



STOPPING AS SUCCESS: TRANSITIONING TO LOCALLY LED DEVELOPMENT

GUIDELINES FOR JOINT LEARNING AND MUTUAL CAPACITY STRENGTHENING BEFORE, DURING AND AFTER TRANSITION

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LOCAL CIVIL SOCIETY

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Principal author: Kiely Barnard-Webster, Independent Consultant for CDA

DISCLAIMER

This report is made possible by the generous support of the American People through the United States Agency for International Development (USAID). The contents of this report are the sole responsibility of Peace Direct, CDA Collaborative Learning Projects and Search for Common Ground, and do not necessarily reflect the views of USAID or the United States Government.

SUMMARY

Capacity strengthening and learning during programmatic and organizational transitions should be considered a joint process. And, one that not only addresses a diversity of needs but also acknowledges the context and power dynamics surrounding a transition. External and local organizations learn from each other during capacity strengthening processes, and, as a result, grow and change. External organizations learn a great deal about the contexts where they work, and the appropriateness of certain development models and program designs, from national staff, partners, and other interlocutors. They test ideas, strategies and programmatic options with local partners and communities and (often, though not always) learn from their failures and successes.

Likewise, local organizations learn from experiences brought by external colleagues from other contexts and previous projects and trials, as well as international standards and innovations. There is an organic exchange of know-how, lessons, insights and tacit knowledge gained from real-time experimentation. When we fail to acknowledge this and continue to push for mono-directional “capacity building,” from external organization to local entity, we are not doing good development work and risk leaving unintended negative impacts behind.

Practical advice and guidelines when undertaking capacity strengthening initiatives include:

1. **Clearly outlining roles for joint action and learning.** Some examples of roles before, during, and after transition include: an ongoing professional / collegial relationship between INGO and local entity after transition to provide advice, solidarity and support; larger INGOs managing funds during transition to ease initial administrative burden on new entities allowing room for growth and capacities to develop; INGOs showing solidarity by simply ‘staying close by,’ even if no physical or material support is being provided.

2. **Respectful and inclusive framing of mutual capacity strengthening processes.** Language matters as an indication of ‘whose learning/ capacities’ are important during transition. For instance, language that highlights solidarity and common experience rather than simplified binaries (like ‘local’ versus ‘donor’) conveys time and thought during rapid transition planning. INGOs should have a plan for discussing language and inclusive framing with communities.
3. **Narrow the focus to support what transition stakeholders say matters most.** Provide support that empowers (or, strengthens existing agency) starting with a power analysis to inform the design of capacity strengthening activities and determination of roles; provide support for organizational development, including critical organizational systems (particularly if local entities are requesting this to demonstrate accountability and transparency to communities); support and develop leadership within INGOs or with local partners, for example hiring a consultant specializing in senior management or leadership coaching to work regularly with leaders. This is particularly advisable for leaders that may face additional / different challenges from their colleagues (e.g., women, marginalized groups).

USAID’s Self-Reliance Learning Agenda¹ defines self-reliance as “*a country’s capacity to plan, finance, and implement solutions to local development challenges.*” Understanding whose capacities, what capacities and how capacity and learning are best developed to achieve national self-reliance ambitions is critically important to communities, donors, and international organizations considering a transition. The process of shifting decision-making and authority from externally to locally led not only requires careful planning about ‘how’ this is done, but also consideration of who is involved and what types of support matter most during these processes.

PURPOSE OF THESE GUIDELINES

This resource is meant to provide general principles and advice to practitioners at the INGO and local level, drawn from 20 case studies of INGOs and local organizations. Guidance is meant to assist with planning and implementation of learning and capacity strengthening activities during responsible transitions, such that they enable locally led development. This document addresses familiar challenges to capacity strengthening and new challenges drawn from case interviews. Both require appropriate redress if a transition is to be deemed 'responsible.'

For simplicity, in many instances this document directly addresses 'INGOs;' however, those using the guidance may take liberty to tailor advice as appropriate. Finally, this guidance is not sector specific. Meaning, guidelines are meant to be organizational and relational – more broadly applicable -- rather than tailored to a specific type of programming.

AUDIENCE

Though intended for practitioners, there are multiple additional stakeholders to whom this resource will be useful. In particular, those in charge of institutional learning, and determining capacity strengthening and support activities. This guidance is intended for all relevant parties, including:

1. Communities
2. International or national consultants
3. Funders
4. INGOs (HQ staff, field teams and SMT teams at field level, governing Boards)

I. MUTUAL CAPACITY STRENGTHENING AND JOINT LEARNING

When locally driven, "capacity building is not a waste of time, but can be important and constructive."² Commitments in the Paris Declaration on Aid Effectiveness also "highlight the importance of capacity development for Southern ownership and leadership of development strategies and processes."³ Yet, to many international development practitioners the prevailing association with terms like 'capacity development' or 'strengthening' is still training. Though this is not

to discredit some of the ongoing advancements and innovation in capacity strengthening activities and processes, many share the mindset that "we must get past the training paradigm."⁴ The 'paradigm' in this sense is not merely the prevalence and persistence of training methodologies. In addition, how capacity is delivered, the assumptions behind whose capacities need developing, and even at times what capacities are prioritized, are at the foundation of the issue.



Training from INGOs is often a blanket package, not contextualized, often irrelevant for local contexts.

**Bangkok regional evidence review meeting
March 2019**

2. GUIDELINES FOR MANAGING CAPACITY STRENGTHENING AND LEARNING PROCESSES DURING TRANSITION

Regardless of which types of capacities are involved (i.e., before, during, or after transition), the purpose of capacity strengthening is to enable changes that are sustained over time and tailored to existing abilities and needs. Most useful support during transitions is often not ‘classic’ capacity strengthening in the form of training.⁶ Support that clarifies roles for joint learning and joint action, develops respectful framing of capacity strengthening processes, and touches on key themes such as strong organizational systems, psychosocial and mentoring needs, and leadership skills, deserves attention during transitions.⁷

Whether that was advocacy, governance, or technical expertise, local associations felt that was where INGOs could contribute the most, as long as it was properly tailored to local needs and was not an imposition.⁵

CARE Morocco case study

2.1 SELECT APPROPRIATE ROLES FOR JOINT ACTION AND LEARNING.⁸

A few themes and patterns have emerged from SAS work that can help guide those (mainly INGOs) considering roles for joint action and joint learning during capacity strengthening and support activities.

Role clarity is vital at the outset, prior to decision-making about support activities. This helps to manage expectations, avoid miscommunication by establishing responsibilities clearly, and contribute the trust necessary for nurturing ongoing collaborations.¹⁰

Capacity strengthening roles should be complementary and not redundant. This might require a joint SWOT analysis¹¹ for a local entity, INGO, community and government partner to inform strategic teambuilding and planning.

Finally, ‘essential skills,’¹² or critical ‘soft’ skills, are a key ingredient during role clarification processes, particularly for those leading mutual capacity strengthening and joint learning activities. The evidence from SAS case research points clearly, and often, to productive teams that prioritized empathic listening, mutual respect and open dialogue to overcome misunderstandings, frustrations and other barriers when navigating shifting roles. These ‘soft skills’ require consistent attention and no small level of effort in their application.

It was helpful, as many interviewees shared, that the relationship among these actors have existed at the beginning of the project with some working together since Kusog Baga. This government-INGO relationship was founded on managed expectations, with a focus on clarity as to which aspects of the programme each institution was responsible for.⁹

Iloilo City TB Task Force case study

EXAMPLES OF ROLES FOR JOINT ACTION AND LEARNING BEFORE, DURING, AND AFTER TRANSITION:

- **Ongoing professional / collegial relationship between INGO and local entity after transition to provide advice, solidarity and support.** For instance, in the Philippines communication between former program staff and volunteers continued, informally, in the form of personal and professional updates. Volunteers chose to invite ex-staff to return as trainers and resource persons on an ad hoc basis.¹³
- **Larger INGO managing funds during transition to ease initial administrative burden on new entities allowing room for growth and capacities to develop.** In Burundi, the U.S. Embassy – aware of a local NGO’s thoughtful and effective work – requested their partnership. However, the local entity was unable to meet the U.S. government’s financial requirements. A former trainer with the local NGO was, in parallel, directing an American non-profit that had prior approval to receive U.S. assistance. The American non-profit facilitated a partnership with the local NGO so that the latter met the administrative and other compliance requirements of the U.S. Embassy and work could proceed.¹⁴
- **‘Hands-off’ role of INGOs, to allow space for communities and local entities to grow.** In Burundi, the Country Director of a local NGO pushed for space so they and their partners could grow and further develop current work into broader social movements.¹⁵
- **INGOs showing solidarity by simply ‘staying close by,’ even if no physical or material support is being provided to a new entity.**¹⁶ This demonstration of solidarity, providing support to emergent capacity, or other needs, shows committed partnership throughout the challenging process¹⁷ of growing and developing a new entity. In Timor-Leste, the INGO remained a “silent partner,” for example, throughout the process. This can often go a long way during transition.
- **A ‘hands on’ technical support role providing observation and oversight on the ground.** In Guatemala, specialized INGO field officers continued observing savings groups. They provided ongoing mentoring or coaching during a short time period to these new groups, to ensure technical skills and knowledge were passed on.¹⁸

Teams can also discuss scenarios in which **exiting entirely** is the most useful option to support local entities. For example, an INGO might introduce local leaders to their network, open doors, make recommendations and then ‘exit’ so that local leaders can forge their own partnerships, relationships and collaborations.



The small trees cannot grow under the shade of the big tree, so we have to cut some branches to allow the small trees to grow

Great Lakes Inkingi Development (GLID) case study

Processes of mutual capacity strengthening require understanding needs which can involve mutual vulnerability and risk-taking. For one local entity in Thailand, allowing room for ‘experimentation’ with their partners allowed both parties in the partnership to attempt a trial-and-error approach, knowing there would be risks and possible failures before

learning and capacity strengthening was achieved. This ‘experimentation’ took several years but eventually worked: it produced sustainable organic farming outcomes, was approved as a valid process by others within the community and strengthened the relationship between farmers and the local entity supporting them.¹⁹

SUPPORT FOR AND DEVELOPMENT OF LEADERSHIP (INDIVIDUAL LEADERSHIP SKILLS, MINDSETS, AND GOVERNANCE STRUCTURES).

Developing leadership skills during transition was considered by several case organizations as “perhaps the single most important ingredient in the change management process.”²⁰ When determining roles (above), the individuals or groups driving, or leading, a local entity forward will often become evident and should have significant sway in determining the team dynamic. Once established, such leaders may also choose to identify areas for further support, to continue developing skills and leadership expertise. Or, depending the arrangement during a transition, the INGO may require additional information to know how to develop and/or remotely or indirectly support leadership skill strengthening.

Board development and management skills, which are not necessarily intuitive, and individual leadership skills will exist during transition but will require intentional examination if support is to be relevant and effective. Some ideas and insights to support the capacities of leaders include:²¹

Ongoing accompaniment to effectively communicate as a leader,²² including managing donor and community expectations during transition and communicating to external partners. Interestingly – there were few concrete examples from case interviews to demonstrate how INGOs can support communications and outreach teams in new local entities. This was either a gap in the case research, or a challenge faced during transition. INGOs and other stakeholders might consider the importance of hiring external consultants specializing in communication or messaging to work with leaders and Boards.²³

- **Collaborative visioning and identity formation discussions** to help leaders establish an appropriate mandate and mission for the new entity, if necessary. Doing this internally across different teams and listening to what community members would value and respect in a local entity, helps make this process transparent and accountable.
- **Hiring a consultant (national or community level)** specializing in senior management or leadership coaching to work regularly with leaders, particularly if the leader is a woman and therefore more likely to face additional/different challenges from male colleagues. Utilize this for INGO leadership as well, who may be new to handing over leadership and management to a local entity.

Consider enhancing transparency of the process by jointly determining with all key stakeholders: Whose capacities need developing? Who are the experts / who should develop them? What is the most context appropriate approach for achieving this? Early conversations between INGO stakeholders, local leaders, and communities must address these questions. These early conversations are important for establishing joint expectations and commitments to take action. Also, it provides early opportunities to create appropriate communication channels between stakeholders, if these don’t exist already, allowing for ongoing collection and use of feedback – a critical step to enable transparency. Continued check-ins and feedback can then be used to monitor the quality of capacity strengthening processes and adapt them to emerging needs. There should always be an option to stop joint learning or mutual capacity strengthening efforts if either party feels they are no longer productive or collaborative.

2.2 IMPORTANT TYPES OF SUPPORT DURING TRANSITION (FOR INGOs, LOCAL LEADERS, AND COMMUNITIES)

Our cases demonstrate that local capacities exist before and during transitions, and some require further strengthening. To help navigate this process, a full typology of activities that strengthen key skills and knowledge during and after transition can be found in Annex A. We have also identified promising practices and approaches through which organizations bolster relevant capacities during transition [see menu of approaches in Annex B].²⁴

Three broad types of support activities **matter most** to stakeholders in the midst of a transition process: psychosocial support, organizational support and material support. It is important to note that several of these key support elements required very little time or money, thus seem particularly important for

entities undergoing transition in resource-scarce environments.

Support that empowers (psychosocial or moral support). Many INGOs considering transitions have long institutional histories in the contexts where they operate; histories which haven't always been rooted in equal power sharing or equitable handovers. In many instances, mentoring and psychosocial support are critical for those engaged in a transition to ensure collegiality and confidence building. For instance, developing formal or informal structures that ensure long term relationships are maintained, jointly determining what knowledge is relevant to boost confidence and finding the means to provide this, or jointly deciding if teambuilding sessions would be valuable.

“ “ Nuru International deliberately designed its staff structure as a dual hierarchy: for each position, an expatriate technical staff was paired with a Kenyan counterpart. The expatriate staff, called the Field Team, consisted of a Team Leader, who worked directly with the Kenyan-national position of Country Director, and Program Specialists who worked directly with Kenyan-national Program Managers across each program area... The Field Team acted as scaffolding around the local organization and leaders to design, implement, measure, and scale the Nuru model. This collaborative process meant that expatriate and Kenyan teams worked together to combine knowledge with the goal of triangulating on optimal activities and outcomes. Furthermore, the Field Team was responsible for mentoring and building the capacity of host country team members. The expatriate team was by design not integral to the Kenyan team's management structure, so it could ultimately phase out.²⁵ Nuru Kenya case study

One idea for INGOs and local partners to develop useful support activities:

- Conduct a power analysis and capacity assessment prior to transition and discuss findings with INGO and community stakeholders. Jointly prioritize areas where mutual coaching and confidence building may benefit the longer-term learning and support process.

Organizational Support (organizational systems and knowledge strengthening). Capacity strengthening that focuses on bolstering organizational systems can help new entities run smoothly, competently and establish positive reputations at national and community level. Strong systems support institutional development, accountability, transparency and learning.

Ideas and advice to develop useful support activities for local entities and INGOs:

- Consult local accounting and financial experts, or local anti-corruption/anti-fraud groups, on good practices and locally compliant financial, administrative and operational systems.
- Invest in joint organizational system development with local staff throughout the duration of

INGO programming in the country. In this way when transitions do occur, there will already be strengthened capacities.

- Invest in support packages to develop resource mobilization and fundraising skills (including proposal writing skills, fundraising strategy development knowledge and skills, institutional and private donor cultivation and relationship management). The SAS Financial Sustainability Issue Paper and guidelines on how to support financial sustainability during and after transition would be critical resources to consult.²⁶

Material Support During Transition. Material assistance, though not a typical or classic type of ‘capacity strengthening’ resource, can become a powerful tool for local entities navigating complex transition processes.

One idea for local partners and INGOs to develop useful support activities:

- Donate and/or write off assets as an investment into local entities’ sustainability by reducing their operational costs. For instance, invest in funding staff time to plan and implement transitions, purchasing a new office space or providing seed funding.²⁷

2.3 RESPECTFUL AND INCLUSIVE FRAMING OF MUTUAL CAPACITY STRENGTHENING PROCESSES

Language matters. It is often used to underscore ‘whose learning/capacities’ are important enough to be strengthened.²⁸ To see language simply as a tool to describe or explain ideas would be to miss the politics of how its use can shape concepts, narratives and debates.²⁹

For practitioners, at the essence of any responsible transition is the understanding that **nuanced, inclusive and respectful language** can signal solidarity, respect and common experience. This type of framing avoids simplified binaries (like ‘local’ versus ‘donor’). It also sidesteps boilerplate or over-simplified jargon that can imply other activities (donor reporting, office closeout, final administrative and operational wrap-up) take precedence over community wellbeing, sustaining important outcomes,

or trusting the leadership of a new entity.

Consider these steps for framing capacity strengthening respectfully and inclusively:

With communities and partners, jointly define the terms ‘local’ and ‘external’. In particular, who is local, who is not represented in ‘local,’ and the same for the term ‘external’. These categorizations mean different things globally and thus require contextualization. For instance, “local” can be defined as grassroots groups, civil society organizations, community-based movements, government units, non-profits, private sector and social enterprises, that support holistic and collaborative community development.



...language is also [often] used to construct the realities of certain actors. SAS Online Consultation Report, October 2017

DEFINITION OF LOCAL

The term 'local' has different connotations in different contexts and is a contested term. In the context of SAS's research, 'local organization' is used to refer to CSOs or NGOs in the global South that are undergoing a process of transition in their partnership with an INGO. This encompasses organizations that work at the local and national level. The broader term 'local actors' recognizes the diversity of this group, which can include individuals, communities, newly created NGOs or CSOs, NGOs that have devolved from an international federation, or local and national governments.

The global development organization Pact has developed a capacity development framework for practitioners, breaking down into categories *who* possesses capacities in a given context (from individual and organizational to networks and systems). This analytic framework can assist organizations in specifying who is 'local' and 'external,' and creating effective strategies for capacity strengthening and learning across diverse contexts.³⁰

KEY WORDS LIST

- Use the word 'partner' rather than 'beneficiary' or 'recipient' during support or capacity strengthening activities.
- Use the word 'accompaniment' or 'joint learning' rather than capacity strengthening. Capacity strengthening often assumes the focus is on 'local' capacities (this is the norm/ 'default' association). Whereas, 'accompaniment' often assumes joint learning is important, as is often the case during transition planning which is still new to many organizations. Similarly, consider language such as 'mutual' or 'collaborative' learning as this recognizes lessons are important for all stakeholders, not only those receiving funding.

ANNEXES

Annex A: Inventory of Types of Support and Capacity Strengthening Activities (for INGOs and Local Partners) Relevant for Successful Transitions

Annex B: Recommended Approaches for INGOs Providing Support and Capacity Strengthening Assistance

Annex C: Joint Learning and Mutual Capacity Strengthening Resource List

Annex D: Resources and Options for Capacity Strengthening and Learning During Transition

ANNEX A: INVENTORY OF TYPES OF SUPPORT AND CAPACITY STRENGTHENING ACTIVITIES (FOR INGOs AND LOCAL PARTNERS) RELEVANT FOR RESPONSIBLE TRANSITIONS

This Annex provides a set of examples to illustrate a variety of capacity strengthening activities relevant for INGOs and local partners. International and local entities undergoing transition will have unique needs, based on contextual, relational factors, and existing

capacities. However, international and local entities are often learning together during transition planning and implementation processes. Approaches for jointly identifying and developing specific types of support and capacities are provided in Annex B.

A. EXISTING CAPACITIES OF LOCAL ORGANIZATIONS SHARED WITH INGOs DURING TRANSITION

- **Significant existing social capital.** Many local organizations driving transition processes are well networked with local government departments and officials, as well as other NGOs and CSOs. Many play a bridging role between governments, communities and other INGOs. From a sustainability standpoint, it is important for INGOs to recognize and support these existing systems. And, to recognize not all local organizations will need support to build social capital.
- **Expertise in determining appropriate organizational models.** In many instances, local organizations have already determined an appropriate organizational model. In Georgia, BRIDGE studied other local Georgian NGOs to teach themselves about a range of governance and organizational models that worked well in their context.³¹ In Bosnia and Herzegovina, the local entity (Partner) established a successful

governance model. In fact, the model worked so well that the INGO partner (Mercy Corps) retained two positions on the Board for both governance and observational value - to inform Mercy Corps microfinance programming elsewhere. In Colombia, the local entity (SOS Colombia) instituted wide-scale operational changes to successfully transition the organization and also enable rapid scale up post-independence.

A salient question central to joint learning is who is responsible for leading a joint learning process, and/or how can that responsibility be shared? For many transitioning local entities, it is not realistic for them to take the lead, or be burdened, with coaching and training INGOs simply given the significant work needed to ramp up and launch a new program or institution.

B. CAPACITIES RELEVANT FOR LOCAL ENTITIES DURING AND AFTER TRANSITION

Many capacities developed during a transition are organizational in nature, though some are individual (e.g., leadership skill building, confidence building). The word ‘capacities’ can often be vague and misleading, referring to skills, knowledge, networks, lived experience, etc. Every effort has been made to specify the type of technical capacity.³² INGOs, donors and partners interested in supporting local partners’ efforts to strengthen capacity will find this section useful.

- 1. Evaluation and learning skills.** During a transition, ongoing feedback and learning is imperative. Strengthen internal feedback collection, analysis and utilization skills to continually improve programming and transition activities. And, collect and use partner and community feedback to assess effects at community level. In many instances, these skills exist before transition and/or are developed by local entities during and immediately after the process, such as in SOS Colombia and Raks Thai cases (skills were often self-taught). Consider **joint design** of feedback processes during transition, in which INGO and local entity continuously navigate challenges as they emerge.³³
- 2. Skills and knowledge** for strategy development. Where strong local leadership is already in place, strategic vision for post-transition organizations often comes naturally. Otherwise, search for local consultants and/or INGO staff that can help further develop necessary strategic thinking skills.
- 3. Knowledge management skills.** Strengthen the skills required to manage key documents and records like core policies, legal records, program or partnership contracts, monitoring and evaluation reports, activity reports, etc. Such skills include knowing how to manage relevant knowledge management platforms (e.g., Google Drive) or developing and managing organizational processes (e.g., flow charts) to track who is updating key documents and when.
- 4. Partnership and networking assistance.** Many local entities are well-networked on their own, however further support to continue network-building is important. For example, valuable partners were those INGOs that established strong relationships (particularly at government level) and facilitated introductions with local partners during and after transition.
- 5. Developing organizational structures and policies.** Support the development of clearly articulated values and principles, and strong administrative systems that ensure organizational transparency and accountability. Local entities transitioning in fragile or conflict-affected contexts, especially, benefit from this type of support given the low-trust environments in which they operate.
- 6. Governance and leadership knowledge and skills.** Leadership skills were considered by several case organizations to be a critical element for any change management process.³⁴
- 7. Financial management skills.** Training in business development and financial management was cited by all organizations in our case studies as either a need or a major asset that they received. For more, see SAS resource: Practical Guidelines for Financial Sustainability.³⁵
- 8. Program management knowledge and skills.** Assist local partners through training and support in program management knowledge and skills, such as proposal writing, donor reporting, and the development and management of program budgets. Technical skills training to assist with ongoing program implementation is also useful.

ANNEX B: RECOMMENDED APPROACHES FOR INGOs PROVIDING SUPPORT AND CAPACITY STRENGTHENING ASSISTANCE

How capacity strengthening and support activities are provided during transition differ, though many often center around classic ‘training’ approaches. Beyond training, a simple list of recommended approaches for INGOs during transition include:³⁶

- **Resource mapping exercises to assist in strategic decision-making during transition.** Determine skill or resource gaps, and identify individuals and institutions with relevant knowledge, skills and/or material resources to assist either in an indirect or more direct role.
- **Approaches that build on relationships with local authorities by including them in support activities.** Engaging government and local authorities during and after transition can be critical for a program or organization’s successful continuation.³⁸ Local authorities are often aware of, if not working directly with, local staff, partners or communities already. Engage this key stakeholder group at the outset of transition planning, throughout capacity strengthening processes, and/or during the life of the new organization.
- **Approaches that intentionally recognize and break down power differentials between team members.** Some teams during transition use the opportunity to address problematic power dynamics and set a new tone for the organization. Support relationship and team skill-building activities that emphasize active listening, open discussion, and shared notions of accountability and respect particularly between expatriate and local staff.
- **Approaches that focus on building INGO or ‘non-local’ staff capacities.** Provide capacity strengthening activities for non-local staff to send an implicit message to local entities that these staff are (also) experiencing significant learning curves during transition. For instance, model efforts by PADCO in Burundi: “in both PADCO projects, project officers—who were not from the communities they would serve—were required to live in those communities, thus putting into practice their objective to build trust between people from different ethnic or geographical backgrounds...Furthermore, PADCO invested in training the entire staff, not only the designated project officers, in non-violent conflict resolution.”³⁹
- **General INGO accompaniment approaches.** Develop a ‘transition plan’ that defines the intended accompaniment process including how to manage expectations and relationships.⁴⁰ Also, as transitions are not always straightforward, include in this a timeline to re-assess the accompaniment approach and/or adapt based on emergent information and lessons.⁴¹

ANNEX C: JOINT LEARNING AND MUTUAL CAPACITY STRENGTHENING RESOURCE LIST

Resources on Community-Driven Capacity Strengthening	
Community Development Resource Association	Useful database with relevant articles, tools and guidance documents. See: An investigation into the training of Community Development Workers within South Africa
2016 Global Summit on Community Philanthropy	Community philanthropy is a unique approach to development which gives primacy to building local assets, capacities and trust. This Global Summit has collated resources from the community philanthropy field, currently estimated at over 1,838 foundations (source: Community Foundation Atlas). Stories about this group and how they use #ShiftThePower can be found here .
Dalia Association	Dalia Association is a community foundation that “realizes our rights as Palestinians to control our resources for our own durable development for generations to come,” focusing on community-driven capacity strengthening. See: Shifting the Power? An alternative to ‘big aid’ in community philanthropy
INTRAC	This Paper Series on capacity and capacity strengthening shares insights gleaned from a subset of literature examined by the Self-Reliance Learning Agenda (SRLA) landscape analysis, with the aim of prompting further discussion. It notes that capacity and capacity strengthening are complex and contested terms, with practical implications for how development practitioners approach capacity strengthening with local partners.
USAID Learning Lab, Self-Reliance Learning Agenda Paper Series on Capacity and Capacity Strengthening	This USAID Learning Lab blog presents USAID’s Collaborating, Learning and Adapting (CLA) framework, and discusses how the framework can be used to analyze and enable organizational resilience. Organizational resilience is defined as the ability of institutions, communities and local systems to grow stronger during and after challenging events or experiences.
USAID Learning Lab Blog: “If the Journey to Self-Reliance is to Succeed, We Need to Strengthen Local Capacity to Collaborate, Learn and Adapt”	This USAID Learning Lab blog presents USAID’s Collaborating, Learning and Adapting (CLA) framework, and discusses how the framework can be used to analyze and enable organizational resilience. Organizational resilience is defined as the ability of institutions, communities and local systems to grow stronger during and after challenging events or experiences.
Resources on Capacity Strengthening Partnerships	
Promoting Fair and Equitable Research Partnerships to Respond to Global Challenges	This project emphasizes the generation of new data, learning exchanges and practical tools informed by a ‘partners’ perspective’ to strengthen policy and practice related to research collaboration.
Rethinking Research Collaborative	Informal international network of academics, civil society organizations, social movements, NGOs, and researchers committed to exploring the politics of evidence and participation in knowledge for international development.
Capacity Development: A DAC Priority	The 2005 Paris Declaration on Aid Effectiveness highlights the importance of capacity strengthening for Southern ownership and leadership of development strategies and processes. It places capacity development at the center of the international aid debate. This resource outlines and further discusses these commitments.
Time to Listen: Hearing People on the Receiving End of International Aid	This book (2012) calls for a paradigm shift within the international assistance sector; arguably, the insights are still highly informative for teams eager to build mutually strengthening partnerships. For other articles on shifting the paradigm, see: here and here .
Evaluating Capacity Strengthening	
Better Evaluation, Evaluating capacity development results	‘Better Evaluation’ is a database to share tips, techniques and methodologies for better monitoring, evaluation and learning. This specific resource includes definitions of capacity development, frameworks for designing and understanding change, and a long list of methods for evaluating capacity development activities.

ANNEX D: RESOURCES AND OPTIONS FOR CAPACITY STRENGTHENING AND LEARNING DURING TRANSITION

Responsible transition planning is still the exception, rather than the norm. More evidence would be useful to inform practitioners about potential resources and options for transitions in different contexts. However, it is often helpful to have a menu of possible choices when deciding the best approach to planning or implementing a responsible handover, exit or transition. Several ideas below are meant to illustrate options to assist in scenario-planning.

a. **Scenario 1: No funding to develop key capacities / learning processes.** Throughout the evidence gathering stage, the Stopping As Success consortium noted a significant level of independent consultants and resource organizations available to support local entities and INGOs. Many of these consultants and organizations were based in contexts where local entities were undergoing transition, therefore minimizing travel and associated costs. Organizations considering transition should conduct a light touch stakeholder mapping in their own contexts to identify possible experts in change management, leadership development, fundraising, or

other areas. From the case evidence, SOS Colombia consulted with local organizations during their own transition; and Raks Thai in Thailand has supported and advised other local entities in the country considering independence.

- b. **Scenario 2: We don't have the tools to learn during transition!** Depending on the learning needs, consider adapting feedback templates and/or mechanisms from local partners. Or, ask partners if they would be willing to share lessons learned from implementing their own feedback processes. Consult with experts or search for publicly available feedback resources (see: <https://feedbacklabs.org/>).
- c. **Scenario 3: We don't know how to determine when key stakeholders should learn or develop capacities.** Based on examples from the evidence gathering stage of the SAS project, a draft timeline for planning – with key questions for decision-making at each stage - might include:

Timeline	Key Questions
When 'entering' a new context / Beginning	<ul style="list-style-type: none"> • How can we (INGO and local partners) develop respectful, transparent, accountable relationships and maintain these for the life of the project? • What other (INGO and/or local partner) needs should be addressed, relating to organizational development? I.e., are there other needs or opportunities for relationship building, resource mapping and finance mobilization that can be addressed now so stakeholders feel empowered to lead these themselves later?
Prior to transition planning, pre-planning stages (this stage is important, given a transition process may need to be accelerated making it easy for key people to quickly feel 'left out')	<ul style="list-style-type: none"> • Who needs to be included in strategic decision-making conversations? • How should strategic decisions be communicated, so all staff feel there is shared transparency throughout the process? • What capacities would relevant stakeholders like to see / are they asking for? • Are we also considering/planning for INGO capacities that need to be developed during the transition process?
As soon as a transition process begins (it is critical to involve local communities as soon as transitions begin if not sooner; handovers or transitions to local entities do not always intentionally include community perspectives)	<ul style="list-style-type: none"> • What role will local stakeholders play in this process? • What relationships matter, and that we need to get right?
Post-transition	<ul style="list-style-type: none"> • Is there further support or capacities needed by either the INGO or local entity? • What else is needed to support a useful discussion about roles and joint partnership, to ensure support is delivered most effectively?

ENDNOTES

1. https://usaidlearninglab.org/library/usaid-self-reliance-learning-agenda?utm_source=Learning+Lab+Mailing+List&utm_campaign=60acc89b0b-EMAIL_CAMPAIGN_2019_06_04_05_48&utm_medium=email&utm_term=0_a881a1662a-60acc89b0b-107823761
2. Quote from consultation participant, SAS online consultation, October, 2017. Cited in: “INGOs as Yeast, Not the Flour,” CDA Blog Post, April 2018. <https://www.cdacollaborative.org/blog/aid-exits-locally-led-development/>
3. 2005 Paris Declaration on Aid Effectiveness, <https://www.oecd.org/dac/conflict-fragility-resilience/governance/docs/46682429.pdf>
4. Participant, Stopping As Success regional evidence review meeting in Bangkok, Thailand, March 2019.
5. CARE Morocco case study
6. Though, to be clear, training was at times important for achieving some specific capacity strengthening objectives (e.g., technical training to assist program managers and other implementers). Read more in the SAS Issue Paper on Capacity Development in Responsible Transitions.
7. Refer to the SAS Issue Paper on Leadership and Champions in Responsible Transitions which offers a short typology of leaders and champions that may exist and serve as important resources during transition.
8. Refer to the SAS resource Responsible Transitions and Partnerships: Issues at Stake and Practical Guidelines for further resources on principles of partnership and guidelines for developing stronger partnerships.
9. Iloilo City TB Task Force case study, Philippines (SMT program)
10. Reference the SAS resource Communicating Exits Issue Paper for more detailed analysis.
11. There are many SWOT resources available, however one place to start would be this 2016 guidance produced by Rick James and INTRAC: <https://www.intrac.org/wpcms/wp-content/uploads/2016/09/Strategic-Planning-A-PLP-Toolkit-INTRAC-1.pdf>
12. Reference SAS resource on Responsible Transitions and Partnerships: Issues at Stake and Practical Guidelines
13. Iloilo City TB Task Force case study, Philippines (SMT program)
14. Ikibiri Coalition case study, Burundi
15. Great Lakes Inkingi Development (GLID) case study
16. Plan India case study
17. CEPAD case study, Timor-Leste
18. Community Network for Integrated Development case study, Guatemala
19. Raks Thai Foundation case study, Thailand
20. Great Lakes Inkingi Development (GLID) case study
21. Also refer to the SAS Issue Paper on Leaders and Champions in Responsible Transitions.
22. Reference the SAS Communicating Exits Issue Paper for different approaches to communication (e.g., early, phased, brokered, organic, or structured approaches to communication).
23. Reference the SAS Communicating Exits Issue Paper for further information.
24. For those short on time, Annexes A and B have been summarized within Section 2.2. To note: ‘support’ here refers to knowledge and skill-building support, in addition to moral and physical (material) support, which are different.
25. Nuru Kenya case study
26. Refer to Practical Guidelines for Financial Sustainability, SAS resource.
27. Practical Guidelines for Financial Sustainability, and related Issue Paper, SAS resources.
28. Not elaborated in this paper but referenced in the Partnerships SAS resource (section on “Power, competition, respect and collaboration”): questions of when to discuss capacity strengthening activities are also important to get right such as during joint decision-making touchpoints, rather than midstream during a transition.

29. October 2017, SAS Online Consultation report
30. https://www.betterevaluation.org/sites/default/files/CD_pact2.png
31. BRIDGE case study, Georgia
32. INGOs were the unit of analysis for this learning effort, therefore case evidence was slightly weighted in favor of suggestions for INGOs. It should be noted that there are eight suggestions here for how INGOs could take responsibility for joint learning and capacity strengthening and two suggestions for how local organizations might support these activities.
33. This was seen in the Nuru Kenya case study. “The measured, iterative nature of the handover process was designed so that staff could give feedback about how the process was going and training could be adjusted accordingly...The leadership team also provided feedback questionnaires and assessment alongside the trainings to collect feedback and update materials and presentations.”
34. Refer to Section 2.1. See also SAS Issue Paper: Leaders and Champions in Responsible Transitions for more detail from case interviews.
35. Practical Guidelines for Financial Sustainability, SAS resource.
36. A list has not been provided of all training documents in the cases, as there was a significant number. Those interested can find examples directly in the case study documents.
37. Iloilo City TB Task Force case study, Philippines (SMT program)
38. Many examples from the case research show how this was done well. Including the two case studies in Burundi, and the case study in DRC. Also, refer to Responsible Transitions and Partnerships: Issues at Stake and Practical Guidelines.
39. Ibid.
40. Lessons can be drawn from the Great Lakes Inkingi Development (GLID) case study.
41. For instance, examples can be drawn from the DRC case study.

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Cover Photo: Photo of a small coffee business belonging to partners of Raks Thai Foundation, SAS case study visit in Thailand