A Resource Guide for Enhancing Potential for Sustainable Impact

Food and Nutrition Security
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PROJECT CONCERN INTERNATIONAL (PCI)

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Founded in 1961, PCI is an international non-profit organization dedicated to preventing disease, improving community health and promoting sustainable development worldwide. Motivated by our concern for the world’s most vulnerable children, families and communities, PCI envisions a world where abundant resources are shared, communities are able to provide for the health and well-being of their members, and children and families can achieve lives of hope, good health and self-sufficiency. PCI is headquartered in San Diego, CA, with an additional US offices in Washington, DC. PCI currently operates in 16 countries in Asia, Africa and the Americas. Intervention focus areas include food and livelihood security, health and nutrition, water and sanitation, and humanitarian assistance and disaster risk management. Cross-cutting areas of focus include community mobilization, gender equity, social and behavioral change, local capacity strengthening, and sustainable impact.

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Authors: Jenny Choi-Fitzpatrick (Consultant), Janine Schooley (PCI), Clara Eder (PCI) and Blanca Lomeli (PCI)
Contributors: Gwen O’Donnell, Christina Gagliardi and Cindy Pfitzenmaier
Graphics & Layout: Jorge Valdivia (Consultant)

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For more information, please contact Clara Eder, Vice President, Strategic Information for Impact at CEder@pciglobal.org.
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“Sustainability is not something you can stick into a project (like a budget line). Sustainability is a way of life, a way of thinking. If we don’t model it ourselves, it is difficult that we can achieve it. We often see a big disconnect between what we say and what we do - think about just making small changes.”

Kristof J. Nordin
Malawi Regional Workshop Participant and Panelist
FORWARD

This Resource Guide for Enhancing Potential for Sustainable Impact was developed to help development practitioners enhance the sustainability of their programs’ impact through practical guidance and tools that could be applied to existing program design and management processes. Many donors now recommend – or require – that programs present a viable sustainability plan and transition strategy starting from the proposal stage. Yet both the scholarly and applied literature on how to define, operationalize, and measure sustainability is limited, complex and often contradictory.

Drawing from a limited but growing body of knowledge about sustainability, this guide offers a useful resource that can help implementing organizations, local partners, donors, and other stakeholders better understand how a ‘sustainability lens’ can be applied practically throughout the life cycle of a project through effective management, capacity strengthening, and implementation of practical transition strategies. It helps orient program managers to promising practices, common pitfalls, and flexible guidance and adaptable tools that can inform the most effective sustainability strategy for their program context. This guide does not prescribe a specific methodology or approach, but rather attempts to compile and present existing concepts and tools in such a way that practitioners can more effectively ensure real and lasting change.

This guide has been developed with a sectoral emphasis on food and nutrition security programs; however, its general principles can be applied across all sectors and types of programs.

"You can change without being transformed, but you cannot be transformed without being permanently changed."

Jim Sniechowski, PhD
The Difference Between Change and Transformation
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We’ve been in development for decades but it’s amazing that no serious work has been done on program sustainability until now.

Amalendu Pal
Director, Asian Institute of Poverty Alleviation
New Delhi; India Workshop Participant
CHAPTER 1
INTRODUCTION

A. PURPOSE
This Resource Guide is designed to help development practitioners in their efforts to create greater potential for sustained impact after the end of a project’s funding period. It also provides useful resources to aid project teams in tailoring sustainability techniques and approaches to their particular context.

B. SCOPE
The scope of this guide is generally project focused. It addresses project-level processes even as they may support program-level sustainability goals. As projects come in many forms and cover a diverse range of programming, it may be necessary to tailor the principles and suggestions in this guide to fit a particular program context.

This guide assumes a partnership approach between an implementing agency and local stakeholders such as communities, government institutions, civil society organizations, or community-based structures, through the mechanism of donor-funded projects.

The particular sustainability principles that apply may differ from situation to situation, depending on the context. Which principles apply will depend upon:

- the nature of the interventions
- the intent of the donor
- the respective roles of each partner
- the organizational maturity of each partner
- the capacity and intent of the various stakeholders
- the external environment, including risks and threats

This guide is not intended to be overly specific or prescriptive and should not be applied as such. While it was designed for use in food and nutrition security programming, the general principles can be applied across all sectors and programming types.

By applying the best practices depicted throughout this guide, practitioners can increase a project’s readiness and potential for sustaining impact beyond the life of the project.

A-Z

Definition: The term ‘project’ is defined here as a set of planned and interrelated actions that achieve limited and defined objectives within a given budget and specified period of time. Although projects may be situated within a broader programmatic framework in order to achieve significant impact over time, the project unit continues to be the basic unit of health and development interventions. For purposes of this guide, the terms ‘project’ and ‘program’ are sometimes used interchangeably.
C. INTENDED USERS
While the key participants and beneficiaries of any sustainability effort are the community members, local governments and local civil society organizations (stakeholders), the primary audience for utilizing this Guide are development practitioners, in particular those who are in the position to integrate a sustainability perspective into key processes throughout the life cycle of a project or program.

In addition, other audiences may include local partners who use the Guide to support their own capacity development priorities or to facilitate exit/transition planning; program evaluators who can incorporate ‘sustainability readiness’ principles and post project sustainability studies into their evaluation scopes; community members and local governmental agencies who must be active participants in most sustainability strategies; and donors who can use the Guide to inform the policy dialogue, provide more specific guidance on sustainability strategy requirements in proposal solicitations, and ensure sufficient resources for sustainability efforts, including for post-project sustainability studies.

D. APPROACH
This guide is designed for practitioners for application in the field. It builds on existing knowledge and connects readers to a limited but growing evidence base on sustainability. While the guide does not offer a specific methodology for delivering or measuring sustainability, it does encourage critical reflection about sustainability, as well as practical ways to apply a ‘sustainability lens’ to routine processes such as program design, planning, implementation, monitoring and evaluation.

Throughout the guide, best practices and common pitfalls are captured and translated into operational guidance and considerations. These can be used as a reference by project teams to enhance program design, develop sustainability indicators, or adapt into assessment instruments or evaluation scopes of work. A variety of tools and external resources accompany each chapter, particularly where they demonstrate use of the sustainability readiness approach, which is explained in Chapter 2. The guide may be most effective when used as a reference for program design and planning or as a means to facilitate active discussion and participatory decision-making together with program stakeholders around sustainability issues.

Who should use this guide?
- project designers
- project planners
- project implementers
- project managers

Who else will find it useful?
- local partners
- other stakeholders
- program evaluators
- donors
E. WHAT THE GUIDE IS NOT

The guide is not a silver bullet, panacea or ready-to-use tool for ensuring sustainable impact. It is not a detailed, off-the-shelf methodology for assessing or measuring sustainability. Instead, the guide provides guidance, important considerations, and practical resources for project teams who want to develop their own means for improving, assessing and measuring sustainability. Emphasis is placed on increasing ‘readiness’ for sustainability during a project period, rather than on programmatic strategies (specific interventions) for impact that is sustained after a project period.

This guide is not intended to serve as a manual on project management. Rather, it describes practical ways to enhance project management processes to better promote sustainable outcomes. Similarly, the guide is not a how-to on capacity strengthening and does not replace the need for a comprehensive, evidence-based capacity development strategy. Instead it emphasizes the need to fine-tune and prioritize capacity strengthening interventions in those areas that will have the maximum impact on the program’s sustainability, during both the short- and long-term time.

Finally, it should be noted that this guide focuses on sustainability of program impact and not the broader concept of ‘sustainable development’ from an environmental point of view.

F. HOW THE GUIDE IS ORGANIZED

The Resource Guide for Enhancing Potential for Sustainable Impact is divided into seven chapters and a set of annexes as follows:

Chapter 1: Introduction

Chapter 1 describes the purpose, scope, approach, audience and structure of the guide.

Chapter 2: Defining Sustainability and Sustainability Readiness

Chapter 2 provides an overview on why sustainability is important, highlights relevant terms and themes from existing literature on sustainability, presents a case for using sustainability readiness as an operational approach for enhancing sustainability during the project cycle, and addresses the importance of measurement and learning with respect to sustainability.
Chapter 3: Project Management through a Sustainability Lens
Chapter 3 describes how a long-term perspective can be applied to all stages of the project cycle. It includes best practices and considerations for integrating sustainability into relevant program and management processes, by stage in the project cycle.

Chapter 4: Local Capacity Strengthening through a Sustainability Lens
Chapter 4 explains the role of organizational capacity in supporting a stable project transition in the short term, as well as programmatic viability in the long term.

Chapter 5: Program Transition through a Sustainability Lens
Chapter 5 describes the importance of a project exit strategy, including exit criteria and an action plan to facilitate an end-of-project transition.

Chapter 6: Local Ownership and Champions
Chapter 6 emphasizes the importance of local ownership and ‘demand-driven’ capacity strengthening interventions. It identifies the strategic role of a ‘team of champions’ in driving the implementation process and maintaining momentum before, during, and after project transition.

Chapter 7: Monitoring, Evaluation, Learning & Adaptation through a Sustainability Lens
Chapter 7 explains the importance of developing sustainability-related indicators, integrating them into the overall project’s monitoring and evaluation system, and conducting of regular monitoring, together with local stakeholders. This chapter identifies considerations for effective post-project studies to evaluate sustainability at both outcome and impact levels.

Annex A-E: Tools for Enhancing Sustainability
These annexes provide tools and resources to assist project teams in addressing sustainability considerations during planning and implementation processes.

Annex F: Special Considerations Regarding the Use of Food in Development Programs
Annex F provides special considerations regarding the use of food aid in development programs and the implications from a sustainability perspective.

Annex G: Additional Resources
Annex G provides a list of useful external resources to help project teams achieve their sustainability-related goals.
Once we start relying on what we have, we become sustainable.

Kristof J Nordin
Never Ending Food
Malawi Regional Workshop Participant
and Panelist
CHAPTER 2
DEFINING SUSTAINABILITY AND SUSTAINABILITY READINESS

A. CONTEXT
Significant resources and effort go into designing, planning, implementing and evaluating programs. Considerably less is typically invested in understanding how programmatic elements and results are sustained, evolve and adapted after a project comes to an end.

Understanding sustainability, (both conceptually and operationally), and intentionally engaging in sustainability enhancement efforts, has both strategic importance and practical application for donors, program implementers, program participants, and other stakeholders.

For example, if project outcomes are not sustained after the project ends, or worse, they return to the pre-project state of being, then donor resources have essentially been wasted. Project participants (and communities at large) may become disillusioned and/or frustrated and less likely to participate in future endeavors.

Of course, not all programming should continue for long periods of time. Circumstances, people, and situations change, as do the problems that a program was meant to address. When a more effective, appropriate, or cost-effective means for addressing a problem emerges, the original approaches may be adapted or replaced with more effective innovations.\(^1\)

Nevertheless, the continuation of the benefits or impact of a project must be a primary goal if evidence shows that it meets the needs of a particular population.\(^2\)

Inevitably, even the most successful programs face the challenge of sustaining effectiveness over time. Many donors now recommend – and even require – that a viable sustainability plan and exit strategy be included as part of the project proposal. Even so, project implementers do not generally invest significant effort towards understanding the concept of sustainability, nor do they develop a concrete strategy to address sustainability throughout the project life cycle.

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In the majority of cases, inadequate effort and resources are dedicated to sustainability planning. However, the opposite approach can also be problematic. Applying complicated models to measure sustainability can be cumbersome or require more time and resources than a project can realistically bear. These models may also alienate the stakeholders who will ultimately assume the responsibility for sustaining outcomes after the project ends.

Often, the best approach lies somewhere in the middle. For example:

- Project design, planning, monitoring and evaluation can be enhanced by applying a long-term perspective, or a sustainability lens throughout the project cycle.
- Engagement and participation strategies involving communities, civil society and local government can help ensure local ownership and the cultivation of champions.
- Capacity strengthening interventions can be fine-tuned to develop knowledge, skills and systems that support the continuation of program services after the end of a project.
- Exit strategies can be developed and implemented as a way to execute a realistic transfer of responsibility to local entities for the continuation of selected program services after a project ends, rather than an abrupt exit.

Rather than prescribing stand-alone or parallel processes, this guide aims to consolidate best practices, identify common pitfalls, and link with helpful resources to provide project teams with a number of ways to increase their ‘readiness’ for sustainability in light of their respective contexts.

"The growing literature on the general theme of what happens to projects after their initial funding ends has not yet coalesced into a single research paradigm, a shared set of statistical methods, or even a common terminology."

M. Scheirer

B. DEFINING SUSTAINABILITY

Despite a growing body of scholarly literature over the last several decades, ‘sustainability’ as a topic of study has been fragmented and often contradictory. There is a wide variety of synonyms for the term (see box on the left) and definitions generally fall into four categories: (1) adherence to program principles and objectives (2) organizational integration (3) maintenance of benefits and (4) community capacity building. These definitions operate at different levels, including individual, organizational, and community.

1 Goodman & Steckler, 1989; Shediac-Rizkallah & Bone, 1998; Weiss et al., 2002; Mancini & Marek, 2004; Pluye et al., 2004.


What does sustainability success look like 10 years after the Indian Ocean tsunami response?

- increased awareness on the part of local community members, government and civil society about the importance of disaster preparedness
- improved response capabilities
- improved knowledge about risks and opportunities related to disasters
- infrastructure still functioning
- systems in place to maintain infrastructure
- education about disaster risk reduction and preparedness incorporated into school curricula
- practices improved in comparison to before the tsunami (e.g. shelter construction, communication on emergency response)
- positive shifts in social norms related to acceptable risk and prevention vs. reaction to emergencies
- policy changes and improved technological framework for emergency response and disaster preparedness

This summary was prepared by Workshop Participants in India, June 2014.

Definitions:
In its broadest sense, and for purposes of this guide, the term ‘sustainability’ is defined as ‘the ability to provide continued benefits to a targeted population.’

From this outcome-level perspective, the key element is the continuation of program benefits, regardless of particular activities delivered or the format for that delivery. In fact, in order to be adaptive, resilient and responsive to an ever-changing external environment, the capacity to sustain benefits equates to the capacity to evolve and adapt activities and formats not only during the life of a project, but post-project as well.

The term ‘exit’ refers to the withdrawal of all externally provided program resources from a program area, while assuring that the achievement of intended goals is not jeopardized and that further progress toward these goals is made.

The term ‘graduation’ refers to the withdrawal of resources from selected communities, program sites or program activities. From this perspective, program graduation or exit may take the form of ‘phase-over’ or ‘phase-out’, depending on the nature of interventions, progress toward achievement of impact, organizational maturity and the institutional environment, and/or readiness for graduation, exit or transition.

Regional Workshop participants in Malawi defined sustainability as: “The ability to maintain continued benefits over time.”

A-Z

C. SUSTAINABILITY READINESS

There is general consensus that the likelihood for sustained impact can be increased if a project plans for it from the beginning. In addition to a broader concept of ‘sustainability’, this guide also uses the concept of sustainability readiness because it implies a perspective of anticipation (vs. reaction), and a state of preparedness (vs. lack thereof) for an eventual transition of responsibility. It therefore shifts the focus from the period after project completion, to what actions can be taken during the project itself to maximize potential and mitigate risks or threats to continuation of positive impact.

In many cases, such as in a context of continued funding or a broader program or initiative approach, the end of a project does not necessarily mean a complete handover of all project components. While project teams cannot predict with certainty whether its benefits will be sustained over time, they can take measures to incorporate a longer term perspective – or a sustainability lens – into their design and implementation processes and thereby maximize the potential for sustainable impact.

Four key perspectives emerge from the current thinking on sustainability that can be applied to the sustainability readiness approach:

Definition: At the operational level, sustainability readiness can be defined as the degree of preparedness achieved during a project period to continue and evolve selected programmatic efforts and increase the likelihood of sustained benefits over time.

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Workshop participants in India depict the project life cycle approach.

“Sustainability efforts should also include a rights-based approach. Sometimes we implement a project and leave things worse than how it was before it started. We should always think about sustainability from the perspective of the local communities. Development agencies have an obligation to consider this as part of the quality of their services.”

Leticia Toj
Guatemala Regional workshop participant and panelist
May 2014

Pluye, et al., 2005.
1. Project Life Cycle Perspective
The sustainability process is more cyclical than linear, beginning with project design, and evolving throughout all stages of its life cycle, including implementation, monitoring and evaluation, and project closure and/or transfer. This project life cycle perspective suggests that integration of sustainability elements within project processes, and applied throughout a project life cycle, can have an ultimate impact on sustainability readiness, potential and success.

2. Organizational Perspective
One of the most popular directions taken by researchers on sustainability is to examine factors within an organizational setting that impact sustainability. ‘Organizational setting’ in this context refers to community entities, civil society organizations and local government, all of whom are key stakeholders. From this perspective, the continuation of programming is primarily the responsibility of these entities, and sustainability occurs when programming becomes routinized or institutionalized within an ‘organizational setting’. This ‘routinization’ occurs when a program becomes a stable and regular part of existing systems, procedures and behaviors. It suggests that organizations/entities that have the necessary technical and management capacity, as well as ownership and accountability, can continue to deliver quality services and results to their constituents over time.

3. Market Perspective
Projects often provide essential public goods for which there may not be a viable profit incentive. Nevertheless, there is more than a grain of truth to the fact that profit-seeking businesses are the ultimate sustainable enterprises. Profit can provide the incentive and resources necessary to continue or build upon an activity. Seeking out and responding to market forces to support ongoing work should be a key consideration in planning for sustainable impact, not only in traditional areas like economic development or agriculture, but also in other intervention areas such as health care services and water programs. Thinking about how a proposed activity can pay for itself via earned income and profit at the conceptualization stage injects needed discipline into the design process, even if the activity in question may receive ongoing subsidy from local government or other actors.

4. Gender Perspective
Applying a gender perspective to sustainability means seeking to identify, understand and respond to differences between different groups of men and women and boys and girls, in perceptions, attitudes, access to and control over resources, economic opportunities as well as power and political influence. Integrating a gender perspective, which includes but is not limited to decisions about and approaches to program strategies and activities, staffing, partnerships, capacity strengthening, operations, budgeting, monitoring and evaluation, documentation and learning, is essential to

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Market Perspective - 
Key points
• profit and sustainable financial incentives increase local ownership of key activities 
• earned income, even in modest amounts, carry social and political value beyond its strict monetary impact

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ensuring sustainable impact. Understanding the different roles that men, women, boys and girls can play in helping to ensure the greatest possible potential for sustainable impact is an important aspect of gender assessments, analyses and gender-sensitive programming. For example, it is important to consider issues of time burden on women when planning for transitioning programmatic work to women or women’s groups post project.

The information, resources and tools included in this guide are organized around four main elements of sustainability readiness:

1. Project management
2. Engagement with stakeholders
3. Local capacity strengthening
4. Project transition

These four elements occur at the ‘output level’ of the Sustainability Readiness Flowchart (see graphic below), and the ‘sustainability lens’, which will be further explained in Chapter 3, is applied to each of them.
As with any conceptual model, this graphical depiction may over-simplify the complex reality, where elements often overlap and the process to increase sustainability readiness is often more cyclical than linear.

The elements should, however, work together to support the output-level achievement of ‘enhanced sustainability readiness’. This in turn supports the transition or continuation of outputs and services after the project period, and ultimately sustains program benefits over the long term.

**D. THE IMPORTANCE OF MEASUREMENT AND LEARNING**

The irony of sustainability measurement is that practitioners so rarely have the opportunity to study post-project impacts and explore why certain elements last and evolve, and others do not. This dearth of evidence is primarily due to a lack of project resources which, by definition, end with the project.

Development work is most often conducted with discrete funds for a finite set of activities that are implemented within specific start and end dates. An inherent assumption within this framework is that the outcomes and impacts achieved within that period will continue beyond the life of the project due to effective sustainability strategies implemented during the project life cycle.

Measurement and learning are thus critical during project inception, throughout the life of the project, and after the project has ended, to ensure that the assumptions made in design were correct, and led to the intended results and impacts. Careful measurement that assesses a range of qualitative processes, outputs, outcomes and impacts provides key data to test the validity of assumptions, the effectiveness of project strategies and activities, and to understand their short and long-term effects—both intended and unintended—on beneficiaries, stakeholders and the larger operating environment.

These data provide the evidence upon which decisions can be based to maximize the use of limited resources, not only during the life of the project, but also as a way to contribute to broader knowledge and understanding of longer-term impacts, and guide resource investment accordingly. In other words, without adequate measurement and a commitment to ongoing learning, we, the global development community, will not be able to appropriately direct limited resources to do the most good in terms of long-term, transformative impact.

India workshop participants defined sustainability as: “building ownership among primary stakeholders for positive impact to be continued beyond intervention with a fine balance of all capitals” and “the result or outcome of multiple strategies that bring positive continuous change that is owned by target communities”
CASE STUDY
PCI - Bolivia's Food For Education (FFE) Program
Demonstrates Sustainability Readiness

With funding from USDA, the UN World Food Program (WFP), and Bolivian municipal governments, PCI implemented school feeding activities in Bolivia from 2002-2013. Program activities focused on mobilizing parents, teachers and government officials to recognize the importance of children attending school and the indispensable role that sound nutrition has in cognitive development and learning. In addition to securing community and municipal level buy-in, PCI took a number of steps throughout program implementation to ensure that benefits would continue over time after PCI’s support ended. These activities included:

• training staff on how to apply a sustainability lens through all aspects of the project cycle
• training parents, students and teachers on the importance of education, local governance, nutrition, and the ‘Rights of the Child’
• securing buy-in on the importance of school feeding from all levels of government, followed by tailored training on how to budget sufficient resources for food purchase and transportation, the commodity pipeline process (e.g. requesting bids, and the procurement, management and distribution of food), the supervision of school feeding activities, etc.
• procuring municipal government financial contributions for local food purchases and transport
• training local farmers how to legally register as food suppliers in order to sell food stuffs to their respective municipal government
• facilitating exchange visits with the Ministry of Education (MoE) to visit and supervise project activities
• assisting the MoE to develop and introduce legislation to the Bolivian Congress to make school feeding mandatory across the country

These activities prepared beneficiary communities, the MoE and other Bolivian Government officials to sustain school feeding activities once PCI resources were no longer available.

Additional information on this program is provided at the end of Chapter 5.
In order to get to the solutions, we must think about the process - we need to talk with partners, with communities, with donors -- sustainability takes patience, and it takes a conversation.

Dorothy Taglae
PCI Country Director, Botswana; Malawi Regional Workshop Participant and Panelist
CHAPTER 3
PROJECT MANAGEMENT THROUGH A SUSTAINABILITY LENS

A. CONTEXT
Effective project management involves more than simply implementing activities in a logframe; when done well, it can also make the difference between sustaining a program’s impact or simply closing out a project. While all projects aim for some level of impact, the scope and duration of a single project is typically inadequate to bring about sustained change. It is important to recognize how a project relates and contributes to a broader context that should promote long-lasting and fundamental change in the lives of the people and entities within that context.

A competent project manager ensures that the short-term objectives of the project are met, while simultaneously monitoring their incremental contribution to longer-term goals shared by all key stakeholders. They apply a sustainability lens throughout the project cycle, integrating a long-term perspective into how a project is designed, what implementation strategies are used, what type of ongoing monitoring data is collected, how evaluations are carried out, and how information is used and shared to improve ongoing and future efforts.

The logic of this project cycle approach is that sustainability is likely to be affected by how (and whether) it was addressed in the previous stage. For example, a program design that reflects the ‘inside-out’ perspective (i.e. originating from the program participant, local partner, or local stakeholder) may be more likely to be sustained than one that reflects the ‘outside-in’ perspective (i.e. originating from the donor, foreign NGO or other external implementers) or is initiated primarily because of the availability of funding from an outside agency. Likewise, the same organizational characteristics that foster strong implementation of a new program, such as its compatibility with a local partner organization’s mission and the involvement of strong support by organizational ‘champions’, are likely to enable continued delivery of services after the end of a project.9

9 Scheirer, 2005.
B. THE PROJECT CYCLE
While there is no universal model that defines a project cycle, most models reflect the key stages of project design, planning, implementation, monitoring and adapting, and closeout or transition. In practice, the project cycle is a continuous, iterative and learning-infused process that can be applied at the project, intervention, or even activity level. Below is the project life cycle that will be referred to in subsequent sections of this guide:

C. BEST PRACTICES BY STAGE
Project managers and teams can translate best practices for sustainability into activities and detailed steps throughout every stage of the project cycle. These activities and detailed steps can facilitate improved communication, assessment, planning, implementation, collaboration, threat mitigation, monitoring and evaluation processes and provide a basis to develop benchmarks against which progress toward sustainability can be assessed and later evaluated. Because contexts and situations vary, project teams should be sure to tailor these activities and detailed steps to their particular context. Refer to Annex A for details.

1) Design
This stage comprises the first phase of planning, i.e. the conceptual plans that are typically developed in conjunction with a proposal that articulates a project’s overall goal, objectives, and strategies to achieve intended results within a pre-defined scope and according to a logical framework or theory of change.
Checklist:
A sustainability lens can be applied to the design process in the following ways:

- prioritize the involvement and substantive input of key stakeholders, including relevant members of the community, civil society and government
- ensure interventions are relevant to the target population and stakeholders
- develop an operational definition of sustainability (sustainability of what, for what purpose) from the beginning, together with key stakeholders
- reach consensus on a project’s graduation and exit strategies from the beginning based on agreed upon criteria;
- develop a results-oriented sustainability strategy
- ensure that sustainability objectives are clearly reflected in the project’s guiding documents, including logical frameworks, monitoring and evaluation plans, timelines, and budget
- communicate clearly with stakeholders from the beginning about the need to plan for sustainability
- include organizational capacity strengthening in the project design as an integral part of increasing sustainability readiness
- design activities or services such that they can continue after the project ends, either because they are transferred to another implementing body or through self-financing/entrepreneurial means

2) Assessment
This stage is a sub-category that applies throughout the Design and Planning stages, but is highlighted here due its importance and implications for intervention design, monitoring, and evaluating of sustainability. During the Assessment stage, preliminary data is collected to establish a baseline that informs program objectives, strategies, interventions and targets. Assessment processes are used to enhance contextual knowledge about a situation, to assess a potential partners’ sub-grantee worthiness, and to establish a starting point for capacity strengthening interventions and other factors of sustainability readiness.
Checklist:
A sustainability lens can be applied to assessment processes in the following ways:

- assess the organizational capacity of local partners, identifying and prioritizing capacities that are essential to sustainability in the short- and long-term
- develop an agreed upon criteria for sustainability readiness
- assess the starting level of sustainability readiness of key local entities as a basis for developing a transition plan
- ensure that any assessment of sustainability readiness is logically connected to clear objectives and produces actionable results
- develop a culture of trust and respect with local partners and actively supporting 'demand-driven' capacity strengthening interventions as a way to promote local ownership of the assessment process and results
- integrate sustainability readiness into existing assessment instruments and processes as much as possible
- promote a sense of urgency and momentum among key stakeholders by engaging them throughout the assessment and action planning process; use clear communication and timely follow-up

3) Planning
The Planning stage consists of building the operational plans to manage the implementation of the project, including activity schedules, monitoring and evaluation systems, budget and other resource allocations, and action plans.

Checklist:
A sustainability lens can be applied to project planning processes in the following ways:

- use a participatory process to develop an action-oriented graduation exit and transition that is results-based, realistic, measurable and part and parcel of the overall project implementation plan
- emphasize the importance of local ownership and accountability in the planning process and ensure that project plans reflect a gradual transfer of responsibility to key local entities when appropriate
- integrate clear language regarding sustainability including objectives, expectations, roles and responsibilities into project planning documents and partnership agreements
- integrate and prioritize any capacity gaps related to sustainability as part of the overall capacity strengthening strategies and interventions; be sure to support short-term stability during the end-of-project transition as well long-term programming and organizational viability.
4) Implementation
During this stage, the project takes all necessary actions to ensure that project activities are completed and outputs are delivered according to the project scope, timeline and budget.

Checklist:
A sustainability lens can be applied to implementation processes in the following ways:

- designate a responsible point person for the effective management of sustainability-related plans, rather than dispersing responsibilities across multiple staff with other responsibilities
- institutionalize the program’s sustainability strategy into regular project implementation processes by building opportunities to discuss and monitor progress of the graduation, exit and transition plans, wish can be done through staff and stakeholder meetings
- ensure that key stakeholders have a clear understanding of the program’s transition strategy and their role and responsibility in the process
- secure the buy-in of local leadership, asking them to communicate their commitment to the program’s sustainability and the interventions designed to increase sustainability readiness; ensure that incentives are provided to facilitate their commitment to the process
- provide necessary training and technical support to equip key stakeholders with the skills to implement the exit plan in a timely fashion
- identify, mobilize, and equip a ‘team of champions’ to help rally support and take responsibility to ensure progress against sustainability related action plans
- Celebrate ‘short wins’ throughout the implementation stage to maintain morale and momentum toward longer-term sustainability objectives

5) Monitoring, Evaluation, Learning & Adaptation (MELA)
During this stage, the project team measures the progress of the project against its targets and objectives, evaluates its performance based on established criteria. The team also captures and utilizes project information to support critical reflection and learning, and responds to learning with improved decision making and appropriate adaptations to project strategies and processes.
Checklist:
A sustainability lens can be applied to MELA processes in the following ways:

- include outcome-level indicators of sustainability readiness in the project's measurement framework
- include performance benchmarks or milestones in the program's transition plan
- link the transfer of responsibility (to local actors) to performance benchmarks, graduation criteria or other strategies
- regularly monitor sustainability output and outcome indicators
- integrate sustainability indicators into the scope of work for any program evaluation
- Involve key stakeholders and using participatory approaches when reviewing evaluation recommendations, particularly when making significant programmatic decisions such as mid-course corrections, and adjustments to exit plan approaches or targets
- meaningfully involve key stakeholders in project monitoring and evaluation processes; provide easy access to project data and design project data management systems to be easily mainstreamed into existing institutional information systems
- instill an appreciation for organizational learning through learning events and practically linking learning to systemic changes
- link local partners with external learning and exchange opportunities, including sectoral networks, communities of practice, and civil society or other forums to share best practices, lessons learned, and influence policy
- initiate planning for possible post-project sustainability studies

6) Transition
The ‘closing’ or overall ‘exit’ stage of the project includes the administrative close-out of a project’s contractual obligations and a transition of programmatic elements through an appropriate transition strategy.

Checklist:
A sustainability lens can be applied to close-out and transition processes in the following ways:

- implement a staggered approach to program exit, such as graduating high performing program sites in a phased manner, based on agreed upon criteria
- proactively manage perceptions and concerns about the end of the project and ensure that all key stakeholders present unified support and consistent communication regarding project close-out and program transition steps
- transfer substantive responsibility to key local entities in concrete ways throughout the project cycle, intensifying during the final year
- advocate and seek support for resources to conduct a post-project evaluation in order to evaluate long-term program impact and sustainability
- manage administrative closeout procedures and programmatic transitions in a coordinated and systematic fashion
- Clarifying the need and terms for ongoing collaboration beyond the project period, if resources allow, ensuring a stable and effective transition of the program to key local entities
D. TOOLS
A number of resources can be used to strengthen project management processes to enhance them to better support sustainability objectives.

**Tools: Project Manager’s Checklist for Sustainability**

The Project Manager’s Checklist for Sustainability incorporates the best practices identified in this chapter into a flexible and user-friendly checklist that can be used by project design teams, project managers and staff, and/or local partners. The tool can be used in a variety of ways to enhance project management processes with sustainability in mind:

- use as a checklist for project managers to ensure that sustainability is proactively being considered throughout the project life cycle
- use as a technical guide to strengthen capacity of local partners in project management
- use as a basis for internal action planning to improve program processes and systems

The Project Manager’s Checklist for Sustainability is provided in Annex A.

**Tools: Additional Resources**

Annex G provides additional resources to help project teams integrate sustainability into processes during each stage of the project cycle.
CASE STUDY
Care Group Methodology Exemplifies Applying a Sustainability Lens

Care Groups are a globally recognized platform for improving household health and nutrition behaviors, particularly in households with pregnant women, lactating women, and/or children under five years of age. The Care Group model uses a mother-to-mother peer support and educational approach that effectively applies a sustainability lens throughout the project cycle to promote long-lasting change in the lives of women, children, and men.

Care Group volunteers ('lead mothers') naturally facilitate local ownership and accountability given that they are elected by their peers in the community, securing a level of trust and respect from the beginning. Using information collected by the volunteers, along with survey data, program managers can measure progress against targets, learn about challenges/obstacles and adjust programming as needed. By the very nature of how they operate at each phase of the project cycle, Care Groups integrate long-term perspectives and stimulate community-based, demand-driven behavior change.

Key aspects of incorporating the Care Group methodology to a program context

- The Care Group structure is first designed into a program to address the specific challenges faced by the target population.
- Care Group educational modules are created with sustainable, behavior change principles in mind to attain positive, long-lasting results.
- Project staff collaborate with key stakeholders, including relevant government officials (e.g., the Ministry of Health) to agree on what behaviors/practices should be sustained, in addition to the functioning of the Care Groups themselves.
- Project staff collect data to assess nutrition and health behaviors/practices in order to inform program objectives, behavior change strategies, interventions, and targets and motivate lead mothers to improve and continue her good work.
- Program managers use this information to plan entry, exit and transition approaches, including capacity building interventions for care group volunteers, as well as strategies to ensure transition to local ownership by the end of the project.
We’ve made many mistakes—I have made them too—we think that wisdom is not found in the communities. But really, we have not given communities enough opportunities to decide or participate. When we give them a chance, one is impressed by the capacity they have to solve their own problems.

Leticia Toj
Director, Rxiin Tnamet
Guatemala Regional Workshop
Participant and Panelist
CHAPTER 4
LOCAL CAPACITY STRENGTHENING THROUGH A SUSTAINABILITY LENS

A. CONTEXT
Development and humanitarian assistance programs are implemented in increasingly complex environments. Demands from donors, governments, and program participants place pressure on implementers for more accountability and results, often in less time and with fewer resources. As a foundational concept, the strengthening of local partners’ capacity should be driven by local needs. While the needs of the participating NGO, network or government are important, they are secondary to the needs of the communities and program participants being served. An increasing emphasis on ‘localization’ of funding mechanisms, (i.e. directing funding to local entities vs. international NGOs), such as USAID Forward, means that civil society organizations10 are challenged to improve their performance to operate with maximum efficiency and effectiveness.

Local Capacity Strengthening (LCS) processes (the methodologies11 used to facilitate the improvement of capacity of local partners) are usually facilitated by an outside entity, but they can be done internally as well. For purposes of this Resource Guide, only broad approaches and the linkages between LCS and sustainable impact are presented, as LCS is a large area of study and implementation unto itself and is not the focus of this guide.

LCS is an ongoing process through which organizations introduce new ways of acting in order to optimize their use of resources and maximize mission-related impact. Behaviors that evolve as capacity grows may include how partners set priorities, interact with stakeholders, allocate scarce resources, and partner with other actors.

The term strengthening is used here (as opposed to “building”) to emphasize the fact that capacities already exist within local partners and a set of methodologies are needed to change behaviors in order to leverage and/or amplify those inherent capacities.

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10 For the purposes of this document, the term ‘organizations’ is used interchangeably with ‘local partners’ and is meant to include all civil society organizations (CSOs), networks, local governments and community-based entities.

11 “methodologies”, “processes” and “interventions” are used interchangeably to refer to the multiple ways and tools used for LCS.
While all organizations strive for excellence, planning specific interventions to strengthen some or all of their components can start with a simple question: Is there a balance between the mission, systems and resources within a given organization? As the graphic below illustrates, when these three basic components are balanced, things tend to function properly. When the three elements are out of balance with one another, either because a period of time has passed and the mission has not been updated, or new resources have been acquired and systems are out of sync with existing resources, the result is that the organization’s absorptive capacity is overwhelmed.

Sometimes, a project ends and resources suddenly (but not necessarily surprisingly) decline, causing further imbalance. It is good practice to think about reviewing these three components periodically, for example, at the beginning of any new planning cycle.

Achieving Balance between Mission, Systems and Resources

Focused capacity strengthening and a high level of participation by local entities in key program and management processes are absolutely crucial to achieving a high level of sustainability readiness.
In PCI’s LCS Theory of Change, the link with Sustainable Impact is as follows:

**Capacities are strengthened in order to:**

<table>
<thead>
<tr>
<th>Improve Internally</th>
<th>Engage Externally</th>
<th>Sustain Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improved governance, systems and quality of services and products</td>
<td>Timely transition plans, effective partnering, and participation of communities, women and vulnerable groups</td>
<td>Community relevance</td>
</tr>
</tbody>
</table>

**B. WHAT DOES IT MEAN TO STRENGTHEN CAPACITY USING A SUSTAINABILITY LENS?**

Applying a “Sustainability Lens” to LCS means working towards improving sustainability ‘readiness’ in all aspects of LCS; from local partner selection and cultivation to capacity assessment, prioritization and planning to measurement of LCS success.

Effective capacity strengthening should improve data-analysis, decision-making, ownership and learning, so the capacity to adapt and respond to new challenges remains well beyond a program or intervention.

There are many ways to influence capacity. It can be done through raising awareness about ideal behaviors, through the development of new systems and procedures, changes in the way participants communicate with one another, teaming and partnering, and formal and informal skills enhancement. Capacity is strengthened through the interactions that take place between local partners in an ecosystem, through different types of interventions.¹²

Developing an organizational culture that encourages reflective practice and the ongoing testing of key assumptions, including ‘sacred cow’ concepts (i.e. ideas held to be above criticism), is another important capacity development pathway. Active internal communication and reflective organizational learning are two examples of organizational behaviors that represent pathways to success for organizations that seek to become more effective. Ultimately, the LCS processes, outputs and results should be owned by the local partners and communities they serve, to ensure sustainability.

¹² Beryl Levinger, Capacity Building Manifesto, 2014
Some key lessons identified by PCI to apply LCS using a sustainability lens are described below:

1. Fostering Local Ownership & Partnership for Success
Engagement with communities, local organizations and government agencies as true partners in the design and implementation of capacity strengthening services, and with continuous and meaningful support, is key to fostering the empowerment of local partners as agents of their own process of achieving sustainable impact. Effective LCS efforts foster an atmosphere of possibility, where positive change is not only possible but achievable through the application of new knowledge, skills and on-going learning. This topic is discussed further in Chapter 6.

2. Going Beyond Information
There are a variety of potential barriers to changing behavior, both at an individual and organizational level, that go beyond just lack of information or knowledge. As health and development practitioners we have incorporated this realization into our behavior change thinking. Now we must do the same in our LCS thinking. These determinants of organizational behavior include lack of knowledge on how to change, lack of desire to change, lack of skills to change, lack of self-confidence, inadequate resources, and environmental / contextual issues. An analysis of these factors is the first step towards successful planning of capacity change activities. Successful LCS providers therefore must identify the factors that directly and indirectly affect the desired organizational behavior, address them through targeted interventions, and follow-up in a manner that is conducive to ongoing learning in order to ensure these behaviors are adopted and sustained over time.

“LCS is about trial and error, about allowing people to fail, repeat, and learn; and finally you get to the point where people can do it by themselves.”

Malawi Regional Workshop participant
September 2014

3. Strategic Use of Performance Standards
Capacity strengthening work should focus on helping organizations routinely and sustainably practice “driver” behaviors—the relatively few behaviors that have been shown to be closely linked to high levels of mission-related impact. High-impact capacity strengthening work helps organizations exhibit these behaviors dependably and sustainably. Capacity is multi-dimensional, often rapidly evolving, and a product of many and varied interactions. Accordingly, we use a variety of tools to assess and strengthen capacity at the level of individual organizations and entire networks.
A behavior-change approach to LCS based on organizational and technical performance standards is an important component of sustainability readiness. Individuals participating in LCS processes can work towards achieving an ideal behavior if they know what is expected of them, and if they have access to the resources and systems needed to carry out such behaviors. By focusing on behavioral standards, LCS engages participants in the process of individual and institutional behavior change from the start.

PCI uses a methodology called Integrated Systems for Transformational Assessment and Results (I-STAR), which was developed in collaboration with the Education Development Center (EDC). I-STAR facilitates a self-assessment process across eight organizational capacity areas, each composed of six organizational performance standards. The I-STAR assessment results serve as a guide for follow-up technical assistance and accompaniment processes. PCI has also developed a set of LCS Gold Standards that are assessed annually and allow all its program offices to have a clear understanding of basic behaviors, systems and elements that are expected to be established to contribute to excellence. PCI’s LCS Gold Standards are included in Annex B.

4. Using a Custom-Tailored Approach

Each organization has unique strengths, needs and challenges. LCS can be effective when utilizing a set of defined tools and strategies to identify these unique features, and is used to strengthen capacity in a manner that is ‘personal’ and relevant to the organization and its stage of development. The first step towards achieving sustainable change requires a plan that begins precisely where organizations stand in terms of their desired behaviors. Conventional methods such as standardized training as well as unconventional approaches including secondment of staff to local partners during the capacity building process are two of several mechanisms utilized within a customized approach.

5. Accompaniment in Capacity Strengthening

One of the most powerful approaches for building capacity lies outside the realm of tools or methodologies utilized by most capacity development interventions; this approach is referred to as ‘accompaniment’.

Accompaniment is an attitude, a world view, and a stance that we take as we work with our partners. When we “accompany,” we demonstrate through word and deed, deep empathy, ongoing concern, and unwavering solidarity with our partner.

Paul Farmer has described accompaniment as an elastic term. He suggests that, “to accompany someone is to go somewhere with him or her, to break bread together, to be present on a journey with a beginning and an end.” In other words, accompaniment is about long-term support. Good accompaniment boosts morale and the commitment to change, because ‘changers’ know they are not alone. When they face
challenges and encounter obstacles, they have someone to turn to—not necessarily for advice—but for reassurance and a sympathetic ear. This is crucial in a context of learning, promoting local ownership, and contributing to the empowerment of local partners.

Successful accompaniment demands of us that we augment our “mode of being” from merely assessment, training, grant-making, or consulting to expressions of understanding and solidarity that flow freely along with steadfast emotional support. In short, the essence of accompaniment is the antithesis of the approach taken by most capacity development experts who think that the only viable alternative to dependency is complete independency (exit/close), rather than more of a process of transition and interdependency that evolves over time.

C. THE CHALLENGE OF FOCUSING ON WHAT MATTERS
The connection between LCS and sustainability is not automatic, but when the process is linked to local ownership from the beginning of a project, and includes an appropriate transition plan, project teams can achieve the greatest impact on the dual objectives of short-term program stability and long-term program viability.

As mentioned previously, organizational capacity is demonstrated through the behaviors that are carried out on a regular basis. The focus on organizational behavior (how organizations act in the face of challenges as well as in the conduct of their everyday affairs) parallels how health professionals
think about the behavior change process at an individual level. Helping a partner navigate from lack of awareness to contemplation to trying and adoption or discontinuation of organizational behavior requires an understanding of what hinders or facilitates a desired organizational behavior (determinants of behavior).

Given the heavy emphasis on the process that typifies so much of the capacity strengthening work undertaken today, it is not surprising that the overall field has devoted relatively little attention to measuring organizational behavior change, let alone measuring the ultimate impact of LCS, as opposed to documenting the capacity development processes and change in knowledge by local organization staff. In the context of this Resource Guide, the ultimate measure of effective LCS would be measured post-project and would focus on sustainability of outcomes and impact and the ability to remain responsive to a changing environment, as a result of strengthened local capacity. However, the shortage of valid, impact-oriented methodological approaches is further complicated by the necessary shift from attribution to contribution that occurs with the passage of time.

"The most important people are the communities we serve. They have the knowledge and they have the expertise - we need to engage them in our sustainability plans and activities. Let's embrace regional models, but customize them to the local context.

Jones Chimpukuso
PCI Malawi DFAP DCOP
Malawi Regional Workshop Participant and panelist
September 2014.

Definition:
For the purpose of this guide, attribution means that the implementing organization can claim that its capacity strengthening work was directly responsible for observed changes in its partner’s level of capacity in whatever areas were addressed by the LCS provider. In contrast, contribution means that the LCS provider’s work was one of several causes that can explain why a change in the partner’s level of capacity was observed. There is an inherent shift from attribution to contribution over time that complicates the measurement of LCS and its relationship with sustainable impact.
LCS

LCS is the term that you see,
Three little letters measuring so much,
Local, which is what projects are meant to be;
Capacity, the ability that gets strengthened not built.

Capacity in whatever diminished capacity, exists,
Raw, highly untapped but still a viable resource.
Capacity to challenge thought and act in different turns and twists,
To perform better and operate with success.

Communities engaged and respected as true partners,
Issues identified, resolved and followed up on together.
Behavioral standards assessed, linked to mission and other factors,
Each tailored to needs perceived and identified there.

Freely flowing solidarity with steadfast emotional support,
Boosting morale and commitment to change in a moment.
Stand taken through word and deed to build rapport,
And the sympathetic ear that goes with accompaniment.

Short term stability, long term viability to be achieved and enjoyed,
Dual objectives satisfied by local ownership and planned transition.
Coming from an understanding of what hinders or facilitates the desired,
Leading to sustainability from LCS, each implementer’s true mission.

A POEM By Michael Mainje,
Development Fund of Norway Malawi Regional Workshop Participant
September 2014
D. TOOLS

**Tools: Accompanateur Quarterly Reflection Tool (AQUART)**

The AQUART is designed to help those who practice accompaniment ("accompanateurs") engage in a process of critical reflection and self-assessment. Specifically, the tool should help users to develop accompaniment mindfulness and intentionality. Mindfulness refers to a deep understanding and awareness of the extent to which our interactions with partners model such core accompaniment values as cooperation, openness, teamwork and empathy. Intentionality describes the idea that creating the time and space for accompaniment is planned even when the details of the actual interaction evolve more or less spontaneously. This tool is provided in Annex B.

**Tools: Sustainability Strategy Template**

The Sustainability Strategy Template was developed for use in conjunction with a discussion-oriented, organizational capacity self-assessment and planning process as a way of helping participants identify, prioritize and measure organizational strategies for sustainability as part of their organizational development efforts. This tool is provided in Annex B.

**Tools: PCI’s LCS Gold Standards**

The LCS Gold Standards were developed by PCI as part of its Organizational Excellence Initiative. The LCS Gold Standards intend to provide PCI’s country offices with the necessary guidance to identify key gaps in our approaches to LCS, and identify the capacity change objectives and related strategies required. This tool is provided in Annex B.

**Tools: Additional Resources**

A variety of excellent, evidence-based LCS methodologies and tools are available, many of which reflect sustainability considerations directly and indirectly. While LCS resources per se are beyond the scope of this Guide, several additional resources that can assist in the formulation of sustainability indicators and assessments are included in Annex G.
Leticia Toj, Rxiin Tnamet Director, leading an assembly meeting for the organization.

LCS CASE STUDY
Rxiin Tnamet: A successful case study of LCS through a sustainability lens

Rxiin Tnamet is a local Guatemalan organization that provides health services to residents of the Santiago Atitlán and San Juan de la Laguna municipalities in Guatemala’s Sololá Department. Rxiin Tnamet had its beginnings in 1975 as a local clinic managed by PCI. The clinic represented the only access to health and prevention services in a region severely affected by poverty, violence and disease. In 1990, PCI made the decision to transition the management of the clinic and provision of health services over to the local community. At that time, the clinic changed its name to Rxiin Tnamet which in the local language means “of the people.” Over several months, PCI, local staff and the community developed a transition plan, based on existing capacities and assets, and according to capacity change priorities identified. This plan informed the LCS interventions that PCI and staff led over a three-year period, including:

- formation and strengthening of a local board of directors and a general assembly that included women and men committed to the organization’s mission
- engagement and participation from local community leaders to continue as volunteer health workers
- strengthening capacities of staff to become program and management leaders to ensure continuation of health services
- constitution of Rxiin Tnamet as a local registered Civil Society Organization, including fiscal responsibilities
- accompaniment and technical assistance from PCI and other agencies

A local indigenous nurse was elected by the assembly as the director of Rxiin Tnamet and she continues to successfully lead the organization. Today, the organization is thriving - it is recognized as an excellent MCH health service provider and maintains good financial health with 60% of its income coming from fee-for-services and 40% from external support. After almost 20 years, Rxiin Tnamet continues to be a success story for programmatic, social and financial sustainability. For more information on Rxiin Tnamet: http://rxiintnamet.org/rxiintnamet/misionyvision.html
“Children, youth, women and men are affected differently by the work we do. How are we defining sustainability, from whose perspective?”

Lilly Omondi
Director, PLAN Malawi
Malawi Regional Workshop Participant and Panelist
CHAPTER 5
PROGRAM TRANSITION (EXIT)
THROUGH A SUSTAINABILITY LENS

A. CONTEXT
For purposes of this guide, the terms ‘transition’ and ‘exit’ are used interchangeably, based on the assumption that ‘exit’ using a sustainability lens means ‘transition’. As defined in Chapter 2, the traditional use of the term ‘exit’ refers to the withdrawal of all externally provided program resources from a program area while assuring that the achievement of intended goals is not jeopardized and that further progress toward these goals is made. While ‘exit’ can also be used when describing the departure from a particular geographic region within the project life, in this case the term ‘exit’ refers to overall exit/transition from all areas served by a particular project. The concept of ‘transition’, as used in this guide, is critical when discussing the likelihood for sustained impact over time.

The end of a project can be perceived as a risk to be feared, or an opportunity to be adapted to and capitalized upon. The future of programming/services after project funding ends can be difficult to conceptualize for local partners as well as project staff. Project staff, partners, program participants, and other local stakeholders may feel anxious and uncertain about what will happen after project funding ends. Thinking about this as a closure or an exit only, and not addressing how a project will manage its inevitable transition will often increase stakeholders’ anxiety and lack of confidence, and prompt the early departure of critical staff from the project.

Studies have repeatedly shown that ‘sustainability begins with first events.’ In other words, one of the most significant processes to influence a project’s long-term outcomes is whether a sustainability or transition strategy is in place and being implemented from the beginning.

“Sustainability might not be a strange word for any of us, but maybe sustainability strategies are a little less common for some of us.”
—Pascale Wagner, PCI Country Director for Guatemala
Guatemala Regional Workshop
May 2014.

Definitions:
Building on the work of Levinger & McLeod (2002) and Rogers & Macias (2004) an ‘exit strategy’ is defined as a planned and managed process of transition, which takes place throughout the project period. The program’s reliance on technical, financial, human and material inputs gradually shifts from an external source (such as an international, donor-funded agencies) to local ownership and accountability on the part of key stakeholders, in order to continue program outputs and increase the likelihood for sustained impact over time.

13 Pluye et al., 2005.
B. THE TRANSITION STRATEGY

An effective transition strategy includes concrete and measurable actions toward effectively managing the phase-out or phase-over of program activities upon project completion. It can highlight essential technical and management capacities needed by key local entities to assume greater responsibility and ownership over the continuation of program services and benefits over time. It can also include plans for documenting agreements with local government or other stakeholders to take over responsibilities for certain aspects of the project.

While a complete transition from donor-funded project to local partner may not be realistic or appropriate during a single (or even multiple) project period, a transition strategy can:

- help articulate clear sustainability objectives and priorities
- act as a roadmap for action
- define roles and responsibilities of key actors
- define timelines and measurable milestones to demonstrate progress in that direction
- ensure that program and management decisions throughout the project are aligned with a sustainability goal

A strong transition strategy includes reasonable exit criteria, a clear exit approach, and action-oriented transition planning. The goal is to assure the continuation of selected activities in the short term after project completion, and the sustainability of positive impacts in the long term.

1) Exit Criteria

A transition strategy should be based on specific criteria, which are best developed jointly by project staff and stakeholders. Examples include:

- fixed end date and certainty of continued funding
- nature of program interventions
- achievement of intended impact
- readiness for sustainability

In most cases, exit is 'triggered' by a fixed end date and uncertainty of continued funding beyond the project period. Ideally, a reduction in external resources does not correspond to a reduction in benefits that were achieved through the program and the services that deliver those benefits. For example, while a

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A poem by Ed Scholl,
PCI India Country Director
India Regional Workshop
June 2014
feeding activity may be reduced or eliminated, household knowledge about nutrition and improved practices may continue to provide benefits even in the absence of external food rations. In such cases, the intended impact may have been achieved and the service are not necessarily any longer needed to maintain the benefits.

2) Exit Approaches

There are two main exit approaches, program ‘phase-out’ and ‘phase-over’. In general, interventions that create permanent or at least potentially long-term change in communities, and do not require the ongoing provision of services or resources to sustain benefits, are suitable for phase-out. Interventions that require continued activity and an entity to take responsibility for oversight of the activity and/or intended outcome suggest a phase-over approach is most appropriate. Decision making about which results, impacts or benefits that should be phased-out and which should be phased-over is critical and should be done early on in the project life cycle and in collaboration with key stakeholders.

Ideally, a program should be planned in such a way that it allows for a feasible transition. Having no choice but to phase-out rather than phase-over simply because there is no time left for capacity strengthening, or because no resources or strategies have been identified for the continuation of services is very likely to be unsuccessful from a sustainability perspective. This can be avoided by appropriate transition strategy planning early on in the project cycle.

3) Phase-Out

When a project has achieved its intended impact and development assistance is no longer needed, a project can ‘phase-out’ external inputs to support selected project activities.

**Definitions:**

*Phase-out* refers to the withdrawal of inputs (such as food, financial resources, technical assistance, service provision, etc.) without planning for the inputs or activities to be continued by another entity.

The critical assumption in a phase-out scenario is that sustainable outcome is achievable because program outputs are permanent or self-sustaining in nature with little or no need for continued external investment to sustain benefits. See examples of self-sustaining change scenarios in the next page.
**Self-Sustaining Change**

These changes are more likely to be self-sustaining or sustained using built-in maintenance strategies:

- outcomes related to the construction of infrastructure, such as latrines, water systems, or houses raised to protect them from flood damage
- outcomes related to behavior change interventions with built-in maintenance processes such as Care Groups. These groups are designed to increase awareness of maternal and child health, and improve nutrition and child caring practices at the household level
- outcomes that relate to women’s economic and social empowerment that are self-financing and self-perpetuating
- outcomes related to market-driven interventions, such as the establishment of improved agricultural production and marketing practices or other economically profitable activities such as agricultural diversification that result in increased production and income
- outcomes related to systems that have been put in place and where value/ownership is high, such as seed banks, para-vets, bulking and market groups, etc.

In these cases, beneficiaries are more likely to internalize the changes and/or continue the practices because the benefits are immediately perceptible and the changes feasible without additional external support. In many cases, the benefits can expand as other people emulate the new behaviors and practices. In this scenario, programs can consider graduating well-performing active program sites in a phased approach before the end of the project period in order to maximize donor investment and apply lessons learned to less performing program sites. When a program achieves its intended impact and maintains its performance to solidify changes, then there can be a higher expectation that the program’s outcomes will be sustained beyond the project period. Another reason why a phase-out approach might be necessary is when there are limits to what might be possible to achieve and hard choices must be made to focus on achieving phase-out with highest priority activities or outcomes, leaving lesser priority activities or outcomes to phase-out regardless of whether they will continue over time. Hopefully with good transition planning this can be avoided as much as possible.

**Definitions:**

*Phase-over refers to the transfer of responsibility for program services and activities (i.e. outputs) aimed at accomplishing program goals to another entity. In some cases, phase-over also involves the transfer of responsibility for achievement of program outcomes to an existing organization, such as host government authorities, another NGO, local community members, or entities such as WASH Committees, Care Groups, Producer Groups, VS&L Groups, etc.*
4) Phase-Over
When a program’s intended outcome requires longer-term interventions to be fully achieved (i.e. beyond the period of one or even several projects), and when program services require continued investment and oversight to sustain and/or increase benefits, then a program should consider phasing-over responsibility for program outcomes to other entities, often local partners, permanent institutions, networks, or the community.

Practical experience has shown that it is often challenging to achieve broad-based development goals in the time frame of a single project or program. In many cases, exit strategies are increasingly planned around adequate levels of organizational and institutional capacity rather than more rigid programmatic performance criteria. In other words, a program’s exit strategy may focus on transferring more inputs, processes, and outcomes necessary to achieve the intended impact under the responsibility of local entities. In this scenario, when key local entities are ‘ready’ to sustain the program, then it is appropriate for the program to phase-over these responsibilities.

When a local entity’s level of readiness for sustainability is high, it may be appropriate to transfer substantive responsibility to them, or to multiple entities, while intensifying monitoring and evaluation to support the transition. In this scenario, there can be a reasonably high expectation that the program’s services will continue under the responsibility of local actors, and greater likelihood of sustained outcomes beyond the project period.

5) Corrective Action or Alternative Approaches
Poor program performance, inadequate levels of technical and/or management capacity of local partners, or external factors beyond the control of a program, can stall or reverse progress toward an effective transition. In such cases, corrective strategies and/or programmatic adjustments should be implemented to rectify the situation. If corrective strategies fail to achieve desired improvements, or other factors internal or external to the program make a successful phase-out or phase-over unlikely, then the program may choose to consider an alternative exit strategy, such as generation of alternative resources. Performance benchmarks and regular monitoring can ensure that project teams stay responsive to the changes that occur during a project period that may affect their original sustainability strategies.

6) Food Aid Considerations
Development programs that utilize food aid interventions need to address additional challenges and considerations when planning for program exit. These issues are addressed in Annex F.
C. TOOLS

Although exit strategies are routinely required by donors in project proposals, the available literature, and technical and operational resources on the subject are somewhat limited. In many cases, organizational capacity development methodologies are proposed as proxies or indicators of sustainability readiness.

What are some of the challenges with ensuring sustainable impact in the DRR/HA context?

- often a lot of financial resources to spend very quickly
- the emergency response time dynamic is not conducive to cultivating local ownership, strengthening local capacity or investing sufficient time on sustainability from the design stage
- investing in sustainable impact is a longer term investment that requires patience
- there needs to be good integration and linkages between emergency response phase and relief and recovery phases with work to ensure sustainability readiness throughout
- the definition of sustainability success within any particular HA/DRR context needs to be clearly shared with all stakeholders and it may need to evolve over time

List developed by India Regional Workshop Participants, June 2014

Checklist:

Project design teams, project managers, staff, local partners, stakeholders, and donors can use these tools in a number of ways, including:

- use as a starting point to better define sustainability-related concepts and criteria
- use as a basis to develop a preliminary exit strategy during the project design stage
- use as a framework to increase shared understanding about the project’s exit strategy, and facilitate clear communication between internal and external stakeholders about sustainability
- use as a basis for short-term and long-term action planning
- use as a reference to develop appropriate process indicators to track progress against a sustainability or exit plan
Tools: Exit Strategy Flowcharts

Exit strategy flowcharts are an effective way to apply the sustainability lens to the transition of a program when external support ends. The Exit Pathways, Phase-Out Cycle, and Phase-Over Cycle flowcharts incorporate best practices and considerations identified in this chapter into process flows that can facilitate planning and decision-making. These tools illustrate the decision-making processes a project team may undergo to select and plan for an appropriate exit strategy.

The Exit Pathways flowchart provides an illustrative example of how to link exit criteria to a decision-making process to determine the most appropriate exit approach for a program.

The Phase-Out Cycle and Phase-Over Cycle flowcharts depict the managed process through these transitions. The flowcharts are illustrative and can be used by project teams to develop their own exit criteria, strategies, and approaches.
Building largely on the existing body of work related to project exit strategies, these flowcharts provide an illustrative decision-making and management framework to facilitate collective reflection, participatory decision-making on program exit strategies, and action planning, thereby ensuring the greatest likelihood of sustained impact over time.

The Exit Pathways, Phase-Out Cycle, and Phase-Over Cycle flowcharts appear in Annex C.

**Tools: Additional Resources**

Annex G includes additional resources to assist project teams in formulating the most appropriate strategy for their program context.

PCI handed over the administration of all school feeding responsibilities to local municipal governments.
CASE STUDY

PCI-Bolivia’s Food For education (FFE)
Program Transition Through a Sustainability Lens

(Continued from Chapter 3)

PCI prepared all Bolivian stakeholders (e.g. parents, teachers, municipal leaders, etc.) to assume responsibility of managing and financing all activities in the Food for Education (FFE) Program once PCI’s support ended. PCI’s transition strategy included an emphasis on municipal government contributions for the purchase of local food, with local funding increasing gradually over a period of 12 years (see chart below). The transition strategy also required the Ministry of Education (MoE) and municipal government staff to shadow PCI staff and participate in trainings to learn how to manage all aspects of the program. PCI developed tools and manuals to guide the MoE and local government officials to complete these processes. Before PCI’s support ended, PCI handed over the administration of all school feeding responsibilities to local municipal governments while continuing to advise and provide technical support as needed until the end of the project.

Bolivian Municipal Contributions for School Feeding

<table>
<thead>
<tr>
<th>Year</th>
<th>Funding provided (USD) by municipal governments per student/month</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td>$0.47</td>
</tr>
<tr>
<td>2003</td>
<td>$0.51</td>
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<td>2005</td>
<td>$0.56</td>
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<td>2006</td>
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<tr>
<td>2012</td>
<td>$3.00</td>
</tr>
<tr>
<td>2013</td>
<td>$3.89</td>
</tr>
<tr>
<td>2014</td>
<td>$4.78</td>
</tr>
</tbody>
</table>
A true champion without a cause is entrapped energy. A great cause without a champion is but an elusive dream. But with a great cause with a true champion is the realization of a vision.

Robert Porter Lynch
CHAPTER 6
LOCAL OWNERSHIP AND CHAMPIONS

A. CONTEXT
There is a tremendous need for considering the ‘human element’ (i.e. behavioral and psychological factors) when discussing sustainability, particularly in relation to ownership and decision making on the part of the local actors who will remain in place after the project ends. This human element is also an important consideration with regards to the role of local ‘champions’, either staff or stakeholders, who are needed to ensure good decision making, leadership and fostering an enabling environment for lasting change.

“Sustainability is the result of a participative process and voluntary appropriation of knowledge and abilities, brought forth by involved actors to achieve impact that continues over time.”

definition of sustainability by participants from the Guatemala sustainability workshop

B. LOCAL OWNERSHIP
In many cases, international partners and local counterparts strive to form relationships that maintain and evolve over time, and do not simply start and end within the boundaries of a project. Any discussion about local ownership should be predicated on the relationship between partners over time, where local actors can increasingly assume the role as development actors in their own right alongside international partners and donors, rather than simply implementing partners. Without genuine local ownership by and shared accountability with partners, the project will struggle to achieve any significant level of readiness to sustain positive benefits after the project ends.

Despite the broad consensus on the importance and value of local ownership, operationalizing the concept can be complex and challenging, particularly in the context of temporary, donor-funded assistance. Many local organizations are aware that capacity strengthening activities will be a requisite part of accepting funds, and agree in principle to participate. However, when capacity assessments reveal areas needing strengthening according to externally imposed criteria, implementation can face challenges if a partner does not value the criteria or does not perceive a demand for the change. This ‘outside-in’ and ‘supply-driven’ approach can lead to reduced commitment on behalf of the partner once project funding is secured.
In principle, local ownership over a program’s services and outcomes are increased when an ‘inside-out’ perspective is recognized, valued, and integrated into program processes and interventions. In addition, capacity strengthening is most effective when driven by partners’ demand. In a donor-funded context, projects are constrained for time and resources, yet expected to demonstrate their effectiveness through measurable results, based on external criteria that may conflict with the priorities and timelines of local partners. The challenge lies in striking the right balance between the two ends of the continuum so that the range of stakeholder expectations can be satisfied while not compromising program quality.

C. CHAMPIONS

Studies have repeatedly identified the importance of leaders and ‘champions’ in a ‘accompaniment’ process. Without them, a program may eventually default to traditional ‘top-down’ approaches that work against local ownership and have limited impact on local capacity and potential for sustaining results. Any process of action planning and implementation of those plans are more successful when ‘champions’ are present within each key stakeholder group.

Local ownership and accountability are critical success factors for any sustainability effort. Below are five ways to strengthen efforts towards local ownership:

1. Encourage participation by partners in setting priorities and defining parameters for partnership, decision making, capacity strengthening and transition;
2. Involve local partners in project design, planning, monitoring & evaluation;
3. Share accountability for program results, accountability to beneficiaries, and compliance with donor rules and regulations;
4. Strengthen horizontal and vertical linkages of partners; and,
5. Utilize ‘demand-driven’ organizational capacity strengthening.

For Malawi Regional Workshop participants, as depicted in the picture above, local ownership is more likely achieved when a “balanced” team of champions from the communities work in coordination with implementers and funders, to build it from the start.

Definition: ‘Champions’ are formal or informal leaders who proactively promote an innovation or change from inside or outside a system. From a sustainability lens perspective, they can play a critical role in creating an environment that supports and facilitates the process of transition, by easing their colleagues’ concerns and mobilizing active participation. ‘Champions’ are often mid- to upper-level managers within an organization, but may also be opinion leaders who can influence managers or others who are critical to the adoption and sustained implementation of innovations.

In a partnership context, ‘champions’ from each key local stakeholder who will have a role in the transition to sustainability after project completion may form a sustainability committee or a ‘team of champions’ who drive change from within their respective institutional settings, and come together periodically to share progress, exchange best practices, and collaboratively solve problems.

The team of champions can play a prominent role in engaging direct participation of key stakeholders in monitoring, evaluation, accountability and learning processes. Champions can participate in monitoring progress against a program exit plan through periodic reviews and planning meetings, site visits and exchange visits, supervision systems, and reporting on sustainability issues.

As part of its capacity strengthening approach, a project should consider investing in strengthening individual and team-level skills for such Champions to enable these influential individuals to apply their new capacities toward the effective management, implementation and enhanced accountability of the transition process before, during and after the project.

In addition to skill building activities, mechanisms for peer support, ongoing learning, and recognition can be established to provide the team of champions with meaningful incentives to participate and remain committed to this important role during and after the project. And, as mentioned previously, it is important to apply a gender lens when thinking about the champion role and ability for women, in particular, to take on even more work to sustain programming without the benefit of project staff and other project-funded support.

"How can we enhance sustainability in gender programming? We need to mainstream gender and we need to identify gender champions in leadership positions"

Malawi Regional Workshop Participants

Guatemala regional workshop participants define champions as individuals who are positive, voluntary leaders who effectively advocate for change, from inside an organization or institution.

A Champion is an individual who is:
• knowledgeable of the process
• a positive leader
• able to share a vision for change
• a Facilitator of processes
• able to learn and grow
• creative and innovative
• wearing a sustainability lens
• a promoter of gender equity

A Champion is not someone who:
• advocates for his or her interests only
• is imposed
• is not engaged
• a ‘sustainability’ police officer
• a negative leader
• pessimistic

This list represents a collection of reflections from the three Regional Workshops
A. TOOLS
The following tools and resources can assist project teams in their efforts to build local ownership of programs. Some of these tools also help cultivate champions that will promote local ownership.

**Tools: Questions to Help Spot Local Ownership**
As mentioned above, in spite of the generalized consensus about the importance of local ownership, translating this concept into operational terms can prove difficult. This tool provides program managers and capacity development partners with a list of questions that can help influence the design, implementation and monitoring and evaluation processes of a particular program, and will be helpful to highlight community ownership when designing a transition or sustainability strategy. This tool is provided in Annex D.

**Tools: Change Champions- Clarifying Expectations**
Change champions can assist, advocate and promote change while motivating their peers. Sustainability champions can work to advance strategy- or project-specific activities, as well as organizationally-driven change. As most champions are volunteers or designated, their role will be better understood when expectations are clear. This tool provides a list of questions for program managers working to identify, cultivate and support change champions and change processes. This tool is provided in Annex D.

**Tools: Additional Resources**
Additional resources to support teams in building local ownership and the cultivation of champions for sustainability are included in Annex G.

“True development is when the instrument of development is handed over and controlled by the people.”
Prusty, SPHERE
Regional workshop participant, June 2014
India

“We all need to be working ourselves out of a job by making sure programming is managed locally.”
Avinash, PCI
Regional workshop participant, June 2014
India
CASE STUDY

PCI’s Mis Llamas Example of Local Ownership & Champions
The Altiplano (high plateau) of Bolivia is a vast region stretching 500 miles along the western half of Bolivia. At 12,000 feet above sea level, flora and fauna struggle to survive, let alone thrive. This is one of the most challenging places on earth to live, yet it’s home to more than 3.9 million indigenous Bolivians (62% of the Bolivian population) who trace their heritage back to the Incan empire and who depend almost exclusively on llama herds for their livelihood.

Between 2003 and 2009, with support from the U.S. Department of Agriculture (USDA) Food for Progress Program, PCI conducted three phases of the “Mis Llamas” (My Llamas) Program. Mis Llamas activities took place in 34 municipalities in the departments of Oruro, Cochabamba, Potosi, and La Paz.

Working with communities, PCI specifically set out to achieve the following objectives:
• Improve llama survival;
• Strengthen the llama chain of production;
• Enrich the production and quality of llama bi-products; and,
• Increase market linkages for llama products.

In order to ensure local ownership and sustainability of the program, PCI facilitated the training of 44 community veterinarians to provide services beyond the life of the program. These “llama champions” received 17 weeks of training at the Technical University of Oruro on llama health, the application of medications, vitamin injections and other basic llama treatment. Local veterinarians also learned how to facilitate campaigns to promote the practice of mass deworming, thereby reducing the risk of herd-to-herd transmission and improving overall health among llama populations.

After completing the training, PCI provided the community vets with a starter medical kit and bicycle. PCI also ensured that each veterinarian had basic budgeting skills in order that they have the ability to track expenditures and revenue earned from charging nominal fees. They learned how to structure the fee so that it covered the cost of the medications and other inputs, wear on equipment, as well as compensation to the veterinarian for his/her time.

The establishment of this cadre of local veterinarians with the capacity to foster an enabling environment for lasting change beyond the life of the program proved to be successful in ensuring that beneficiaries continued to benefit from Mis Llamas well beyond the program’s life cycle.
When local partners are taken into account, individuals are also taken into account. Sustainability is not only about change – it is also about respecting what already exists.

David Arrivillaga
Director, SHARE Guatemala
Guatemala Regional Workshop Participant and Panelist
CHAPTER 7
MONITORING, EVALUATION, LEARNING & ADAPTATION THROUGH A SUSTAINABILITY LENS

A. CONTEXT
Measuring sustainability, both during the life of a project (testing for sustainability potential) as well as post-project, has proven to be a persistent challenge for many programs. As the conceptualization and approaches to sustainability vary greatly, it is not surprising that operationalization and measurement are difficult. When there’s a lack of resources for post-project studies learning about what works and what doesn’t and why the challenge becomes even greater. While the available literature does not yet support a single research paradigm or set of measures to conduct sustainability assessments and evaluations, programs can take steps to mainstream sustainability into their overall M&E systems and promote post-project evaluations to contribute toward the evidence base.

B. RESULTS-BASED MONITORING & EVALUATION
Effective monitoring and evaluation assists managers, staff, and other key stakeholders in making appropriate and timely decisions that help them continuously improve the program toward ultimate success. From a sustainability perspective, program ‘success’ should be defined to encompass the continuation or evolution of program services and positive impact.

From a sustainability perspective, a program’s M&E system will reflect whether a program’s sustainability strategy is a ‘latent’ goal or a concrete, planned approach. Studies and program evaluations have repeatedly linked poor sustainability outcomes with the failure to integrate clear indicators of sustainability within a project’s overall M&E system. While a rigorous or scientifically valid approach to sustainability measurement may not be possible or appropriate for all program contexts, it is evident that general organizational capacity measures or qualitative approaches, such as case studies and success stories alone do not adequately reflect whether a program’s services are likely to be maintained after a project, or whether those services will continue to deliver relevant benefits to a targeted population.16

16 IFAD, 2009.

Mobile phones are used to collect data during a post-project sustainability study of PCI’s CHOICE program in Indonesia.
A results-based approach to sustainability can facilitate a `ripple effect` of sustainability mainstreaming throughout a project:

- logic and interventions
- partnership structure
- resource allocations
- staffing plans
- implementation plans
- indicator development
- M&E systems

A results-based sustainability strategy begins with a results framework or logic framework that reflects sustainability as an intended result, either as a stand-alone result or integrated into other result areas.

A results-based approach elevates the importance of a strong partnership approach that values local ownership and demand-driven capacity strengthening, a long-term perspective when designing and implementing project activities, and a planned and managed transition strategy.

In conjunction with a results-based approach, a program should place special emphasis on participatory M&E approaches, where stakeholders work together to decide how to assess progress, conduct data collection and analyze findings to take action and improve performance, including likelihood of sustainable impact. Participatory M&E can increase local ownership, accountability, and mutual learning by all stakeholders.

**Illustrative Program Management Sustainability Indicators**

- Number of signed MOUs with clearly defined and agreed to roles and responsibilities with regard to program transition and sustainability in writing
- Number of sustainability readiness checklists completed by local partners and stakeholders and action plans developed
- Number of sustainability readiness measures integrated into assessments, monitoring and evaluation (e.g. baseline assessments, organizational capacity assessments, etc.)
- Percentage of readiness checklists that indicate local partners/stakeholders have a “high-level” of readiness
- Number of stakeholder meetings focused on developing a sustainability action-oriented implementation plan with local partners, including a detailed transition plan.
- Number of identified sustainability champions
- Number of “learning events” conducted during a specified time period
- Number of sites that meet graduation criteria or number of sites that are phasing out
- Average number of meetings per site to discuss program closeout or program phase over steps
- Number of sites where a post-project sustainability study has been integrated into the local partner’s scope of work
C. THE M&E SYSTEM THROUGH A SUSTAINABILITY LENS

1) Outcome-Level Indicators
While there is no consensus in the scholarly or applied literature on the question of ‘what happens after the funding ends’ for a specific program, a useful framework can suggest that indicators of sustainability outcomes generally fall into three categories: 17

- measuring continued benefits for individuals and communities after initial program funding ends, which can include extension of benefits to new beneficiaries
- measuring the continuation of program services or outputs, usually by an organization; which can include the degree to which these services are ‘institutionalized’ or ‘routinized’ within an organization’s day-to-day operations
- measuring the capacity of community or organizational structures to continue delivering quality services or benefits over time and to evolve or adapt their delivery of quality services or benefits over time

Including outcome-level indicators for sustainability in a project’s M&E plan is beneficial because:

- measuring outcome-level indicators provides increased opportunities for learning and knowledge building about sustainability and how best to achieve it
- project teams can make informed adjustments in the design and implementation of activities, as well as appropriate graduation and exit strategies, through reliable information on both the intended and unintended changes resulting from project interventions
- outcome indicators allow for an objective and consistent approach to tracking progress toward specific sustainability results
- outcome indicators allow for an evaluation of change and impact over time, both during and after a project period

Outcome indicators should be designed with a focus on demonstrable evidence of change, such as adoption of a behavior, the implementation of a management system, or reach of services. While it may be operationally challenging, a project M&E system should aim to include a limited number of outcome-level indicators on sustainability, in addition to output indicators, in order to be able to establish measurable results toward the sustainability of impact. This requires that a project team, together with key stakeholders, establish an operational definition of sustainability from the earliest stages of a project.

17Adapted from Shediac-Rizkallah & Bone, 1998.
2) Monitoring for Sustainability

Program monitoring is a continuous process of collecting, analyzing, and documentation information in order to report on progress toward achieving agreed project objectives. It provides an ongoing opportunity for learning, assists timely decision-making, ensures accountability, and provides the basis for evaluation and learning. Monitoring provides early indications of change, thereby enabling projections to be made about readiness and the potential for future success in terms of sustaining impact.

Monitoring sustainability-related output indicators can help to validate the theory of change on which the sustainability strategy was based, and which may need adjustment.

Checklist: Monitoring sustainability outputs can be facilitated by the following processes:

- incorporate debriefs after each major project cycle process (e.g. planning, program reviews, mid-term evaluation, stakeholder engagement, etc.) to gauge whether sustainability considerations were adequately integrated into the agenda, agreements and deliverables
- conduct site assessments as a way to apply phase out/phase over criteria and implement a staggered approach to transition
- incorporate sustainability success factors – such as committed leadership, the presence of champions, or financial viability – into service quality assessments
- track progress against action plans for capacity strengthening or transition strategies
- include the sustainability strategy or transition plan as a matter of routine in progress reports, site visits, project reviews, staff and stakeholder meetings, and other routine monitoring and reporting activities

Monitoring activities should include substantive participation by local partners and key stakeholders. Regularly sharing project data or enabling easy access to project data can increase participation and accountability. When effectively executed, monitoring can strengthen relationships with partners by creating an open atmosphere where people can learn from mistakes and make improvements. It encourages shared learning and awareness-raising among partners, community members and other stakeholders.
Three general categories of evaluations

1. Periodic evaluations are operations-oriented, e.g. diagnostic studies and after-action reviews. This includes mid-term evaluations, which aim for improvement, i.e. to identify project strengths and weaknesses to increase project relevance, effectiveness and efficiency;

2. Final evaluations aim for clear judgment – a determination of overall merit, worth, or value of a project by measuring project impact and likelihood of sustainability, analyzing costs and benefits of the project strategy, providing accountability to project stakeholders;

3. Post-project evaluations aim for learning – a determination of the impact of a project at a defined period of time after project completion; effectiveness of a project’s sustainability strategy or what works and doesn’t work; to build on theory and contribute to the state-of-the-art through the identification of best practices or lessons learned; to influence policy development.

Adapted from Patton, 1997

3) Evaluating for Sustainability

From a sustainability perspective, evaluations can shed light on both the achievement of intended sustainability outcomes, as well as the factors during the project period that influenced the program’s sustainability in positive and negative ways. While monitoring is ongoing, evaluation is periodic, although both can provide rich lessons and contribute to much needed learning about what works and doesn’t work so well in sustaining impact.

Evaluations usually involve comparisons, such as conditions before and after a project. They draw from data collected during monitoring, as well as from additional surveys or studies to assess project achievements against objectives. For this reason, sustainability related indicators that have been included in a project’s overall M&E system and monitored over time are critical.

Generally, the elements that comprise sustainability readiness –effective project management, capacity strengthening, well managed exit strategy– are most appropriately evaluated during the project period through periodic reviews, mid-term, and final evaluations. Whether activities or services continue after the project period and ultimately sustain their impact is only within the scope of a post-project evaluation. Project teams should ensure that sustainability readiness as well as outcomes are incorporated into scopes of work for evaluations at each relevant stage.

Common reasons why post-project evaluations do not take place

- funding ends with the project
- a reluctance among donors to finance such evaluations
- an inability or unwillingness among organizations to undertake evaluative work of this nature
- failure to incorporate valid and appropriate measures of sustainability outcomes within the original project’s M&E system
Research indicates that stakeholders are more likely to use evaluations if they understand them and feel ownership of the evaluation process and findings. This understanding and ownership can come from active and substantive involvement in the evaluation process from the beginning to the end.

4) Measuring Impact Through Post-Project Evaluation

In order to build a stronger evidence base of how sustainability happens - what types of programs survive after initial funding and to what extent, what factors within programs increase their likelihood for sustainability, what forms of sustainability programs have and how they evolve, what measures are needed and appropriate – continued program evaluation is needed after the end of the external funding. Yet a dilemma for program funders, implementing organizations, and evaluators alike is that resources are seldom available for continuing evaluation beyond the end of project funding.\textsuperscript{18}

Post-project evaluations usually aim to determine which project interventions have been continued by project participants on their own, after the end of external project funding. The findings may be used for advocacy efforts by showing donors the effectiveness of investing in a particular sector or approach. For example, the importance of supporting economic empowerment activities within a food security program. A post-project evaluation may also contribute to future program design. From a sustainability perspective, post-project evaluations can inform donors’ and implementing organizations’ learning, as well as improve sustainability approaches and strategies in future projects.

While most project proposals will likely indicate sustainability concerns and may propose a sustainability strategy, it is rare that an evaluation of what remains following the withdrawal of project funding occurs.

This is unfortunate, since post-project evaluations have a significant potential to advance our understanding of how sustainability ‘happens’ both during and after a project period, which can be applied to improve the quality, cost-effectiveness, and sustainability of future programming. To some extent, programs can factor fundraising and advocacy efforts to support a post-project evaluation as part of their exit plan. With the use of creative evaluation approaches, the costs of a post-project evaluation can be kept down, and important lessons can be generated regarding factors that help to ensure greater sustainability of impact. This is potentially rich information for both donors and the designers of new projects.

5) Learning, Adaptation & Accountability\textsuperscript{19}

Sustainability should be mainstreamed into learning processes and events throughout the project period. ‘Learning events’ are opportunities taken by project staff and stakeholders to reflect together on project data and information, to discuss successes and challenges, identify preliminary lessons

\textsuperscript{18}\textsuperscript{18}Scheirer, et al., 2008.

\textsuperscript{19}\textsuperscript{19}Adapted from CRS’ ‘Monitoring, Evaluation, Accountability & Learning in Emergencies’, 2012.
and make any necessary decisions in response. By using a participatory approach to analysis and interpretation with project team and partners, learning events should help to improve the quality of the program overall, and the sustainability approach specifically.

Learning events vary in scope and scale, from one-day reflection events to light after-action reviews or to more in-depth, real-time or final evaluations. They can take place through standing staff meetings, organized reflection events, real-time evaluations, after-action reviews, mid-term or final evaluations. Rather than taking a rigid approach to learning, it is more important to build in learning opportunities whenever possible given limitations related to time, resources, and access to relevant people. Learning events should utilize a combination of project monitoring data, supplementary qualitative data collection from community members or other constituents, staff observations, assessment or evaluation results. The focus should be on participatory analysis of project data for the purpose of extracting relevant lessons, explanations, causes, and other information in order to make appropriate management decisions, program adaptations, solve problems or identify new approaches to improve overall quality, performance, and sustainability.

D. TOOLS
There is a wide variety of tools and resources designed to assist in monitoring and evaluation for sustainability. Several of these tools are listed below.

**Tools: Sample Post-Project Sustainability Study**

Post-project evaluations can take a number of forms. **Annex E** provides an example of a study conducted by PCI assessing the impact and sustainability of health, water and sanitation interventions in Bolivia six years after the end of a Title II project.\(^{20}\)

**Tools: Post-Project Sustainability Study Terms of Reference**

This tool provides guidelines for developing the terms of reference for a post-project sustainability study. The guidelines include a summary of the project and problem the project addresses, purpose of the study, targeted audience, potential research questions, key study activities (study design, methodology, data collection, data analysis), outline of final report, consultant’s expected deliverables and requirements and timing/duration of a study. This tool is included in **Annex E**.

**Tools: Planning for Post Project Sustainability Studies Checklist**

\(^{20}\) Adapted from CRS’ “Monitoring, Evaluation, Accountability & Learning in Emergencies”, 2012.
The Post Project Sustainability Planning Checklist is a reference tool for guiding initial discussions on key issues to consider prior to engaging in any sort of post project sustainability study. The tool should be administered in consultation with project staff involved with the program of interest. The checklist is a living document and should be revisited once the study has been approved. A final careful review of gaps and potential limitations to the study should be determined prior to finalizing the study design.

**Tools: Sustainability Gold Standards of Performance**

The Sustainability Gold Standards of Performance reflect high standards of performance to which we aspire and ultimately hold ourselves accountable. The standards included in this guide are not meant to be a recipe to follow or to be used in a deficit oriented way, which focuses on the negative and what is missing. The goal is to be as empowering, aspirational, and clear about what is expected and desired in terms of individual and organizational performance as possible. Gaps between present performance (individual or organizational) and these Gold Standards will be found, and these gaps should be used as a trigger for further reflection, exploration and problem solving, not as a trigger for feelings of failure or punitive action. Gold Standards should evolve organically as they are applied in various ways, across our different organizations, projects and programmatic areas.

**Tools: Additional Resources**

A wealth of resources are available on effective monitoring and evaluation systems, which project teams can use to strengthen their overall M&E system and capacity, while integrating sustainability considerations at the same time. This guide includes select resources in Annex G that can help project teams integrate sustainability into their M&E systems and maximize learning opportunities.
CASE STUDY

QUALITY CIRCLES:
Applying a Sustainability Lens to Monitoring, Evaluation, Learning and Adaptation

PCI implemented Quality Circles as part of its USDA funded FFE programming in Bolivia from 2005 to 2013. Quality Circles are an effective participatory methodology for using monitoring and evaluation to improve program performance. The method allows program staff to routinely identify and analyze problems, consider alternatives, develop solutions, and implement corrective actions for the benefit of the program. Each of these steps is taken in collaboration with program beneficiaries to strengthen impact and long-term sustainability. In Bolivia, participants in the Quality Circles included teachers, parents, other parent teacher association members, Ministry of Education representatives, and PCI staff.

As part of Quality Circles, every quarter project staff including management, traveled to project sites to conduct a variety of tasks, including:

- review technical and financial information (including performance indicators)
- interview stakeholders
- identify and discuss critical challenges over the past quarter
- explore solutions to obstacles
- develop action plans to address challenges and ensure highest possible potential for sustainable impact
- recognize and celebrate achievements and successes

Staff reported that the use of Quality Circles developed their skills, capabilities, confidence, and creativity through education, training, work experience, and participation. As all participants gained experience in running Quality Circles, they became more and more self-managing, having gained the confidence of PCI management. In addition, the Quality Circles generated greater ownership among community members for the outcomes and overall results of all of the FFE activities, greatly contributing to the sustainability of the program.
### STAGE 1: DESIGN

#### ILLUSTRATIVE ACTIVITIES

for integrating sustainability into project cycle processes

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<tbody>
<tr>
<td><strong>1.</strong></td>
<td><strong>2.</strong></td>
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<tr>
<td>1. Substantively involve key stakeholders in project design process and align project design with local perspectives</td>
<td>Develop an operational definition of program sustainability and &quot;readiness&quot; from the beginning</td>
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</tbody>
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#### ILLUSTRATIVE DETAILED STEPS

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<tbody>
<tr>
<td><strong>a.</strong> Conduct stakeholder mapping and analysis and identify partners, including those who will help ensure sustainable impact and measurement post-project. The analysis should include an assessment of gender considerations, local needs, priorities, desires/aspirations and opportunities related to readiness and potential for sustainability, as well as confirmation of interest in investing in local capacity strengthening, as needed. <em>(Note: &quot;Stakeholders&quot; include civil society, government, and members of the community, including women, men, and youth.)</em></td>
<td><strong>b.</strong> Jointly discuss and agree to an overall vision and operational definition for program sustainability, including criteria for sustainability readiness, together with partners and stakeholders.</td>
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<td><strong>b.</strong> Identify responsible local entities and champions, and plan for the realistic transfer of responsibilities by the end of the project.</td>
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<td></td>
<td><strong>b.</strong> Invest sufficient time to discuss the transition strategy, sustainability objectives, and project/funding parameters with local partners and stakeholders from the beginning of the project and in defining and agreeing to roles, responsibilities and investments regarding sustainability readiness.</td>
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<td></td>
<td><strong>c.</strong> Stakeholders define and agree to roles and responsibilities with regard to project transition and sustainability plan/activities in writing (such as in an MOU).</td>
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<td><strong>d.</strong> Involve key stakeholders in significant consultation, substantive feedback, and direct participation throughout the assessment and design phase.</td>
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</table>
## STAGE 1: DESIGN

**ILLUSTRATIVE ACTIVITIES**

for integrating sustainability into project cycle processes

<table>
<thead>
<tr>
<th>3. Identify a program transition strategy from the beginning of the project</th>
<th><strong>ILLUSTRATIVE DETAILED STEPS</strong></th>
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<tbody>
<tr>
<td></td>
<td>a. Develop a transition strategy with key stakeholders based on defined criteria.</td>
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<td>b. Develop readiness checklists for different stakeholders.</td>
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<tr>
<th>4. Develop a results-based sustainability strategy and reflect sustainability objectives throughout the entire project</th>
<th><strong>ILLUSTRATIVE DETAILED STEPS</strong></th>
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<tbody>
<tr>
<td></td>
<td>a. Reflect sustainability readiness as a cross cutting result in the Results Framework or Log Frame.</td>
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<td>b. Include output and outcome indicators related to sustainability M&amp;E framework and processes (such as quality circles) and plan for a post-project sustainability study if possible (perhaps via cost-share).</td>
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<td>c. Ensure the budget, staffing structure, and partnerships have sufficient resources to achieve sustainability and transition objectives.</td>
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<td>d. Develop a plan for securing funds for post-project sustainability research.</td>
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<td>e. Develop a work plan &amp; timeline that includes activities related to sustainability and a gradual transfer of responsibility to local partners over time.</td>
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<td>f. Include a clear transition strategy in the proposal and a plan to increase sustainability readiness over the life of the project.</td>
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<tr>
<th>5. Include capacity strengthening as an integral part of project design</th>
<th><strong>ILLUSTRATIVE DETAILED STEPS</strong></th>
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<tr>
<td></td>
<td>a. Include organizational capacity strengthening with local partners as an integral element of the design, transition/sustainability planning, and assessment process.</td>
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<td>b. Assess and strengthen project stakeholders’ capacity to advocate for sustainability, as necessary.</td>
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## STAGE 2: ASSESS

<table>
<thead>
<tr>
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<th>ILLUSTRATIVE DETAILED STEPS</th>
<th>✓</th>
<th>NOTES</th>
</tr>
</thead>
</table>
| 1. Assess organizational capacity of local partner(s) and identify and prioritize essential capacities to program sustainability | a. Use an evidence-based methodology to assess local partners’ baseline level of technical capacity, management capacity, partnerships, linkages, diversity, inclusion, gender responsiveness, reputation, and resources needed to continue program services and results in the short and long term.  
   b. Use participatory approaches in the assessment processes such as self-assessment, risk assessment, and locally-determined prioritization of capacity strengthening. |  | |
| 2. Based on an agreed-upon criteria for sustainability readiness, perform a sustainability "readiness" assessment to establish a basis for developing a transition plan | a. Establish criteria for "sustainability readiness" that include local capacity strengthening and gender equity.  
   b. Conduct a sustainability readiness assessment that contributes to the achievement of sustainability-oriented results, as reflected in the project design frameworks.  
   c. Identify resources, capacity, linkages, and other gaps that are actionable, measurable, and achievable. |  | |
| 3. Emphasize local ownership and demand-driven assessment approaches and priorities | a. Facilitate stakeholders identification of capacity strengthening needs and understanding of the relationship between the program’s long term sustainability and organizational capacity. |  | |
| 4. Integrate sustainability related measures into existing assessment plans and instruments | a. Integrate sustainability readiness measures directly into existing assessment processes and instruments (e.g. baseline assessments, organizational capacity assessments, etc.). Analyzed and disseminate sustainability findings alongside other project measures rather than through stand-alone processes. |  | |
| 5. Promote a sense of urgency and momentum among key stakeholders through active involvement, clear communication, and timely follow up | a. Communicate assessment results to key project stakeholders and then link assessment results directly into participatory action planning with the same group who participated in the assessment, promoting continuity, accountability, and a sense of ownership for change. |  | |
**STAGE 3: PLAN**

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</table>
| 1. Develop an action-oriented transition plan that is results-based, linked to assessment findings, and is realistic and measurable | a. Develop an action-oriented implementation plan with local partners and stakeholders based on the information gathered during the 'assess stage'; including a detailed transition plan.  
  b. Identify clear strategies to phase out external intervention and/or phase over responsibility for continued project outputs to local entities, and to strengthen relevant technical and management capacities to enhance readiness for sustainability.  
  c. Include Specific, Strategic, Measurable, Attainable, Realistic and Time bound (SMART) output and outcome indicators for sustainability readiness as well as benchmarks, actions to be taken, people responsible, a timeline reflecting program transition in phases, and resources required to implement the plan.  
  d. Include risk management steps in the plan, including those raised in the gender analysis, as well as budget/financial strategy, as necessary.  
  e. Ensure the transition plan is logical, linked to sustainability objectives and directly addresses gaps identified through assessments and evaluations. | ✓ | NOTES |
| 2. Designate a responsible point person and execute timely management of decisions to overcome implementation barriers | a. Designate staff (e.g., a project coordinator and deputy coordinator) to oversee the implementation of the sustainability strategy and make key decisions in coordination with local partner(s)/stakeholders and the "team of champions" (see below).  
  b. Make and follow through on critical decisions in a timely fashion to avoid obstacles to plan implementation.  
  c. Identify and allocate financial, technical, human and material resources on time, according to the plan and approved budget.  
  d. Effectively implement and manage the transition and sustainability readiness plan. | ✓ | NOTES |
| 3. Identify, mobilize, and equip a "team of champions" to overcome barriers to implementation | a. Identify a few strong and committed individuals who are formal or informal leaders within each local entity; link the individuals to form a "team of champions" to include gender and local capacity strengthening champions who will keep their stakeholders/organizations accountable to the transition plan.  
  b. Assess and build the capacity of champions to understand their role as catalysts and drivers and support champions to be inclusive, encourage diversity, and strengthen the gender lens approach to sustainability (i.e. they do not see their role as secondary to their other organizational functions).  
  c. Establish a skills building plan to develop the leadership, communication, and management capacity of champions during the project period and to train new staff as they come onboard. | ✓ | NOTES |
<table>
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<tr>
<th>STAGE 3: PLAN</th>
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| 4.           | Ensure emphasis on local ownership and accountability is included throughout the implementation and transition plans | a. Use participatory approaches that substantively and inclusively involve key stakeholders, including men, women, and youth in the development of the transition plan.  

b. Identify capacity strengthening priorities of local partners and key stakeholders that are most essential for sustaining program outputs and outcomes.  

c. Propose a high degree of responsibility by local entities in the plan.  

d. Set ambitious but achievable targets in collaboration with local partners/stakeholders.  

e. Ensure clarity among local partners/key stakeholders about roles and responsibilities during and after the project to achieve sustainability objectives.  

f. Translate the implementation/transition plan into the local language.  

g. Disseminate plan to key stakeholders and commence implementation immediately, maintaining momentum and a sense of urgency for change.  

| 5.           | Ensure buy-in of local leadership | a. Ensure that leaders of local stakeholders are inclusive, gender-sensitive, committed, and engaged with the implementation and adoption of the sustainability plan.  

| 6.           | Integrate capacity strengthening priorities identified in the transition plan into the program's overall capacity building strategy | a. Prioritize the development/strengthening of technical and management capacities that have been identified as the most essential for sustainability.  

b. Reflect sustainability readiness in capacity strengthening tools, interventions, and measures.  

| 7.           | Ensure transition plan is a key component in the overall project plan and partnership agreements | a. Integrate the transition plan components into overall project planning documents including activity plans, timelines, operating budget, monitoring and evaluation plan, and relevant staff job descriptions and work assignments.  

b. Integrate roles and responsibilities related to program transition and post-project sustainability into partnership agreements and MOUs with key stakeholders.  

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<th>STAGE 4: IMPLEMENT</th>
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<td>ILLUSTRATIVE ACTIVITIES</td>
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<td>for integrating sustainability into project cycle processes</td>
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<tr>
<td>1. Institutionalize the program's sustainability strategy into regular project implementation processes by building adequate opportunities to discuss and monitor progress of the transition plan</td>
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<td>2. Ensure that all key stakeholders have a clear understanding of the program's transition strategy and roles and responsibilities</td>
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<td>3. Provide any necessary training and technical support to equip key stakeholders to implement the transition plan in a timely fashion</td>
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<td>4. Identify and celebrate &quot;short-term wins&quot; to maintain morale and momentum</td>
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<td>5. Document promising practices and challenges</td>
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<td>STAGE 5: MONITOR, EVALUATE, LEARN, ADAPT</td>
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<tr>
<td><strong>ILLUSTRATIVE ACTIVITIES</strong> for integrating sustainability into project cycle processes</td>
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<tr>
<td>1. Establish performance benchmarks and monitor progress against them</td>
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<td>2. Regularly monitor sustainability output and outcome indicators</td>
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<td>3. Integrate sustainability into all program evaluations</td>
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<tr>
<td>4. Substantively involve local entities in monitoring and evaluation processes and promote local ownership and accountability of project data</td>
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<td>5. Create regular opportunities for internal and external organizational learning and exchange</td>
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## Stage 6: Transition

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<th>Illustrative Activities</th>
<th>Illustrative Detailed Steps</th>
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<th>Notes</th>
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</table>
| Implement a staggered/phased approach to program transition | a. During the final year of the program, intensify monitoring activities and define activities with greater specificity.  
   b. Graduate program sites based on a phased approach, starting with well-performing sites that meet established graduation criteria.  
   c. Following each graduation phase, integrate lessons learned into the next phase in order to continually improve the transition process. | | |
| Manage internal and external perceptions about project close-out and ensure clear, consistent communication by all stakeholders | a. Ensure project staff, local partners, and stakeholders actively anticipate and manage perceptions about the end of the project, including project staff concerns about job security, local partner concerns about increased responsibility and resource needs, and other stakeholder concerns about capacity and preparedness to continue program services/activities after the end of the project  
   b. Ensure that leaders maintain clear and unified communication regarding project closeout and program phase over steps.  
   c. Ensure that key staff, opinion leaders, and champions actively communicate a positive perspective about the transition and actively address colleagues' and other stakeholders' concerns. | | |
| Intensify the transfer of substantive responsibility to local entities | a. Intensify the "learning by doing" approach during the final project year through increased joint, experiential learning opportunities (e.g., site visits and capacity assessments, trainings, stakeholder and donor meetings, and exchange visits).  
   b. Define, agree, and clearly communicate the "accompaniment" role of project staff.  
   c. Transfer substantive responsibilities, assets, and information to local entities in concrete ways, with project staff increasingly performing an "accompaniment" role. | | |
| Clarify intent to collaborate beyond the project period to promote an effective program transition | a. Local partner(s) and key local stakeholders develop MOUs or terms of reference for any future collaboration to facilitate the phase over of programmatic elements to local entities. | | |
| Advocate and seek resources to conduct post-project studies to assess long-term program impact and sustainability | a. Execute last phase of donor engagement to secure buy in for post-project study(ies) to assess the sustainability of the program's results/outcomes and generate learning for future programming.  
   b. Revise MOUs with key stakeholders to mobilize support for post-project sustainability study(ies), as necessary.  
   c. Integrate a post-project sustainability study into the local partner's scope of work beyond the project period. | | |
| Manage the administrative closeout and program phase out/over in a systematic fashion | a. Manage administrative closeout and program phase out/over in a coordinated fashion.  
   b. Execute administrative closeout requirements associated with the end of a grant period in a comprehensive and timely fashion. | | |
## ACCOMPANIMENT QUARTERLY REFLECTION TOOL (AQUART)

Accompanateour: ____________________________

Local Partner: ____________________________

3 month period beginning: ________ Year:

### PLANNING:

In what ways does my partner prefer to communicate (face-to-face, Skype, email, phone, other)?

When and how will my partner and I communicate over the next three months?

What have I done to ensure that my partner understands and supports this plan?

How do I know that this arrangement is satisfactory to my partner?

### PRESENCE:

How successful was I over the last three months in fulfilling the expectations established through the plan?

What if anything do I need to change so that I can better fulfill promises and expectations?

To what extent was my level of presence (whether virtual or face-to-face) in line with partner’s needs and preferences?

To what extent was my form of presence (whether virtual or face-to-face) in line with my partner’s needs and preferences?

### PROPOSED ACTIONS:

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A Resource Guide for Enhancing Potential for Sustainable Impact

Food and Nutrition Security
**MORAL SUPPORT:**
In conversations with partners, did I typically communicate my interest in what was being shared non-verbally (e.g., through smiling, nodding, eye contact, or leaning forward as I listened)?

What are examples of meaningful encouragement that I offered partners?

For what did I show appreciation?

How did I communicate this appreciation?

How did I demonstrate that I remembered details, ideas and concepts from previous conversations?

What are some examples of questions I asked that elicited statements of feelings from partners?

How often and specifically with whom did I paraphrase key thoughts and feelings that partners shared with me?

How often and in what settings did I summarize what I understood and heard at the end of partner interactions?

How often, after giving a summary, did I invite partners to clarify whether I captured what they sought to communicate?

Which of my questions communicated a deep personal interest in my partners?

**PROPOSED ACTIONS:**

**TECHNICAL SUPPORT:**
Through what kinds of questions and conversational strategies did I help partners formulate a clear statement of technical problems or challenges?

How did I help partners gather relevant information and analyze the underlying causes of problems they faced?

How did I help partners to identify several possible technical solutions to identified problems?

How did I support partners in selecting the preferred solution from among several options identified?

How did I help partners do some action planning around implementation of a preferred technical solutions?

How did I help partners gain access to resources (human, material or financial) that would help them address the technical problem?

How did I support partners in assessing whether the technical solution selected, once implemented, resolved the initial challenge?

**PROPOSED ACTIONS:**
### SUSTAINABILITY STRATEGY TEMPLATE - BY BERYL LEVINGER

#### SUSTAINABILITY ISSUES

1. What **must** be sustained? Check as many options as apply.
   - [ ] An activity
   - [ ] A benefit stream
   - [ ] An institution
   - [ ] Program coverage
   - [ ] Level of service (program intensity)
   - [ ] Quality of service
   - [ ] Key relationships

2. Can benefit streams be maintained without continued activities?
   - [ ] Yes
   - [ ] No

3. If answer above is "no": Who will maintain activity streams, and with what resources?

#### EXIT STRATEGY CHOICES

4. Which of the following exit strategy approaches are most appropriate for this project?

   - [ ] Phase down:
     - Sponsor reduces activity level but continues providing some support
     - May be preparatory to phase out or phase over
     - Special challenges include: pacing; redefining target population; maintenance of benefit stream

   - [ ] Phasing over:
     - Sponsor substantially reduces support for an activity or service
     - Successor institution identified that will continue providing activity or service
     - Sponsor assists successor institution in securing needed resources and developing critical capacities
     - Special challenges include: pacing; capacity building; and decision-making about scope and scale of activities

   - [ ] Phasing out:
     - Sponsor discontinues support and involvement
     - No new sponsor is identified to continue the activity
     - Special challenges include: safety net considerations; maintaining the benefit stream without maintaining the activity that initially produced the stream
5. Summarize details of the approach(es) you have selected. Include key activities and timing. If appropriate, identify the successor institution. Incorporate, in your strategy, to the extent feasible, the best exit strategy practices.

6. Describe how you will meet the special challenges (noted in item #4) that are associated with the exit strategy(ies) you have selected.

<table>
<thead>
<tr>
<th>MONITORING ISSUES</th>
<th>What indicators will you use to monitor exit strategy success? [Note: Choose only those indicators that are relevant to your exit strategy]</th>
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<tbody>
<tr>
<td></td>
<td><strong>Status indicators</strong> (that show that the problem addressed by the program has been significantly reduced):</td>
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<td><strong>Organizational capacity indicators</strong> (that show that one or more partners can manage the effort):</td>
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<td></td>
<td><strong>Financial indicators</strong> (that show that needed resources are in place):</td>
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<td><strong>Time indicators</strong> (that show what is to be in place by a particular date):</td>
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</table>

1. **Best Exit Strategy Practice:**
   1. Plan for exit from the earliest stages of program design
   2. Develop partnerships and local linkages
   3. Build local organizational and human capacity
   4. Mobilize local and external resources
   5. Stagger the phase out of various program activities and resources
   6. Allow roles and relationships to evolve and continue after exit
## LOCAL CAPACITY STRENGTHENING – Strategic Direction

**Gold Standards of Performance Local Capacity Strengthening**

<table>
<thead>
<tr>
<th>Gold Standards of Performance Local Capacity Strengthening</th>
<th>Observations</th>
<th>Action required to achieve GS</th>
<th>Owner/Champion</th>
<th>Date to Complete Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>In planning</td>
<td>Reported but not evidenced</td>
<td>Consistently and/or documented</td>
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### TECHNICAL AND PROGRAMMATIC MANAGEMENT

1. **Individuals on staff have expertise/training in adult education and/or training facilitation and/or evaluation techniques, (Evidenced by HR roster, and/or program development or training reports)**

2. **The leadership team identifies, disseminates and utilizes technical programmatic lessons learned for at least 80% of its portfolio of projects, at least once per year (Evidenced by lessons learned dissemination minutes/reports)**

3. **This PCI office or department includes a designated LCS focal point who actively participates in and contributes to global LCS activities in coordination with PCI’s LCS Strategic Direction (Evidenced by field roster, staff development objectives and/or annual performance review)**

4. **LCS components or objectives are consistently integrated into proposal design for the country program or department (Evidenced by annual review of proposals submitted for the country/department)**
**LOCAL CAPACITY STRENGTHENING – Strategic Direction**

**PCIGlobal.org**

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<tr>
<td><strong>5</strong> This PCI office or department carries out a staff development plan regularly and systematically, based on prioritized technical capacity needs (Evidenced by staff professional development plans for current fiscal year, budgeting for staff development and/or regular inventorying of skills)</td>
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<tr>
<td><strong>6</strong> This PCI office or department carries out annual capacity strengthening processes and/or retreats to set and measure progress against learning objectives (Evidenced by annual capacity assessment and/or other type of reports)</td>
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<tr>
<td><strong>LCS PROGRAMMING</strong></td>
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<tr>
<td><strong>7</strong> At least 80% of PCI office portfolio includes LCS programs, projects, or clearly delineated objectives or activities (Evidenced by projects reports, results frameworks)</td>
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<tr>
<td><strong>8</strong> 100% of capacity strengthening (LCS) projects implemented by this PCI office include capacity assessment processes to measure partners’ initial capacity, plus an accompaniment plan that is assessed at least twice a year (Evidenced by annual partners’ capacity assessment reports or accompaniment schedule/plan)</td>
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### LOCAL CAPACITY STRENGTHENING – Strategic Direction

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<tr>
<td><strong>9</strong> This PCI office plays a leadership role in at least two regional or national level networks or collaboratives that advance PCI’s position locally, regionally or globally (please specify) (Evidenced by minutes or reports of relevant national network)</td>
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<td><strong>10</strong> This PCI office has carried out programmatic work that contributed to or influenced policy changes in relevant government and partner agencies (Evidenced by number and type of policies influenced annually, as per project or ad hoc reports)</td>
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<td><strong>11</strong> All PCI local partners are provided with PCI’s Principles of Partnership at the initiation of all partnering discussions and are incorporated into all partnership agreements.</td>
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<td><strong>LCS EVALUATION, LEARNING AND SUSTAINABILITY</strong></td>
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<td><strong>12</strong> 100% of LCS programs, and or projects/strategies implemented by PCI office, include measurement of capacity change attribution or contribution (Evidenced by appropriate reports)</td>
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<tr>
<td>Gold Standards of Performance</td>
<td>Observations</td>
<td>Action required to achieve GS</td>
<td>Owner/Champion</td>
<td>Date to Complete Action</td>
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<td>PCI office identifies, documents and disseminates lessons learned and best practices in LCS for incorporation into new/future LCS project designs (Evidenced by annual LCS lessons learned reports or other relevant documentation)</td>
<td>In planning</td>
<td>Reported but not evidenced</td>
<td>Consistently and/or documented</td>
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<td>At least 80% of country or department portfolio of projects include an exit strategy, with a clearly delineated capacity strengthening strategy that fully engages local partners</td>
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Date of assessment: ____________________________  Assessment participants: ____________________________

Additional Observations: ____________________________________________
Phase Out Cycle

Has the desired program impact been achieved?

**YES**

PHASE OUT CYCLE

Continue to maintain performance during project period to solidify changes

Consider graduating active program sites in a phased approach before the end of the project period in order to extend investment and identify/apply lessons learned to lower performing sites

Implement corrective strategies and programmatic adjustments to improve performance during project period

**High Expectation of Sustained Outcomes & Impact Beyond Project Period**

**ASSUMPTION:** Project outcome can be achievable in a project period and outputs are permanent or self-sustaining in nature with little/no need for continued external investment to sustain outcome

Phase Over to Community or Institution if Outputs Are not yet achieved

No expectation of sustained outcome & impact beyond project period

**NO**

CORRECTIVE CYCLE

Consider alternative exit strategy in order to transfer responsibility for achievement of outcome to another entity

As a last resort, discontinue program involvement despite not achieving program outcome

Has the desired program impact been achieved?

**YES**

PHASE OUT CYCLE

Continue to maintain performance during project period to solidify changes

Consider graduating active program sites in a phased approach before the end of the project period in order to extend investment and identify/apply lessons learned to lower performing sites

Implement corrective strategies and programmatic adjustments to improve performance during project period

**High Expectation of Sustained Outcomes & Impact Beyond Project Period**

**ASSUMPTION:** Project outcome can be achievable in a project period and outputs are permanent or self-sustaining in nature with little/no need for continued external investment to sustain outcome

Phase Over to Community or Institution if Outputs Are not yet achieved

No expectation of sustained outcome & impact beyond project period

**NO**

CORRECTIVE CYCLE

Consider alternative exit strategy in order to transfer responsibility for achievement of outcome to another entity

As a last resort, discontinue program involvement despite not achieving program outcome
Phase Over Cycle

**HIGH**

- Transfer substantive responsibility to key local entity(s) during project period while intensifying monitoring & evaluation

**MEDIUM**

- Strengthen capacity in prioritized sustainability readiness areas and increase participation in key program and management processes & decisions

- Implement corrective strategies and programmatic adjustments to improve performance and readiness of local entity during project period

**LOW**

- Consider alternative exit strategy in order to transfer responsibility for continuation of output to another local entity

- As a last resort, discontinue program involvement despite not achieving program outcome [Enter Phase Out Cycle]

**High Expectation of Continued Outputs & Sustained Outcomes Beyond Project Period**

**ASSUMPTIONS:**
- Project outcome requires long term intervention to be fully achieved (i.e. typically beyond project period); Outputs require continued external investment to sustain outcome.
- By the end of the project period, the program’s intended impact has not yet been fully achieved.

**PHASE OVER CYCLE**

- Phase Over to Local Organization, Institution or Community if the Others’ Readiness is Low or Environment Not Conducive

- No Expectation of Continued Outputs & Sustained Outcomes Beyond Project Period

What is the program’s level of sustainability readiness?
Community Ownership Tool - Questions to Help Spot and Promote Community Ownership

During design and assessment phases:

1. How is the community participating in the planning of the project or program? How were/are decisions about priorities made?

2. How is it ensured that this project responds directly to a community’s felt or perceived need?

3. How does the project/program build upon the efforts of groups or relationships that pre-date formal funding opportunities?

4. Before a particular project begins, how does the community demonstrate stewardship of shared resources or prior accomplishments?

5. Is the story you are presented about “our community problems” adequately balanced with the story of “our endeavors to change this”?

During implementation phase:

6. Do community members recognize themselves as part of the local organization’s constituency?

7. Are elements of reciprocity present? To what extent are local resources and/or in-kind contributions being mobilized to support the program?

8. Can community members of various ages, gender, position, etc. articulate a project’s goals or effects?

9. Is the local organization (or the on-the-ground implementer in the case of international NGO projects) clear about what a strategy or activity is and will continue to affect people’s daily lives? And how it will affect the lives of women and girls differently than the lives of men and boys?

10. To what extent is there collaboration with other neighboring organizations or government officials in the project/program you are working on?

Adapted from a publication by: Jennifer Lentfer

Nota: the author clarifies that this is not intended to be used as a checklist; but these are relevant questions when discussing local ownership. Please see the entire article - Spotting Community Ownership here: http://www.how-matters.org/2010/09/13/spotting-community-ownership/
## Checklist - Clarifying Expectations for Change Champions

<table>
<thead>
<tr>
<th>ITEM</th>
<th>YES/NO</th>
<th>IF 'NO'; PLANS TO ADDRESS IT:</th>
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<tbody>
<tr>
<td>Has the role of the champion (or champions) been clarified and understood?</td>
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<tr>
<td>Is it clear for champions what is not their role and responsibility?</td>
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<tr>
<td>Has it been defined and clarified how do the championing activities fit within existing job descriptions of champions?</td>
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<tr>
<td>Does the champion(s) demonstrate passion for the topic?</td>
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<td>Do selected or volunteer champions have and know how to access necessary managerial support?</td>
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<td>Do selected or volunteer champions have the necessary skills to elicit peer support?</td>
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<tr>
<td>Do selected or volunteer champions have the necessary skills to navigate the organization's sociopolitical environment?</td>
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<tr>
<td>Do selected or volunteer champions have a clear understanding of how change will affect women or girls differently than men or boys?</td>
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<tr>
<td>Do selected or volunteer champions demonstrate strong communication and networking skills?</td>
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<td>Is there clarity about the roll out model to be utilized to advance the change?</td>
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<tr>
<td>Is there clarity about the time limit of the change? Or is it recognized as an ongoing process?</td>
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</table>
**Key definitions:**

**Change champions** are individuals within an organization that volunteer or are selected to facilitate change. The champion is an active member within the change management project during all of its stages (Thompson, Estabrooks & Degner, 2004). They clearly see the vision for change and desire to actively advocate for, and facilitate the change, while supporting the team in integrating these new changes (Jisc Info Net, 2012). They can be from any level within the organization and it is often encouraged to have champions from multiple levels.

**Role of Champions**

Change champions assist in instituting a change, they advocate for and promote the change from within, and are instrumental in implementation of the change (Warrick, 2009). The champion believes in the change, is driven by the vision, and is energized by the passion for change. They are key communicators of the change and work to deescalate conflict when necessary. The champions problem-solve to remove barriers of change while at the same time creating supports for the change (Porter Lynch, 2012).

Edited and adapted from:
Assessing impact and sustainability of health, water, and sanitation interventions in Bolivia six years post-project

Clara Eder,1 Janine Schooley,1 Judith Fullerton,2 and Jose Murguia3

ABSTRACT

Objective. To assess the impact and sustainability of health, water, and sanitation interventions in Bolivia six years post-project.

Methods. A mixed-method (qualitative-quantitative) study was conducted in 14 rural intervention and control communities in Bolivia in November 2008, six years after the completion of interventions designed to improve knowledge and practices related to maternal and child health and nutrition, community water systems, and household water and sanitation facilities. The degree to which participants had sustained the community and household practices promoted by the interventions was a particular focus. Community site visits were made to evaluate the status (functional condition) and sustainability (state of maintenance and repair) of community and household water and sanitation infrastructure. Key informant interviews and focus group discussions were conducted to assess knowledge and practices, and perceptions about the value of the interventions to the community.

Results. Six years post-project, participants remained committed to sustaining the practices promoted in the interventions. The average rating for the functional condition of community water systems was 42% higher than the average rating in control communities. In addition, more than two-thirds of households continued to practice selected maternal and child health behaviors promoted by the interventions (compared to less than half of the households in the control communities). Communities that received integrated investments (development and health) seemed to sustain the practices promoted in the interventions better than communities that received assistance in only one of the two sectors.

Conclusions. Infrastructure for community water systems and household water and sanitation facilities was better built and maintained, and selected maternal and child health behaviors practiced more frequently, in intervention communities versus control communities.

Key words Water supply; sanitation; house sanitation; community development; health education; technical cooperation; community networks; infrastructure projects; Bolivia.

Bolivia, which has a population of 10 million people, is one of the poorest and least-developed countries in Latin America. Although the national language is Spanish, many people in rural areas speak the indigenous languages of Quechua or Aymara. Globally the country ranks 107th (out of 170) for average per capita income, which was estimated in 2009 as US $911 overall (1) but may be as low as US $150 in rural areas, illustrating the economic disparities within the country (2). About 60% of the population is thought to live below the poverty line (3). Bolivia ranks 95th (out of 169) on the World Bank Human Development Index and is categorized as a country at the medium level of human development (4).

Almost two-thirds of the Bolivian people work as subsistence farmers, miners, and traders. The country’s economy has
attributable to international assistance (14). This may be partially due to the efforts of the United States Agency for International Development (USAID). The USAID has provided assistance to Bolivia in the form of programs such as the USAID Food for Work Program and the USAID Child Nutrition Program. These programs have helped to improve nutrition and child health in Bolivia.

In the area of water and sanitation, there is wide range in access to and use of services by type of residence. In 2006, while the overall proportion of families in Bolivia with access to improved drinking water sources was cited as 86%, there was a wide variance between urban and rural populations (96% versus 69% respectively). Disparities by type of residence were even greater for the proportion of the population that used improved sanitation facilities, which is 43% overall but ranges from 54% in urban areas to only 22% in rural areas (2). Access to sources of potable water and environmental sanitation has been clearly identified as a fundamental influence on community health, particularly the prevention of diarrhea in children (7). A variety of methods for improving drinking water have been tested for adaptability to various geographic settings in Bolivia. Studies indicate that the use of ceramic water filters (8) and solar disinfection of drinking water (9–12) are highly suitable approaches, although other research highlights the risk that water that is rendered potable using these and other methods can be reinfected at the point of contact for household use (13).

In the area of maternal and child health, Bolivia ranks favorably for various indicators. The national under-5 mortality rate was 51.2/1,000 in 2009 (14), ranking Bolivia at 61 out of 262 countries for this health measure (15). In 2010, the estimated national infant mortality rate was 43.4/1,000 (3), which is relatively high when compared to aggregate data from other South American countries (16). The country also has a favorable rate of exclusive breast-feeding (60.4%) (14). This may be partially attributable to international assistance that has helped the country find effective ways to promote timely initiation of breast-feeding, including exclusive breast-feeding (17, 18). Antenatal care attendance is moderate, with 58% of women making at least four visits, and two-thirds delivering with a skilled attendant. However, the upper-limit maternal mortality ratio is cited as relatively high (180, with an uncertainty interval of 110–284) (19).

Several international agencies have focused on Bolivian child nutrition (20), with some evidence of success. Chronic malnutrition and stunting among children have been attributed in part to the influence of ethnicity on dietary intake of protein and micronutrients, and to the economic and development factors that affect food security (21).

From 1997 to 2002, Project Concern International (PCI) and its partners (municipal governments, non-governmental organizations [NGOs], and local communities) implemented interventions in 14 rural communities in Bolivia in the areas of agricultural productivity, rural infrastructure, maternal and child health and nutrition, and community/household water and sanitation as part of a US $26 million Development Assistance Program (DAP) funded by the U.S. Agency for International Development (USAID) Title II program. PCI is a U.S.-based, international NGO that has worked with vulnerable households and other stakeholders throughout Bolivia to build capacity and address priority health and development needs at the community level since 1980. The overall goal of the DAP was to reduce high levels of food insecurity and poverty in select rural municipalities of Cochabamba and Northern Potosí.

The DAP strategies that focused on improving the health and nutritional status of vulnerable women and children utilized the incentive model for food distribution (“food for work”). This model calls for the use of food as compensation for the time family members spend participating in education, health, and food security activities. In some communities, these interventions were complemented by USAID Food for Education activities (the provision of food for schools integrated with other activities aimed at improving the quality of education) through funding from the U.S. Department of Agriculture (USDA). Community members participated in the distribution of school breakfasts, the engagement of parents in school feeding activities, and the establishment of school gardens. The activities were intended to improve nutrition, education, and overall health status among participating rural school-aged children. In addition, resources were provided to impoverished communities in several municipalities to improve their homes and living conditions and thus mitigate the risk of Chagas disease (22). Intercultural maternal and child health and nutrition activities were used to bridge the gap between traditional indigenous health practices and modern medicine. Community-based health education sessions emphasizing health-promoting behaviors that could be adopted at the household level were also offered. Discussions focused on the importance of identifying a source of primary health care services for all household members (23), particularly pregnant women and children under age 2.

Community health promoters were trained to provide other residents of their communities with one-on-one and group-based health and nutrition education (e.g., antenatal care, breast-feeding, childhood immunization, and use of health facilities and services) that encouraged them to take positive actions for the health and well-being of their families and communities.

The DAP water and sanitation interventions promoted community- and household-level implementation and oversight of water and sanitation systems and facilities by utilizing a learning-by-doing methodology that resulted in the construction of adequate infrastructure for good-quality community water supply (intake systems, collection and storage tanks, and distribution networks) and household water and sanitation (house pipe connections to public water sources, and household latrines) in a relatively short period of time. Training and technical assistance was provided to local operators and community leaders who then helped guide others in system operation and maintenance. This methodology enabled communities and households to build their own systems and assume responsibility for ongoing administrative and maintenance duties. Community-led committees formed during the interventions (focusing on irrigation, and water and sanitation) were instrumental in sustaining improvements in these systems.
Six years after the completion of the DAP, as part of its commitment to monitoring and evaluation follow-up, PCI returned to the DAP-assisted communities to conduct a post-project review. Post-project reviews measure indicators of change to assess programmatic impact and sustainability of results. This type of research is limited in the literature, even though it is not time-bound and has proven extremely useful in improving future project performance. The PCI assessment of the DAP interventions in Bolivia helps to fill this gap. This report describes the assessment of the health, water, and sanitation components. The goal of the assessment was to assess the impact and sustainability of the DAP interventions on knowledge and practices related to maternal and child health and nutrition, community water supply, and household water and sanitation six years post-project.

MATERIAL AND METHODS

Study design and ethics

The study combined the qualitative methodology of a rapid post-project assessment with the quantitative methodology used in randomized controlled community comparisons, similar to the approach used in the DAP baseline, mid-term, and final evaluations.

Because the study was conducted as a monitoring and evaluation exercise rather than independent research, approval for implementation was requested and received from the project stakeholders (administrative authorities in the regions and communities where the interventions were carried out) rather than an institutional review board. Nevertheless, all study methods were designed in accord with generally accepted principles of research ethics for the protection of human subjects. Therefore, data were collected only from adults who verbally consented to participate in the interview or focus group. Community participants were provided with information on the nature and expectations of the study, including the potential risks and benefits of participation, and their right to refuse or withdraw from the study without consequences. Public officials were interviewed in their official capacity on issues within the public domain. Data were coded and recorded in such a manner that the identity of participating individuals could not be established.

Dissemination activities were planned to convey the results of the study to project stakeholders and participants in the intervention communities.

Sampling and interviews

The sample included a total of 14 communities in two of Bolivia’s nine departments (Potosí and Cochabamba). In each of the two departments, six communities served as observation sites (“intervention communities”) and one community served as a control.

Interviews were conducted with 136 individual project beneficiaries (e.g., mothers, farmers, community leaders, health promoters, agricultural producers, and members of the irrigation and water and sanitation committees). Twenty focus group interviews were conducted, with an average of five participants per group. Additional interviews were carried out with health center personnel and government representatives. Overall, qualitative data were obtained from more than 300 members of the intervention and control communities. In addition, 16 PCI staff members were interviewed. Many of these staff members had been instrumental in the original design and early implementation of project activities, so their perspectives about the more effective elements of the project were particularly informative.

The sampling frame for the quantitative data was based on a census figure of 555 households. A 90% confidence interval was calculated, resulting in a targeted sample of 91 households, of which only 66 households (73%) were contactable. All 66 households voluntarily agreed to participate. The assessment was conducted in November 2008, six years after the completion of the DAP interventions in all communities.

Instruments

The study team developed 15 different guides, designed specifically for the assessment, for use among members of the community, key informants, and focus group participants. The guides, which described the main messages of the DAP health, water, and sanitation interventions, were pilot-tested in the intervention communities, revised accordingly, and translated by native speakers into the vernacular form of Spanish common to the region. Translators were used when necessary for communication in local indigenous languages. A set of checklists and rating scales was also developed for use in documenting the results of observations about infrastructure status and sustainability made at the community and household level.

Procedures

The study period consisted of four weeks of fieldwork preceded by several weeks of logistical planning and a two-day orientation meeting with PCI’s Bolivia team members in La Paz. The fieldwork consisted of interviews, focus group discussions, and household and community site visits to evaluate water and sanitation infrastructure. The work was carried out by two six-member teams who shared responsibility for visiting the 14 study communities (12 observation sites and 2 controls). A total of 16 PCI staff members—14 from the Bolivia national office and two from U.S. headquarters—participated in the field component. The overall research effort was underpinned by additional support from PCI staff in La Paz, Oruro, and Cochabamba.

RESULTS

The results of this assessment indicate that the 240,525 people estimated to benefit from various activities conducted under the DAP continue to benefit from the interventions in varying degrees. Overall, selected maternal and child health behaviors were practiced more frequently and infrastructure for community water systems and household water and sanitation facilities was better built and maintained in the DAP intervention communities versus the control communities.

Communities that received integrated investments (development and health) seemed to sustain the practices promoted in the interventions better than communities that received assistance in only one of the two sectors.

Health and nutrition

Based on various maternal and child health indicators, the intervention communities showed high levels of sustainability of certain behaviors promoted in the DAP health interventions, although there was some erosion in hygiene and sanitation practices as well as latrine maintenance.
Figure 1 illustrates the percentage of households in the intervention communities that were still practicing selected health behaviors advocated by the DAP six years after its completion. More than two-thirds (80%) of the intervention households were still receiving and documenting maternal and child health services. These positive behaviors were also being extended to children born after the completion of the DAP. For example, more than two-thirds of infants born during the six-year post-project period had health cards (only 17% less than the rate among children who participated in the DAP). In addition, the vast majority (> 87%) of households in intervention communities were using soap or detergent for hand washing and personal hygiene, with a smaller proportion maintaining a separate, dedicated, hand washing sink (75%) (data not shown).

Many of the health promoters trained by the DAP could not be located in the community six years post-project, most likely due to migration out of the intervention communities for jobs in urban areas and other reasons. Nevertheless, those who did remain and who were interviewed by the assessment team reported that they remained relatively active in their communities and continued to promote the healthy behaviors they had learned during their work for the DAP.

Water and sanitation

Intervention communities were assisted by the DAP in establishing water committees whose function was to ensure that community irrigation and water systems and household water and sanitation facilities were built, operated, and maintained properly. Water committee responsibilities also included the determination and processing of fees for service and the establishment of usage protocols. At six years post-project, 62 respondents (about 98% of those who answered the question) reported that these water committees still functioned.

Table 1 shows the ratings for status (functional condition) and sustainability (state of repair and maintenance) of community water and household water and sanitation infrastructure in intervention and control communities six years after project completion, based on a scale of 1 (“good”) to 4 (“poor”) created and applied by water and sanitation engineers hired by PCI. The rating criteria for community water infrastructure included: condition of intake systems, collection and storage tanks, distribution networks, and pipes; sufficiency of water quantity; and water quality. The rating criteria for household water and sanitation infrastructure included: condition of water taps, collection tanks, valve chambers, and overflow channels; use and maintenance of latrines; and condition of septic tanks. Overall, the average rating for status of community water system infrastructure in the intervention communities was 42% percent higher than the average rating for status of infrastructure in the control communities. In addition, intervention communities were 30% more likely to have sustained the quality of these systems and facilities over time through proper maintenance and repair.

A similar assessment, of both water and sanitation infrastructure, was made at the household level. Households in intervention communities were approximately 30% more likely to be rated “good to very good” or “satisfactory” for status of water infrastructure and septic tanks, and both status and use of latrines, compared to households in control communities.

A comparison of community and household systems in both intervention and control communities suggests that water systems were well maintained at the community (macro) level but less well maintained at the household (micro) level. The low sample size of the control group (n = 2) precluded testing statistical differences between the intervention and control communities for this variable.
Maintenance of household latrines was less successful over the six-year post-project period. While 48 households (about 73%) reported owning latrines, on-site visual inspection of household latrines only identified 33 (50%) that were still in use for the intended purpose. (Several latrines observed by the evaluation team were being used to store firewood or were not being used at all.)

**DISCUSSION**

The results of this study concur with evidence from previous studies. For example, a 2006 review of water provision and management strategies in Latin American countries found that the community-managed approaches facilitated in the DAP favored greater access to water among those of lower socio-economic status (24), and a more recent study conducted in Bolivia found a positive correlation between motivation to adopt new water treatment habits and prior engagement in sanitary hygiene activities similar to the interventions used in the DAP (25).

A distinct strength of the current assessment was the fact that it was not funded by the sponsor of the DAP interventions and therefore did not present a conflict of interest (e.g., the participants knew USAID was not funding the assessment so they had no expectations of a potential benefit in terms of additional funding or program extensions—or apprehensions about program funding being withdrawn—based on the results). This assessment also had several limitations. First, the census data used for sampling did not accurately reflect the number of households in the communities that were studied. This discrepancy affected the sampling distribution and resulted in a final sample size of 66 (73% of the original intended sample of 91 households), making it difficult to apply the results widely. Nevertheless, meaningful comparisons can be made for selected variables, providing useful data for the participating communities. Another limitation was the fact that, as expected, many community residents included in the sample did not have detailed recollections of the interventions six years after project completion. This underscored the importance of waiting long enough post-project to allow for meaningful data on sustainability without waiting too long to collect substantive data from intervention participants, given community migration patterns and the fact that those in administrative positions are highly mobile in their careers. Finally, it was difficult to quantify the community benefits observed in the assessment because they were not necessarily directly or solely attributable to the DAP. To help clarify the correlation between the DAP interventions and the observed changes in knowledge and practices, efforts were made to document other, similar interventions carried out in the same communities before and after the project. Based on these efforts, it was determined that the positive changes in health, nutritional, and educational status identified in the assessment had many additional sources of influence during the six-year post-project period (2002–2008), including development and health programs conducted by other NGOs. For example, 63 respondents (about 40% of those who answered the question) said they had participated in other NGOs’ health programs since the completion of the DAP. Nevertheless, each of the health promoters, teachers, and leaders interviewed (a total of 20) who had been engaged by other NGOs for similar activities attributed positive health and development changes in their communities specifically to the DAP. In addition, the inclusion of communities that did not participate in the DAP but had been included in interventions from other NGOs helped to control this source of bias.

**Conclusions**

Six years post-project, the DAP intervention participants remained committed to sustaining the practices promoted by the project. This was reflected in the fact that 1) several maternal and child health and nutrition behaviors learned in the interventions were still being practiced by households, and 2) there was a marked difference between the water and sanitation infrastructure status and sustainability ratings for the intervention communities and those for the control communities.

Post-project sustainability studies like the current assessment provide the opportunity to move beyond typical donor-required monitoring and evaluation activities, generating more evidence of program impact and long-term sustainability as well as feasibility and value. These types of results provide useful lessons for programming and help guide future project design.

**Acknowledgments.** The authors thank members of the 14 communities in Bolivia who participated in this study, and acknowledge the invaluable assistance of the evaluation team in Bolivia (Alejandra Villafuerte, Guadalupe Tola, Janet Carrasco, Nicolás Copa, and Porfirio Choque); the monitoring and evaluation officer (Elizabeth Abastoflor); and PCI support staff in Cochabamba, Oruro, and La Paz. They also thank Charles Sturtevant, for his translation and field insights; the staff of PCI’s International Office (San Diego, CA, USA); and Dr. Hassan Sachedina, who contributed to the design and analysis of this study. In addition, the authors offer special thanks to the Richard Taylor Global Impact Fund for its support of this important, pioneering effort in assessing post-project sustainability.

**Disclaimer/conflict of interest.** The findings and conclusions in this report are those of the authors and do not necessarily represent the position of the private funding agency that supported this assessment. The authors are current (CE, JS, JM) or former (JF) employees of PCI, the NGO that designed and implemented the Development Assistance Program (DAP) evaluated in this study, and conducted the post-project assessment. The authors have no financial interest in the publication of the results of this assessment.

**REFERENCES**


Evaluación de la repercusión y la sostenibilidad a seis años de las intervenciones relacionadas con salud, agua y saneamiento en Bolivia

Objetivo. Evaluar la repercusión y la sostenibilidad de las intervenciones relacionadas con la salud, el abastecimiento de agua y el saneamiento en Bolivia seis años después de la realización del proyecto.

Métodos. Se llevó a cabo un estudio de metodología mixta (cualitativa y cuantitativa) en 12 comunidades rurales donde se ejecutó la intervención y 2 de control en Bolivia en noviembre del 2008, seis años después de la finalización de las intervenciones enfocadas a mejorar el conocimiento y las prácticas relacionadas con la salud y la nutrición maternoinfantil, los sistemas de abastecimiento de agua comunitarios y las instalaciones de abastecimiento de agua y saneamiento domiciliarios. Se estudió, en particular, el grado en el cual los participantes continuaaban realizando las prácticas comunitarias y las prácticas promovidas por las intervenciones. Se efectuaron visitas a sitios de la comunidad para evaluar el estado (condición funcional) y la sostenibilidad (estado de mantenimiento y reparación) de la infraestructura de abastecimiento de agua y saneamiento domiciliario y comunitario. Se llevaron a cabo entrevistas a informantes clave y análisis basados en grupos de discusión para evaluar el conocimiento, las prácticas y las percepciones acerca del valor de las intervenciones comunitarias.

Resultados. Seis años después del proyecto, los participantes continúan llevando a cabo las prácticas promovidas en las intervenciones. La calificación promedio para la condición funcional de los sistemas de abastecimiento de agua comunitarios fue 42% más alta que la calificación promedio en las comunidades de control. Además, en más de dos terceras partes de los hogares se seguían poniendo en práctica ciertos hábitos relacionados con la salud maternoinfantil promovidos en las intervenciones (en comparación con menos de la mitad de los hogares en las comunidades de control). Los componentes que recibieron inversiones integradas (desarrollo y salud) parecían conservar las prácticas promovidas con mayor frecuencia, en las comunidades de la intervención en comparación con las comunidades de control.

Conclusiones. La infraestructura de los sistemas de abastecimiento de agua comunitarios y las instalaciones domiciliarias de abastecimiento de agua y saneamiento estaban mejor construidas y mantenidas, y ciertos hábitos de salud maternoinfantil se ponían en práctica con mayor frecuencia, en las comunidades de la intervención en comparación con las comunidades de control.

Palabras clave
Abastecimiento de agua; saneamiento; saneamiento de la vivienda; desarrollo de la comunidad; educación en salud; cooperación técnica; redes comunitarias; proyectos de infraestructura; Bolivia.
Terms of Reference: Post-Project Sustainability Study

Project Name, Country
(Time)

I. Project Background
This section provides a concise summary of the problem the project addresses, the project's goal, objectives and expected results and a concise description of its geographic scope, duration and key activities. This information can be extracted from the proposal and summarized appropriately. Include the following components in this section:

Problem statement
- Identifies the specific problem to be addressed.
- Provides information about the situation that needs changing, who it affects, its causes, its magnitude, and its impact on society. This could include a brief background information on the public health issue the project addresses.

Conceptual framework (if available)
- A graphical depiction of the factors thought to influence the problem of interest and how these factors relate to each other.
- Some projects do not have a conceptual framework.

Project description
- Note the project's funding source(s).
- Include project's overall duration.
- Summarize the specific interventions to be implemented and their duration.
- Include the geographic scope and target populations.

II. Purpose of the Post-Project Sustainability Study
The proposed objectives for conducting a Post-project Sustainability study may include the following:
- Promote institutional learning of project impact once funding is no longer present in project communities.
- Position organization as a strong international development organization capable of demonstrating sustainable impact vis-à-vis research.
- Foster organizations understanding of lessons learned and (in)effective project interventions in health and nutrition.
- Ensure greater sustainability by stimulating community engagement and awareness during the post-project sustainability assessment activities.
III. Targeted Audience for the Post-Project Sustainability Study

To maximize utility for the results of the post-project sustainability study, the final deliverable should be internal highlights papers, a presentation, as well as an external research publication article that can be easily adapted for multiple audiences, primarily the international development donor community, private and individual donors; and potential and existing organizational partners.

IV. Potential Research Questions

There are a myriad of potential research questions. Ultimately, the research questions will be defined by the final objectives of the research and identified targeted audience for the post-project sustainability study. Possible areas of institutional and programmatic interest include:

- **To what extent did project outcomes change XX years after completion of project activities?** Measured project outcomes in the relevant technical areas and may focus on the following levels of analysis:
  - Community level
  - Healthcare provider
  - Health facility

- **How did the project development model improve outcomes? Alternatively, which strategies were most effective in improving outcomes?** Emphasis should be placed on measuring the contribution of key strategies of the development model.

- **What is the current status of sustainability in the project’s geographic area?** Based on the framework utilized during the life of the project at baseline, mid-term and final evaluation. The framework can be based on: health, health services, organizational capacity, organizational viability, communication capacity and environment, etc.

- **How has institutional capacity changed since project activities ended?**

- **Other questions**, as proposed by the external consultant.

Upon being selected, the external evaluation team will consult with organization’s technical team to review and finalize research questions for the post-project sustainability study.
V. Key Post-Project Sustainability Study Activities

Evaluation Design

- Develop an appropriate evaluation design to achieve the study objectives. The design will include a sampling methodology(ies), data collection protocol, and a data analysis plan. The consultant should consider utilizing the same or similar data collection methods and tools that were used during the project evaluations, as well as the utilization of data from a comparison group.
- Develop a work plan and timeline for evaluation activities.
- Obtain internal review board (IRB) approval for the study.

Data Collection

A. Project Document Review

At minimum, the following project documents should be reviewed by the study team:

- Project agreement
- USAID's evaluation policy
- Detailed implementation plan
- Monitoring and evaluation plan
- Project strategy, educational and capacity building materials
- Project annual reports
- Baseline, mid-term and final evaluation reports
- Other documents, as requested by the evaluation team (and pending availability)

B. Utilization of Both Quantitative and Qualitative Methods

The table below shows possible sources and methods that may be considered for the study. The study team may propose other methods and sources after reviewing project documentation.

<table>
<thead>
<tr>
<th>Sources</th>
<th>Methods</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community members</td>
<td>Focus groups</td>
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<tr>
<td>Staff</td>
<td>Observations</td>
</tr>
<tr>
<td>Volunteers</td>
<td>Surveys</td>
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<tr>
<td>NGO partners</td>
<td>Interviews</td>
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<tr>
<td>Government agencies</td>
<td>Testimonials</td>
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<tr>
<td>Etc.</td>
<td></td>
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</tbody>
</table>
Data Analysis
- Analyze data collected from primary and secondary sources
- Use statistical software for analyzing quantitative data, such as SPSS, EpiInfo, etc. Results must be presented in tables and graphs.
- For analysis and presentation of data collected through qualitative methods, use descriptive graphs (timelines, context diagrams) and/or explanatory graphics (flow charts of causal diagrams), and/or descriptive matrices.

Final Report
- Submit a draft of the study report for review
- Submit a final revised report one week after receiving comments

VI. Expected Deliverables
The consulting team must submit the following deliverables during the study:
- Complete evaluation design (including sampling methodology and calculation, data collection methodology, data collection tools, and the work plan/timeline)
- Quantitative (e.g. datasets) and qualitative (e.g. transcripts) data, including data analyses outputs and graphs
- Final report (see below)
- Final PPT presentation
- Final highlights paper
- Draft peer journal article; journal to be determined

The following contents must be included in the final report:
- Cover page
- List of abbreviations
- Executive summary
- Project background
- Evaluation objectives
- Evaluation methodology
- Evaluation findings
- Success stories
- Lives-changed profiles/quotes
- Conclusions (achievements and challenges)
- Lessons learned
- Recommendations
- Annexes (evaluation design, data collection tools, data analyses outputs, etc.)
VII. Duration of the Study
The expected level of effort (LOE) is approximately XX (days). The study will be completed in MM/DD/YYYY and MM/DD/YYYY, with approximately XXX (days) for data collection in XX (location).

VIII. Consultant Requirements
The following criteria are expected consultant requirements:
- Extensive experience (a minimum of seven years) conducting evaluations using both quantitative and qualitative methods
- Experience with evaluations in social science/international development within rural environments
- Knowledge of (country) national legislation related to health and education
- Experience in evaluating (technical areas) projects is strongly preferred
- Experience in evaluating US Government-funded, especially those funded by the United States Agency for International Development (USAID), projects is strongly preferred
- Experience working and conducting evaluations in (countries/regions), is strongly preferred
- Language preferences

IX. Proposal Submission
Applicants must submit their proposals, including CVs, sample evaluation reports, etc., to..... Applicants should take into consideration the following guidelines:

Technical Proposal:
- Understanding of the project context (technical areas) and evaluation methodologies appropriate for addressing the key evaluation questions (sample and methods proposed)
- Timeline for evaluation activities, identifying the field visits and including sufficient time to work with staff on finalizing data collection instruments and reporting
- Applicants must include a detailed list of previously-conducted project evaluations
- All proposal submissions must also include a list of references, preferably those who have supervised an evaluation conducted by the applicant

Cost Proposal:
- The final evaluation proposal must include the expected LOE, daily rates, international travel expenses for the consulting team (i.e., air tickets, airport taxes, local transportation, etc.), and any other associated costs related to the evaluation
- Proposals must include the consultants’ local travel, lodging and other expenses that will be incurred while conducting field work in project sites

X. Deadline for Proposal Submission
All proposal submissions should be submitted to XX, at email addresses, by XX EST on MM/DD/YYYY
Post-Project Sustainability Study (PPSS) Planning Checklist

Purpose and Guidelines for Use:

The PPSS Planning Checklist is a reference tool for guiding initial discussions on key issues to consider prior to engaging in any sort of PPSS study. The tool should be administered in consultation with project staff involved with the program of interest. The checklist is a living document and should be revisited once a PPSS has been approved. A final careful review of gaps and potential limitations to the study should be determined prior to finalizing the PPSS design.

Post-Project Sustainability Study Objectives:

- Promote organization’s institutional learning of program impact once funding and activities are no longer present in project communities
- Foster organizations’ understanding of lessons learned and (in)effective program interventions in key technical areas
- Ensure greater sustainability by stimulating community engagement and awareness during the post-project sustainability assessment activities

Date of Review: __________________________________________

Review Team Members: ______________________________________

Date for Follow-up Review: _________________________________
<table>
<thead>
<tr>
<th>Issues to Consider</th>
<th>Y/N</th>
<th>Comments (including evidence and documentation)</th>
<th>Action Items for Follow-up*</th>
<th>Person Responsible</th>
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</thead>
<tbody>
<tr>
<td><strong>Purpose and Timing</strong></td>
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<tr>
<td>Has the purpose of the study been clearly defined?</td>
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<td>Has the appropriate timing for the study been identified?</td>
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<tr>
<td>Note: Different levels of considerations, e.g. a) Physical/geographical (seasonality), personnel, study participant (migration/attrition) accessibility and availability considerations and b) balance of sufficient time required to measure sustained change versus memory recall</td>
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<tr>
<td><strong>Institutional Memory</strong></td>
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<tr>
<td>Can relevant project staff (e.g. Project Managers, Field Coordinators) be contacted (e.g. presence known)?</td>
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<td>Are relevant project staff willing and able to participate in the study?</td>
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<td>Is the contact information for the internal or external evaluation consultant(s) available?</td>
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<tr>
<td>Is the internal or external evaluation consultant(s) willing and able to participate in the study?</td>
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<td>Have any project personnel visited the project sites after the project ended?</td>
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<tr>
<td><strong>Original Project Documentation</strong></td>
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<tr>
<td>Is the project proposal available?</td>
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<tr>
<td>Is the Project Monitoring Plan (PMP), including the Indicator Performance Tracking Table (IPTT) available?</td>
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<td>Are project reports (quarterly and annual) available for review?</td>
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<td>Is the baseline assessment/evaluation report available?</td>
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<td>Is the mid-term evaluation report available?</td>
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<tr>
<td>Issues to Consider</td>
<td>Y/N</td>
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<td>Is the final evaluation report available?</td>
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<td>Is the evaluation design and protocol available?</td>
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<tr>
<td>Are the data collection tools used for the baseline, mid-term and final evaluations available?</td>
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<td>Are the raw data for the baseline, mid-term and final evaluations available?</td>
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<tr>
<td>Are the data analysis outputs for the baseline, mid-term and final evaluations available?</td>
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<tr>
<td>Is there any other documentation (primary or secondary) related to the project communities available?</td>
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<tr>
<td>Is there any other additional information required to complete the PPSS?</td>
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<tr>
<td><strong>PPSS Design</strong></td>
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<td>Have the research questions been identified?</td>
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<td>Note: Prioritize research questions that are feasible to answer</td>
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<td>Have the key stakeholders been identified?</td>
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<td>Note:</td>
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<tr>
<td>• This should be linked to the research questions</td>
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<td>• The Comments section should include information regarding any stakeholder changes over time (e.g. government agency re-structuring, community platforms)</td>
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<tr>
<td>Issues to Consider</td>
<td>Y/N</td>
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<td>Person Responsible</td>
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<td>Has the target population been identified?</td>
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<td>Note:</td>
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<tr>
<td>• These should be a) targeted beneficiaries who “graduated” from the project and b) potential targeted beneficiaries if the project were to be implemented during the time of the PPSS</td>
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<td>• Levels of analysis should be confirmed (e.g. household, community)</td>
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<td>Has a sampling strategy been identified?</td>
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<td>• How has the sample been identified?</td>
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<td>• If randomization, what is the unit of randomization, community, school, household, etc.?</td>
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<td>• Has a sample size been determined?</td>
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<tr>
<td>Are causal effects being considered? If so:</td>
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<tr>
<td>• What are the selection criteria and exclusion criteria for the study?</td>
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<td>• Has a control group been identified?</td>
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<td>• Have threats to internal, external and face validity been considered?</td>
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<tr>
<td>Will the evaluation design of the study be different from the evaluation design during project implementation?</td>
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<td>Note: If yes, expand on rationale in the Comments section</td>
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<tr>
<td>Are clear operational definitions of measurement for evaluation indicators available to ensure comparability of data?</td>
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<tr>
<td>Issues to Consider</td>
<td>Y/N</td>
<td>Comments (including evidence and documentation)</td>
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<tr>
<td>Do additional indicators need to be included in the PPSS to provide comprehensive information regarding program impact and sustainability?</td>
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<tr>
<td>Are both quantitative and qualitative data being included in the study? Note: Both types of data should be complementary</td>
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<td>Has a clear analysis framework/plan been developed?</td>
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<td>Has a study protocol and timeline been developed for the PPPS?</td>
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<tr>
<td><strong>PPPS Resources, Administration and Logistics</strong></td>
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<tr>
<td>Is there a sufficient budget available to conduct the PPPS based on the proposed design? Note: This should be based on previous evaluation costs as a reference</td>
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<td>Has a study team been identified?</td>
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<td>Have roles and responsibilities been outlined for all parties to be engaged in the PPSS?</td>
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<tr>
<td>Is there a local contact for institutional review board (IRB) approval? Note: If yes, describe the process (e.g. length of time, procedures and protocols for obtaining local IRB approval)</td>
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<td>Is there a local contact available for supporting field logistics? Note: Identify how much advance notice should be given for facilitating field mobilization</td>
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<tr>
<td>Are there experienced personnel available to conduct the field administration of the PPSS?</td>
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<tr>
<td>Issues to Consider</td>
<td>Y/N</td>
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<tr>
<td>Do additional trainings (e.g. enumerator, field supervisor) need to be organized prior to the PPSS?</td>
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<td>Add any other issues to consider as needed</td>
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</table>

* Time-sensitive priority actions should be denoted by an asterisk (*) with appropriate deadlines.

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General observations and notes following review:

Next steps for a go/no-go decision:
## SUSTAINABILITY GOLD STANDARDS OF PERFORMANCE

<table>
<thead>
<tr>
<th>Gold Standards of Performance Areas: Sustainability</th>
<th>Observed yes/no</th>
<th>Action required to achieve the Gold Standard</th>
<th>Action owner</th>
<th>Owner/Champion</th>
<th>Target date</th>
</tr>
</thead>
</table>

### SUSTAINABILITY PLANNING AND DESIGN

1. Project design identified sustainable mechanisms to ensure human, financial and other resources essential to achieve the project goals and objectives are available throughout the LOP.  
   - Observed: yes [ ] no [ ]

2. Project design team worked with project stakeholders, national, subnational and local institutions from public and private sectors to define the mechanisms and systems essential to sustain delivery of results and project benefits after the project ends.  
   - Observed: yes [ ] no [ ]

3. Principal stakeholders and partners critical to the project’s success identified and their roles in sustainability planning, implementation, monitoring and evaluation (M&E), and learning defined.  
   - Observed: yes [ ] no [ ]

4. Sustainability objectives defined and integrated into project design, work plans and M&E Plan.  
   - Observed: yes [ ] no [ ]

5. Organizational capacity analysis conducted to identify systems, policies, and skills required to achieve project sustainability objectives (refer to LCS GS and toolkit).  
   - Observed: yes [ ] no [ ]

6. Capacity building plan developed to strengthen the capacity of local partners and institutions to sustain results and benefits of the project after the project ends (refer to Local Strengthening Capacity Gold Standard and toolkit).  
   - Observed: yes [ ] no [ ]
## SUSTAINABILITY GOLD STANDARDS OF PERFORMANCE

<table>
<thead>
<tr>
<th>Gold Standards of Performance Areas: Sustainability</th>
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</thead>
<tbody>
<tr>
<td><strong>SUSTAINABILITY PLANNING AND DESIGN</strong></td>
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<tr>
<td>7. Sustainability framework and plan developed according to sustainability toolkit guidelines.</td>
<td>yes ☐ no ☐</td>
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<td>8. Sustainability objectives defined and integrated into project design, work plans and M&amp;E Plan.</td>
<td>yes ☐ no ☐</td>
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<td>9. Evidence of clearly defined roles and responsibilities for planning and implementation of activities in sustainability plan.</td>
<td>yes ☐ no ☐</td>
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<tr>
<td><strong>PROJECT IMPLEMENTATION AND PERIODIC SUSTAINABILITY ANALYSIS</strong></td>
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<tr>
<td>1. Evidence that project/activities are incorporated into relevant governmental and/or local private/public institutions' planning processes.</td>
<td>yes ☐ no ☐</td>
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<td>2. Evidence of commitment from key stakeholders, national, sub-national, and local institutions from public and private sectors to support the sustainability plan.</td>
<td>yes ☐ no ☐</td>
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<td>3. Evidence of local demand and ownership, demonstrated by sectors of community, linkages, and involvement of partnerships and networks committed to ensuring that activities or services required to maintain results and project benefits continue after the project ends.</td>
<td>yes ☐ no ☐</td>
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<td>4. Evidence of achievement of capacity building outcomes necessary to bring local institutions to the level required for sustaining results and benefits of the project (refer to Local Strengthening Capacity Gold Standard).</td>
<td>yes ☐ no ☐</td>
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### SUSTAINABILITY GOLD STANDARDS OF PERFORMANCE

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#### PROJECT IMPLEMENTATION AND PERIODIC SUSTAINABILITY ANALYSIS

5. Evidence of routine analysis of fixed and variable costs of the project and the use of these data for sustainability planning and identification of future revenue sources.

6. Evidence of sustainable financing or long-term viability of the project or necessary activities to maintain results and ensure project benefits continue after the project ends.

#### MONITORING, EVALUATION (M&E) AND LEARNING

1. M&E Plan developed and implemented that incorporates sustainability indicators and assesses progress towards achieving sustainability outcomes (refer to sustainability illustrative indicators list-toolkit).

2. M&E Plan review process actively involved stakeholders in review of progress towards sustainability in all components of the project.

3. Results of analysis of progress towards sustainability used to refine sustainability plan a minimum of annually and in project decision-making.

4. Project evaluations included assessment of progress of sustainability strategies as part of their scope of work.

5. Evaluation results and learning disseminated to principal stakeholders and used for sustainability action planning through mid-term and final evaluation results workshops.
### SUSTAINABILITY GOLD STANDARDS OF PERFORMANCE

<table>
<thead>
<tr>
<th>Gold Standards of Performance Areas: Sustainability</th>
<th>Observed yes/no</th>
<th>Action required to achieve the Gold Standard</th>
<th>Action owner</th>
<th>Owner/Champion</th>
<th>Target date</th>
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#### MONITORING, EVALUATION (M&E) AND LEARNING

6. Lessons learned and best practices in sustainability identified, documented and disseminated for incorporation in new project designs.  
   - Observed: yes [ ] no [ ]

#### PROJECT EXIT STRATEGIES

1. Exit plans developed during project design phase in collaboration with stakeholders and updated annually.  
   - Observed: yes [ ] no [ ]

2. Exit strategy included a plan to support national, sub-national and/or local institutions to maintain adequate administrative, technical and financial resources and capacity to sustain project activities and results.  
   - Observed: yes [ ] no [ ]

3. Exit criteria for partners and beneficiaries, and graduation criteria for key project components developed.  
   - Observed: yes [ ] no [ ]

4. Exit plans implemented in a stepwise, phased manner in alignment with established timelines to allow sequential graduation of communities and/or project components.  
   - Observed: yes [ ] no [ ]

5. Monitoring strategies to measure progress on benchmark indicators for graduation incorporated into overall project M&E Plan.  
   - Observed: yes [ ] no [ ]

6. Evidence of consistent involvement of community, including beneficiaries, community-based providers of services, local authorities, and other stakeholders, in planning and implementing project end and sustainability activities.  
   - Observed: yes [ ] no [ ]
SUSTAINABILITY GOLD STANDARDS OF PERFORMANCE

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<th>Gold Standards of Performance Areas: Sustainability</th>
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<tr>
<td>POST PROJECT SUSTAINABILITY STUDY STRATEGY</td>
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<td>1. Analysis completed to identify potential post-project sustainability studies that will contribute to PCI's institutional learning and visibility.</td>
<td>yes ✗ no □</td>
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<td>2. Timeline for potential post-project sustainability studies established.</td>
<td>yes ✗ no □</td>
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<td>3. Potential resources to support post-project sustainability studies identified.</td>
<td>yes ✗ no □</td>
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<td>4. Activities to design, implement and disseminate the results of post-project sustainability studies integrated into sustainability plan.</td>
<td>yes ✗ no □</td>
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GENERAL OBSERVATIONS AND NOTES FOLLOWING GOLD STANDARD REVIEW:

PROMISING PRACTICES IDENTIFIED FOR ORGANIZATIONAL SHARING:

#1

#2

#3
Annex F
Special Considerations Regarding the Use of Food in Development Programs

Food is a central element in many development programs, particularly those funded wholly or in part through the provision of PL 480 Title II food. The use of food in development programs raises special considerations in planning for program exit. Food, like medicines or vitamin/mineral supplements, is a consumable good; if the effectiveness of an activity depends on the provision of food, some means of funding procurement of the food needs to be identified as part of an exit strategy. In planning for exit, it is important to evaluate critically the need to continue food provision as a means of accomplishing the priority development goals after exit, since provision of food may be particularly difficult to maintain after graduation or exit.

In MCHN programs, food is used according to one of three models (FANTA, 1999): in the recuperation model, food is used like medicine to rehabilitate children who are suffering from malnutrition (as measured anthropometrically); in the incentive model, food is provided in order to encourage mothers to take advantage of prenatal and post-partum care and child health interventions; and in the prevention model, a take-home ration is provided to households with children at risk of malnutrition.

Program dependence on food varies according to the model used. In a program providing a recuperation component, the food is integral to the program. In some settings, education of the mother about appropriate uses of the household’s own resources may substitute for the direct provision of food, but in others, there may be no effective alternative to providing supplementary food.

A number of programs that include the use of food in a recuperation model simply do not describe their plans for assuring the supply of food (e.g. World Vision/Malawi, CRS/Benin, CRS/Nicaragua, CRS/Gambia). As programs mature and the specifics of exit strategies are developed, explicit plans for resource provision are essential for the continuation of the program. In some settings, substituting education for the provision of food in very food insecure households or communities will not be effective, at least in the short run. Programs for recuperation of malnourished children need food, and in these programs it may be important to continue the provision of food after external resources are withdrawn. In these cases, it is clearly important to have a system of food provisioning identified and functioning prior to program exit.

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21 This section is an excerpt from Rogers & Macias (2004) excellent resource on ‘Program Graduation and Exit Strategies: Title II Program Experiences and Related Research’ Food and Nutrition Technical Assistance Project (FANTA).
Where food is used as an incentive (e.g. for participation in health care services), there might be other forms of incentive that would work as well. Indeed, Project Concern International’s (PCI) expressed goal for its MCHN program in Bolivia was to raise community awareness of the implicit benefits of using health services so that, as the availability of food aid declined, the need for food as an incentive would decline as well and mothers would use the services because of their recognized value (Bessenecker, personal communication 1999). This approach applies generally to cases where food was provided in the past as an incentive to encourage use of programs such as health care or schooling. However, there is the risk that providing food as an incentive will create an expectation and withdrawing it will reduce participation.

Another approach to the withdrawal of food as an incentive is to substitute another incentive for participation, one that is within the power of the community to provide. In CRS’s Food-Assisted Child Survival (FACS) Program in Benin, credit and savings services were offered as an incentive for participation in health services, while the use of food is expected to be restricted to supplementing pregnant and lactating women and malnourished children (CRS/Benin, 1999b). These services were provided instead of food starting with the 1996-2000 DAP, which represented a transition from MCH center-based to community-based services. They were included not only as an incentive to make use of MCH services, but also as a mechanism for reducing malnutrition by promoting food security through increased household income. The Concept Paper for the 2001-2005 DAP suggests that access to credit will continue to be offered as an incentive for use of MCH services (CRS/Benin, 1999a).

Food provided in a school feeding program is essential to the nature of the program. Food in school is not only an incentive to enrollment and attendance (the incentive function can be accomplished in other ways), but it also alleviates short-term hunger to enhance attention and learning. To continue a school feeding program, alternative sources of food—whether from the community, the government, or other donors—must be found. Of course, to the extent that the goal of school feeding is to increase school enrollment and attendance, improving the quality of education and raising parents’ recognition of its value through the program may sustain these outcomes without continuation of food.
Where food is used as pay in FFW construction projects, the need for food should end when the asset is constructed. If the asset has recognized benefits to the community, it should be possible to organize a system for maintenance of the asset without the need to provide food as pay.

Even where food is provided to vulnerable households as a means to prevent malnutrition, complementary interventions to increase household food security have the potential to make the direct provision of food unnecessary. Such interventions include: the promotion of home production, income generation schemes or improvements in methods of feeding or food preparation. For example, CRS/Nicaragua has a Food-Assisted Child Survival (FACS) Program in which the food ration for children is targeted based on nutritional status (recuperation model). In order to ensure sustainability of program results, there will be a shift from direct provision of food to an education/behavior change approach in which households are taught to make better use of their own food (CRS/Nicaragua, 2001). CARE/Honduras is linking health and nutrition interventions to agricultural production interventions in the same households, so that as direct provision of food is withdrawn, the household has developed the means to increase its own food supply, reducing the need for externally provided food. The CHW will be able to promote appropriate child feeding practices, knowing that sufficient food will be available without direct provision of a supplement (Rogers, 2002). CRS/Gambia also plans to move from the provision of food as an incentive for improved caring practices to a program of education/behavior change without the use of food.

These examples indicate that the design of an exit strategy for a food aid program does not have to include food in all cases, and planning exit from food programs needs to involve an analysis of whether continuation of food is required.

In addition to how food is being used in a program, a cultural sense of entitlement may also play a role in whether the food can easily be withdrawn. CARE's Integrated Nutrition and Health Program (INHP) program in India supports the government's Integrated Child Development Service (ICDS) program, and food is considered to be an entitlement in the ICDS (CARE/India, 2002). A recent decision of India's Supreme Court confirmed the right to food in these programs, making the withdrawal of food from the ICDS sites where INHP operates an unrealistic option.
## ADDITIONAL RESOURCES ON SUSTAINABILITY

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<td>Sustainability of rural development projects: Best practices and lessons learned by IFAD in Asia (2009), IFAD Occasional Papers No. 8, Tango International,</td>
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REFERENCES


Levinger, B., & McLeod, J. (2002). Hello, I must be going: Ensuring quality services and sustainability benefits through well-designed exit strategies. Newton, Massachusetts: Education Development Center, Inc., Center for Organizational Learning and Development (COLAD).