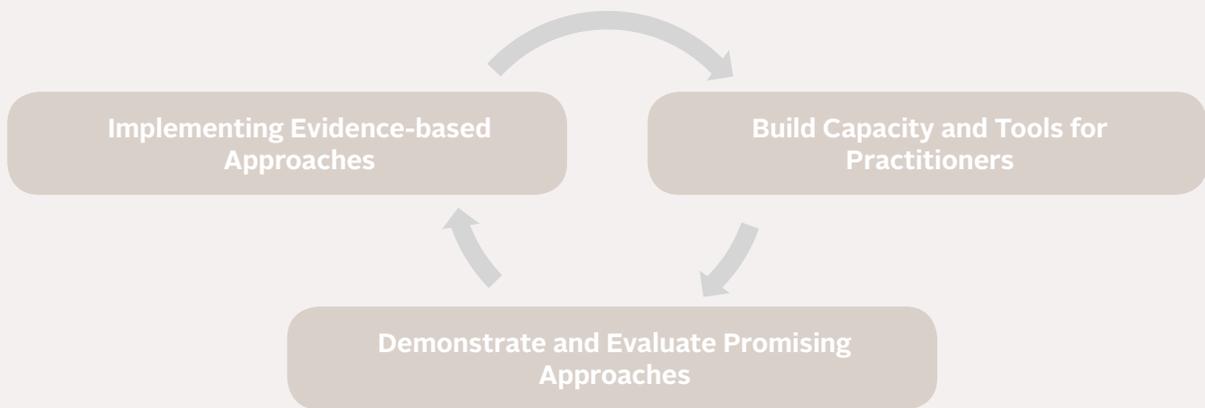
Descriptions of selected FHI 360 capacity strengthening projects that reflect the principles that underpin the FHI 360 capacity strengthening framework.

Livelihoods and Food Security Technical Assistance (LIFT) Project

Contact: Jackie Bass (jbass@fhi360.org); Meaghan Murphy (mmurphy@fhi360.org); Cheryl Tam (ctam@fhi360.org)

FIELD (Financial Integration, Economic Leveraging, Broad-Based Dissemination and Support) is a USAID-funded LWA Cooperative Agreement that aims to advance the state-of-the-art in microenterprise development and microfinance and help USAID Missions implement innovative, integrated, market-based approaches to sustain economic growth with reduced poverty. The LIFT LWA is funded through the FIELD Mechanism.

LIFT assesses capacity building needs at both US Government and implementing partner level, designing and delivering appropriate capacity building strategies around economic strengthening, livelihoods, and food security. LIFT conducts economic strengthening workshops and facilitates cross-sectoral communication. Key to this is the delivery of tailored technical assistance and organizational development in the context of program implementation, primarily as a way to increase partners' technical role and foster leadership in the field.



Capacity building includes development of each partner or local stakeholders' systems, skills and standards, which might focus on areas such as: financial management; monitoring and evaluation; resource development and external relations; standard operating procedures; strategic planning; and ensuring an appropriate mix of human resources and sufficient support for organization staff and volunteers. Activities aiming to build the organizational capacity of our partners are closely linked to performance improvement of their technical areas of expertise. Capacity strengthening is encompassed within our objectives, activity pillars and illustrative activities. Some key steps in our process and approach include:

- Conduct rapid assessments to understand knowledge gaps and inform capacity strengthening strategy and activities;
- Inventory existing tools and local means to address knowledge gaps;
- Use inventory and local context to develop any needed tools and/or design trainings or targeted assistance activities;
- Develop tools;
- Conduct/implement strategic training or training of trainers;
- Support/strengthen existing communities of practice and technical working groups and initiatives; and
- Offer recommendations as well as different options or suites of approaches, with trade-offs and cost implications where possible.

Resources

- <http://kdid.org/projects/field-support>
- <http://theliftproject.org/tools-resources-2/>

Communication for Change (C-CHANGE) Project

Contact: Antje Becker-Benton (abecker@fhi360.org), Linda Sanei (Isanei@fhi360.org)

One of FHI 360's key social and behavior change communication (SBCC) projects, the Communication for Change (C-CHANGE) Project, has been implementing and strengthening SBCC programs in Africa, Eastern Europe, and Latin America and the Caribbean since 2007. Funded by USAID, the project provides governments, organizations and communities with tools, training and mentoring to help them develop SBCC programs tailored for their specific situations.

The project uses a competency-based approach to design, implement, and evaluate SBCC programs. The approaches to capacity strengthening include: training; mentoring and exchange to support training; providing supporting materials and resources; and technical assistance. The project strengthens core competencies in SBCC by working with organizations, networks and institutions. The approach includes: linking training and ongoing technical support to practice; providing open access tools and materials, and rigorously field testing all materials. The project has used the following methods/approaches to strengthen capacities and these include: strong coordination with government; tailored TA seated within government ministries; capacity strengthening with local NGO partners; long-term capacity strengthening with MOH and NGOs; combined TA and organizational development; and increased capacity of USAID missions for cross-sectoral SBCC.

The SBCC capacity strengthening toolkit includes:

1. SBCC Framework
2. Capacity assessment tools
3. Competency- and theory-based C-Modules (6 modules)
4. Online SBCC courses
5. Courses at centers of excellence
6. C-Capacity—an online resource center and e-newsletters
7. Guidance on participatory material development

Selected Resources

- C-Change capacity strengthening strategy
- <http://c-changeproject.org/focus-areas/capacity-strengthening>
- http://www.c-changeprogram.org/sites/default/files/Plenary_Overview.pdf (overview)
- http://c-changeprogram.org/sites/default/files/A1_all_speakers.pdf (better practice examples)
- <http://c-changeprogram.org/sites/default/files/C-Change-Final-Report-March2013.pdf> (final report)
- <http://c-changeproject.org/resources>

Capable Partners Program: Leadership and Capacity Development

Contact: Barney Singer (bsinger@fhi360.org), Keith Aulick (kaulick@fhi360.org)

FHI 360's Leadership and Capacity Development (LCD) practice designs and implements collaborative interventions that align with *USAID Forward's* focus on strengthening local capacity, effectiveness and sustainability.

Over ten years, the LCD practice built expertise, resources and tools managing the Capable Partners Program (CAP), a USAID-funded Leader with Associates (LWA) Cooperative Agreement (2003-2013, US\$250,349,580). CAP worked with USAID Missions and other operating units to strengthen the organizational and technical capacities of NGOs, NGO networks and intermediate support organizations (ISOs).

In more than 55 countries around the world, CAP offered technical assistance in all development sectors to nearly 10,000 NGOs CSOs, FBOs and networks in a wide range of activities including advocacy, monitoring and evaluation, training, grants management, NGO-Government partnerships, and the use of information technologies for development. CAP's participatory approaches aimed to strengthen local actors and the institutions that are ultimately responsible for transforming their communities.

CAP followed a participatory five-step capacity development process: 1) facilitate an introductory workshop, 2) assess internal capacities and prioritize needs, 3) develop a capacity strengthening plan, 4) implement the plan in concert with organizational priorities, then 5) monitor and evaluate the results.

What is the IDF?

The Institutional Development Framework (IDF) is both

- A tool to help an organization understand its strengths and weaknesses.
- A process that provides an organization a way to:
 - » Identify organizational development needs and priorities
 - » Map a prioritized plan for improvement
 - » Measure progress

The IDF Tool Kit includes:

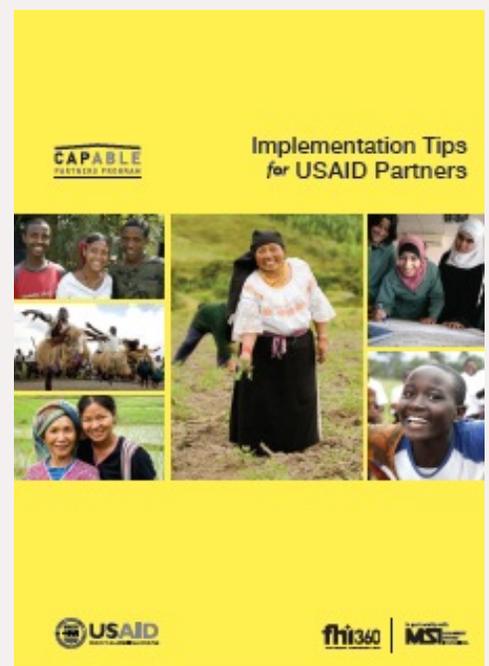
- Framework – A matrix that defines organizational development & success by key managerial attributes
- Profile Sheet – Rates organizational strengths and weaknesses according to a framework
- Calculation Sheet – Documents organizational capability and identifies priority areas for improvement
- Improvement Plan – Lays out steps to take to start addressing priority areas for improvement

CAP used the Institutional Development Framework (IDF) to help an organization's leadership orchestrate a participatory capacity assessment. The IDF compresses multiple steps—data collection, analysis and decision-making—into one activity. The IDF provides tools (see box) to facilitate a self-assessment of an organization's systems, assets and activities. During the assessment, the participants assign numerical ratings (1-4) to the organization's current status or performance in key organizational development (OD) domains examined using the IDF matrix. The IDF yields both an organizational profile and a calculation sheet that presents a baseline from which to track the future evolution of the organization along a development continuum.

Selected Resources

To complement training provided to CSOs and networks worldwide, CAP developed a wide range of training and technical assistance tools disseminated via traditional and online channels. CAP's website, www.NGOConnect.NET, is an electronic clearinghouse for exchanging information, sharing best practices, and building linkages. The site includes an online library providing synthesis, packaging and dissemination of practical information for NGO development from both USAID and non-USAID sources. Many resources on [NGOConnect.NET](http://www.NGOConnect.NET) are in French, Portuguese, Spanish, Russian and Arabic. Among them are

- *NGOConnect eNews*, a series of 50 electronic newsletters issued monthly to DGP grantees via e-mail listserv. Each issue focused on a single topic in one of the key OD domains. Whether providing step-by-step instructions on how to complete U.S. Government forms or explaining how to develop a human resources handbook, the eNewsletters addressed basic questions from the field. Translated into French, Portuguese, Spanish, Russian and Arabic.
- *The Essential NGO Guide to Managing Your USAID Award* is a plain English reference for DGP grantees and other NGOs, regardless of sector, to help them meet USAID requirements and establish the good practices needed to implement effective programs, from pre-award through start-up, implementation and close-out. Translated into French, Portuguese, Spanish, Russian and Arabic.
- *Implementation Tips for USAID Partners* presents—in an easy-to-read, Q&A format a response to a specific,



frequently asked question about how to navigate USAID rules and regulations. Arranged according to organizational development domains—governance, financial management, human resources, program management, external relations, compliance, and monitoring and evaluation—Implementation Tips also offers strategies to help strengthen an organization’s systems and processes.

Local Partners Capacity Building (LPCB) Project

Contact: Sarah Torrance (storrance@fhi360.org)

The Local Partners Capacity Building (LPCB) Project, funded by USAID/Zambia under the President’s Emergency Plan for AIDS Relief (PEPFAR), (2008-2012, US\$50 million), worked to enhance the organizational capacity and sustainability of local NGOs and networks engaged in ensuring a comprehensive response to the HIV and AIDS epidemic.

The project enabled local NGOs, FBOs and CBOs, referred to as partner organizations (POs), throughout Zambia to become aware of their organizational assets and liabilities, and understand why attention to the health of their organizations is as critical as the substance of the activities they implement. Through strengthening their management, financial, technical and M&E capacities, POs are able to ensure efficient and effective expansion of their programs so that quality HIV/AIDS services are delivered in their local context. LPCB also supported a number of intermediary organizations—Capacity Leaders (CLs) and Organization Development Facilitators (ODFs)—to bolster their capabilities and expertise to become sustainable entities that work directly with local organizations as institutional strengthening service providers.

Using an Umbrella Model, funding was provided directly to local community based organizations on USAID’s behalf. Partners were selected through a competitive process. The LPCB program design included the following stages: expression of interest; selection of the successful partner; orientation; execution of the Institutional Development Framework (IDF); development of an ‘improvement plan’; regular facilitation and support by the ODF, and core trainings in areas of financial management, M&E, leadership, program design, HR and proposal development.

Resources

Training toolkits targeted to local organizations in the following areas:

1. Critical Management
2. Financial Management
3. Human Resources
4. Leadership & Governance
5. M&E
6. Project Design
7. Resource Development
8. Behavior Change Communication

New Partners Initiative: Boosting the Quality and Sustainability of HIV/AIDS Programs

Contact: Amita Mehrotra (amehrotra@fhi360.org)

The New Partners Initiative (NPI) was a US\$200 million initiative created under the President's Emergency Plan for AIDS Relief (PEPFAR) to fund work by new partners, including faith-based and community organizations that implement HIV/AIDS prevention and care activities in the 15 PEPFAR focus countries.

NPI (2007-2012, US\$20.6 million), under the umbrella of the Capable Partners Program (CAP), supported grantees through customized technical assistance (TA) and broad-based trainings designed to enhance grantees' ability to apply for and manage direct funding from the U.S. Government in the future. During three rounds of NPI competition, CAP NPI provided TA services to 29 grantees in 13 countries.

Through organizational capacity strengthening initiatives complemented by resources, trainings, one-to-one TA, and a Website, www.NPIConnect.Net, NPI worked to: strengthen the organizational and technical capacity of partners; build community ownership; and improve the quality of HIV and AIDS prevention and care services.

NPI's approach to capacity strengthening used a range of techniques and methodologies to drive a participatory process that addressed technical as well as organizational development. This emphasis on building effective organizations in addition to strong programs was a defining aspect of NPI.

Major components of the program included:

- Developing and implementing grantee technical assistance plans anchored in baseline measurements across seven organizational domains;
- Supporting grantees' understanding and compliance with PEPFAR and USG rules and regulations, enhancing their systems' capacity to receive and manage USG funds;
- Strengthening the management and administrative structures and systems of grantees to ensure compliance with local laws and NGO best practices;
- Strengthening grantees' abilities to deliver quality technical programs aligned with the USG and National Strategic HIV/AIDS Plan;
- Facilitating scale-up and sustainability by strengthening indigenous capacity and building on local networks and institutions;
- Coordinating linkages with implementing partners, other grantees, other implementing stakeholders and the USG; and

Resources

- www.NPIConnect.Net
- NPI-Connect eNewsletters

Food and Nutrition Technical Assistance (FANTA) Project

Contact: Sandra Remancus (sremancus@fhi360.org)

FANTA invests a significant amount of effort strengthening the capacity of Title II (food aid) NGOs and USAID Country Backstop Officers (CBOs) for USAID/Food for Peace (FFP).

Capacity strengthening includes an intensive series of workshops on M&E and other technical topics, and in some countries, on-site technical and capacity strengthening. FANTA also developed e-learning curricula on nutrition now used by FFP to train its own staff on basic nutrition concepts. It was so successful that USAID/Bureau of Food Security invested in development of complementary e-learning curricula on agriculture and nutrition linkages.

Under FANTA-2 staff have been seconded to Ministries of Health in Ethiopia, Ghana, Sudan and South Sudan. FANTA capacity strengthening activities there include: training, development of job aids, supportive supervision tools, and guidelines and policies that support the assessment, design, implementation and evaluation of food security and nutrition programs by host country nationals. Clear phases and milestones are tracked in areas of strategic planning, national and regional coordination, guidelines, trainings, SBCC, implementation and M&E measure host country national capacity improvements.

Resources

- <http://www.fantaproject.org/tools>
- <http://www.fantaproject.org/publications>

The Maatla Project—Botswana

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Maatla, meaning “strength” in Setswana, is a five-year program designed to strengthen the capacity of civil society to effectively address HIV and AIDS in Botswana and achieve the goals outlined in the national HIV/AIDS strategy. Maatla builds on the foundations of Botswana’s institutional infrastructure and past capacity strengthening efforts. Through innovative partnerships and new perspectives, Maatla enables civil society to progress toward a more robust sector and play an increasingly integral role in the country’s HIV/AIDS response.

The project has defined standards for organizational and technical competency, which are used to assess organizations. Maatla uses multiple strategies for capacity strengthening including: seconding organizational development advisors to national NGOs; engaging professionals from the private sector in mentoring individuals within CSOs; Coaching and supervising through embedded technical and M&E field staff based in the districts where partner volunteers are located, including data quality assessments (DQAs); coaching in all areas of subagreement management including development, implementation, reporting and monitoring; Providing targeted consultancy to respond to individual organizational needs, for example, to improve governance systems; and establishing linkages with the government national internship program to assist with staffing needs.

Strengthen Abilities to Manage And Respond Effectively To HIV/AIDS (SAMARTH)-India Project

Contact: Bitra George (bgeorge@fhi360.org)

SAMARTH means being equipped to be effective. SAMARTH offered a partnership of strong, experienced indigenous and international organizations to Strengthen Abilities to Manage And Respond effectively To HIV/AIDS in India. The key objectives of the project were strengthening technical and organizational capacities of institutions that included government, civil society and community networks. A key focus of the capacity strengthening is the National AIDS Control Organization (NACO). FHI 360 builds partners with other development organizations (UNAIDS; UNDP; UNICEF; WHO; CDC and Public Health Foundation of India) to generate a capacity-building plan for all staff working in the National AIDS Control Organization (NACO), the governmental organization leading India's HIV/AIDS response. The improvement plan includes program management, technical approaches under National AIDS Control Program (Phase III), procurement, financial systems and monitoring and evaluation. A key capacity strengthening approach used was mentoring. SAMARTH, embarked on coordinating the mentoring process for NACO staff to provide an on-going technical guidance over time rather than one off trainings.

SAMARTH undertook a systematic approach starting with initial discussion with the key NACO officials. The mentoring needs of NACO staff were identified through self-administered questionnaires, performance appraisal and supervisor feedback. Five thematic areas were identified including Program Management, Monitoring and Evaluation, Research, Quality Improvement in HIV/AIDS Prevention, Care and Treatment and Institutional Strengthening. These five areas covered most of the responsibilities and functions of the staff. At the behest of SAMARTH, senior NACO officials organized the first meeting of developmental partners (DPs) to coordinate responses to implement the mentoring plan. The DPs expressed interest in the thematic areas as per their expertise and resources. The lead DP held meetings along with other DPs to further define each of the thematic areas, participants and the budget. FHI 360 team coordinated with all the DPs to ensure uniform understanding of the process and development of one common detailed mentoring plan.

The mentoring was the first large-scale effort at building capacities of NACO staff members and the institution. A detailed evaluation of the mentoring will be carried out to assess the capacities built among the staff members to improve effectiveness of Government response to HIV/AIDS epidemic in the Country.

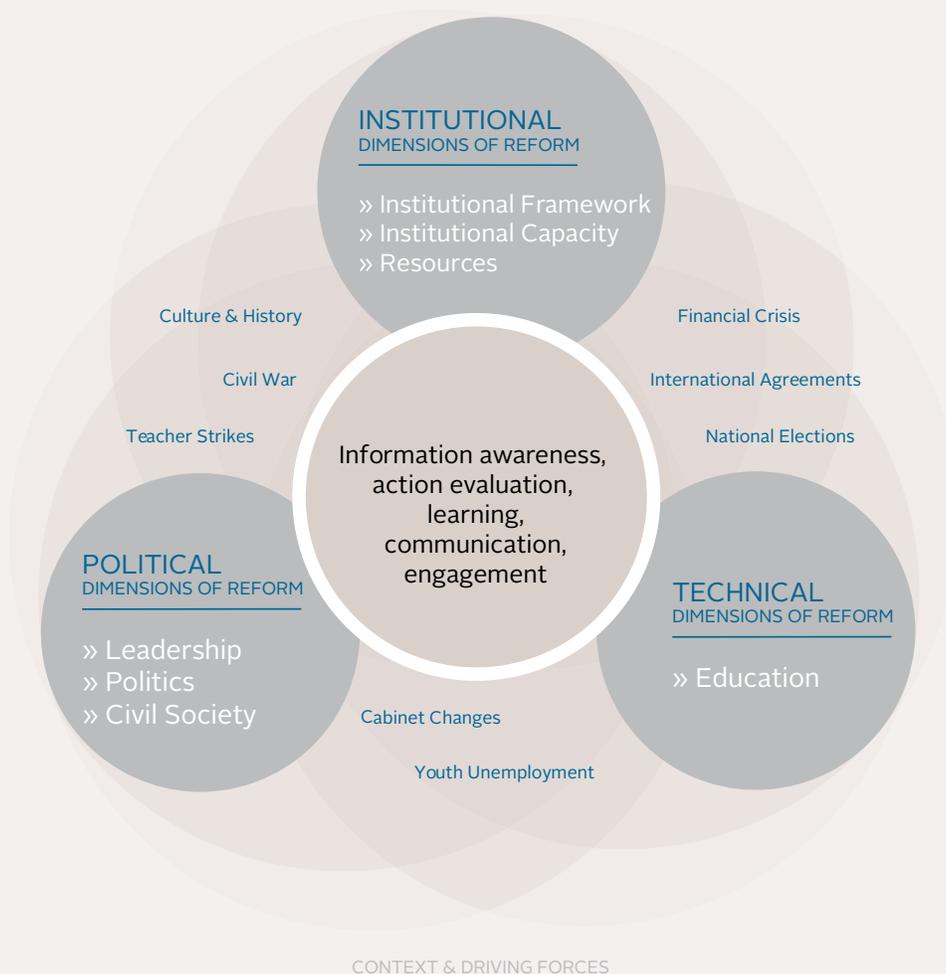
Djibouti Project AIDE

Contact: Sonia Arias (sarias@fhi360.org)

Sample project: Djibouti Project AIDE

Most of Global Learning Group's (GLG) capacity building initiatives take place under a larger rubric of education reform and are designed, implemented, and evaluated hand-in-hand with the donor and the host country government—most often represented by the Ministry of Education.

Education Systems Reform Framework



GLG takes a systems approach to capacity building. GLG uses an Education Systems Reform Framework (above) for analyzing issues and developing strategies for system improvement. The framework emphasizes alignment and coordination among the three dimensions of education system change: Technical, Institutional, and Political. This framework acknowledges system-level dynamics and leverages the multiple links between individuals, organizations and systems that exist within constantly changing education systems.

GLG's capacity development work supports and strengthens all levels of the host-country education system: from teachers in the classroom, to school principals, pedagogical advisors, district inspectors, district education officers, central education ministry planners and policy-makers.

Core technical functional areas of education systems reform include:

- School leadership
- Teacher professional development (pedagogy and content knowledge)
- Effective curriculum and materials
- School management
- Parent involvement and commitment
- Clear standards, high expectations, and accountability
- Consistent, continuous, and effective school support (technical supervision) services that provide targeted assistance to instructional problems;
- Focus on student outcomes.

At the core of all of GLG's education systems reform and capacity development initiatives is ownership. Stakeholders at all levels must own reforms for the intervention to be positive and sustainable. As part of ownership GLG support capacity building strategies and methodologies that are participatory and encourage local leadership. The approach empowers leadership by creating leadership opportunities. The aim is to hand over action and leadership to partners at every possible opportunity so that they can become active solvers. Local ownership of initiatives leads to sustainable and eventually scalable capacity building and education systems reform.

The USAID-funded Djibouti AIDE project includes the following core areas of reform: i) decentralization of the training of teachers ii) the decentralization of planning systems in schools and regions, iii) community participation iv) improving information and education management systems and v) training of school youth.

Capacity development over the four years of the project has consisted of the following:

- Needs assessments were participatory and done locally.
- Content of all trainings was developed with the leadership and participation of regional and district representatives.
- Capacity building activities of teachers and administrators were all school-based. Namely, training was shorter but more often, rather than long and far away from the teachers' locus of work and life.
- Training activities were consistently followed up with in-class support and regular supportive supervisory visits. All follow-up and support activities were led by local school authorities and educators.
- Funding for regional activities and capacity building efforts went directly to the regions.
- Education statistics and information were distributed at all levels.
- Project personnel were embedded at the Ministry of Education.
- Parent Teacher Associations were established in 100% of schools.
- Parents regularly participated and contributed to school maintenance and resource development.
- Final external evaluation states that sustainability of teacher training is likely because all training was decentralized, took place from within the regions, and needs assessments were school-based.
- External report also indicates likely scalability of school-based training and support (Formation de proximité) as it has "taken root" in the targeted regions.



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