



# **GUIDE TO SCALING-UP CAPACITY DEVELOPMENT THROUGH TRANSFER & REPLICATION**

## **USAID / MEXICO'S CIVIL SOCIETY ACTIVITY**

A Technical Document on the Strengthening of Civil Society in Mexico.

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This document is part of a collection of strategic documents developed by the Civil Society Activity, implemented by Social Impact, Inc. and financed by the United States Agency for International Development (USAID). The texts that comprise the collection describe the systemic capacity development approach and methodology that the Civil Society Activity designed to accompany more than forty civil society organizations in institutional strengthening, grants management, and legal compliance. In particular, this guide provides information on each step of the transfer and replication of the Activity's approach to grants and institutional strengthening administration for organizations that strengthen civil society organizations. The full compendium is a useful resource for strengthening civil society organizations. You may reference the full collection at Social Impact's website, <https://socialimpact.com/>.

## **ABOUT USAID MEXICO CIVIL SOCIETY ACTIVITY**

Mexico Civil Society Activity (CSA) was a 4-year program funded by the U.S. Agency for International Development (USAID). CSA aimed to improve the sustainability of Civil Society Organizations (CSOs) to effectively implement their agendas on violence prevention, human rights protection and justice reform in Mexico. To this end, CSA focused on improving CSOs' capacity to communicate and work collaboratively, increasing their connections with key stakeholders, strengthening their capacity to develop strategies that respond to their changing environment and to their communities' needs and priorities, and improving CSOs access to knowledge and resources. The USAID Mexico Civil Society Activity was implemented by Social Impact (SI) Inc. in partnership with Fundación Appleseed.

## **ABOUT SOCIAL IMPACT**

Social Impact (SI) is a management consulting firm that provides monitoring, evaluation, strategic planning, performance management and capacity building services to advance development effectiveness. SI's work helps to reduce poverty, improve health and education, promote peace and democratic governance, foster economic growth, and protect the environment. To achieve this, SI delivers consulting, technical assistance, and training services to government agencies, nongovernmental organizations, and foundations.

## **ACKNOWLEDGEMENTS**

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## ACRONYMS

|       |  |
|-------|--|
| CA    | Consulting Agreement                               |
| CDCS  | Country Development Cooperation Strategy           |
| CLA   | Collaborating, Learning and Adapting               |
| CSA   | Civil Society Activity                             |
| CSO   | Civil Society Organization                         |
| DUNS  | Data Universal Numbering System                    |
| FAQ   | Frequently Asked Questions                         |
| HICD  | Human and Institutional Capacity Development       |
| ISO   | Intermediary Support Organization                  |
| J2SR  | Journey to Self-Reliance                           |
| LOI   | Letter of Intent                                   |
| MEL   | Monitoring, Evaluation, and Learning               |
| MELP  | Monitoring, Evaluation and Learning Plan           |
| NUPAS | Non-U.S. Organization Pre-Award Survey             |
| OCA   | Organizational Capacity Assessment                 |
| OPI   | Organizational Performance Index                   |
| RFP   | Request for Proposals                              |
| SAM   | System for Award Management                        |
| SI    | Social Impact                                      |
| SNA   | Social Network Analysis                            |
| SOW   | Statement of Work                                  |
| USAID | United States Agency for International Development |

# GUIDE FOR THE TRANSFER AND REPLICATION OF CAPACITY DEVELOPMENT

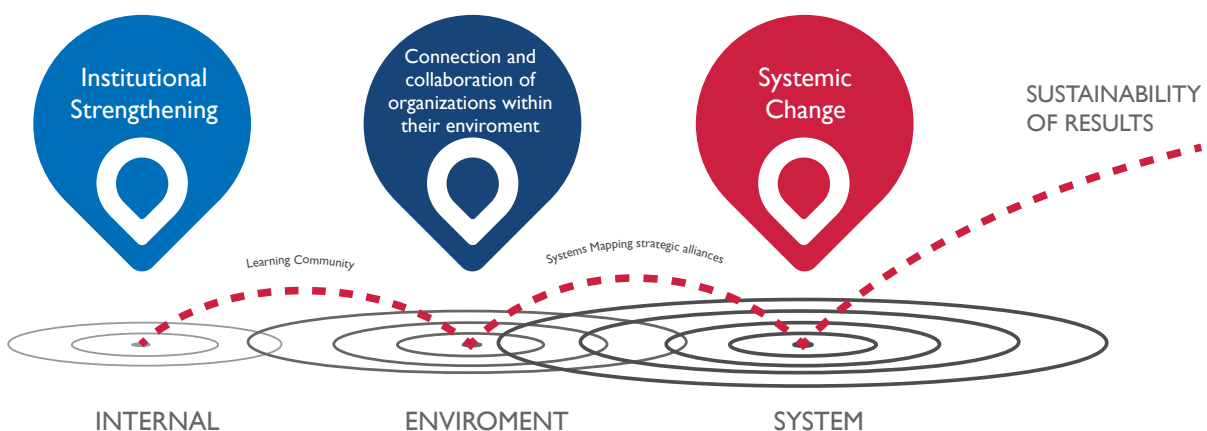
## I. THE CIVIL SOCIETY ACTIVITY'S APPROACH TO CAPACITY DEVELOPMENT IN MEXICO

USAID/Mexico designed the Civil Society Activity (CSA) to improve institutional capacities and increase the sustainability of civil society organizations (CSOs) in Mexico so they can more effectively implement their agendas related to crime and violence prevention, legal justice reform, and human rights. CSA supports three of USAID/Mexico's Development Objectives: DO 1 on crime and violence prevention; DO 2 on access to justice; and DO 3 on human rights. Social Impact, a development management consulting firm based in Arlington, VA, is the prime implementer of the CSA contract and designed the approaches described in this Strategy based on close collaboration with our local partner organizations.

CSA's strategic approach remains firmly rooted in the original capacity-building purpose; upon receiving a contract modification on June 22nd, 2018, CSA expanded its interventions to emphasize systems-based strengthening, in addition to internal organizational capacity development, to sustain development results.

With an emphasis on improved organizational performance, rigorous assessment, the co-creation of solutions, systemic impact, and sustainability, CSA's comprehensive approach is well aligned with USAID's Journey to Self-Reliance (J2SR) and focus on measurable, increased local capacity. Thus, CSA provides a potential model for other USAID-funded capacity-building activities, as well as other capacity-building work, to enhance development impact and sustainability.

FIGURE I. CSA'S STRATEGY FOR SUSTAINABILITY OF RESULTS



CSA implemented a systemic approach to capacity development across three primary components:

1. **GRANTS:** Award and administer USAID grants to civil society organizations to help them develop their thematic projects and capacity development initiatives.
2. **LEGAL STRENGTHENING:** Provide technical support to improve legal compliance in areas of corporate, fiscal, and labor law; money laundering; and data privacy, through a network of pro-bono law firms based in Mexico, coordinated by CSA.
3. **INSTITUTIONAL STRENGTHENING:** Accompany SOs in developing their capacities in three ways—by improving internal capacities, strengthening abilities to create and sustain strategic alliances, and solidifying their positions within their Local Systems—based on an integrated methodology that incorporates Human and Institutional Capacity Development (HICD), Local Systems and Capacity 2.0 approaches.

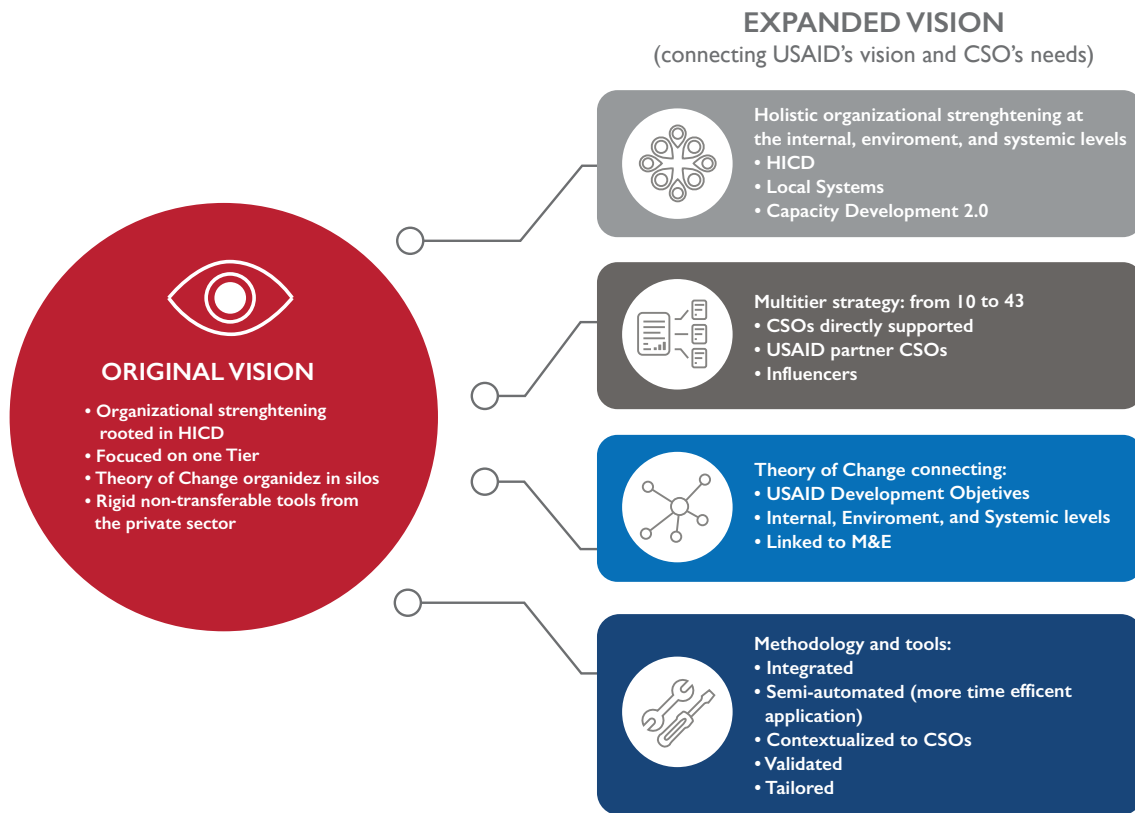
CSA worked with three groups of civil society organizations (CSOs), categorized in Tiers:

**TIER 1:** Ten CSOs that were awarded a USAID grant during Year 1. Three of these CSOs are Intermediate Support Organizations (ISOs)<sup>iv</sup> that replicated grants administration and capacity development with 14 CSO subgrantees. Organizations in this Tier received CSA's full range of technical assistance.

**TIER 2:** Fourteen CSOs that were introduced to CSA by USAID/Mexico and its implementing partners. Tier 2 organizations took part in a modular assessment of organizational performance based in USAID's Organizational Capacity Assessment (OCA), the Organizational Performance Index (OPI), Social Network Analysis (SNA), and Stakeholder Mapping. Tier 2 organizations then received technical assistance to improve their legal status and performance solutions to address performance gaps identified during the assessment process.

**TIER 3:** CSOs and actors who are influencers in the civil society sector. The influencers will sustain CSA's legacy in strengthening the Local System by leveraging their own areas of expertise to benefit civil society actors and their ability to collaborate within the system. These key influencers include innovators, whether they be leaders of change, intermediaries across sectors, or key sources of information for the civil society sector.

FIGURE 2. EVOLUTION OF THE USAID CIVIL SOCIETY PROGRAM



Social Impact (SI) based CSA's original design on the HICD model. However, as CSA became familiar with Capacity 2.0 at USAID and held pause and reflect sessions with partner organizations, CSA determined a need to expand its capacity development approach. Consistent with Collaborating, Learning, and Adapting (CLA), the CSA team proposed additional components to the theory of change that would complement the original HICD design, while also drawing upon the latest best practices in the field. Aligned with the Local Systems and Capacity Development 2.0 approaches, CSA began to view organizational strengthening in three dimensions: strengthening internal capacities; strengthening relationships and networks in which organizations participate; and strengthening organizations' positions within their Local Systems.

In a major conceptual and methodological shift, CSA expanded its approach to capacity development by adopting USAID's Local Systems framework. Based on this framework, CSA views each CSO as one of many actors within a system working around a given social issue. For individual CSOs and the CSO sector to have sustainable impact, it is crucial to develop their organizational capacities to interact, communicate, and collaborate, including with other diverse actors operating in the same system. In this way, CSA could more effectively support organizations as they tackled complex challenges in their environments.

## THE CIVIL SOCIETY ACTIVITY'S THEORY OF CHANGE

The Civil Society Activity's Theory of Change is rooted in a holistic approach that incorporates USAID's HICD, Capacity Development 2.0 and Local Systems approaches, while also supporting USAID/Mexico's 2014-2018 CDCS. The Theory of Change is as follows:

“If the Civil Society Activity (CSA) works to build the internal and external capacity of local CSOs and the connections between CSOs and key stakeholders, then CSA will contribute to the sustainability of the civil society sector and effective local programming to address violence prevention, human rights and justice reform.”<sup>1</sup>

The Program's theory of change emphasizes that capacity development should not be limited to the internal strengthening of organizations. Organizations exist within systems<sup>2</sup> that affect their performance, just as organizational performance can affect the broader system. For this reason, CSA's Theory of Change focuses both on internal and external factors, thereby supporting performance improvement and the sustainability of results in a way that leverages the individual characteristics and systemic contributions of each organization the Program supports.

## II. PURPOSE OF THE TRANSFER AND REPLICATION OF CAPACITY DEVELOPMENT

The purpose of the transfer and replication of CSA's capacity development approach is to prepare a group of organizations to continue to strengthen the civil society sector moving forward. In particular, CSA has partnered with three Intermediary Support Organizations (ISOs)<sup>3</sup> to scale-up the reach and impact of its grants management and capacity development with additional subgrantee organizations that the ISOs select as their target population. Each of these ISOs will develop and implement their own institutional strengthening plans that leverage their own resources, networks and approaches to capacity development during the replication process. The grants replication process will mirror that of the Program, ensuring compliance with United States Government guidelines and protocols.

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<sup>1</sup> CSA Monitoring, Evaluation and Learning Plan, revised version, November 2018 pg. 4

<sup>2</sup> USAID Local Systems Framework, 2014

<sup>3</sup> Intermediary Support Organizations (ISOs) are civil society organizations that provide funding and/or capacity development services to other civil society organizations. In the Spanish vernacular used in Latin America, ISOs are also known as “second floor,” or *segundo piso*, organizations.



## WHO IS THIS GUIDE FOR?

This guide is intended for those ISOs that are responsible for replicating the grants administration and capacity development processes with fourteen subgrantee organizations. These organizations have themselves gone through the CSA capacity development process, which includes: a participatory assessment process; monitoring, evaluation and learning technical support; grants management; and technical assistance to improve their legal status, in addition to solution packages tailored to address specific gaps in organizational performance identified in the assessment phase. Based on this experience, these three ISOs are now prepared to replicate these capacity development processes with their subgrantee organizations. To do so, CSA will transfer to each ISO the methodologies and tools that comprise CSA's approach to Capacity Development through training and learning-by-doing activities. This guide provides guidance for the ISOs and other development programs on how the replication should occur.

## III. THE REPLICATION OF CIVIL SOCIETY ACTIVITY'S MODEL FOR CAPACITY DEVELOPMENT

This document provides a step-by-step guide to the process of scaling-up CSA's two principal components, Grants Management and Institutional Strengthening Management.

### GRANTS MANAGEMENT

CSA's replication process for grants management involves accompanying organizations through the process of evaluating and selecting their subgrantees, awarding and administering grants, and monitoring grant activity.<sup>4</sup> For organizations that have no or very limited experience administering USAID grants, the Program accompanies organizations as they develop new systems, processes, and abilities required for compliance with USAID regulations. CSA's priority is to ensure that organizations are strengthened in areas of grants management that are compliant, efficient, and sustainable so that the ISOs have the capacity to continue to administer grants to subgrantee organizations well beyond the life of the Program.

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<sup>4</sup> Each grant awarded to subgrantee organizations is intended for capacity development and the strengthening of a thematic project that is aligned with the Development Objectives (DOs) of USAID Mexico.

## INSTITUTIONAL STRENGTHENING MANAGEMENT

CSA's replication process for institutional strengthening management involves transferring the skills, processes and methodologies to ISOs through in-person and remote support that will enable them to strengthen organizations in the civil society sector moving forward. Initially, this accompaniment includes the transfer of tools and capacities to: implement organizational performance assessments; carry out the analysis and synthesis of findings; tailor and implement solution packages to address performance gaps; apply strategic alliance tools and strategies; measure results using Monitoring, Evaluation and Learning (MEL) tools and best practices; and utilize management tools to administer the entire institutional strengthening process. Once the ISO begins to replicate institutional strengthening, CSA will provide direct support to organizations during each step of the process with the first subgrantee CSO, ensuring that the ISO documents and systematizes their experience to be able to replicate the process with other subgrantee CSOs.

### IV. PHASES TO SCALING-UP THE CIVIL SOCIETY ACTIVITY'S APPROACH TO CAPACITY DEVELOPMENT

Scaling up CSA's capacity development approach for both grants management and institutional strengthening management entails four phases. These are sequenced, macro-level processes rooted in USAID's Collaborating, Learning, and Adapting (CLA) approach:

1. **Transfer:** The transfer of capacities, methodologies and tools for institutional strengthening and grants management from CSA to ISOs during the latter's capacity development process and subsequent training, so that they will have the tools to implement replication with their subgrantee organizations.
2. **Replication:** The replication of CSA's capacity development approach to the ISOs' tailored institutional strengthening and grants management in a way that may be implemented sustainably by each replicating organization, to ensure that each ISO systematizes and learns from their capacity development experiences.
3. **Monitoring, Evaluation and Learning (MEL), and Knowledge Curation:<sup>5</sup>** Monitoring and evaluation (M&E) takes place throughout the ISO's replication of the Capacity Development approach to ensure the quality, responsiveness and timeliness of interventions. The process of systematizing findings from M&E and qualitative reports follows, which generates important information to support the learning and curation of knowledge by ISOs around best practices in capacity development to inform future interventions.
4. **Close-Out/Planning for Future Institutional Strengthening:** The final phase in the Capacity Development process in which preparations are made for the grants and

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<sup>5</sup> Monitoring takes place in each of the steps of the Programmatic Cycle for Capacity Development, though ISOs enter more fully into the process of Evaluation during the Implementation of Grants and Institutional Strengthening Management stage.

institutional strengthening management to end, which involves the submission of contractual documents to USAID. CSA accompanies ISOs as they collaborate with subgrantee CSOs to define next steps for institutional strengthening to pursue in the future.

FIGURE 3: PHASES TO SCALING-UP CIVIL SOCIETY ACTIVITY’S APPROACH TO CAPACITY DEVELOPMENT



V. CSA PROGRAM CYCLE OF CAPACITY DEVELOPMENT

As Figure 1 illustrates, CSA’s approach to Capacity Development takes place across two different, though interrelated components: **Grants Management and Institutional Strengthening Management**. Table 1 lists the component stages of CSA’ Program Cycle of Capacity Development in the left column and uses check marks to indicate when Grants Management and Institutional Strengthening Management occur. The guide has assigned a different color to each stage.

The following sections of this Guide provide a step-by-step breakdown of the transfer and replication process for each of the two components, Grants Management and Institutional Strengthening Management. Both sections present how the Civil Society Activity transferred its capacity development approach to ISOs and how ISOs, in turn, will replicate the institutional strengthening processes to suit the needs of their respective organizations while complying with specific minimum requirements. In the case of both Grants and Institutional Strengthening

Management, the Guide outlines the activities, resources and modalities that are to be used as well as the timeframe for implementation. Additionally, learning, reflection and adaptation guidelines are presented for each of the replication activities.

It should be noted that several steps within the Grants Management section (namely steps 3.2, 3.3, 3.6, 3.7, 4.1, 4.2, 4.3) do not require a separate replication section given that replication is completed simultaneously during the transfer process from CSA to the ISO.

**TABLE 1. CIVIL SOCIETY ACTIVITY'S PROGRAMMATIC CYCLE OF CAPACITY DEVELOPMENT**

| THE CIVIL SOCIETY ACTIVITY'S<br>PROGRAM CYCLE OF CAPACITY DEVELOPMENT  |                      |  |
|--|----------------------|--|
| STAGES   | GRANTS<br>MANAGEMENT | INSTITUTIONAL<br>STRENGTHENING<br>MANAGEMENT |
| 1. Request for Proposals & Selection of Proposals                      | ✓                    |  |
| 2. Pre-award Due Diligence and Negotiation                             | ✓                    |  |
| 3. Implementation of Grants and Institutional Strengthening Management | ✓                    | ✓  |
| 4. Grants and Institutional Strengthening Close-Out                    | ✓                    | ✓  |

As the check marks indicate, institutional strengthening technically begins after the organization has received their grant. However, even the RFP, selection and pre-award processes provide opportunities for strengthening institutions' abilities to respond and comply with donor requirements, as well as better design and articulate their technical approach.<sup>6</sup>

<sup>6</sup> For example, the way that the ISO structures the RFP is a guide to good proposal development, a skill that CSOs will need to access funding regardless of the donor. In addition, opportunities for question and answers during the application process and clarification of requirements further strengthens organizations' understanding of competitive proposal processes. Finally, the pre-award due diligence regarding the Non-US Pre-Award Survey (NUPAS) and other requirements alerts organizations to the need for improved systems and policies for organizational governance, financial management, and grants management.

## REQUEST FOR PROPOSALS & SELECTION OF PROPOSALS

Table 2 provides detailed steps for the transfer and replication of the Grants Management process. This transfer process from CSA to ISO includes a list of activities, resources, modalities that support the transfer, and the estimated timeframe required to execute each modality. ISO replication of grants management with their own CSO subgrantees is also described in detail. For more information on the grants process, please consult **CSA's Grants Manual**.

**TABLE 2. GRANTS MANAGEMENT TRANSFER AND REPLICATION. STAGE 1. REQUEST FOR PROPOSALS & SELECTION OF PROPOSALS**

| GRANTS MANAGEMENT   |  |   |  |
|---|--|---|--|
| Stage 1. Request for Proposals & Selection of Proposals<br>The beginning of the replication process in which the ISO launches the Request for Proposals (RFP), reviews CSO submissions and selects subgrantee CSOs. |  |   |  |
| I.1 Publish RFP and receive proposals   |  |   |  |
| I.2 Proposal review and selection   |  |   |  |
| REQUEST FOR PROPOSALS (RFP) & SELECTION OF PROPOSALS  |  |   |  |
| I.1 Publish RFP and receive proposals.  |  |   |  |
| CSA to ISO Transfer Process   |  |   |  |
| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Technical Support  | Modality Timeframe   |
| <ul style="list-style-type: none"> <li>CSA advises ISO on RFP design and development following USAID regulations.</li> </ul>  | <ul style="list-style-type: none"> <li>RFP guide with criteria and minimum requirements to incorporate in Request for Proposals aligned with USAID regulations.</li> </ul> | <ol style="list-style-type: none"> <li>CSA reviews RFP content and helps ISO to answer applicants' questions regarding USAID criteria and requirements.</li> <li>CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment before and during receipt of proposals: 2 months. |

## ISO to CSO Replication Process

| Modality ISO to CSO  | ISO Preparations  | Systematization   | Learning, Reflection and Adaptation   |
|--|---|---|---|
| <ul style="list-style-type: none"> <li>• ISO designs and develops their RFP, using as reference the minimum criteria established in CSA's guidelines.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO launches RFP, sets deadlines and defines appropriate communication channels.</li> <li>• ISO designs their information sessions, defining whether these will be virtual or face-to-face.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO identifies:               <ol style="list-style-type: none"> <li>a) Realistic and optimum timeframes</li> <li>b) appropriate communication channels,</li> <li>c) Those strategies that were effective to disseminate and promote the RFP and thereby receive proposals aligned with the established requirements.</li> </ol> </li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn</i>: ISO develops information on the CSO context in the northern border of the country. Additionally, ISO identifies the main learnings from the RFP stage pertaining RFP design and development, dissemination and promotion channels, timeframes and any unforeseen learning.</li> <li>• <i>Reflect</i>: ISO reflects on the main learnings of the RFP and review of proposals.</li> <li>• <i>Adapt</i>: According to the lessons learned, the ISO may adjust actions with the objective of receiving quality proposals on the selected topics. For example, number of information sessions, delivery times, dissemination channels, among others.</li> </ul> |

## REQUEST FOR PROPOSALS (RFP) & SELECTION OF PROPOSALS

### 1.2 Proposal review and selection

| ISO to CSO Replication Process   |  |   |  |
|--|--|---|--|
| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Workshop   | Modality Timeframe   |
| <ul style="list-style-type: none"> <li>• CSA trains ISO on evaluation guidelines and formats.</li> <li>• CSA accompanies the ISO during the selection of organizations that meet the profile and requirements to receive a USAID grant.</li> </ul> | <ul style="list-style-type: none"> <li>• Non-Disclosure document</li> <li>• Non-Conflict of Interest document</li> <li>• Proposal Evaluation Format</li> <li>• Selection Memo</li> <li>• Document of agreement of Selection Committee members</li> </ul> | <p>I. CSA facilitates orientation session on how to organize the Selection Committee and the documents and formats that are needed.</p> <p>a. CSA participates as a member of the Committee with voting rights.</p> <p>b. USAID participates as a member of the Committee with veto rights.</p> <p>c. CSA monitors, documents and reflects upon the performance of the ISO.</p> | Full period of CSA accompaniment before and during review and selection: 3 weeks |

## ISO to CSO Replication Process

| Modality ISO to CSO   | ISO Preparations  | Systematization   | Learning, Reflection and Adaptation  |
|---|---|---|--|
| <ul style="list-style-type: none"> <li>• ISO establishes the selection committee with the following representation: (Civil Society Program staff, USAID representative, organization members and external-optional participants).</li> <li>• ISO develops evaluation tools for review and selection.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO reviews the shared resources and develops the formats it will use in order to review and evaluate the proposals.</li> <li>• ISO proceeds to adapt the internal policies of the organization accordingly or as an alternative resource, adapts the evaluation format, adjusting the indicators to fit its internal policies.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO reviews the process of conforming a selection committee.</li> <li>• ISO reviews the process of developing adequate indicators in order to select quality proposals.</li> <li>• ISO reviews the process of developing/adjusting evaluation formats while simultaneously reviewing/adjusting its internal policies, thereby, ensuring compliance.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn:</i> ISO records key learning from the selection committee composition and review, indicator development process and evaluation forms/internal policy development and adaptation process.</li> <li>• <i>Reflect:</i> ISO carries out a session to reflect on key learning in light of receiving and selecting quality proposals. ISO also defines a communication strategy to share results from the selection process with the organizations that submitted proposals.</li> <li>• <i>Adapt and Plan:</i> ISO updates the committee selection composition for future RFPs and the internal review and selection process based on lessons learned.</li> </ul> |



## GRANTS MANAGEMENT

### Stage 2. Pre-award Due Diligence and Negotiation:

This stage is dedicated to the selection of subgrantee CSOs, the budgetary design and evaluation of organizational capacities for the management of the grant, and negotiation of the final terms of the award.

2.1 Notify pre-selected organizations of Selection Committee comments and questions

2.2 Revise technical and budget proposals

2.3 Implement Pre-Award survey

2.4 Conduct Pre-award visit for selected organizations

2.5 Establish terms of CSO grant based on Pre-Award survey

## PRE-AWARD DUE DILIGENCE AND NEGOTIATION

### 2.1 Notify pre-selected organizations of Selection Committee comments and questions

#### CSA to ISO Transfer Process

| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Mentoring   | Modality Timeframe  |
|---|--|--|---|
| <ul style="list-style-type: none"> <li>• CSA advises ISO on the contents of the letter that is sent to the CSO to communicate comments made by the Selection Committee.</li> <li>• CSA advises ISO on the budget review process.</li> </ul> | <ul style="list-style-type: none"> <li>• Sample notification letter to communicate Selection Committee observations and questions on project and budget design.</li> </ul> | <ol style="list-style-type: none"> <li>1. CSA Finance Manager accompanies the ISO during budget review and advises on communication of Selection Committee comments and questions in notification letter.</li> <li>2. CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment before and during notification: 1 week |

## ISO to CSO Replication Process

| Modality ISO to CSO   | ISO Preparations  | Systematization   | Learning, Reflection and Adaptation   |
|---|---|---|---|
| <ul style="list-style-type: none"> <li>• ISO notifies CSO of Selection Committee's decision, clarifying whether the proposal advances to the next phase of the process. In either case, the comments of the Selection Committee are communicated to the organization in order to ensure transparency in the selection process.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO designs and develops letter to communicate the resolution and observations of the Selection Committee to CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO documents the notification process to the organizations participating in the process.</li> <li>• ISO records the communication and feedback process within the Selection Committee.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn:</i> ISO highlights the main observations during the selection process and identifies trends on comments and observations to proposals.</li> <li>• <i>Reflect:</i> ISO discusses the observation trends and identifies which elements need more emphasis for future RFPs.</li> <li>• <i>Adapt:</i> During the notification and feedback process with CSOs, the ISO may identify how to improve its communication of the Selection Committee's findings. Furthermore, ISO adapts future RFPs based on learning and reflection from the process.</li> </ul> |

## PRE-AWARD DUE DILIGENCE AND NEGOTIATION

### 2.2 Revise technical and budget proposals

#### Proceso de Transferencia del Programa a la ISO

| Activities  | Tools, Templates, and Documents                                  | Modality CSA to ISO: Mentoring  | Modality Timeframe  |
|---|--|---|---|
| <ul style="list-style-type: none"> <li>CSA reviews and provides feedback on CSO technical proposal and budget.</li> </ul> | <ul style="list-style-type: none"> <li>Does not apply</li> </ul> | <ol style="list-style-type: none"> <li>CSA Finance Manager and Grants Manager make observations and recommendations on project and budget design.</li> <li>CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment before and during revision: 2 weeks. |

#### ISO to CSO Replication Process

| Modality ISO to CSO  | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
|--|---|--|---|
| <ul style="list-style-type: none"> <li>ISO holds a session with CSO to request changes to their technical proposal and budget, if any were necessary.</li> <li>ISO accompanies and advises CSO on the integration of the modifications requested by the Selection Committee.</li> <li>ISO provides follow-up for the inclusion and delivery of the requested modifications.</li> </ul> | <ul style="list-style-type: none"> <li>ISO designs the feedback session with any necessary resources.</li> <li>ISO schedules feedback session with each CSO.</li> </ul> | <ul style="list-style-type: none"> <li>ISO records the feedback process with CSO identifying the following elements:               <ol style="list-style-type: none"> <li>What type of organizations require more support and accompaniment?</li> <li>How much time ISO dedicates to accompanying the proposal modification.</li> <li>Identification of timeline for delivering feedback.</li> </ol> </li> </ul> | <ul style="list-style-type: none"> <li><i>Learn:</i> ISO identifies the human and material resources required by the ISO to support CSOs in adjusting their proposals.</li> </ul> |

## PRE-AWARD DUE DILIGENCE AND NEGOTIATION

### 2.3 Implement Pre-Award survey

| CSA to ISO Transfer Process   |  |  |   |
|---|--|--|---|
| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Workshop  | Modality Timeframe  |
| <ul style="list-style-type: none"> <li>CSA trains CSO on how to apply the Non-US Pre-Award Survey (NUPAS).</li> </ul> | <ul style="list-style-type: none"> <li><i>Non-US Pre-Award Survey (NUPAS)</i><sup>9</sup></li> </ul> | <ol style="list-style-type: none"> <li>Orientation session on the process of conducting the survey and evaluating the results of all ISOs.</li> <li>CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment before and during implementation: 1 week |

<sup>9</sup> The Non-US Organization Pre-Award Survey (NUPAS) is a USAID-required due diligence process that helps determine the ability of an organization to program and account for U.S. Government funds. As stated in USAID policy, the NUPAS “provides the Agreement Officer (AO) with the information needed to evaluate the ability of organizations to adequately fulfill the terms of an award, and serves as a selection tool to determine a potential partner’s responsibility and whether special conditions may be required within the final award document (USAID Prospective Offeror’s Guide to the Non-US Organization Pre-Award survey).” <https://www.usaid.gov/sites/default/files/documents/1870/NUPAS-Guide-2016-01-19v4.pdf>

## ISO to CSO Replication Process

| Modality ISO to CSO   | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation  |
|---|---|--|--|
| <ul style="list-style-type: none"> <li>• ISO holds a work session with CSO to apply NUPAS.</li> </ul> | <ul style="list-style-type: none"> <li>• The ISO sends the NUPAS survey to CSO at least 15 days beforehand and asks the organization to review it and have the necessary information readily available on the date of application.</li> <li>• ISO schedules a meeting with CSO and identifies key personnel who must be present at the time of the application of NUPAS.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO records the application process of NUPAS with CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn</i>: ISO identifies elements that supported or hindered the comprehension of wording and intent of NUPAS during its application with CSO.</li> <li>• <i>Reflect</i>: ISO identifies NUPAS components that are difficult to understand by CSOs.</li> <li>• <i>Adapt</i>: ISO makes the necessary adjustments in order to convey the appropriate message on the main objectives of NUPAS.</li> </ul> |

## PRE-AWARD DUE DILIGENCE AND NEGOTIATION

### 2.4 Conduct Pre-Award visit for selected organizations

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents   | Modality CSA to ISO: Technical Support and Co-Facilitation   | Modality Timeframe   |
|--|---|--|--|
| <ul style="list-style-type: none"> <li>• CSA advises ISO on how to prepare for the pre-award visit.</li> <li>• CSA accompanies ISO during the first pre-award visit and provides feedback at the end of the session so that the ISO replicates this experience with other pre-selected organizations.</li> </ul> | <ul style="list-style-type: none"> <li>• Pre-Award survey response</li> </ul> | <ol style="list-style-type: none"> <li>1. CSA Grants team accompanies the ISO during their first Pre-Award visit to verify that the policies and procedures evaluated in NUPAS exist in practice. CSA provides technical support during the visit led by the ISO.</li> <li>2. CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment before and during visit: 1 week |

## ISO to CSO Replication Process

| Modality ISO to CSO  | ISO Preparations   | Systematization  | Learning, Reflection and Adaptation  |
|--|--|--|--|
| <ul style="list-style-type: none"> <li>• ISO carries out the visit with CSO prior to the allocation of funds.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO prepares CSO visit and makes a verification checklist based on the CSOs previous answers to NUPAS.</li> <li>• ISO schedules visit with CSO prior to the allocation of funds.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO documents the visits to CSOs and highlights main questions and comments during these sessions.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn and Reflect:</i> ISO identifies CSO institutional and operational capacities for the implementation of the project presented.</li> <li>• <i>Adapt:</i> Based on the previous visits, ISO generates a verification checklist that aids in identifying CSO capacities or lack of thereof.</li> </ul> |

## PRE-AWARD DUE DILIGENCE AND NEGOTIATION

### 2.5 Establish terms of CSO grant based on Pre-Award Survey

| CSA to ISO Transfer Process  |  |   |  |
|--|--|---|--|
| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Question and Answer (Q&A)  | Modality Timeframe                       |
| <ul style="list-style-type: none"> <li>CSA advises ISO on how to interpret the provisions from NUPAS and findings from the pre-award visit.</li> </ul> | <ul style="list-style-type: none"> <li>Pre-Award Survey checklist</li> </ul> | <ol style="list-style-type: none"> <li>CSA Grants Manager confirms that the provisions in the grant reflect the findings of the NUPAS Pre-Award survey results.</li> <li>CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment: 2 days |



| ISO to CSO Replication Process  |   |  |   |
|---|---|--|---|
| Modality ISO to CSO   | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
| <ul style="list-style-type: none"> <li>No ISO to CSO modality</li> </ul> <p>Comment: ISO will carry out an analysis based on the results of NUPAS and the pre-award visit and will identify the provisions to be included in the grant agreement.</p> | <ul style="list-style-type: none"> <li>ISO identifies the risk assessment based on the NUPAS results.</li> <li>ISO identifies provisions that should be included in the grant agreement.</li> </ul> | <ul style="list-style-type: none"> <li>ISO documents the results of the NUPAS application and the provisions that will be monitored for compliance for each organization.</li> </ul> | <ul style="list-style-type: none"> <li><i>Learn:</i> ISO identifies the provisions that are common between CSOs and those that require further support.</li> <li><i>Reflect and Adapt:</i> ISO designs the necessary strategies to support the CSOs for the fulfillment of the provisions and with it the USAID guidelines for the administration of the grant. ISO modifies its accompaniment and follow-up strategies based on learning.</li> </ul> |

## IMPLEMENTATION AND FOLLOW-UP

During the third stage of capacity development replication, **Award of Grant, Implementation and Follow-up**, the grants management process continues, and the ISO begins a formal process of institutional strengthening with their subgrantee CSOs. Tables 3 and 4 below detail the grants management process and then list the steps in the institutional strengthening process.

Both the grants management and institutional strengthening management sections addresses the steps that comprise the transfer of capacities from CSA to the ISO as well as the ISO to CSO replication processes.

**TABLE 3. GRANTS MANAGEMENT REPLICATION STAGE 3. AWARD OF GRANT, IMPLEMENTATION AND FOLLOW-UP**

| GRANTS MANAGEMENT   |  |
|---|--|
| Stage 3. Implementation: During this stage, grants are approved and awarded, and the institutional strengthening process begins with subgrantee CSOs. |  |
| 3.1   | Prepare grant award                              |
| 3.2   | Submit grant award to USAID                      |
| 3.3   | USAID approves grant award                       |
| 3.4   | Notification of grant approval                   |
| 3.5   | Conduct Start-up Meeting                         |
| 3.6   | Conduct programmatic follow-up                   |
| 3.7   | Conduct financial follow-up                      |
| 3.8   | Prepare and submit monthly and quarterly reports |

## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.1 Prepare and submit grant award to USAID

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Mentoring   | Modality Timeframe   |
|--|--|--|--|
| <ul style="list-style-type: none"> <li>CSA advises ISO on how to prepare the Grant Package for each subgrantee.</li> <li>CSA schedules follow-up meetings to respond to any questions on the preparation of Grant Packages.</li> </ul> | <ul style="list-style-type: none"> <li>Grant Package Preparation Guide</li> <li>Grant Package Documents:               <ol style="list-style-type: none"> <li>Selection Memo Cover</li> <li>Selection Memo</li> <li>Grant Certification Format</li> <li>Process Review and Capacity of Applicants Format</li> <li>Grant Agreement template, including:                   <ul style="list-style-type: none"> <li>Scope of the Project</li> <li>Project Budget</li> <li>Budget Notes</li> </ul> </li> <li>Key Personnel CV(s)</li> <li>Request for environmental exclusion</li> <li>Certificate of Compliance with USAID Regulations</li> <li>Data Universal Numbering System (DUNS) number</li> <li>Guide on how to obtain DUNS</li> <li>Indirect Costs Example Letter</li> <li>System for Award Management (SAM) Search</li> </ol> </li> </ul> | <ol style="list-style-type: none"> <li>CSA facilitates orientation session with each ISO on the process of developing and integrating the grant package documents.</li> <li>CSA monitors, documents and reflects upon the performance of the ISO.</li> </ol> | Full period of CSA accompaniment before and during orientation: 3 weeks. |

## ISO to CSO Replication Process

| Modality ISO to CSO   | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
|---|---|--|---|
| <ul style="list-style-type: none"> <li>• ISO prepares the documentation that must be integrated into the Grant Package and advises CSO of the request for documents such as DUNS, indirect cost letter, and USAID Certificate of Compliance, among others.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO reviews the objective and contents of the Grant Package and prepares each of the formats that are included.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO records the information for each of the selected proposals.</li> <li>• ISO identifies the processes and documents required to develop the Grant Package.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn</i>: ISO becomes familiar with the USAID approval process and requirements and identifies learning from the grant package development process.</li> <li>• <i>Reflect</i>: ISO determines whether the learning can immediately inform them on better processes and practices to streamline the grant package development and approval process.</li> <li>• <i>Adapt</i>: ISO makes adjustments to the grant package development process based on learning and reflections.</li> </ul> |

## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.2 Submit grant award to USAID

#### CSA to ISO Transfer Process

| Activities  | Tools, Templates, and Documents                                   | Modality CSA to ISO: Mentoring  | Modality Timeframe   |
|---|---|---|--|
| <ul style="list-style-type: none"> <li>CSA reviews Grant Package and provides advice on how to submit a satisfactory grant award to USAID.</li> </ul> | <ul style="list-style-type: none"> <li>Does not apply.</li> </ul> | I. CSA reviews each grant package, provides comments and recommendations, and indicates any required adjustments prior to USAID submission. | Full period of CSA accompaniment before and during review: 1 week. |

## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.3 USAID approves grant award

#### CSA to ISO Transfer Process

| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Question and Answer (Q&A)  | Modality Timeframe   |
|---|--|---|--|
| <ul style="list-style-type: none"> <li>CSA notifies ISO about approval of Grant Package.</li> <li>CSA advises ISO about drafting the notification letter/email to the selected organization.</li> </ul> | <ul style="list-style-type: none"> <li>USAID award approval notification email.</li> </ul> | I. CSA responds to USAID's questions, and request for information or clarification with each ISO's support and input. | Full period of CSA accompaniment before and during approval: 1 week<br><br>USAID indicates approval or disapproval within the same week. |

## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.5 Conduct Start-up Meeting

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO:<br>Technical Support and Co-Facilitation   | Modality Timeframe  |
|--|--|---|---|
| <ul style="list-style-type: none"> <li>• CSA advises ISO for the development of the contents of the grant start-up meeting.</li> <li>• CSA holds trial grant start-up meeting with ISO.</li> <li>• CSA accompanies ISO during their first grant start-up meeting.</li> </ul> | <ul style="list-style-type: none"> <li>• PowerPoint presentation on grant highlighting deliverables, contractual obligations, procedures for submitting expense reports and processes for requesting and reimbursing funds.</li> </ul> | <p>I. CSA Grants staff accompanies ISO during their grant award visit with subgrantee CSOs and provides technical support to ISO during visit as needed. Grants staff answers questions on USAID regulations throughout implementation.</p> | <p>Full period of CSA accompaniment before and during meeting: 3 days</p> |

## ISO to CSO Replication Process

| Modality ISO to CSO   | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
|---|---|--|---|
| <ul style="list-style-type: none"> <li>• ISO designs grant start-up presentation based on USAID guidelines.</li> <li>• ISO schedules and holds grant start-up meeting with subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO recognizes CSA's learning from prior experience with this process and makes the necessary adjustments to customize the meeting to fit the needs of the program, ISO and subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO records experience of designing, scheduling and facilitating its first grant start-up session.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn and Reflect:</i> ISO identifies learning from first start-up meeting pertaining the participants involved, the discussion topics, support resources and time management.</li> <li>• <i>Adapt:</i> ISO makes adjustments for further start-up meetings based on learning and reflections.</li> </ul> |

## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.6 Conduct programmatic follow-up

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents   | Modality CSA to ISO: Mentoring   | Modality Timeframe                           |
|--|---|--|--|
| <ul style="list-style-type: none"> <li>CSA advises ISO on how to follow-up on programmatic duties and compliance with initial provisions.</li> </ul> | <ul style="list-style-type: none"> <li>Annual Work Plan</li> <li>Monitoring, Evaluation and Learning Plan (MELP)</li> <li>Monthly Progress Report Format</li> <li>Monthly burn rate (expenses) monitoring tracker</li> <li>Monthly financial report</li> <li>USAID Branding and Marking guidelines</li> </ul> | I. One session with each ISO to explain required documents and how they should be completed. | Full period of CSA accompaniment: 1.5 months |



## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.7 Conduct financial follow-up

| CSA to ISO Transfer Process   |  |  |  |
|---|--|--|--|
| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Mentoring   | Modality Timeframe   |
| <ul style="list-style-type: none"> <li>• CSA advises ISO on the financial follow-up to be carried out with each subgrantee CSO.</li> <li>• CSA provides tools to be used by ISO for the monitoring of subgrantee CSO grants.</li> </ul> | <ul style="list-style-type: none"> <li>• Expense Report and Fund Request Format</li> <li>• Estimated Annual Expense Format</li> <li>• Budget Control Tool</li> <li>• Annual Foreign Tax Report Format</li> <li>• Annual Inventory Report Format</li> <li>• Accountability Guide</li> <li>• Grant Manual</li> <li>• Program Management Tools: Grants Tracker</li> </ul> | <ol style="list-style-type: none"> <li>1. One session with each ISO to explain the templates and how they should be completed.</li> <li>2. CSA provides a grants Manual that covers the most relevant topics on transparency and compliance with USAID requisites. This should serve as a basis for each ISO to develop its own manual that they will provide to their subgrantee CSOs.</li> </ol> | <p>Full period of CSA accompaniment: 1.5 months (Process runs in parallel to previous step: Programmatic Follow-up).</p> |

## IMPLEMENTATION OF GRANTS MANAGEMENT

### 3.8 Prepare and submit monthly and quarterly reports

| CSA to ISO Transfer Process  |   |   |  |
|--|---|---|--|
| Activities   | Tools, Templates, and Documents   | Modality CSA to ISO: Various  | Modality Timeframe                                     |
| <ul style="list-style-type: none"> <li>• CSA accompanies ISO as they carry out several management processes to follow-up on programmatic, contractual and financial tasks.</li> <li>• CSA reviews and provides feedback on monthly and quarterly reports.</li> </ul> | <ul style="list-style-type: none"> <li>• Quarterly Report Format</li> </ul> | I. Remote support, coaching workshops, and field visits by Grants, M&E and Capacity Development staff on how Quarterly Reports should be completed and submitted. | Full period of CSA accompaniment: 3 weeks per quarter. |

## ISO to CSO Replication Process

| Modality ISO to CSO   | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
|---|---|--|---|
| <ul style="list-style-type: none"> <li>• ISO trains subgrantee organizations on the preparation of quarterly reports.</li> <li>• ISO reviews reports and provides feedback to CSO in order to verify compliance of report documentation.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO designs CSO training content.</li> <li>• ISO prepares logistics and scheduling for trainings with CSOs.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO files the final versions of the quarterly reports, as well as the approval format and mail that support the notification to its subgrantee CSOs.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learn and Reflect:</i> ISO identifies the hurdles and recommendations for the appropriate follow-up of Subgrantee CSO quarterly reports.</li> <li>• <i>Adapt:</i> ISO defines the most effective and efficient communication processes and channels to submit quality reports and meet the due dates simultaneously.</li> </ul> |

Table 4 details the steps in the institutional strengthening process for Stage 3 of capacity development replication, Implementation and Follow-up, which involves the award of the grant, implementation and follow-up. The institutional strengthening section provides information on both the transfer of capacities from CSA to the ISO as well as the ISO to CSO replication process.

**TABLE 4. INSTITUTIONAL STRENGTHENING REPLICATION STAGE 3. AWARD OF GRANT, IMPLEMENTATION AND FOLLOW-UP.**

| INSTITUTIONAL STRENGTHENING MANAGEMENT  |   |
|---|---|
| <b>Stage 3. Implementation of Institutional Strengthening Management:</b><br>During this stage, grants are approved and awarded, and the institutional strengthening process begins with subgrantee CSOs. |   |
| 3.1   | Formalize institutional strengthening agreement                 |
| 3.2   | Conduct institutional strengthening launch visit                |
| 3.3   | Implement participatory assessment with first subgrantee CSO    |
| 3.4   | Analyze and synthesize assessment findings                      |
| 3.5   | Draft and deliver report on findings and recommendations        |
| 3.6   | Present assessment findings and recommendations                 |
| 3.7   | Develop and finalize work plan                                  |
| 3.8   | Deliver Institutional Strengthening work plan                   |
| 3.9   | Implement first Solution Package with subgrantee CSOs (A and B) |
| 3.10  | Implement Monitoring, Evaluation and Learning (MEL) practices   |

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.1 Formalization of institutional strengthening agreement.

| CSA to ISO Transfer Process   |   |  |                    |
|---|---|--|--------------------|
| Activities  | Tools, Templates, and Documents                               | Modality CSA to ISO: Technical Support   | Modality Timeframe |
| <ul style="list-style-type: none"> <li>CSA provides ISO guidance on how to prepare and sign the Letter of Intent (LOI) with the first subgrantee CSO, formalizing the institutional strengthening agreement.</li> </ul> | <ul style="list-style-type: none"> <li>LOI Format.</li> </ul> | I. Capacity Development staff provides technical support to ISO to draft the LOI with subgrantee CSOs and accompanies ISO during the signing of LOI with one Subgrantee CSO if needed. | I. 2 hours         |

## ISO to CSO Replication Process

| Modality ISO to CSO  | ISO Preparations   | Systematization   | Learning, Reflection and Adaptation  |
|--|--|---|--|
| <ul style="list-style-type: none"> <li>• ISO prepares the LOI to sign during the launch event. The LOI formalizes the institutional strengthening agreement between the ISO and subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO drafts LOI for each subgrantee CSO.</li> <li>• ISO prepares key talking points on the importance of developing capacities in institutional strengthening for CSO performance.</li> <li>• ISO prepares logistics and arrange dates for institutional strengthening launch event with each subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO scans and archives signed LOIs within file dedicated to each subgrantee organization.</li> <li>• ISO documents members of Stakeholder Group who will lead institutional strengthening process within each organization.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Learning:</i> ISO establishes relationship with subgrantee CSOs and becomes familiar with the profile of the organization and key stakeholders.</li> </ul> |

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.2 Conduct institutional strengthening launch visit

| CSA to ISO Transfer Process  |  |   |                    |
|--|--|---|--------------------|
| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Technical Support  | Modality Timeframe |
| <ul style="list-style-type: none"> <li>CSA accompanies ISO during the launch event for institutional strengthening with its first subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>Presentation on CSA's systematic approach to capacity development.</li> <li>CSA provides draft of Frequently Asked Questions (FAQ) sheet to ISO.</li> </ul> | 1. CSA Capacity Development team provides support to ISO as they develop their presentation for the launch event.                       | 1. 1 day           |
|  |  | 2. CSA accompanies ISO during the launch visit with the first subgrantee CSO and assists in providing responses to questions as needed. | 2. 1 day           |

## ISO to CSO Replication Process

| Modality  | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation  |
|---|---|--|--|
| <ul style="list-style-type: none"> <li>ISO provides in-person presentation on institutional strengthening, explaining CSA's systemic approach to capacity development, process and assessment tools.</li> </ul> | <ul style="list-style-type: none"> <li>ISO prepares PowerPoint presentation on institutional strengthening and what the process entails, customized to the needs of each subgrantee CSO (considering audience, implementation period, staff participation in the capacity development process, etc.)</li> <li>ISO prepares facilitation guide outlining the objectives, timing, resources needed, etc.</li> <li>ISO completes FAQs sheet, adding content based on its own experience during the institutional strengthening process.</li> </ul> | <p><i>During the presentation:</i></p> <ul style="list-style-type: none"> <li>ISO documents CSO's reactions, concerns, and feedback during the session.</li> </ul> <p><i>After the presentation:</i></p> <ul style="list-style-type: none"> <li>ISO scans and archives attendance list.</li> </ul> | <p><i>After the presentation:</i></p> <ul style="list-style-type: none"> <li><i>Learn:</i> Administer satisfaction survey to participants.</li> <li><i>Reflect:</i> Carry out post-presentation session with ISO to reflect on survey results and subjective interpretations of mood, possible resistance and degree of openness to take part in the institutional strengthening process.</li> <li><i>Adapt:</i> Update the FAQs and answers based on documented questions and doubts that arise during the presentation session.</li> <li><i>Adapt and Plan:</i> Update presentation to ensure sufficient clarity of messages, based on the experience with the first Subgrantee CSO, for the following launch visits.</li> </ul> |



## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.3 Implement participatory assessment with first subgrantee CSO

#### CSA to ISO Transfer Process

| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Technical Support   | Modality Timeframe   |
|---|--|--|--|
| <ul style="list-style-type: none"> <li>• CSA accompanies the ISO during the facilitation of the participatory organizational assessment with the first Subgrantee CSO:</li> <li>- OCA with all 8 areas of performance assessment</li> <li>- Organizational Performance Index (OPI)</li> <li>- Stakeholder Mapping</li> <li>- Targeted Interviews and Document Review</li> </ul> | <ul style="list-style-type: none"> <li>• Assessment Tools:               <ul style="list-style-type: none"> <li>- Organizational Capacity Assessment (OCA)</li> <li>- Organizational Performance Index (OPI)</li> <li>- Stakeholder Mapping</li> <li>- Social Network Analysis (SNA) survey results are processed by CSA</li> </ul> </li> <li>• Instructions and recommendations for the application and facilitation of each tool.</li> <li>• Sample questions for targeted interviews with key staff and Board members.</li> <li>• Document review spreadsheet.</li> </ul> | <ol style="list-style-type: none"> <li>1. CSA provides tools, instructions and recommendations to ISO prior to the facilitation of the first organizational assessment.</li> <li>2. CSA provides on-site technical support during the facilitation of the assessment with first subgrantee CSO in order to respond to questions during the session as needed.</li> </ol> | <ol style="list-style-type: none"> <li>1. 2-3 days</li> <li>2. 2-3 days</li> </ol> |

## ISO to CSO Replication Process

| Modality  | ISO Preparations   | Systematization   | Learning, Reflection and Adaptation  |
|---|--|---|--|
| <ul style="list-style-type: none"> <li>• ISO applies organizational performance assessment tools in a participatory fashion during group sessions with selected participants.</li> <li>• ISO holds individual sessions to conduct targeted interviews with key staff and Board Members, and conduct document review.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO schedules assessment session(s) and communicates the participation required from subgrantee CSO staff and Executive Board, as well as the schedule and resources required for each session.</li> <li>• ISO prepares facilitation guide for assessment sessions that indicate the objective, timing, facilitation techniques, etc.</li> <li>• ISO prepares materials for facilitation, including scoring notecards, post-its, markers, and other supplies as needed.</li> <li>• ISO prepares a list of participants for each session.</li> </ul> | <p><i>During the sessions:</i></p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, and feedback during the session.</li> <li>• ISO documents any challenges faced during the facilitation of the participatory organizational assessment sessions.</li> </ul> | <p><i>After the sessions:</i></p> <ul style="list-style-type: none"> <li>• <i>Learn:</i> <ul style="list-style-type: none"> <li>- Administer satisfaction survey to Subgrantee CSO participants in organizational assessment.</li> <li>- Administer survey of knowledge before and after facilitation of the assessment tool.</li> </ul> </li> <li>• <i>Reflect:</i> ISO holds a session to reflect on satisfaction and learning survey results as well as questions and challenges documented during assessment sessions.</li> <li>• <i>Adapt and Plan:</i> Update the facilitation design of future assessment sessions based on reflections on previous sessions and the systematization of lessons learned.</li> </ul> |

The following section describes the Integrated Assessment Tool:

## **INTEGRATED ASSESSMENT TOOL**

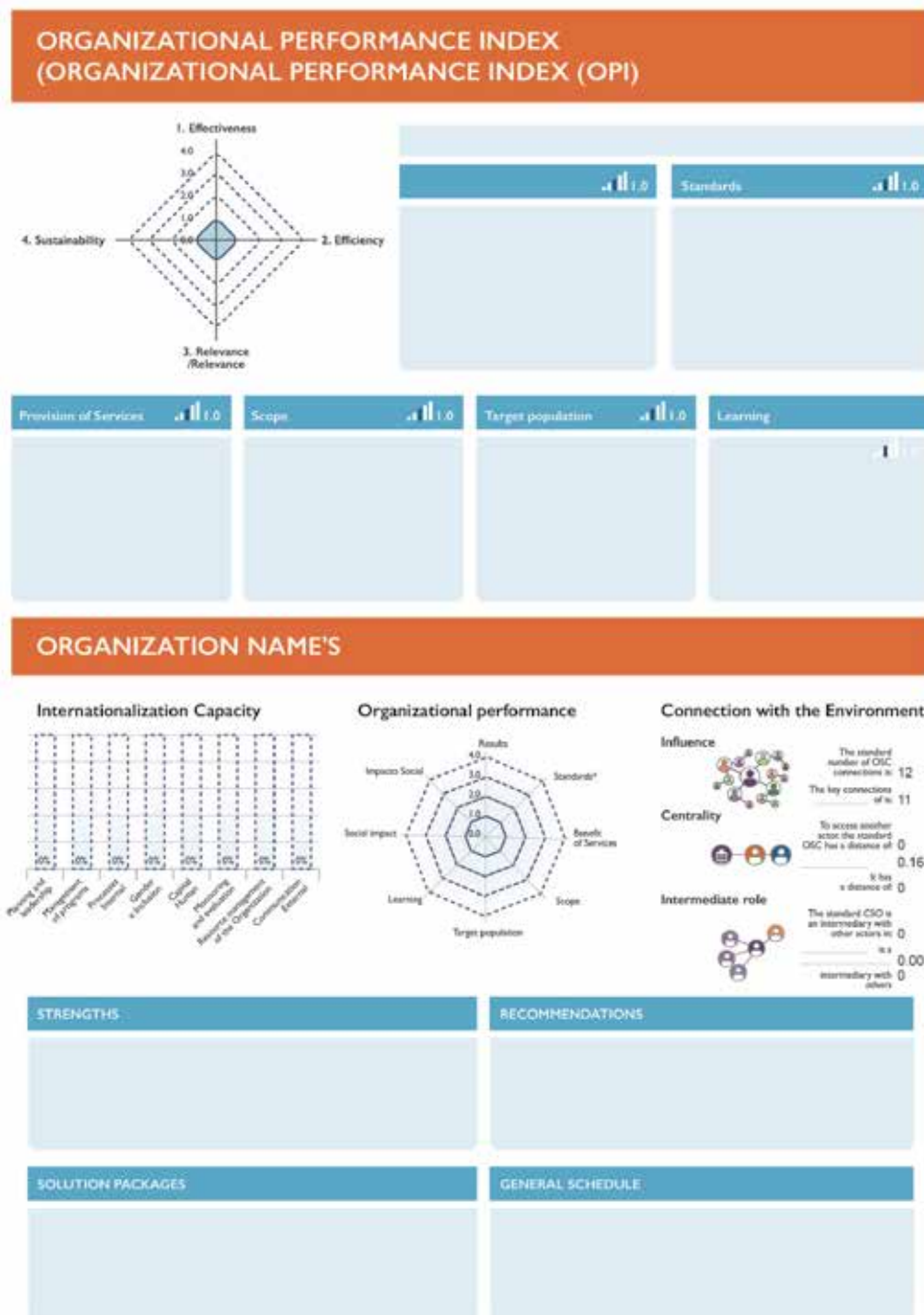
During the organizational performance assessment, the ISO utilizes a semi-automated tool that integrates three assessment tools:

- **Organizational Capacity Assessment (OCA):** assessment of internal capacities and processes.
- **Organizational Performance Index (OPI):** measurement of organizational performance.
- **Stakeholder Mapping:** visualization of the organization's ability to collaborate and interact with other actors in their local system.

This innovative, user-friendly tool automatically generates infographics depicting areas of opportunity and strengths based on assessment findings, which ISOs can then easily integrate into the Report on Findings and Recommendations. Figure 1 provides a glimpse into CSA's integrated assessment tool.

Social Network Analysis (SNA) is a measurement tool that complements the Integrated Assessment Tool which contains OCA, OPI and Stakeholder Mapping. The survey results of SNA are processed by Civil Society Activity staff who provide the results to the ISO so that they may deliver them to their subgrantee CSOs. SNA provides a measurement of the system in which partner organizations operate and guides organizations in improving their connections and collaboration within their environment.

FIGURE 4. CIVIL SOCIETY ACTIVITY'S INTEGRATED ASSESSMENT TOOL



## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.4 Analyze and synthesize assessment findings

| CSA to ISO Transfer Process   |   |   |   |
|---|---|---|---|
| Activities  | Tools, Templates, and Documents   | Modality CSA to ISO: Workshops and Remote Support   | Modality Timeframe  |
| <ul style="list-style-type: none"> <li>CSA accompanies ISO in the synthesis and analysis of findings of the organizational performance assessment with first Subgrantee CSO. The analysis should focus on root causes of gaps in organizational performance using a systemic approach.</li> </ul> | <ul style="list-style-type: none"> <li>Findings from assessment tools:               <ul style="list-style-type: none"> <li>OCA</li> <li>OPI</li> <li>SNA</li> <li>Stakeholder Mapping</li> </ul> </li> </ul> | <ol style="list-style-type: none"> <li>CSA facilitates an in-person workshop with ISO after the final assessment session to analyze findings and infographics generated by assessment tools.</li> <li>CSA transfers solution packages to ISO and describes the process of prioritizing, tailoring and implementing solution packages in collaboration with a consultant specialist. (See following section for information on Solution Packages.)</li> <li>CSA provides remote support during ISO's analysis of assessment findings.</li> </ol> | <ol style="list-style-type: none"> <li>2 weeks</li> <li>Varies</li> </ol> |

## ISO to CSO Replication Process

| Modality   | ISO Preparation  | Systematization   | Learning, Reflection and Adaptation  |
|--|--|---|--|
| <ul style="list-style-type: none"> <li>• ISO holds internal work sessions to analyze and synthesize assessment findings (with CSA support).</li> </ul> | <ul style="list-style-type: none"> <li>• ISO prepares preliminary assessment findings with infographics.</li> <li>• CSA and ISO conduct joint analysis of assessment results with first CSO and prioritize the solution package to propose. (See following section on Solution Packages for more detail).</li> </ul> | <ul style="list-style-type: none"> <li>• ISO documents how it arrived at solution package recommendations and prepares solution package materials for presentation.</li> <li>• ISO documents challenges and best practices experienced during the synthesis and analysis of assessment findings.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Reflect and Learn:</i> ISO reflects on the results of the synthesis and analysis process with the first subgrantee CSO to identify which processes should be replicated and which should be adjusted or discontinued.</li> <li>• <i>Adapt and Plan:</i> ISO updates the methodological design for future internal group work sessions to synthesize and analyze assessment findings with the rest of the subgrantee CSOs.</li> </ul> |

The following section describes Solution Packages:

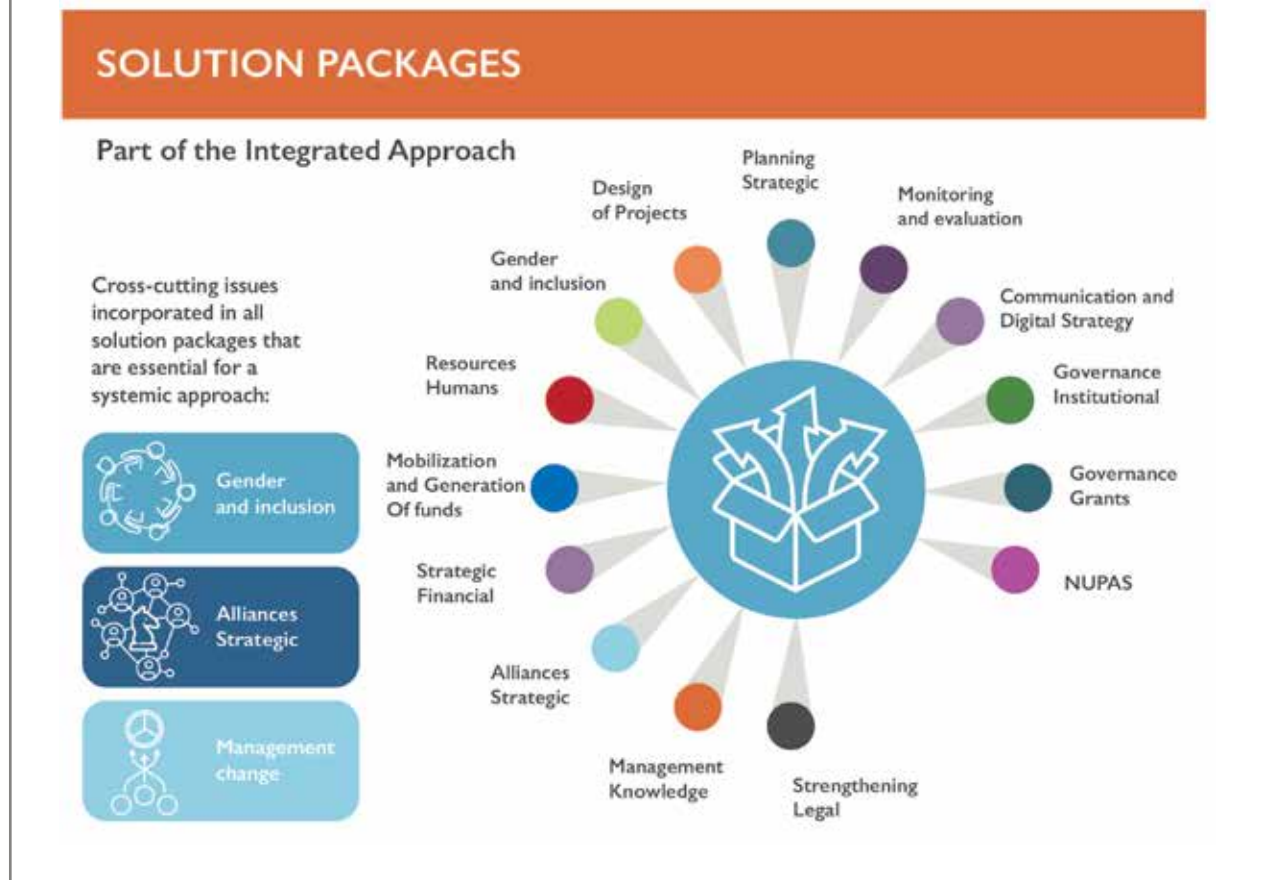
## SOLUTION PACKAGES

Solution packages are tailored capacity development interventions that ISOs agree upon and implement in collaboration with the subgrantee CSO based on assessment findings and priorities expressed by the CSO stakeholder group. Each solution package sets the gold standard for the types of capacities to be strengthened across a series of thematic areas, which are depicted in Figure 3. Solution package content provides objectives, curricula, didactic resources, presentations, and bibliographic materials, among other elements. Each solution package may be implemented with in-person, distance- or self-learning modalities.

Once the ISO and subgrantee CSO agree upon which solution package to apply, the ISOs will adapt the contents and implementation to meet the needs and interests of the subgrantee CSO, working in partnership with consultants who are specialists in the thematic areas the packages cover. By design, solution packages strengthen internal systems and capacities while also strengthening organizations' performance and impact within their local system, due in large part to the following cross-cutting themes that run through each solution package:

- **Gender Perspective and Inclusivity:** Strengthening organizations in the institutionalization of internal systems, policies, procedures and practices that enforce gender equality and equity, and that promote the inclusion of other minorities, including LGBTTTQI+, indigenous and disabled populations, among others. Gender perspective and inclusivity have been mainstreamed in many, though not all, solution packages.
- **Change Facilitation:** A step beyond the logic of change management, which assumes that change can be controlled, change facilitation refers to the strengthening of organizations' abilities to respond adaptively to changing environments by embracing practices of learning, systematization, collaboration and adaptation.
- **Local Systems Approach:** Given CSA's systemic approach to capacity development, it is important for each intervention to address the strengthening of internal organizational capacities in ways that directly contribute both to improved organizational performance and to solidifying the organizations' position within and beyond the civil society sector. This requires that each solution package be designed and implemented according to the organization's position in and contribution to their local system.

FIGURE 5. CSA'S SOLUTION PACKAGES FOR TAILORED CAPACITY DEVELOPMENT





## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.5 Draft and deliver report on findings and recommendations

| CSA to ISO Transfer Process   |   |   |                    |
|---|---|---|--------------------|
| Activities  | Tools, Templates, and Documents   | Modality CSA to ISO: Mentoring  | Modality Timeframe |
| <ul style="list-style-type: none"> <li>CSA presents the minimum requirements and format of the report and PowerPoint presentation on assessment findings and recommendations to ISO.</li> </ul> | <ul style="list-style-type: none"> <li>Template of report on findings and recommendations of the participatory assessment with one Subgrantee CSO.</li> <li>Template of PowerPoint presentation on assessment findings and recommendations.</li> <li>CSA's Solution Packages. (See previous step.)</li> </ul> | 1. CSA provides templates of report and presentation to ISO.  | 1. 1 day           |
|   |   | 2. ISO drafts report on findings, conclusions and recommendations on organizational performance assessment. | 2. 2 weeks         |
|   |   | 3. CSA provides feedback and recommendations to ISO on Report draft with first Subgrantee CSO.              | 3. 3 days          |
|   |   | 4. ISO later revises the Report based on CSA recommendations.   | 4. 2 days          |

## ISO to CSO Replication Process

| Modality  | ISO Preparations   | Systematization  | Learning, Reflection and Adaptation   |
|---|--|--|---|
| <ul style="list-style-type: none"> <li>• ISO drafts and delivers report to its subgrantees on findings, conclusions and recommendations.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO drafts a report on assessment findings, conclusions and recommendations with infographics that demonstrate results (OCA, OPI, SNA, Stakeholder Mapping).</li> <li>• ISO reviews CSA Solution Packages to prioritize recommended solutions based on analysis of findings and the needs of the organization.</li> <li>• ISO prepares Executive Summary of assessment results that indicates recommended Solution Packages.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO documents lessons learned, and best practices experienced during the process of drafting the report with the first subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Reflect and Learn:</i> ISO reflects on the process of preparing the first report, documents lessons learned, and identifies possible adjustments to methodology and approach for drafting the reports of other subgrantee CSOs.</li> <li>• <i>Adapt and Plan:</i> ISO adjusts the methodology and approach for drafting reports for the rest of the subgrantee CSO reports based on lessons learned.</li> </ul> |

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.6 Present assessment findings and recommendations

| CSA to ISO Transfer Process  |  |  |                    |
|--|--|--|--------------------|
| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Technical Support / Co-Facilitation   | Modality Timeframe |
| <ul style="list-style-type: none"> <li>CSA accompanies ISO during the presentation of findings and recommendations of the participatory assessment to first subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>PowerPoint presentation on findings and recommendations based on the results of the participatory organizational assessment, (OCA, OPI, SNA, Stakeholder Mapping) (See Resources section).</li> </ul> | I. CSA provides on-site technical support and co-facilitation during the presentation on findings and recommendations with the first subgrantee CSO. | I. 1 day           |

## ISO to CSO Replication Process

| Modality  | ISO Preparations  | Systematization   | Learning, Reflection and Adaptation  |
|---|---|---|--|
| <ul style="list-style-type: none"> <li>• ISO facilitates a presentation on the results and recommendations of organizational performance assessment to subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO schedules presentation and communicates which members of the subgrantee CSO should participate, as well as the schedule and materials needed.</li> <li>• ISO delivers a digital version of the report to subgrantee CSO prior to presentation session and distributes hard copies of report the day of the presentation.</li> <li>• ISO presents a PowerPoint presentation on findings, conclusions and recommendations of the organizational performance assessment with emphasis on the participatory process. (See Resources section.)</li> <li>• ISO prepares a facilitation guide that is structured according to the characteristics of the target audience, adjusting the balance of qualitative or quantitative elements accordingly.</li> </ul> | <p><i>During the presentation:</i></p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, and feedback during the session.</li> <li>• ISO systematizes and archives notes taken during the presentation and discussion of findings.</li> <li>• ISO documents any preliminary agreements reached with CSO as well as unresolved matters.</li> </ul> | <p><i>After the presentation:</i></p> <ul style="list-style-type: none"> <li>• <i>Learn:</i> ISO administers satisfaction and learning surveys to participants during presentation.</li> <li>• <i>Reflect and Learn:</i> ISO reflects on the results of the satisfaction and learning surveys as well as lessons learned during the presentation.</li> <li>• <i>Adapt and Plan:</i> ISO updates the facilitation and presentation approach of future presentations based on lessons learned from the process with the first subgrantee CSO.</li> </ul> |

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.7 Develop and finalize work plan

| CSA to ISO Transfer Process  |   |  |   |
|--|---|--|---|
| Activities   | Tools, Templates, and Documents   | Modality CSA to ISO: Mentoring   | Modality Timeframe  |
| <ul style="list-style-type: none"> <li>CSA accompanies ISO during a participatory session with leadership of first subgrantee CSO to reach agreements on priority solutions, timeline, budget, roles and responsibilities for implementation of the institutional strengthening plan.</li> </ul> | <ul style="list-style-type: none"> <li>Work Plan template</li> <li>Instructions and recommendations for work plan completion</li> <li>Guidelines, recommendations and templates for the process of hiring consultant specialists who implement solution packages</li> </ul> | <ol style="list-style-type: none"> <li>CSA guides ISO on how to develop the work plan prior to meeting with the subgrantee CSO.</li> <li>CSA accompanies ISO during the work planning session with first subgrantee CSO.</li> <li>CSA mentors ISO on how to hire, train and manage consultants in charge of implementing solution packages. (See following section on Consultant Recruitment and Management.)</li> </ol> | <ol style="list-style-type: none"> <li>1 day (remote)</li> <li>1 day (in-person)</li> </ol> |

## ISO to CSO Replication Process

| Modality   | ISO Preparation  | Systematization   | Learning, Reflection and Adaptation   |
|--|--|---|---|
| <ul style="list-style-type: none"> <li>• ISO holds a participatory session to reach agreements and develop a work plan for first subgrantee CSO with CSA support.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO prepares work plan document (ISO may adjust the format as deemed necessary).</li> <li>• ISO sets the date and prepares agenda for work session with subgrantee CSO to prioritize solutions, determine timeline, budget, roles and responsibilities.</li> <li>• ISO begins the process of recruiting, contracting and onboarding consultants. (See following section for more information).</li> </ul> | <p><i>During the session:</i></p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, and feedback during the session.</li> <li>• ISO documents challenges and best practices experienced during the participatory session.</li> <li>• ISO documents all agreements on solutions, implementation timeline, budget, roles and responsibilities.</li> </ul> | <p><i>After the session:</i></p> <ul style="list-style-type: none"> <li>• <i>Reflect and Learn:</i> ISO reflects on the process of preparing the first work plan with the first subgrantee CSO to identify lessons learned.</li> <li>• <i>Adapt and Plan:</i> ISO updates the methodology and approach for future participatory sessions to design work plans with other Subgrantee CSOs based on lessons learned.</li> </ul> |

The following section describes the process for recruiting and managing consultants:

## CONSULTANT RECRUITMENT AND MANAGEMENT

Solution package implementation requires hiring and training consultant specialists with expertise in the areas of organizational performance that the subgrantee CSO has prioritized. The process of hiring, training, and assigning consultants includes a series of steps that should be managed by the individual or organizational unit responsible for Human Resources within the ISO. Figure 4 demonstrates the steps required to hire, train and assign consultant specialists, which concludes with the design of tailored work plans for solution package implementation. The process depicted in Figure 4 takes one month to complete.

FIGURA 6. CONSULTANT RESOURCING FOR STEP-BY-STEP



## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.8 Deliver Institutional Strengthening work plan

| CSA to ISO Transfer Process  |  |   |                    |
|--|--|---|--------------------|
| Activities   | Tools, Templates, and Documents  | Modality: Remote Technical Assistance   | Modality Timeframe |
| <ul style="list-style-type: none"> <li>CSA provides support to ISO during preparation of the Institutional Strengthening work plan, which provides details on the solution package(s) the ISO will implement with the Subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>Institutional Strengthening work plan template</li> <li>CSA Solution Packages</li> <li>Letter of Intent (LOI) template</li> </ul> | I. CSA provides remote technical assistance during the development, review and approval of the Institutional Strengthening work plan with the first subgrantee CSO. | I. 1 week          |



## ISO to CSO Replication Process

| Modality   | Resources   | Systematization   | Learning, Reflection and Adaptation   |
|--|---|---|---|
| <ul style="list-style-type: none"> <li>• ISO collaborates with Subgrantee CSO to develop, review and approve the Institutional Strengthening work plan. Afterwards, ISO signs a second LOI to formalize the Institutional Strengthening plan.</li> </ul> | <ul style="list-style-type: none"> <li>• Subgrantee CSO Institutional Strengthening work plan.</li> <li>• Agenda and Capacity Development 2.0 reference materials.</li> </ul> | <p><i>During the creation of the Institutional Strengthening work plan:</i></p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, and feedback during the joint development, review and approval of the Institutional Strengthening work plan.</li> </ul> | <p><i>After the creation of the Institutional Strengthening work plan:</i></p> <ul style="list-style-type: none"> <li>• <i>Reflect and Learn:</i> ISO reflects on the process of creating the Institutional Strengthening work plan to identify lessons learned.</li> <li>• <i>Adapt and Plan:</i> ISO updates their methodology and approach to drafting the Institutional Strengthening plan in the future with other subgrantee CSOs. Additionally, ISO considers possible adjustments to the format of the Institutional Strengthening plan, if necessary.</li> </ul> |

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.9 Implement and Monitor first Solution Package with first subgrantee CSO, Part A

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents   | Modality: Mentoring   | Modality Timeframe  |
|--|---|---|---|
| <ul style="list-style-type: none"> <li>• CSA accompanies ISO as they coordinate the implementation of the first solution package with the first subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• Solution package(s) approved by the organization as part of their Institutional Strengthening plan.</li> <li>• Approved Institutional Strengthening plan. (See following section for more details on the creation of an Institutional Strengthening work plan).</li> <li>• Satisfaction and learning surveys to be administered during the implementation of each solution package.</li> </ul> | I. CSA accompanies the ISO remotely during implementation of the first solution package to systematize the process and provide guidance on the management of consultants, the application of satisfaction and learning surveys, and any adjustments to the work plan. | I. 2-3 months (or the period of time in which the first solution packages is implemented with the Subgrantee CSO) |

| ISO to CSO Replication Process  |   |   |  |
|---|---|---|--|
| Modality  | ISO Preparations  | Systematization   | Learning, Reflection and Adaptation  |
| <ul style="list-style-type: none"> <li>ISO coordinates the implementation of the first solution package with consultant specialists utilizing the selected modality (Mentoring, Coaching, Workshop, Webinar, Work Session, etc.)</li> </ul> | <ul style="list-style-type: none"> <li>ISO coordinates the development of a work plan proposal (PowerPoint) for implementation of each solution package in collaboration with consultant-specialists, in dialogue with the Subgrantee CSO. (See following section for more details on the creation of an Institutional Strengthening work plan).</li> <li>ISO coordinates the tailoring of each solution package by consultant specialist based on the needs of the subgrantee CSO, consulting findings from the organizational performance assessment. The consultant specialist delivers a work plan detailing the scope of content, proposed modalities and schedule.</li> </ul> | <p><i>During implementation:</i></p> <ul style="list-style-type: none"> <li>ISO documents CSO's reactions, concerns, and feedback during the implementation of the solution package.</li> <li>ISO documents best practices and challenges in managing consultants during implementation of solutions packages using CSA's Systematization template</li> </ul> | <p><i>Following implementation:</i></p> <ul style="list-style-type: none"> <li><i>Learn:</i> ISO coordinates the application of surveys to subgrantee CSO on key concepts, skills and practices before and after each intervention during implementation of the solution packages via consultants.</li> <li><i>Learn:</i> ISO coordinates the application of satisfaction surveys to subgrantee CSO after each intervention during implementation of the solution packages via consultants.</li> <li><i>Reflect and Learn:</i> ISO reflects on the results of satisfaction and learning surveys to determine what adjustments should be made. Also, ISO systematizes all resources utilized during implementation of solution packages.</li> </ul> |

|  |   |  |   |
|--|---|--|---|
|  | <ul style="list-style-type: none"> <li>• ISO and consultant specialist present the proposed work plan for each solution package to subgrantee CSO to reach agreements on modalities, schedule and persons responsible.</li> <li>• ISO coordinates the tailoring of facilitation guides by consultant specialists to ensure appropriate adaptation of each solution package, modality and contents, which are tailored to meet the needs of the subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO systematizes and analyzes results from the learning and satisfaction surveys administered during each intervention when implementing solution packages. These learning and satisfaction surveys are to serve as M&amp;E instruments.</li> </ul> | <ul style="list-style-type: none"> <li>• <i>Adapt and Plan:</i> ISO adjusts solution package design and implementation based on reflections and lessons learned with the first subgrantee CSO. ISO should consider modifications to solution package contents and resources for implementation with the remaining Subgrantee CSOs.</li> </ul> |
|--|---|--|---|

The following section describes the process for tailoring and implementing solution packages:

## TAILORING AND IMPLEMENTATION OF SOLUTION PACKAGES

The process of tailoring the solution package for each subgrantee CSO is an individualized process rooted in USAID’s Collaborating, Learning and Adapting (CLA) approach. The process is presented in Figure 5.

**FIGURE 7. STEPS TO SELECTING, TAILORING AND IMPLEMENTING SOLUTION PACKAGES.**



As indicated in Figure 5, ISOs collaborate with consultants and subgrantee CSOs to develop a work plan for solution package implementation. Figure 6 provides an example of the Institutional Strengthening work plan that ISOs create and agree upon with the subgrantee CSO prior to implementation, which indicates the period of implementation, general and specific objectives, modalities, and notes on the tailoring of contents. **(See Resources section).**

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.9 Implement and Monitor first Solution Package with first subgrantee CSO, Part B

| CSA to ISO Transfer Process  |   |  |   |
|--|---|--|---|
| Activities   | Tools, Templates, and Documents   | Modality: Remote Coaching  | Modality Timeframe  |
| <ul style="list-style-type: none"> <li>• ISO provides follow-up on implementation of the first solution package and identifies improvements in the performance of subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>• Solution package</li> <li>• Satisfaction surveys</li> <li>• Learning surveys</li> <li>• Template to Systematize Lessons Learned</li> </ul> | I. CSA provides remote support to guide the ISO in systematizing the implementation of the first solution package with the first subgrantee CSO and in identifying progress in institutional performance | I. 2-3 months (during the implementation of the first solution package) |

## ISO to CSO Replication Process

| Modality  | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation  |
|---|---|--|--|
| <ul style="list-style-type: none"> <li>• ISO provides guidance to the subgrantee CSO on the systematization of experience and learning</li> </ul> | <ul style="list-style-type: none"> <li>• ISO provides concrete steps to subgrantee CSO on how to systematize learning during the implementation of the solution package with, utilizing CSA systematization tools and templates.</li> <li>• ISO monitors and systematizes solution package implementation with subgrantee CSOs. (See following section for more details).</li> <li>• ISO prepares and applies learning and satisfaction surveys during each intervention during solution package implementation.</li> </ul> | <p><i>During solution package implementation:</i></p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, and feedback during implementation of the solution package.</li> <li>• ISO documents challenges and best practices during implementation of the solution package.</li> </ul> | <p><i>After solution package implementation:</i></p> <ul style="list-style-type: none"> <li>• <i>Learn:</i> ISO interviews subgrantee CSO to identify progress made in organizational performance and lessons learned during the implementation of the solution package.</li> <li>• <i>Learn:</i> ISO guides subgrantee CSO in identifying areas to continue improving through capacity development in the future.</li> <li>• <i>Adapt and Plan:</i> ISO identifies effective systematization and learning evaluation practices during solution package implementation with the first subgrantee CSO to replicate with remaining subgrantee CSOs.</li> </ul> |

## MONITORING AND SYSTEMATIZING IMPLEMENTATION

ISOs are provided with an automated tool for monitoring solution package implementation, which includes a Tracker that lists the various steps in the capacity development process. ISOs may use this Tracker to report progress made and identify any delays. Figure 7 provides an example of the Tracker that ISOs may use for monitoring. (See Resources section).

**FIGURE 8. MONITORING PROGRESS DURING IMPLEMENTATION**

| ISO  | FECHAS  |        |        |        |        |        |        |        |        |        |
|--|---|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| SUBGRANTEE   | ALIANZA PARA COLABORACIONES FRONTERIZAS, A.C. |        |        |        |        |        |        |        |        |        |
| DESCRIPCIÓN DEL PROCESO  | OCT 18  | NOV 18 | DIC 18 | ENE 19 | FEB 19 | MAR 19 | ABR 19 | MAY 19 | JUN 19 | JUL 19 |
| RFR-01 Estableciendo el Stakeholder Group  |   |        |        |        |        |        |        |        |        |        |
| RFR-02 Stakeholder meeting   |   |        |        |        |        |        |        |        |        |        |
| RFR-03 Reunión para presentar el Proceso de Fortalecimiento Institucional de CSA                               |   |        |        |        |        |        |        |        |        |        |
| RFR-04 Reunión Stakeholder Group para revisar las herramientas de autodiagnóstico                              |   |        |        |        |        |        |        |        |        |        |
| RFR-05 Implementación del Autodiagnóstico de Desempeño Institucional   |   |        |        |        |        |        |        |        |        |        |
| RFR-06 Aplicación de mapeo de sistemas   |   |        |        |        |        |        |        |        |        |        |
| RFR-07 Análisis de resultados de la herramienta de autodiagnóstico y el mapeo de Sistemas                      |   |        |        |        |        |        |        |        |        |        |
| RFR-08 Revisión documental   |   |        |        |        |        |        |        |        |        |        |
| RFR-09 Encuestas y entrevistas dirigidas   |   |        |        |        |        |        |        |        |        |        |
| RFR-10 Análisis de las Causas Raíz de Brechas del Desempeño Institucional (Fishbone Analysis, etc.)            |   |        |        |        |        |        |        |        |        |        |
| RFR-12 Línea base del Autodiagnóstico de Desempeño Institucional   |   |        |        |        |        |        |        |        |        |        |
| RFR-13 Sistematización de los hallazgos del Mapeo de Sistemas  |   |        |        |        |        |        |        |        |        |        |
| RFR-14 Línea de base de mapeo de sistemas  |   |        |        |        |        |        |        |        |        |        |
| RFR-15 Desarrollo y entrega del reporte de hallazgos y conclusiones consolidados del Autodiagnóstico y Mapeo   |   |        |        |        |        |        |        |        |        |        |
| RFR-16 Presentación del reporte a la OSC   |   |        |        |        |        |        |        |        |        |        |
| RFR-17 Sesión con el Stakeholder Group para desarrollar el plan de acción para la implementación de soluciones |   |        |        |        |        |        |        |        |        |        |
| RFR-18 Adecuación del /de los paquete(s) de solución   |   |        |        |        |        |        |        |        |        |        |
| RFR-19 Presentación de Diagnóstico y acuerdo inicial   |   |        |        |        |        |        |        |        |        |        |
| RFR-20 Plan de Trabajo   |   |        |        |        |        |        |        |        |        |        |
| RFR-21 Taller presencial (PS01)  |   |        |        |        |        |        |        |        |        |        |
| RFR-22 Seguimiento (PS01)  |   |        |        |        |        |        |        |        |        |        |
| RFR-23 Aprobación de productos del paquete (PS01)  |   |        |        |        |        |        |        |        |        |        |
| RFR-24 Evaluación (PS01)   |   |        |        |        |        |        |        |        |        |        |
| RFR-25 Taller presencial (PS02)  |   |        |        |        |        |        |        |        |        |        |
| RFR-26 Seguimiento (PS02)  |   |        |        |        |        |        |        |        |        |        |
| RFR-27 Aprobación de productos del paquete (PS02)  |   |        |        |        |        |        |        |        |        |        |
| RFR-28 Evaluación (PS02)   |   |        |        |        |        |        |        |        |        |        |

Additionally, ISOs are also expected to systematize lessons learned during solution package implementation using the After-Action Review. The After-Action Review (AAR) is a process of reflection that is carried out by asking four key questions. The exercise presents an opportunity to review projects, activities and events in order to (1) establish what we set out to do and expected to change, (2) what actually happened and why, (3) what we learned and (4) what we can do to improve our work in the future. It also offers a platform for those who participated to speak honestly about the work they have carried out in an informal but structured discussion. The process aims to develop best practices and seeks to identify strategies to ensure that successful practices are integrated into future interventions.



Systematization is key to CLA and allows ISOs to continue to make improvements to solution packages and other capacity development interventions throughout the course of institutional strengthening. Although ISOs are encouraged to systematize the entire process of replication, there are three specific junctures when the ISO is expected to identify what is working, what needs to be adjusted and what learning is happening. These three junctures are: the Grants Management process; the implementation of solution packages; and the close-out process. Systematization requires the participation of those directly involved in the replication experience of each ISO and is carried out using the Systematization template presented in Figure 8. **(See Resources section).**

**FIGURE 9. SYSTEMATIZING LESSONS LEARNED DURING IMPLEMENTATION**



An **After-Action Review (AAR)** is a process of reflection that is carried out by asking four key questions. The exercise presents an opportunity to review projects, activities and events in order to (1) establish what we set out to do and expected to change, (2) what actually happened and why, (3) what we learned and (4) what we can do to improve our work in the future. It also offers a platform for those who participated to speak honestly about the work they have carried out in informal but structured discussion. The process aims to develop best practices and seeks to identify strategies to ensure that successful practices are integrated into future interventions.

| QUESTION                          | PROMPT  | RESPONSE |
|-----------------------------------|---|----------|
| (1) What should have happened?    | Describe the original objectives of the project, activity, phase or event.  |          |
| (2) What actually happened?       | Describe the activities and results of the intervention, highlighting key differences between what took place in practice and what was originally planned, and analyzing why there were differences.                  |          |
| (3) What went well and why?       | Note the positive aspects of the activity. This description should recognize and construct best practices and analyze strategies so that these best practices may be successfully repeat in the future interventions. |          |
| (4) What can be improved and how? | Reflect upon what could have been done better. What could be done differently in the participants were to repeat the intervention in a similar situation in the future?   |          |

## IMPLEMENTATION OF INSTITUTIONAL STRENGTHENING MANAGEMENT

### 3.10 Implement Monitoring, Evaluation and Learning (MEL) practices

| CSA to ISO Transfer Process   |   |  |  |
|---|---|--|--|
| Activities  | Tools, Templates, and Documents   | Modality: Remote Mentoring/ workshop   | Modality Timeframe   |
| <ul style="list-style-type: none"> <li>CSA guides MEL focal points in ISOs on how to implement MEL practices with subgrantee CSOs to comply with USAID requirements.</li> </ul> | <ul style="list-style-type: none"> <li>CSA Monitoring, Evaluation and Learning (MEL) resources and templates (Quarterly reports include sections dedicated to success stories, tracking tables, performance indicators with outcome and output indicators, and a one-pager with information on OPI, SNA and Development Objective indicators)</li> <li>Organizational Development Tracker (visualization of all institutional strengthening steps)</li> </ul> | <ol style="list-style-type: none"> <li>CSA's Monitoring and Evaluation team facilitates a workshop with each ISO and their subgrantees to introduce them to Monitoring, Evaluation and Learning Plan (MELP) guidelines, templates, timeframes and procedures.</li> <li>CSA's Monitoring and Evaluation team provides virtual webinars and remote mentoring to ISO during the implementation and follow-up of institutional strengthening.</li> </ol> | <ol style="list-style-type: none"> <li>Routine check-ins during the institutional strengthening process</li> <li>Quarterly monitoring</li> </ol> |

## ISO to CSO Replication Process

| Modality   | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
|--|---|--|---|
| <ul style="list-style-type: none"> <li>• ISO's MEL focal point provides workshops to subgrantee CSO and provides responses to questions raised by the CSO during the institutional strengthening process.</li> </ul> | <ul style="list-style-type: none"> <li>• ISO delivers the following resources to subgrantee CSO: <ul style="list-style-type: none"> <li>- MELP with ISO program indicators and Capacity Development replication indicators</li> <li>- Performance Indicator Reference Sheet (PIRS)</li> <li>- Baseline plan</li> <li>- MEL resources and templates</li> </ul> </li> <li>• ISO prepares facilitation guide for a workshop to transfer MEL capacities to subgrantee CSO</li> <li>• ISO prepares a FAQ sheet on best MEL practices to share with subgrantee CSOs.</li> </ul> | <p><i>During institutional strengthening process:</i></p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, questions, and feedback during MEL workshops and remote support.</li> <li>• ISO documents challenges and best practices in transferring knowledge on MEL to subgrantee CSO upon delivery of Quarterly Reports, during moments of reflection and during face-to-face interactions with the CSA team.</li> </ul> | <p><i>During and after institutional strengthening process:</i></p> <ul style="list-style-type: none"> <li>• <i>Learn:</i> ISO applies satisfaction survey after MEL workshop.</li> <li>• <i>Learn:</i> ISO applies learning survey before and after MEL workshop.</li> <li>• <i>Reflect and Learn:</i> ISO reflects on lessons learned when facilitating MEL workshop and providing remote support, and analyzes results from satisfaction and learning surveys, to identify possible need for adjustment.</li> <li>• <i>Adapt and Plan:</i> ISO updates approach and methodology for facilitating future MEL workshops and providing remote support based on reflections and lessons learned with the first subgrantee CSO</li> <li>• <i>Adapt and Plan:</i> ISO modifies FAQ document with new questions presented by first subgrantee CSO.</li> </ul> |

## CLOSE-OUT

In this phase, ISOs conclude grants and institutional strengthening management and work with their subgrantee CSOs to develop a plan outlining next steps for capacity development. CSA works to ensure that ISOs possess the capacities, methodologies and tools to sustain their work in capacity development beyond the end of the Program.

The following table outlines the steps in the last stage of replication, the End of Project.

**TABLE 5. GRANTS MANAGEMENT REPLICATION STAGE 4. CLOSE-OUT**

| GRANTS MANAGEMENT   |  |  |  |
|---|--|--|--|
| Stage 4. Close-Out: During this stage, the grants management and institutional strengthening processes conclude and the ISO and subgrantee CSO prepare final reports. |  |  |  |
| 4.1 Finalize Closure Plan and Inventory Provision Plan  |  |  |  |
| 4.2 Deliver Final Program Report  |  |  |  |
| 4.3 Deliver Final Financial Report  |  |  |  |

| CLOSE-OUT   |  |  |  |
|---|--|--|--|
| 4.1 Finalize Closure Plan and Inventory Provision Plan  |  |  |  |
| CSA to ISO Transfer Process   |  |  |  |
| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Group Work Session  | Modality Timeframe                         |
| <ul style="list-style-type: none"> <li>CSA provides ISO with the closure plan and inventory plan formats.</li> <li>CSA advises ISO on the grant close-out process.</li> </ul> | <ul style="list-style-type: none"> <li>Closure Plan in generic format.</li> <li>Request Letter addressed to USAID to make provisions and use equipment and tools acquired with USAID funds.</li> </ul> | I. CSA Grants team reviews both plans (for one subgrantee CSO) jointly with ISO and provides feedback. | Full period of CSA accompaniment: 3 months |

## CLOSE-OUT

### 4.2 Deliver Final Program Report

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents   | Modality CSA to ISO: Question and Answer   | Modality Timeframe                        |
|--|---|--|---|
| <ul style="list-style-type: none"> <li>• CSA provides ISO with the final programmatic report format.</li> <li>• CSA advises ISO on the grant close-out process.</li> </ul> | <ul style="list-style-type: none"> <li>• Expense Report Format</li> </ul> | I. CSA Grants team responds to questions and concerns regarding the completion of the Expense Report format for subgrantee CSOs. | Full period of CSA accompaniment: 1 month |

## CLOSE-OUT

### 4.3 Deliver Final Financial Report

#### CSA to ISO Transfer Process

| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Question and Answer (Q&A) and Group Work Session   | Modality Timeframe  |
|--|--|---|---|
| <ul style="list-style-type: none"> <li>• CSA provides ISO with final financial report format.</li> <li>• CSA advises ISO on the completion of final financial report.</li> <li>• CSA accompanies ISO in the closing evaluation with the first Subgrantee CSO to validate compliance with the grant agreement.</li> </ul> | <ul style="list-style-type: none"> <li>• Progress Report Format</li> </ul> | I. CSA Grants team responds to questions, providing responses regarding completion of the Progress Report by subgrantee CSOs. | Full period of CSA accompaniment: 1 month (process runs in parallel with previous step: Deliver Final Programmatic Report). |

Table 6 lists the steps in institutional strengthening during the Close-Out.

**TABLE 6. INSTITUTIONAL STRENGTHENING REPLICATION STAGE 4. CLOSE-OUT**

| INSTITUTIONAL STRENGTHENING MANAGEMENT   |  |  |  |
|--|--|--|--|
| Stage 4. Close-Out: During this stage, the grants management and institutional strengthening processes end and the ISO and subgrantee CSO prepare final reports. |  |  |  |
| 4.1 Close-Out of Institutional Strengthening Processes   |  |  |  |
| 4.2 Develop Plan for Future Institutional Strengthening  |  |  |  |

| CLOSE-OUT  |  |  |                    |
|--|--|--|--------------------|
| 4.1 Close-Out of Institutional Strengthening Processes   |  |  |                    |
| CSA to ISO Transfer Process  |  |  |                    |
| Activities   | Tools, Templates, and Documents  | Modality CSA to ISO: Technical Support / Co-Facilitation   | Modality Timeframe |
| <ul style="list-style-type: none"> <li>CSA accompanies ISO in administering closing assessment (endline) with first subgrantee CSO to determine performance improvement</li> </ul> | <ul style="list-style-type: none"> <li>Semi-automated assessment tool (OCA, OPI, SNA, Stakeholder Mapping)</li> <li>Infographics of original assessment results (OCA, OPI, SNA, Stakeholder Mapping)</li> <li>Endline report template</li> </ul> | I. CSA participates during endline assessment of first subgrantee CSO, administering assessment tools (all OPI, SNA, and Stakeholder Mapping; but only those areas of the OCA that correspond with the solution packages that were agreed upon and implemented). | I. 1 to 2 days     |

## ISO to CSO Replication Process

| Modality  | ISO Preparations  | Systematization   | Learning, Reflection and Adaptation  |
|---|---|---|--|
| <ul style="list-style-type: none"> <li>• ISO implements endline assessment of organizational performance in a participatory fashion during group sessions with selected participants (only relevant domains and areas of performance).</li> </ul> | <ul style="list-style-type: none"> <li>• ISO schedules assessment session(s) and communicates the participation required from subgrantee CSO staff and Executive Board, as well as the schedule and resources required for each session.</li> <li>• ISO prepares facilitation guide for assessment sessions that indicate the objective, timing, facilitation techniques, etc.</li> <li>• ISO prepares materials for facilitation, including scoring notecards, post-its, markers, and other supplies as needed</li> <li>• ISO prepares a list of participants for each session.</li> </ul> | <p>During the sessions:</p> <ul style="list-style-type: none"> <li>• ISO documents CSO's reactions, concerns, and feedback.</li> <li>• ISO documents any challenges faced during facilitation of the participatory organizational assessment sessions.</li> </ul> | <p>After the sessions:</p> <ul style="list-style-type: none"> <li>• <i>Learn:</i> <ul style="list-style-type: none"> <li>- Administer satisfaction survey to Subgrantee CSO participants in organizational assessment.</li> <li>- Administer survey of knowledge before and after facilitation of the assessment tool.</li> </ul> </li> <li>• <i>Reflect:</i> ISO holds a session to reflect on satisfaction and learning survey results, as well as questions and challenges documented during assessment sessions.</li> <li>• <i>Adapt and Plan:</i> Update the facilitation design of future assessment sessions based on reflections on previous sessions and systematization of lessons learned.</li> </ul> |

## CLOSE-OUT

### 4.2 Develop Plan for Future Institutional Strengthening

#### CSA to ISO Transfer Process

| Activities  | Tools, Templates, and Documents  | Modality CSA to ISO: Technical Support   | Modality Timeframe |
|---|--|--|--------------------|
| <ul style="list-style-type: none"> <li>CSA accompanies ISO in defining a plan for future institutional strengthening with first subgrantee CSO and supports the sustainability of results in the ISO's replication of Capacity Development</li> </ul> | <ul style="list-style-type: none"> <li>Institutional Strengthening future work plan format.</li> </ul> | I. CSA provides direct technical support to ISO during the drafting of the Institutional Strengthening future work plan for the next year (to be implemented without CSA support). | I. 1 week          |

#### Proceso de Replicación de la ISO a la OSC

| Modality  | ISO Preparations  | Systematization  | Learning, Reflection and Adaptation   |
|---|---|--|---|
| <ul style="list-style-type: none"> <li>ISO holds an in-person meeting with subgrantee CSO.</li> </ul> | <ul style="list-style-type: none"> <li>ISO prepares agenda for in-person meeting with subgrantee CSO.</li> <li>ISO prepares a draft version of the work plan for institutional strengthening for the next year to refine in collaboration with subgrantee CSO.</li> </ul> | <p><i>During the session:</i></p> <ul style="list-style-type: none"> <li>ISO documents CSO's reactions, concerns, and feedback.</li> </ul> | <p><i>After the session:</i></p> <ul style="list-style-type: none"> <li><i>Reflect:</i> ISO holds a session to reflect on satisfaction and learning survey results as well as questions and challenges documented during assessment sessions.</li> <li><i>Adapt and Plan:</i> Update the facilitation design of future assessment sessions based on reflections on previous sessions and the systematization of lessons learned.</li> </ul> |



## VI. TERMS, DEFINITIONS AND REFERENCES

- 1. Capacity Development:** A collaborative process with multiple stages that improves the ability of a system, an organization or an individual to meet their objectives and have a better level of performance.

*Source: Capacity Development Interventions: A Guide for Program Designers. Development Practitioner Series. USAID, Social Impact and FHI 360. 2018*
- 2. Organizational Performance Index (OPI):** OPI as an index indicator is consistent with the latest USAID recommendations on capacity development measurement. OPI measures performance instead of capacity per se, and considers performance holistically, by tracking the performance of the organization in multiple areas of work, both in terms of more immediate aspects such as Efficiency and Effectiveness, and aspects of Relevance and Sustainability.

*Source: USAID Learning Lab, Organizational Performance Index Measurement Tool, 2015*  
<https://usaidlearninglab.org/library/organizational-performance-index-measurement-tool>
- 3. Organizational Capacity Assessment (OCA)** is a structured tool for a facilitated self-assessment of an organization's capacity followed by action planning for capacity improvement. The self-assessment approach increases ownership of the action plan. The OCA format helps the organization to reflect on its processes and functions, and scores itself against the reference points. Based on the discussions and scoring, the organization determines and establishes the priorities of the actions it can take to strengthen its capacity.

*Source: USAID Learning Lab, Organizational Capacity Assessment, 2016*  
<https://usaidlearninglab.org/library/organizational-capacity-assessment>
- 4. Social Network Analysis (SNA):** is a methodology for understanding a group of actors in a system by mapping the relationships that connect them as a network. A network is a collection of points, or nodes, that are connected by specific types of relationships. The SNA methodology that CSA has embraced characterizes an actor's relationship based on their closeness, their role as an intermediary and their influence upon others.
- 5. Social Impact:** a management consulting firm headquartered in Arlington, VA that provides monitoring, evaluation, strategic planning, and capacity building services to advance development effectiveness. To achieve this, Social Impact delivers consulting, technical assistance, and training services to government agencies, non-governmental organizations, and foundations.
- 6. Solution Packages:** a series of document packages with contents covering several thematic areas of organizational performance, both internally and externally, that are adapted to meet the needs of the organization identified during application of the OCA tool. The Solution Packages that have been designed by CSA and are ready for the replication of capacity development are: Strategic Planning; Monitoring, Evaluation and Learning; Program Design; Legal Framework; Financial Strategy; Communications and Digital Strategy; Strategic Alliances; Fundraising and Resource Mobilization; Gender and Inclusion.

7. **Development Objectives (DOs):** Strategic objectives under USAID/Mexico's Country Development Cooperation Strategy, which include 1) crime and violence in target communities reduced in a sustainable manner, 2) a more transparent and accountable judicial system, and 3) an increase in respect for human rights.
8. **Collaborating, Learning, and Adapting (CLA) Framework and Key Concepts, USAID Learning Lab:** The CLA approach identifies ways of increasing development impact through more intentional collaboration within and across organizations and stakeholder groups; more systematic efforts to generate and capture learning about what works, what doesn't work and why in development; and more disciplined use of learning to adapt and change programming based on evidence. The CLA Framework recognizes diverse modalities in which organizations can implement CLA while also providing structure, clarity and coherence in two key dimensions: CLA in the Program Cycle and Enabling Conditions of CLA. CLA in the Program Cycle identifies how to apply CLA during such processes as strategic planning, project design, activity design and implementation, and Monitoring and Evaluation. The Enabling Conditions dimension identifies how the culture, business processes and allocation of resources of the organization can support the integration of CLA.  
[https://usaidlearninglab.org/sites/default/files/resource/files/keyconcepts\\_twopager\\_8.5x11\\_v7\\_20160907.pdf](https://usaidlearninglab.org/sites/default/files/resource/files/keyconcepts_twopager_8.5x11_v7_20160907.pdf)

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## **VII. CHECKLIST OF KEY ACTIVITIES**

### **REQUEST FOR PROPOSALS AND SELECTION OF PROPOSALS**

- RFP documents prepared
  - Non-disclosure document prepared
  - Non-conflict of interest document prepared
  - Evaluation format
  - Selection memo completed
  - Document of concurrence of Selection Committee members
- Request for Proposals (RFP) published
- Selection Committee convenes meeting

### **PRE-AWARD DUE DILIGENCE AND NEGOTIATION**

- Award notification letters delivered
- Pre-award survey completed

### **IMPLEMENTATION, MONITORING AND FOLLOW-UP**

- Grant Package documents prepared:
  - Selection Memo Cover
  - Selection Memo
  - Grant Certification Format
  - Process Review and Capacity of Applicants Format
  - Grant Agreement template
  - Key Personnel CV
  - Request for environmental exclusion
  - Certificate of Compliance with USAID Regulations
  - DUNS number
  - Guide on how to obtain DUNS
  - Indirect Costs Example Letter
  - SAM Search
- Grant Package submitted to USAID
- Award approval notification email sent to CSO
- Grant agreement and annexes sent to CSO
  - 2.A Scope of the Project
  - 2.B Budget
  - 2.C Standard Mandatory Provisions ADS 303
  - 2.D Program Report Format
  - 2.E-F Expense Report and Funds Request
  - 2.GI USAID Marking and Branding Guide

- 2.G2 USAID Template Plan Branding
- 2.H Foreign Tax Report Format
- 2.I Annual Inventory Report Format
- 2.J Annual Work Plan Format
- 2.K and 2.L Monitoring, Evaluation and Learning Plan Format
- 2.M Quarterly Reports Timeline
  
- Presentation on grant agreement conducted
  
- Programmatic follow-up conducted
  - Annual Work Plan
  - Monitoring, Evaluation and Learning Plan
  - Monthly Progress Report
  - Monthly burn rate (expenses) monitoring tracker
  - Monthly financial report
  
- Financial follow-up conducted
  - Expense Report and Fund Request Format
  - Estimated Annual Expense Format
  - Budget Control Tool
  - Annual Foreign Tax Report Format
  - Annual Inventory Report Format
  - Accountability Guide
  - Grant Manual
  - Program Management Tools: Grants Tracker
  
- Quarterly Reports reviewed and approved
  - Q3 Y3
  - Q4 Y3
  - Q1 Y4
  - Q2 Y4
  - Final Programmatic Report
  
- Start-up presentation on Institutional Strengthening conducted
- Letter of intention (LOI) prepared and signed
  
- Participatory Organizational Assessment completed
  - Organizational Capacity Assessment (OCA)
  - Organizational Performance Index (OPI)
  - Social Network Analysis (SNA)
  - Stakeholder Mapping
  - Document Review
  - Guided Interviews
- Assessment findings synthesized and analyzed
- Report on findings and recommendations drafted

- Presentation on findings and recommendations conducted
- Work plan for institutional strengthening agreed upon
- Consultant-specialist recruited, hired and onboarded
  - Terms of Reference prepared and published
  - Selection and hiring process completed
  - Consultant trained in systemic approaches to Capacity Development
- Work plan for implementation of solution package agreed upon
- Monitoring activities carried out during implementation of Solution Package
  - Learning surveys completed for each modality of solution package implementation
  - Knowledge surveys completed for each modality of solution package implementation
  - Systematization of lessons learned completed
- Workshop on Monitoring & Evaluation provided to CSO

## **END OF PROJECT**

- CSO delivers Closure Plan and Inventory Provision Plan
- CSO delivers final Program Report and Financial Report
- Final assessment conducted
  - Organizational Capacity Assessment (OCA)
  - Organizational Performance Index (OPI)
  - Social Network Analysis (SNA)
  - Stakeholder Mapping
- Plan for future institutional strengthening created

## VIII. RESOURCES

### CONTENTS

1. Capacity Development FAQ Sheet
2. Presentation on Findings and Recommendations from Organizational Performance Assessment
3. Scope of Work template for hiring consultants
4. Evaluation template for scoring candidates for consultancy
5. Lessons Learned During Implementation systematization template
6. Replication Tracker

### CAPACITY DEVELOPMENT

#### FREQUENTLY ASKED QUESTIONS (FAQS)

Version 17/09/2019

#### 1. What is capacity development?

Capacity Development is a collaborative process involving multiple steps to improve the ability of a system, organization or individual to accomplish their objectives and improve their performance. According to Civil Society Activity's systemic approach, the capacity development process seeks to 1) improve internal organizational systems and processes, 2) strengthen organizations' strategic collaborations and connections, and 3) improve organizations' performance and position in its environment.

#### 2. How long does the process take?

The duration of the capacity development process depends on the needs of the organization and the agreements reached between the organization and the actor in charge of implementing capacity development interventions. The capacity development process may focus on one specific area of opportunity identified via a participatory assessment, such as the creation of a Resource Mobilization strategy, which is a very specific intervention. However, in other cases, the process may focus on a range of areas of opportunity that require a more integrated implementation process.

#### 3. Who participates in the process?

All members of the organization may participate in the capacity development process to a certain degree, depending on the performance solutions that were prioritized for implementation.

#### 4. What does the organization need to participate in the process?

First and foremost, the capacity development process requires the willingness and ownership of the Board of Directors, organizational leadership and staff, as well as the commitment to dedicate the adequate time and effort to carry out the activities that comprise the capacity development intervention. Also, the process requires openness to embrace change and the evolution of the organization and its members given that capacity development often implies an

adjustment in how the organization and its members carry out their work in the day-to-day.

**5. What falls outside the scope of capacity development?**

Capacity development is an integrated process of collaboration and accompaniment to improve certain aspects of organizational performance that are prioritized based on a participatory assessment. In this sense, the process does not involve an external audit to identify weak points or areas in which the organization is not complying with requirements. Rather, the main objective is to improve the capacities of organizations by improving organizational systems and processes in a participatory fashion through the co-construction of performance solutions as a result of the collaboration between the organization and the actor responsible for providing technical support during implementation.

**NAME OF ISO AND CSO**  
**SCOPE OF WORK**  
**PURPOSE OF THE CONSULTANCY**

Hiring consulting services to provide technical and methodological expertise for the implementation of solution packages for institutional strengthening of civil society organizations (CSOs) and foundations (ISOs) in Mexico.

**Name of consultancy position:**

**Duration of consultancy:**

**Level of effort:**

**Location:**

**Overview**

Describe the specific task of replication within the framework of CSA's approach to Capacity Development (confirm information with CSA before publishing vacancy).

**Alcance y objetivos de la consultoría**

**General purpose:**

**Specific objectives for the consultancy:**

Describe the activities that the consultant will carry out as well as any general expectations to arrive at the specific objectives. ISO should list deliverables in a table with designated times and levels of effort (days).



## DELIVERABLES

| Deliverables | Period in which the consultant should produce deliverable | Number of days authorized to produce deliverable |
|--------------|---|--|
|              |   |  |
|              |   |  |

## DURATION OF CONSULTANCY

ISO repeats how much time and how many billable days the consultancy will last and stipulates possibility of incorporating more days and time into the agreement.

## SUPERVISION

ISO indicates who supervises the work of the consultant and who processes payment

| EVALUATION OF CONSULTANT CANDIDATES BY COMPETENCY                 |                |                |                |
|---|----------------|----------------|----------------|
| Score from 1 to 5<br>(1 is the lowest score and 5 is the highest) | Candidate<br>1 | Candidate<br>2 | Candidate<br>3 |
| Required competencies   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
|   |                |                |                |
| Total   | 0              | 0              | 0              |

## SUMMARY OF THE SELECTION PROCESS

Details on when the vacancy was published, how long it was open, how many applications were received, who carried out interviews and on what dates, etc.

Interview: - **Candidate 1** – Total Points:

Comments on the interview, including information on the competencies that were required for the position in relation to the experience of the applicant.

Interview: - **Candidate 2** – Total Points:

Comments on the interview, including information on the competencies that were required for the position in relation to the experience of the applicant.

Interview: - **Candidate 3** – Total Points:

Comments on the interview, including information on the competencies that were required for the position in relation to the experience of the applicant.

### Conclusion of the Selection Process

Details on who participated in the selection and why specific candidate(s) were selected.  
Provide next steps in the selection process.

## LESSONS LEARNED DURING IMPLEMENTATION

|                     |               |
|---------------------|---------------|
| REPORT PREPARED BY: | LOCATION:     |
| POSITION:           | ORGANIZATION: |
| DATE:               | TOPIC:        |

|                |              |
|----------------|--------------|
| PARTICIPANT(S) | POSITION(S): |
|                |              |

|                       |
|-----------------------|
| EXPECTED OBJECTIVE(S) |
|                       |

|             |
|-------------|
| ACTIVITIES: |
|             |

|               |
|---------------|
| KEY ADVANCES: |
|               |

|                 |                  |
|-----------------|------------------|
| KEY CHALLENGES: | LESSONS LEARNED: |
|                 |                  |

|                                       |
|---------------------------------------|
| INNOVATIVE ASPECTS OF IMPLEMENTATION: |
|                                       |

|                            |                        |
|----------------------------|------------------------|
| NEXT STEPS AND AGREEMENTS: | NOTES FOR REPLICATION: |
|                            |                        |

## REPLICATION TRACKER

| ISO   | [ISO'S NAME]          |        |        |
|---|-----------------------|--------|--------|
| SUBGRANTEE  | [ORGANIZATION'S NAME] |        |        |
| Process Description   | OCT-18                | NOV-18 | DIC-18 |
| RSB-01 Publishing of the call for proposals for CSA to receive applications       |                       |        |        |
| RSB-02 Responses to questions on call for proposal guidelines and requirements    |                       |        |        |
| RSB-03 Online Information Session   |                       |        |        |
| RSB-04 In-person Informational Sessions   |                       |        |        |
| RSB-05 Reception and review of proposals  |                       |        |        |
| RSB-06 Gathering of Evaluation Committee  |                       |        |        |
| RSB-07 Committee's Evaluation of Proposals  |                       |        |        |
| RSB-08 Notifications sent to eligible organizations                               |                       |        |        |
| RSB-09 Adjustments to the technical proposal and budget                           |                       |        |        |
| RSB-10 Pre-Award Survey   |                       |        |        |
| RSB-11 Pre-Award Visit  |                       |        |        |
| RSB-12 Evaluation of capacities to determine provisional measures within contract |                       |        |        |
| RSB-13 Preparation of the Grants package and contractual documents                |                       |        |        |
| RSB-14 Delivery of Grants package to USAID  |                       |        |        |
| RSB-15 Approval of Grants package   |                       |        |        |
| RSB-16 Approval notification and delivery of contract for signature               |                       |        |        |
| RSB-17 Start-up meeting   |                       |        |        |

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| RSB-18 First payment  |  |  |  |
| RSB-19 Delivery of first deliverables to CSA  |  |  |  |
| RSB-20 Monthly financial reports  |  |  |  |
| RSB-21 Brief programmatic report  |  |  |  |
| RSB-22 Programmatic report  |  |  |  |
| RSB-23 Closing Plan and Asset Disposal Plan   |  |  |  |
| RSB-24 Final Financial Report   |  |  |  |
| RSB-26 Final Programmatic Report  |  |  |  |
| RSB-27 Closing  |  |  |  |
| RFR-01 Establish the Stakeholder Group  |  |  |  |
| RFR-02 Stakeholder meeting  |  |  |  |
| RFR-03 Launch meeting to present CSA's Institutional Strengthening process                |  |  |  |
| RFR-04 Meeting with Stakeholder Group to review assessment tools                          |  |  |  |
| RFR-05 Implementation of Organizational Performance Assessment                            |  |  |  |
| RFR-06 Stakeholder Mapping exercise   |  |  |  |
| RFR-07 Analysis of results of the performance assessment and Stakeholder Mapping exercise |  |  |  |
| RFR-08 Document review  |  |  |  |
| RFR-09 Surveys and directed interviews  |  |  |  |
| RFR-10 Analysis of root causes in performance gaps (Fishbone Analysis, etc.)              |  |  |  |
| RFR-11 Baseline of organizational performance assessment                                  |  |  |  |
| RFR-12 Systematization of findings from Stakeholder Mapping exercise                      |  |  |  |

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| RFR-13 Stakeholder Mapping baseline   |  |  |  |
| RFR-14 Drafting and delivery of Report on Findings and Conclusions based on organizational performance assessment |  |  |  |
| RFR-15 Presentation of Report to the CSO  |  |  |  |
| RFR-16 Session with Stakeholder Group to develop the action plan for the implementation of solutions              |  |  |  |
| RFR-17 Coordination and communication with consultants who will implement solution packages                       |  |  |  |
| RFR-18 Tailoring of solution package(s)   |  |  |  |
| RFR-19 Presentation of proposal for implementation of solution package  |  |  |  |
| RFR-20 Work plan for institutional strengthening  |  |  |  |
| RFR-21 In-person workshop (PS01)  |  |  |  |
| RFR-22 Follow-up (PS01)   |  |  |  |
| RFR-23 Approval of products that derive from implementation of solution package (PS01)                            |  |  |  |
| RFR-24 Evaluation of solution package implementation (PS01)   |  |  |  |
| RFR-25 In-person workshop (PS02)  |  |  |  |
| RFR-26 Follow-up (PS02)   |  |  |  |
| RFR-27 Approval of products that derive from implementation of solution package (PS02)                            |  |  |  |
| RFR-28 Evaluation of solution package implementation (PS02)   |  |  |  |
| RCH-01 Meeting to present Clearing House process  |  |  |  |
| RCH-02 Completion of Clearing House form  |  |  |  |
| RCH-03 Submission of corporate law documents  |  |  |  |

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| RCH-04 Assignment of pro-bono law firm                               |  |  |  |
| RCH-05 Accompaniment of pro-bono law firm to CSO                     |  |  |  |
| RCH-06 Follow-up session, review and update of assessment instrument |  |  |  |