

# A Facilitator's Guide to Developing OVC Program Sustainability and Transition Plans



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# **A Facilitator's Guide to Developing OVC Program Sustainability and Transition Plans**

**2010**

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Since 1943, Catholic Relief Services (CRS) has held the privilege of serving the poor and disadvantaged overseas. Without regard to race, creed or nationality, CRS provides emergency relief in the wake of natural and man-made disasters. Through development projects in fields such as education, peace and justice, agriculture, microfinance, health and HIV & AIDS, CRS works to uphold human dignity and promote better standards of living. CRS also works throughout the United States to expand the knowledge and action of Catholics and others interested in issues of international peace and justice. Our programs and resources respond to the U.S. Bishops' call to live in solidarity-as one human family-across borders, over oceans, and through differences in language, culture and economic condition.

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# Acronyms

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<b>CBO</b>	Community-Based Organization
<b>CD</b>	Compact Disk
<b>CHAMP-OVC</b>	Community HIV/AIDS Mitigation Project
<b>CRS</b>	Catholic Relief Services
<b>HIV</b>	Human Immunodeficiency Virus
<b>IGA</b>	Income-generating activity
<b>IHD</b>	Integral Human Development
<b>INGO</b>	International non-governmental organization
<b>LNA</b>	Learning Needs Assessment
<b>M&amp;E</b>	Monitoring and Evaluation
<b>NGO</b>	Non-governmental organization
<b>OVC</b>	Orphans and Vulnerable Children
<b>RFA</b>	Request for Applications
<b>PEPFAR</b>	President’s Emergency Plan for AIDS Relief
<b>SMART</b>	Specific, Measureable, Achievable, Relevant, Time-bound
<b>SO</b>	Strategic Objective
<b>S/T Plan</b>	Sustainability/Transition Plan
<b>USAID</b>	United States Agency for International Development
<b>USG</b>	United States Government



# Terms Used/ Definitions

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**Caregiver:** A person who commits part of his/her time to provide care and support to OVC. They are selected from the community by the community, or they voluntarily offer their services.

**Community-based service providers:** This can include health centers, trained counselors, village committees, church groups, etc.

**Critical capacities:** A skill set needed to perform the outcome(s) in question.

**Diocese:** Region under a particular Bishop; contains both development and pastoral branches; often comprises a number of parishes.

**Guardian(s):** The adult(s) living with a child, usually a relative such as an older sibling, aunt, or uncle; family member or non-family member assuming responsibility for day-to-day wellbeing of a child.

**Integral Human Development:** The operational framework of CRS which promotes the good of every person and the whole person; it is cultural, economic, political, social, and spiritual.

**Parish committee:** Comprised of members of the parish who are elected or nominated to sit on the committee to spearhead OVC work in the parish.

**Partner:** Project implementers such as diocese, community-based organizations and parishes (often the parish committees).

**Stakeholders:** Individuals, groups and institutions important to the success of the project.

**Sustainability:** In the case of OVC programs, it is the uninterrupted provision of services. Thus, a sustainability plan may include how to acquire funds to continue services as well as how to continue services when there are no funds.

**Transition:** In the case of OVC programs, it means the implementing partner will move toward greater ownership of all programming aspects.

**Village committee:** Comprised of members of the village who are elected or nominated to sit on the committee to spearhead OVC work in the village.

**Vision statement:** A statement that describes a desired future state; the aspirations of the organization or program. The attention and focus of members of the organization should be drawn to the vision.

**Volunteer:** One who is tasked with following up with a particular OVC; often the terms caregiver or caretaker are used interchangeably with volunteer in the programs.



# Introduction

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Through the funding support of the President's Emergency Plan for AIDS Relief (PEPFAR Track I), Catholic Relief Services' (CRS) Orphans and Vulnerable Children (OVC) Program provides quality services to children in its six participating countries. The OVC programs in Haiti, Kenya, Rwanda, Tanzania, and Zambia have been active since 2004; Botswana's OVC program has been fully operational since 2006. Each country has used the opportunity to reach children and adolescents by providing comprehensive services consistent with their needs. In addition, each program seeks to support both the caregivers and community stakeholders in an effort to develop strategies that will sustain the initiatives begun through the PEPFAR program.

CRS Track I OVC programs are often implemented by the Catholic Dioceses, thus the programs are often under the Diocesan Development Director but directly implemented by an OVC Coordinator in the field and supported by a team of Monitoring and Evaluation (M&E) staff, an accountant, and assistants. CRS usually maintains its own Program Manager, Project Officer, accountant, and M&E staff to manage and give technical assistance to all partners with OVC programs in a particular country program. The partners train and work with caregivers to provide services in the following seven program areas: education, psycho-social support, child protection, shelter rehabilitation, health assistance, economic strengthening, and food security/nutrition.

CRS and partners are committed to identifying and creating durable models of integral human development of OVC. Integral Human Development (IHD) is the operational framework of CRS which promotes the good of every person and the whole person; it is cultural, economic, political, social, and spiritual. See Annex 1 for the IHD framework.

It is subsequently important to have systems of OVC support, which are founded on existing indigenous structures traditionally responsible for the welfare of children. In the first phase of OVC emergency funding by foreign donors such as the United States Government (USG), CRS assumed the primary responsibility for managing the OVC grants by monitoring program spending, activity planning, and conducting trainings for partner staff. A key assumption, however, is that sustainability, (long-term viability of a program for integral development of OVC) will require a transition of roles and responsibilities for the OVC activities to indigenous structures that can galvanize the energies and resources of the entire community for this purpose.

Over the course of five years, the capacity of indigenous CRS partners and community programs has been enhanced. The current aim is that the well-planned transition of OVC programs to CRS partners will result in long-term sustainability. Sustainability and transitioning planning will be operationalized differently in each country; the design of the sustainability/transition plan (S/T plan) will vary according to the partner's financial and management capacity at the onset of the planning process and the different funding opportunities available. To increase program sustainability, it is critical that the transition is conceptualized and designed with input from all the key stakeholders. CRS has subsequently designed *A Facilitator's Guide to Developing OVC Program Sustainability and Transition Plans* in order to facilitate the comprehensive and systematic review of existing structures and planning for strengthening of indigenous mechanisms for OVC.

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## How the S/T Facilitator’s Guide is Organized

This guide is designed as a reference for CRS OVC program managers and implementing partners interested in using the OVC Track I meeting workshop materials to assist with the development of an S/T plan. The S/T Facilitator’s Guide is divided into three parts:

**PART I: Background for Sustainability Planning** gives the background for sustainability planning and discusses partner capacity assessment.

**PART II: Sustainability/ Transition Workshop Overview and Preparation** describes how the facilitators should prepare for the S/T Workshop. It also provides pre-workshop activities for the participants.

**PART III: The Sustainability/ Transition Workshop Facilitator’s Guide** describes how to facilitate the eleven exercises associated with developing the S/T plan. Each module refers to a specific section of the eventual plan and each exercise builds upon the work of the previous activity module.

The guide has eleven activity modules including spreadsheets found within their corresponding exercise section. These exercises are practical guides for program managers to assist in the step-by-step process of completing the S/T plan. The exercises guide participants in identifying existing and required resources (human and financial) as well as identifying program areas that need capacity-building.

# PART I: Background for Sustainability Planning

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## OVC Vision

*Orphans and vulnerable children are resilient, healthy and see purpose in their lives now and in the future. OVC reside in self-sufficient, vibrant, nurturing communities and households.*

## Definition of Sustainability for CRS OVC Track I Programs

*OVC have uninterrupted access to quality core services resulting in the Integral Human Development of OVC.*

The OVC PEPFAR Program defines sustainability as “uninterrupted access to quality core services resulting in the IHD of OVC.” CRS applies Integral Human Development to all of its programs: IHD is an operational framework which promotes the good of every person and the whole person; it is cultural, economic, political, social, and spiritual. The Integral Human Development framework can be found in Annex 1. CRS concurs with USAID’s commitment that all OVC receiving services through the PEPFAR Track 1 program will continue to receive services until graduation into adulthood or until those services are no longer needed; i.e., until the core needs of the child are secured and he or she is no longer “vulnerable.” The OVC Program fosters partnerships and develops sustainable capacities at the community, diocese, national and international levels so that:

- Community members take leadership/ownership of the OVC in their care.
- Community-based service providers provide high quality core services to OVC and their caregivers.
- National and international organizations commit to supporting, with human, material, and/or financial resources, the efforts of diocesan and community-based service providers.

## A Note about the use of Sustainability and Transition

The vision for OVC implies that ideally OVC would no longer need services; that is, that these services would no longer need to be sustained. Sustainability is a process whereby individuals, families, communities or organizations gain greater control and are moving in the direction toward self-sufficiency. Since sustainability is a process, it involves constant transition—transition of resources, of management, of responsibility, etc. Throughout this text the term “transition” is subsequently defined as the elements of the process leading toward sustainability.

## Sustainability Approach for CRS OVC Track I Programs

*Fostering partnerships and developing sustainable capacities at the community, diocese, national and international levels*

To assure “uninterrupted access,” CRS’ sustainability approach is to *foster partnerships* and *develop sustainable capacities* from the micro to the macro levels. At the family level, OVC and OVC

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households actively engage in their own care and invest in their own future. At the community level, members lead in the care of OVC, and service providers provide high quality core services to OVC and their caregivers. At the national level, CRS assists diocese and other faith partners to provide long-term support for community partners. Finally, the goal is that regional and global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical support needed to maintain quality services to their community-based organizations. Achieving sustainability will mean shifting more responsibility toward more indigenous sustainable systems, but each country will differ in how much responsibility is shifted and to whom, depending on competencies in the areas of information management, financial management, etc.

The CRS OVC PEPFAR Program approach to sustainability is to foster partnerships and develop sustainable capacities at community, diocese, national and international levels in order that

- a. OVC actively engage in their own care and invest in their own future.
- b. OVC households and guardians actively engage in OVC care and invest in their future.
- c. Community members take a leadership role in the care of OVC in their midst.
- d. Community-based service providers provide effective, high-quality core services to OVC and their families/caregivers.
- e. Community-based service providers engage in good resource stewardship.
- f. Diocese and national faith partners and their structures provide the long-term program and resource support needed to sustain their community partners.
- g. Local authorities feel a sense of responsibility to care for OVC and provide services.
- h. National governments create a supportive policy environment.
- i. Regional and global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical and material support needed to provide integrated quality services at the community level.

## Key Assumptions of Sustainability Planning

- 1) *Sustainability planning is most effective when approached from a systems perspective.*
- 2) *Sustainability requires a thorough understanding of organizational capacity.*
- 3) *Sustainability is a dynamic process.*

The purpose of creating a sustainability plan is to work proactively by predicting and monitoring, from the beginning, those factors that will influence sustainability. Central to the philosophy of sustainability planning are the following:

***Sustainability planning is most effective when approached from a systems perspective.*** Most organizations are not just lacking one thing that a project can add to make them sustainable. Rather, progress is comprehensive and needs to be balanced across all the different components of an organization in order to result in the IHD of OVC. For example, if a lot of work is done to improve the financial viability of the organization, but the technical capacity to deliver services does not improve, then the organization is unlikely to sustain improvement in the life of an OVC.

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***Sustainability requires a thorough understanding of organizational capacity.***

In order to sustain program services, an organization must have strong systems, structures, and procedures. The systems perspective discussed is achieved through an assessment of organizational strengths and challenges.

***Sustainability is a dynamic process.***

The local situation does not remain static. It is dynamic with people and institutions coming and going, increasing or decreasing in strength; it is constantly exposed to new stresses and assets. The environment is also dynamic with new policies, actors, and emerging problems and opportunities. The objective of the OVC project is to contribute to this dynamic process by catalyzing positive change within this complex local system.

***Sustainability must be built into the beginning of a project.***

Planning and preparing for sustainability is not something that comes at the end of a project, but at the beginning. Proposals should include a sustainability plan so that the project end is in everyone's thinking from the project's start. Depending on the size and the number of partners or stakeholders involved, transition timelines can vary; most projects recommend that 9 months be set aside for transition and closeout activities.

## **Preparing Staff, Partners, and Communities for Sustainability**

Talking about sustainability and transitioning with staff, partners, and communities can be difficult because project services are highly valued by project participants and project transitioning may be perceived as resulting in job loss. Therefore, prior to the workshop, facilitators should hold a meeting with country program management including the Country Representative, Head of Programming, the Project Manager, and the person in charge of human resources to brief them on the workshop's purpose. In many cases, funding for future OVC programs may not be certain at the time of the workshop. Staff and partners may begin to wonder about their job security. Knowing if and how this issue has been discussed with staff and partners will be important for the facilitators to understand before the workshop.

Both the country program management and the facilitators need to understand that it is not the facilitator's responsibility to communicate this information to the staff and partners for the first time, but rather the information provided by the facilitators during the workshop should be consistent with information already provided by country program management. The purpose of the sustainability and transition workshop is to plan the way in which CRS and its partners would like to manage the process of transition; it is not the time to deliver new information.

In many cases, the future of OVC programming may not be clear because of ongoing discussions with donors, pending submissions, or changing government policies. If that is the case, the most conservative approach is to:

- Assume the project will end as scheduled;

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- Ensure staff and partners know the end of project date;
  - Explain what is known about the funding situation and the vision for the future;
  - Explain that updates will be provided regularly (country program management should provide the time interval e.g., weekly, monthly, etc.);
  - Explain that staff and partner expertise during this transition period is needed now more than ever;
  - Emphasize that the task at hand is to ensure a smooth transition of project management to partners and/or the community; and
  - Ensure uninterrupted services for OVC currently enrolled in the program.

If possible, it may be helpful to have senior management in the room during this exercise in case there are questions. If this is not possible, the facilitators may gather questions and submit them to management for a response prior to workshop completion. Transparency in explaining what is known and what is not yet known is important.

The next level of communication will be explaining the transition process to community members. Due to their proximity, partners are usually best placed to explain the transition process to local governments and community members. Telling a community with many needs that services may no longer be available at the same level as before can be difficult. As a result, some staff and partners may simply decide to avoid the issue and not to tell the communities. Unfortunately, this lack of transparency can have negative consequences. In all cases, despite their consternation, communities prefer to know when support is ending so that they can prepare. Maintaining regular communication with a variety of different stakeholders including local government officials, community leaders, and caregivers about the transition process will be important. Messages will need to be worded in a way that people understand and delivered appropriately. For example, government officials may require an official letter combined with a courtesy visit while guardians (including child-headed households) may do best with a meeting to inform when the project will end and outline steps needed to maintain services. If it will not be possible to maintain services, they need to know this as well. It may be appropriate to reinforce the message during volunteer visits. Budgeting staff time and funds to support the development and implementation of community action plans for OVC may be appropriate if this has not been done already.

During the S/T workshop it may be helpful to identify and develop culturally-appropriate talking points for partner staff. Using workshop time to identify who needs what type of information and the best way to deliver the information could also be very helpful to partners and CRS.

## **Organizational Capacity Assessment**

In addition to preparing staff, partners, and communities for the transition, partners should conduct an organizational capacity assessment to be fully prepared to plan for sustainability. The workshop is designed to use information gathered during each partner's organizational capacity assessment, conducted prior to the start of the S/T workshop.



# **PART II:**

# **The Sustainability/Transition Workshop Overview and Preparation Workshop Overview**

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## **Objectives of the S/T Workshop**

- 1) Review the common vision and approach for PEPFAR OVC sustainability.
- 2) Develop a common language for sustainability.
- 3) Review transition planning.

## **Outputs of the S/T Workshop**

- 1) Agree on a common vision of sustainability and objective.
- 2) Define partners, stakeholders and their roles.
- 3) Articulate project outcomes to be maintained.
- 4) Define critical capacities necessary to sustain those outcomes.
- 5) Develop the first draft of the S/T plan which includes a process for monitoring progress.

## **Participants**

A workshop setting is highly recommended as it gathers stakeholders from different levels of organizations together as well as different implementers within the same country. The information generated through the S/T workshop is intended to provide programmers with a beginning template and action steps toward sustainable programming. The Guide to OVC S/T planning should therefore be developed and implemented through an inclusive group comprised of program managers, financial administrators, and by the communities who are directly caring for the children.

## **Facilitators**

Unless funds permit for an external facilitator, in most cases the Program Manager will be the workshop facilitator. Facilitators should be well versed in the activities and objectives of the OVC program, experienced in adult-non-formal education techniques, and ideally, be familiar with implementation challenges in the local context. For inexperienced facilitators, this S/T guide aims to provide the notes s/he needs to guide group discussion. Facilitators, experienced or not, should read this manual in its entirety before beginning the workshop; facilitators must be familiar with the purpose and flow of the workshop, as well as the specifics of each exercise.

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## Time and Venue

The workshop requires four or more full days to complete. An ideal venue may be an external site away from any particular implementing area so participants can focus solely on the S/T workshop. Each exercise has suggested times for the suggested activities; the trainer may adapt the timing to meet the needs of the group, allowing for less or more time, as the group needs. The training room, or facility, will ideally have small tables, arranged in a loose circle, for small group work. The tables should be far enough apart to allow participants and the trainer to move freely in the room and to turn chairs towards whomever is speaking. In the front of the room, the trainer should set up the PowerPoint screen and projector, a table for supplies, and flipchart stands, if used.

The exercises and their respective times are as follows.

Exercise 1	Setting the stage	1 hour, 45 minutes
Exercise 2	Creating common ground	1 hour, 10 minutes
Exercise 3	Identifying strengths and concerns in the transition process	1 hour
Exercise 4	Reviewing the vision	1 hour, 10 minutes
Exercise 5	Developing the OVC track I approach to sustainability	1 hour 45 minutes
Exercise 6	Identifying the partnership landscape	2 hours, 15 minutes
Exercise 7	Elaborating critical program outcomes	1 hour, 50 minutes
Exercise 8	Developing critical capacities	1 hour
Exercise 9	Identifying key capacity-building activities and timeframe	2 hour, 15 minutes
Exercise 10	Developing performance indicators	2 hours
Exercise 11	Identifying necessary resources	1 hour, 10 minutes
Exercise 12	Finalizing the action plan	45 minutes
Exercise 13	Verifying and communicating the plan	3 hours, 30 minutes
Exercise 14	Closing and final evaluation	45 minutes

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## Workshop materials

Since each OVC partner will develop its own particular *S/T* plan, each OVC partner should be requested to come with a laptop if possible, so the activity modules can be completed electronically throughout the workshop and shared by PowerPoint at the end of each exercise. If each partner does not have a laptop, then detailed notes must be taken on flipchart paper for later documentation.

The training room, or facility, must be equipped with the following:

- Projector
- Laptop for facilitators
- Power strips
- Flipchart paper and tape or pushpins
- Markers
- Pads of paper (e.g., notepads or block notes) and pens for each participant and facilitator
- Blank CDs (or flash disks) to copy all presentations and completed activities for each participant

## Format of the Workshop and Exercises

There are eleven key steps with corresponding exercises used to complete the *S/T* plan. The invited participants will draft this plan for their respective programs over the course of the workshop. Each exercise has:

- objectives for the exercise
- instructions on how to facilitate the exercise, including timing
- expected outcomes

Most exercises will be shared with the group upon completion of the activity. The workshop facilitator will facilitate the discussion. It is critical to enable participants from different partner organizations to share ideas and be able to constructively comment on others' plans.

## Workshop Schedule

Each participant should receive a copy of the workshop schedule on the first day of the workshop. A sample workshop schedule is found in Annex 2.

## Training Methods

The *S/T* workshop uses experiential, adult learning methodology, which acknowledges the reality that adults come to a training program with a lifetime of skills and experience, a rich body of knowledge that necessitates that they are active, rather than passive learners. As a result, the *S/T* workshop maximizes the involvement of participants and draws upon their knowledge and experience in working with OVC.

Facilitation Team: The facilitator may be a single person or a team; the main thing is that the facilitator(s) should uphold these facilitation principles.

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- The facilitators' role is to assist the group work through the exercises.
  - The facilitation team should include trainers from CRS and one of the partner organizations.
  - Facilitators should have no part in the substantive discussions nor have a decision-making role in the S/T plans.
  - Facilitators must be committed to full participation by all group members.
  - Facilitators must be committed to informed choice by the group and should seek the group's decisions at all times.

### **Facilitation principles:**

- **Participation:** the facilitators' goal is to ensure that everyone has a chance to participate, to enable the group to have the benefit of everyone's thinking, and to help the group to form a common view of a subject.
- **Sensitivity:** participants may have different opinions about sensitive issues raised, and it is the responsibility of the facilitators to find ways to manage possible tensions and negative reactions within the group. In any case, facilitators should appreciate the openness and honesty of participants and encourage sharing thoughts openly.
- **Confidentiality:** facilitators should ensure that participants are comfortable raising and discussing issues, confirming the degree to which the information discussed will be shared with others or kept confidentially within the group.
- **Learning and discovery:** facilitators should ensure that the space is open and safe for communication so that participants feel safe to share their opinions. Facilitation should not be judgmental but empowering and appreciative.
- **Knowledge:** facilitators should familiarize themselves with OVC services and the participating organizations.
- **Trust** sustainability planning may be a threatening exercise for the organizations involved. Facilitators should respect and acknowledge the fears while using the workshop as a way to address the fear of the transition.
- **Ownership:** participants should decide what should be sustained and how. Facilitators, particularly if they are internal to a partner organization or from CRS, can facilitate the discussion but cannot mandate activities. Rather, facilitators should promote meaningful conversation and realistic sustainability planning.

## **Evaluation Methods**

At the end of each day's exercises, post a flipchart with these two questions for participants. Use

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feedback from the group to adjust schedule, logistics, or the facilitation.

- What did you find most helpful today and why?
- What do you suggest changing to improve tomorrow?

There are a number of ways to discuss questions. Individuals write answers on post-its that are tabulated or small groups discuss answers and share with the large group, or the large group may discuss the questions together and make proposals for changes.

A sample final workshop evaluation is included in Annex 3.

## **Exercise Components**

Title

Time

Materials

Objectives

Output

Rationale

Facilitator Notes

## **Preparation for OVC Program Sustainability and Transition Workshop**

The first steps to creating an S/T planning workshop are to:

- 1) Identify the necessary participants/key partners. In the case of the PEPFAR OVC Track 1 project this includes: the partner OVC Coordinator, Accountant, M&E Officer, parish coordinators (if relevant), Diocesan Development Director (if relevant), staff from other related Diocesan programs, CRS OVC Program Manager, CRS OVC Project Officer, CRS OVC Project Accountant, CRS OVC Project M&E Officer, and others deemed necessary for local circumstances.
- 2) Send letters of invitation stating the purpose of the workshop and asking participants to fill out and return the learning needs assessment. See Annex 4 for a sample letter of invitation and Annex 5 for a learning needs assessment.
- 3) Request invitees to complete the pre-workshop activities prior to attending the Sustainability/Transition Workshop.

## **Pre-Workshop Activities**

- 1) CRS staff should work with partner OVC programming staff and Diocesan staff to understand what is already being done with respect to the sustainability of other programs in the same Diocese. There are likely opportunities for linkages and integration that will complement any sustainability plan.
- 2) Consider doing a capacity assessment as a first step in the S/T action plan.

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- 3) Participants should familiarize themselves with Country Quality Standards for OVC (if they exist). Prior to the workshop, participants should review and come prepared with a summary of these national standards.

## **Pre-Workshop Exercises**

It is important to understand the participants' definitions of sustainability prior to the meeting, as well as any concerns they may have concerning the pending transition. Participants may come to the workshop with very different concerns and understandings of the term "sustainability." For example, some may view sustainability strictly as having viable income generating activities (IGA) as a means to support the beneficiary activities. Others may express a fear of job security when talking about transition. All these definitions and feelings are valid, based on people's experiences. As the workshop strives to reach a common definition, it is important to understand the various perspectives that the participants bring.

Therefore, prior to their attendance at the S/T Workshop:

- 1) Ask invited participants to reflect on sustainability and write two examples of something in their community that is sustainable.
- 2) Ask invited participants to complete the following exercise and bring the results with them to the workshop.
  - a. In order to understand the perspectives of stakeholders, meet with at least three church leaders, such as individuals from the women's department, pastoral activities, youth department, or a Bishop, and two to three community stakeholders. Ask the following questions, taking notes on the answers.
    - What do OVC need to have a happy and successful life?
    - Who needs to be involved in supporting OVC?
    - What kind of financial and material resources do individuals and organizations working with OVC need?
    - How can families, communities and the government ensure continued support to OVC?

# PART III: The Sustainability/ Transition Workshop Facilitator's Guide

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## Exercise One

Title	Setting the stage
Time	1 hour 45 minutes
Materials	Handout: Workshop schedule (Annex 2), name tags for each person, name plates in front of each participant, PowerPoint slides, projector, flipchart and markers
Objectives	To review and agree to the schedule and working norms for the workshop.  To begin the process of forming an OVC community.
Output	To list expectations for the workshop
Rationale	This exercise sets the stage for the rest of the workshop. By encouraging participant interaction in the first exercise and by increasing participants' familiarity with one another and the facilitators, the workshop can proceed with a common understanding of outcomes and a greater willingness to share within the group.
Facilitator Notes	This is an opportunity to help the group feel comfortable with each other and the topic. The spirit in the room should be welcoming and friendly; this is the beginning of building trust and an atmosphere of mutual support and sharing. The trainer should have an open, trusting, and friendly demeanor.

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- 1) A senior person from CRS should welcome the participants and make encouraging remarks about the continuation of OVC services during and after the transition. The CRS speaker should briefly review the reasons for S/T planning and reiterate CRS' commitment to OVC as the funding and management of OVC programs transitions to (country x) organizations. (30 minutes)
  - 2) Explain the rationale for the workshop and that the group will spend four intensive days working together, and that the foundation of a good workshop is knowing each other as individuals and as institutions. Ask everyone to wear their nametags and put their nameplates in front of them. Explain the exercise. (45 minutes)

<p style="text-align: center;"><b>Getting to Know You</b></p> <ul style="list-style-type: none"><li>• What is your name?</li><li>• Where do you live?</li><li>• What is your job/title/organization?</li><li>• What community activity have you been involved with that has lasted for a long time?</li><li>• What contributes to its longevity?</li></ul>	<p>Show this slide and ask participants to answer the questions.</p>
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- Circulate the room and try to meet as many people possible while still having a nice conversation
  - Questions to ask one another
  - Share name, title, location and any other personal information
  - Describe one thing you have been involved with, or know of, in your community, that has been around for a long time. What contributes to its longevity?
  - Take a piece of paper and stand up, start with people you don't know well.
  - Have good conversations with as many people as you can in 20 minutes.
- 3) Bring everyone back together and ask them to share some of the nice things they learned about one another. Ask them to introduce the person and tell their story.
    - After a few stories, make summary comments about the kind of things that made for longevity or sustainability, e.g., secure finances, strong community connections, addressing a real need, etc.
    - Because not everyone met, ask each person to introduce themselves by name, title, and location.
  - 4) Ask the group for their expectations for the S/T workshop, write them on a flipchart,



note repetitions with a check mark. Summarize the expectations; ask for any additional hopes or expectations. (10 minutes)

- 5) Review the S/T goal, objectives, outputs. Explain how and why the workshop was developed. Review the schedule day-by-day, exercise-by-exercise, matching expectations to the schedule. Explain that the workshop aims to be highly participatory and result in a draft S/T plan. (15 minutes)

<h3 style="margin: 0;">Session Schedule</h3> <ul style="list-style-type: none"> <li>• Exercise 2: Creating common ground</li> <li>• Exercise 3: Identifying strengths and concerns in transition process</li> <li>• Exercise 4: Reviewing the vision</li> <li>• Exercise 5: Developing the OVC Track 1 Approach to Sustainability</li> <li>• Exercise 6: Identifying the partnership landscape</li> <li>• Exercise 7: Elaborating critical program outcomes</li> <li>• Exercise 8: Developing critical capacities</li> <li>• Exercise 9: Identifying key capacity-building activities &amp; timeframe</li> <li>• Exercise 10: Developing performance indicators</li> <li>• Exercise 11: Identifying necessary resources</li> <li>• Exercise 12: Finalizing the action plan</li> <li>• Exercise 13: Verifying and communicating the plan</li> </ul>	<p>Show slide displaying the Session Schedule and explain the schedule to participants.</p>
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- 6) Because the group is working as a community for four days, they need to set certain norms or standards for living and working in this community. The facilitators should start the discussion by promising to start and end on time and then ask the group to suggest other norms. These should be recorded on a flipchart. At the end, ask for agreement on the norms; delete those that are not accepted. Ask what the group will do if norms are not respected (pay a fine, sing a song, etc.). (5 minutes)

## Exercise Two

Title	Creating common ground
Time	1 hour, 10 minutes
Materials	PowerPoint slides, projector, flipchart and markers
Objectives	To reach consensus on a working definition for OVC sustainability in (country x).
Output	OVC sustainability definition
Rationale	Participants need to understand and put the OVC definition of sustainability in the context of their own experience. By adapting the CRS OVC sustainability definition to the country context, participants begin to own the process and outcome of transition planning.

Facilitator Notes	<p>Reminder: The definitions of sustainability and transition from CRS' OVC program.</p> <p><b>Sustainability:</b> In the case of OVC programs, it is the uninterrupted provision of services. Thus, a sustainability plan may include how to continue services when there are no funds, as well as how to acquire funds to continue services.</p> <p><b>Transition:</b> In the case of OVC programs, it means the implementing partner, the community, or the families will become more self-sufficient in caring for OVC.</p> <p>Step 5: If the group knows how they want to define sustainability but is struggling to come up with perfect words to write their definition, ask for three volunteers to take the ideas from the group and write a definition for the group, to be presented and agreed to before the start of the exercise after a lunch or tea break. This will save time, as the group should not be sidetracked by worrying about perfect wording once they agree on the concepts.</p>
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- 1) Ask each table of participants to review their examples of sustainability they prepared before the workshop. In reviewing the examples, ask the group to identify common characteristics, themes, or concepts that emerge. They should also review the answers they received in their pre-workshop interviews to the questions, "How can families, communities and the government ensure continued support to OVC?" Again, they should identify common characteristics, themes, or concepts that emerge. The note taker should write the common elements down to share with the other groups. (25 minutes)
- 2) Ask each group to give one or two examples of their common elements. The facilitators should write the elements on a flipchart and note repetitions with a check mark. (10 minutes)
- 3) Once everyone has presented, ask the group what has emerged from the discussions. What do the common elements say about the participants' and interviewees' understanding of sustainability? Is there anything missing? (10 minutes)
- 4) Display the definitions of sustainability and transition according to CRS OVC. Ask the group how the CRS OVC definition fits in with their understanding of sustainability. Ask if the group can adopt the OVC definition or if they'd like to adapt it for (country x). (10 minutes)

<p style="text-align: center;"><b>Sustainability</b></p> <p>OVC have uninterrupted access to quality core services resulting in the Integral Human Development of OVC.</p> <p>In the case of OVC programs, it is the uninterrupted provision of services. Thus, a sustainability plan may include how to continue services when there are no funds, as well as how to acquire funds to continue services</p>	<p>Show this slide and ask the group how the CRS OVC definition fits in with their understanding of sustainability.</p>
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<p style="text-align: center;"><b>Transition</b></p> <p>In the case of OVC programs, it means the implementing partner will move toward greater ownership of all programming aspects</p>	<p>Show this slide and ask the group how the CRS OVC definition fits in with their understanding of transition.</p>
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- 5) Once the group agrees on the current or adapted definition, write it on a flipchart and post it at the front of the training room. Explain to the group that this definition will serve as the guide for the rest of the workshop. (5 minutes)
- 6) End the exercise by explaining that, now that the group has a working definition for sustainability, they must begin to focus on how they will work toward sustainability which will generally include the transition of funding and management of OVC programs. (5 minutes)

### Exercise Three

Title	Transitioning toward sustainability: Identifying strengths and concerns
Time	1 hour
Materials	PowerPoint slides, projector, flipchart and markers

Objectives	<p>To identify the strengths of OVC programs that contribute to sustainability.</p> <p>To identify potential challenges to OVC sustainability.</p> <p>To brainstorm actions that the government, the Church, local organizations and families might take to address the challenges facing OVC programs.</p>
Output	<p>A list of strengths and concerns for sustainability and transition</p> <p>A list of possible actions to address the challenges facing OVC programs</p>
Rationale	<p>Many people will come to this S/T planning process with ideas for how to make their OVC projects more sustainable as well as with concerns and anxiety about job security, or general confusion over the purpose of the workshop. A sustainability discussion is really about change, and change can often cause anxiety. Thus, it is important that participants be allowed to openly discuss both at the very beginning of the workshop.</p>
Facilitator Notes	<p>Step 3: As the groups present and answer questions, keep the spirit in the room encouraging and supportive. Give a round of applause after each presentation and thank every group for their willingness to be open about their strengths and concerns. Each presentation and the Q&amp;A period following should be brief.</p>

- 1) Inform participants that, no matter what funding scenario arrives (OVC programming is transferred to other projects, new funding is received for OVC projects, etc); CRS and partners must plan to ensure continuity of services to OVC. Reiterate what the CRS spokesperson said in opening the workshop: CRS is committed to OVC programming and partners. (5 minutes)
- 2) Ask participants to sit with others from their OVC program or communities. Together, they should discuss and write down their answers to the following questions on a flipchart(s). (20 minutes)

<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <p>Whatever funding scenario arrives , CRS and partners must plan to ensure continuity of services to OVC.</p> <ul style="list-style-type: none"> <li>What strengths of your OVC program contribute to its sustainability?</li> <li>What challenges are you facing in the future of OVC programs in your community?</li> <li>Suggest actions that the government, the Church, local organizations and families might take to address the challenges facing OVC programs.</li> </ul> </div>	<p>Show this slide and ask the participants to discuss the questions and write their answers on a flipchart.</p>
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- What strengths of your OVC program contribute to its sustainability?
  - What challenges are you facing in the future of OVC programs in your community?
  - What actions might the government, the Church, local organizations and families might take to address the challenges facing OVC programs?
- 3) Ask each group to briefly share their responses with the other groups. After each group presents, ask the rest of the group if they have any questions or comments for the presenters. Ask the presenters to answer the questions. (10 minutes per group)
  - 4) The facilitators should post the flipcharts around the room, explaining that the group will refer to the flipcharts in future exercises, so they reinforce strengths and plan to address concerns. The facilitators should also point out that there are many strengths that help us move toward a more sustainable future (and should use specific examples from the participants' flipcharts) and should note that there are common concerns about sustainability that will be addressed during the workshop. (10 minutes)
  - 5) End the exercise by reminding participants that sustainability discussions are not abstract, that the participants are, and represent, highly committed and caring people who have taken on the responsibility for the most vulnerable in their communities, OVC. This workshop, especially the next exercise, helps them place strengths and concerns in the context of their vision for a better life for OVC. By reminding them of their hope for OVC, they can work towards that vision. (5 minutes)

### Exercise Four

Title	Reviewing the vision
Time	1 hour, 10 minutes
Materials	PowerPoint slides, projector, flipchart and markers
Objectives	To list program activities that help to achieve the OVC vision statement.  To identify additional program activities that can help realize the vision.
Output	OVC vision statement adapted to local context List how activities meet the vision of OVC programs List of actions needed to meet the vision

Rationale	Participants need to understand and put the OVC vision in the context of their own experience. By adapting the OVC vision to the country context, participants begin to own the process and outcome of transition planning.
Facilitator Notes	<ul style="list-style-type: none"> <li>• Step 3: Don't allow the group to be bogged down in adapting the vision statement. If needed, ask a small group of volunteers to finish the revisions during a break or at the close of the day to present to the larger group at the beginning of the next day.</li> <li>• Step 4: This is an opportunity to have people who don't know each other well or have never worked together to do so, so strive to get a good group of community representation in each small group.</li> </ul>

1) Post the vision statement and ask a participant to read it aloud. Discuss the following questions with the group. (10 minutes)

<p><b>Vision Statement</b></p> <p>“Orphans and vulnerable children are resilient, healthy and see purpose in their lives now and in the future. OVC reside in self-sufficient, vibrant and nurturing communities and households.”</p>	<p>Show this slide and ask a participant to read it aloud.</p>
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<p><b>In a large group, questions to consider</b></p> <ul style="list-style-type: none"> <li>• What does “resilient” mean?</li> <li>• How do you know if OVC see purpose in their lives?</li> <li>• How can you recognize “self-sufficient, vibrant, and nurturing communities and households”?</li> </ul>	<p>Show this slide and ask participants to discuss the questions.</p>
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<p><b>In a small group, questions to consider</b></p> <p>1) How is this vision realized in their activities?</p> <p>2) What they think they could do better to realize this vision?</p>	<p>Show this slide and ask the participants to discuss the questions in small groups.</p>
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- What does 'resilient' mean?
  - How do you know if OVC see purpose in their lives?
  - How can you recognize 'self-sufficient, vibrant, nurturing communities and households?'
- 2) Ask the group if any changes need to be made to the vision statement to make it applicable to their local and national context. Write the changes, if any, on the flipchart and ask a volunteer to rewrite the agreed-upon vision statement on the flipchart. (5 minutes)
  - 3) Break the large group into mixed community groups of no more than 5-6 people. Ask each group to reflect on two questions: 1) how is this vision is realized in their activities? 2) what could they do better to realize this vision? (25 minutes)
  - 4) Bring the groups back together and ask each group to give examples (not report-outs) from their discussions. Ask the group how the vision relates to discussions of sustainability. Discuss the following questions with the group. Write the strengths and weaknesses on two separate flip charts and post them where they can be referred to later in the workshop. (20 minutes)
    - What helps you to achieve this vision?
    - What barriers are there to achieving this vision?
  - 5) In closing, congratulate participants on the many things they are doing to help OVC live healthy, vibrant lives. Note the many strengths on the flip chart that help them meet their common vision to helping OVC. Explain that the rest of the workshop on S/T will assist them to overcome the barriers to achieving this vision. (5 minutes)

## Exercise Five

Title	Developing the OVC track I approach to sustainability
Time	1 hour 45 minutes
Materials	Handouts: OVC Track I Program Approach to Sustainability: Results (Annex 6), OVC Sustainability Approach: Results Worksheet (Annex 7), PowerPoint slides, projector, flipchart and markers
Objectives	To agree to working definitions of partnership and sustainable capacities for OVC sustainability  To list representative examples of activities that lead to sustainable results
Output	A consensus on the approach to sustainability
Rationale	In order to develop a sustainability plan, the group must understand and agree to the OVC approach to sustainability; thinking through sample activities allows the group to put sustainable results in their own context. This exercise also allows the group to understand partnerships and capacities in their own context.
Facilitator Notes	Remind the group to look at their data from their organizational capacity assessment. This data may help them think of organizational sustainability activities.  Step 5: If there are not enough participants to have at least 3 people in each group, then assign each small group two results rather than doing the exercise in pairs.  Step 7: It is fine if the group finds that the same activity fosters partnership and develops sustainable capacity.

- 1) Explain to the group that during the workshop they have come to an agreement on the vision for OVC, defined sustainability, and talked about why they need to sustain services to OVC. This exercise will begin to discuss how to achieve sustainability. (5 minutes)
- 2) Post the OVC Track I Approach to Sustainability Powerpoint. Ask the group the following questions, writing their responses on flipcharts. (15 minutes)



OVC Track 1 Program approach to sustainability is to foster partnerships and develop sustainable capacities at community, diocese, national and international levels in order that:

1. OVC actively engage in their own care and invest in their own future.
2. OVC households and guardians actively engage in OVC care and invest in their future
3. Community members take a leadership role in the care of OVC in their midst.
4. Community-based service providers provide effective, high quality core services to OVC and their families/caregivers.
5. Community-based service providers engage in good resource stewardship.
6. Diocese and National faith partners and their structures provide the long-term program and resource support needed to sustain their community partners.
7. Local authorities feel a sense of responsibility to care for OVC and provide services.
8. National governments create a supportive policy environment.
9. Regional & Global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical and material support needed to provide integrated quality services at the community level.

Show this slide and ask the group the following questions. Write their responses on flipcharts.

- What is meant by partnership?
- Define “sustainable capacities.”

### Questions to consider about the Sustainability Approach

- Do you agree with this approach to sustainability?
- Discuss the desired outcomes listed above: are there any additional stakeholders or predicted results to include?
- With the chart below: (a) Review the “Results” statements on the approach to sustainability and either agree or edit these statements (b) Write one example/illustration for each of the anticipated outcomes of our approach to sustainability.

Show this slide and ask the group to answer the questions and write their answers on flipcharts.

- 3) Explain to the group that the handout they are about to review is a series of statements that define the OVC PEPFAR Track 1 approach to sustainability. Distribute the handout, “OVC Sustainability Approach: Results” and ask each person to read it. (10 minutes)
- 4) Ask the group if they have any questions. Ask if there is anything missing from the approach and the results. Ask if there is anything on the list that should not be there. Make sure that everyone agrees on the approach and the list of results. (10 minutes)
- 5) Break the group into nine small groups. Post the Powerpoint with the small group task. Explain that each group will take one “result” of OVC program sustainability. In their small group, define any unclear terms in the result statement and give 2-3 examples of activities that demonstrate their result. For each activity, note whether this activity fosters partnerships, develops sustainable capacities or does both. Ask each group to

prepare a flip chart with their results to show to the larger group. Give the group 20 minutes to complete this task. Distribute the handout, “OVC Sustainability Approach Results Worksheet”. (5 minutes instruction; 20 minutes small group work= 25 minutes)

- 6) At the end of the small group work, ask the groups to hang their flipcharts, in the order of the results, around the room. Explain to the group that the flipcharts will be read “art gallery” style; meaning, no presentations; rather, everyone circulates the room and reads everyone else’s flip charts. (5 minutes instructions; 15 minutes to circulate and read the results flipcharts = 20 minutes)
- 7) Ask the group to sit down and ask if they have any questions for clarification on what they read in the results flipcharts. Ask the group the following questions. (15 minutes)
  - How the activities suggested contribute to sustainability?
  - How easy or difficult was it to distinguish between fostering partnership activities and those activities that develop sustainable capacities?
  - After reviewing the results, do you want to make any changes to the OVC approach to sustainability?
- 8) In closing, tell the group that this discussion is a step toward refining the actions they will take in their communities to work toward OVC sustainability and by defining the results needed and examples of activities that will achieve those results, this will assist us in later exercises as they develop sustainability plans for their home communities. The next step is to explore the issue of partnership in greater detail. (5 minutes)

## Exercise Six

Title	Identifying the partnership landscape
Time	2 hours, 15 minutes
Materials	Handout: Partnership Landscape Worksheet (Annex 8), PowerPoint slides, projector, flipchart and markers
Objectives	To identify OVC stakeholders To list stakeholders’ roles and responsibilities in supporting OVC
Output	Descriptions of the key stakeholders and their current and future roles and responsibilities with OVC
Rationale	OVC are supported in each community by individuals and organizations representing many sectors of life. Partners and stakeholders collaborate to ensure the most efficient utilization of the community and external resources are applied to support the OVC. It is important that each community have a well thought out scheme for mobilizing and managing these resources.

Facilitator Notes	<p>Remind the group to look at their data from the “External Relations” of their organizational capacity assessment. This data may help them during the partnership exercise.</p> <p>Ask participants to keep their Partnership Landscape Worksheet in a safe place, as they will need it for future exercises.</p>
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- 1) Explain to the group that now that they have identified their approach to sustainability and some of the results they hope to achieve, they must now turn their attention to the people and organizations with whom they will work during the transition. (5 minutes)
- 2) Explain to the group that the handout they are about to receive is a tool to identify all persons, groups and organizations that can and/or do impact the lives of OVC. Working with others from their community, they should fill out the form. Under each category, participants should add the individuals and organizations active in the local context. For each individual or organization, they should list their current role in the OVC project and potential future role in the project after the transition. (10 minutes)
- 3) Distribute the Partnership Landscape handout and, as the groups work, remind them to choose a member of the group to present their work for no more than 3-5 minutes to the larger group. (30 minutes)
- 4) Ask each group to present. Explain that, during the presentations, participants from other groups will have the opportunity to make suggestions about different components to be incorporated into their landscape. (Depending on the group size, 3-5 minutes per group, 45 minutes to one hour). At the end of the presentations, ask the group the following questions.
  - What common roles did we see in the presentations?
  - How did the roles change after transition?
  - What differences did we see across the groups?

<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #f2f2f2;"> <th style="text-align: left;">Individuals or organizations</th> <th style="text-align: left;">Function (outside of OVC project)</th> <th style="text-align: left;">Current Role in OVC Project</th> <th style="text-align: left;">Role in OVC Project after Transition (New vision)</th> </tr> </thead> <tbody> <tr> <td>Key individual stakeholders (ex. OVC, guardians, traditional leaders)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Community based groups (ex. PTAs, YWCA, schools, parishes)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Local implementing partners (formed through sub-agreement) ex., Diocese, local NGO</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Government (local, district, national)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>CRS</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Other (Ex., INGOs)</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Individuals or organizations	Function (outside of OVC project)	Current Role in OVC Project	Role in OVC Project after Transition (New vision)	Key individual stakeholders (ex. OVC, guardians, traditional leaders)				Community based groups (ex. PTAs, YWCA, schools, parishes)				Local implementing partners (formed through sub-agreement) ex., Diocese, local NGO				Government (local, district, national)				CRS				Other (Ex., INGOs)				<p>Show this slide and ask participants to fill out this form.</p>
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5) Ask the group the following questions, writing their responses on flipchart to be posted where it can be referred to later in the workshop. Inform the group that this is just to brainstorm ideas — the remaining exercises will help identify the steps needed to work towards the transition. (30 minutes)

- What do we need to do to inform these stakeholders about the transition?
- What types of things will we need to do to prepare them for their new roles?
- What will these people and organizations like, or appreciate, about their new roles?
- What will these people and organizations find challenging about their new roles?

6) Wrap up the exercise by explaining to the group that they have developed a working definition for OVC sustainability, adopted a vision statement, identified their approach to sustainability, and identified who will be involved. What remains is to plan the specific outcomes and activities they will undertake under the S/T plan. (10 minutes)

## Exercise Seven

Title	Elaborating critical program outcomes
Time	1 hour, 50 minutes
Materials	Handouts: Four Dimensions of OVC Program Outcomes: Dimensions (Annex 9), OVC Program Outcomes Worksheet (Annex 10), PowerPoint slides, projector, flipchart and markers
Objectives	Review, adapt, and rank three outcomes for the four dimensions of sustainability.
Output	A list of critical program outcomes for each sustainability dimension.
Rationale	In this exercise, the group takes the work they did to develop the sustainability approach and expands their thinking on what constitutes sustainability. The exercise leads to the discussion of critical capacities by placing them in a context of critical outcomes.
Facilitator Notes	Be certain to review the material in the handout before the start of the exercise in order to answer any questions that might arise.  Make sure the working definition for OVC sustainability and the OVC vision statement flipcharts are visible to all participants.

1) Ask participants to take their worksheets from Exercise 5, Approach to Sustainability. As a group, briefly review the OVC sustainability definition and the OVC vision statement. Explain that critical program outcomes are the natural next step in looking at the transition and issues of sustainability. In the approach to sustainability, participants identified activities that help lead to sustainability. In this exercise, they will rank the outcomes most important to their programs. (10 minutes)

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- 2) Divide into four groups and explain that the handout they are about to receive explains the four dimensions of OVC sustainability. Assign each group one dimension of sustainability: OVC wellbeing, organizational sustainability, the enabling environment, or foundational capacities. Ask them to read the handout and then, in their own words, describe their dimension for the other groups. They might explain the dimension by giving an example or two. Explain that putting the dimensions in their own words allows them to put them in the context of their communities and the work they've done so far in the workshop, and allows the next step towards sustainability to be based in a common understanding of the dimensions. (5 minutes)
  - 3) Distribute the handout, "Four Dimensions of OVC Program Outcomes" and give the groups 15 minutes to read, discuss the handout, and prepare their definition for the larger group. (15 minutes)
  - 4) Ask each group to present their definition for no more than three minutes. Check with the group that everyone understands all four dimensions. (15 minutes)
  - 5) Distribute the handout, "OVC Program Outcomes Worksheet" (Annex 10). Ask the four groups to use both handouts and to complete the following task, using the dimension they defined, so that the OVC Wellbeing group continues to work on OVC Wellbeing. (5 minute task introduction, 15 minutes group work = 20 minutes)
    - Determine if there are any components missing from the assigned dimension. If so, add them to the worksheet.
    - Rank (in order of priority) the top three critical program outcomes needed to achieve their assigned components of sustainability.
    - Record your components and their ranking on a flipchart and be prepared to present for no more than five minutes to the large group.
  - 6) Ask each group to present their dimension, its components, and their ranking. During presentations, give participants from other groups the opportunity to make suggestions about different outcomes. At the end of each presentation, ask for clarifying questions only. At the end of all the presentations, ask the group the following questions. (40 minutes)
    - How do the dimensions of OVC sustainability correspond with the earlier work on the approach to sustainability?
    - Why is it important to think about critical program outcomes as sustainability plans are developed?
  - 7) In closing, reinforce to the group that only in knowing WHAT needs to be sustained can decisions about how to plan for sustainability take place. The next exercise takes the critical program outcomes and looks at the critical skills needed by individuals and organizations to achieve the outcomes. (5 minutes)

## Exercise Eight

Title	Developing critical capacities
Time	1 hour
Materials	Handouts: Individual and Organizational Critical Capacities Worksheet (Annex 11), PowerPoint slides, projector, flipchart and markers
Objectives	To identify the critical capacities necessary in order to ensure critical OVC program outcomes
Output	List of 1-2 achievable capacities critical for the attainment of the OVC program outcomes identified in Exercise 5.
Rationale	This session is the logical next step after developing the philosophical approach, then the program outcomes. It allows participants to continue to think of critical actions they must take to ensure the transition is smooth.
Facilitator Notes	<p>Remind the group to look at their data from their organizational capacity assessment. This data may help them think about critical capacities needed by individuals and their organization.</p> <p>Make sure participants have the following handouts from previous exercises before beginning Exercise 8: Four Dimensions of OVC Program Outcome, OVC Program Outcomes Worksheet and Partnership Landscape Worksheet.</p> <p>At this point, the group has been working hard. Make sure to be encouraging and remind them that there is “light at the end of the tunnel.”</p>

- 1) Explain that this exercise determines the critical capacities needed to achieve each outcome developed in the previous exercise. Now that they have determined the critical program outcomes needed for OVC, the next step is to determine what capacities individuals and organizations need to achieve program outcomes. Remind the group that the term “capacity” is used as it is defined as the ability to perform AND function in an organization. (5 minutes)
- 2) Divide the group in the same four groups from Exercise 7. Distribute the handout, “Individual and Organizational Critical Capacities Worksheet”, and referring to their “Four Dimensions of OVC Program Outcome”, “OVC Program Outcomes Worksheet” and “Partnership Landscape Worksheet”, they should complete the following task. (5 minute task introduction, 30 minutes group work = 35 minutes)

•What are the critical capacities?  
 •Who needs these capacities?  
 •What process will be required to build capacity? What challenges might exist and how could they be overcome?

Outcome	Critical Capacities for Individuals	Critical Capacities for Organizations

Show this slide and ask participants to complete the task.

- Using the OVC Program Outcomes Worksheet, fill in the critical program outcomes agreed to in the first column of the Individual and Organizational Critical Capacities Worksheet.
  - Determine what capacities (abilities or skills) individuals and organizations will need in order to work towards this program outcome.
  - Refer to the Partnership Landscape Worksheet to make sure all individuals and groups are accounted for in the critical capacities worksheet.
  - Record answers on a flipchart and choose a member of the group to present what was discussed.
- 3) Ask each group to present for no more than five minutes. During presentations, give participants from other groups the opportunity to make suggestions about different outcomes. Allow for questions of clarification. At the end of the presentations, ask the group the following questions. Note the responses on flipchart for use in future sessions. (30 minutes)
- What process will be required to build capacity?
  - What challenges might exist and how could they be overcome?
- 4) In closing, remind the participants that sustainability isn't achieved overnight and that it takes time to build individual and organizational capacity. The work they do now, however, gives them a clear path to follow. Without an understanding of the values, definitions, partners, program outcomes, and capacities, a sustainability plan would not be grounded in common understanding. (5 minutes)

## Exercise Nine

Title	Identifying key capacity-building activities and timeframe
Time	2 hours, 15 minutes
Materials	Handout: Action Plan Worksheet (Annex 12) PowerPoint slides, projector, flipchart and markers
Objectives	Identify key activities required to build the capacity of OVC partners  Determine the timeframe in which to accomplish activities, capacity-building, and outcomes
Output	List of key activities and interventions needed to accomplish outcomes and build capacities identified in earlier exercises.  Realistic timeframe
Rationale	This is the next step in developing the action plan. Identifying activities to strengthen capacity helps build realistic action plans.
Facilitator Notes	Remind participants that there are many different approaches to transitioning — some communities or local institutions may graduate from certain elements, freeing up resources to be invested in others who still need more help.  This is a point in which participants might start to feel overwhelmed, when they realize that they have to plan and implement activities in addition to their normally busy workload. Remain supportive and encourage participants to find ways to collaborate and share.  Step 2: Tell participants to focus on the activities, but not to fill out the indicator’s section, as that is completed in Exercise Ten. Nor should they complete the resources section, as that will be done in Exercise Eleven.  Step 3: The groups should welcome tough questions and challenging feedback. Now is the time to revise the plan to be realistic. Ask participants to be tough, but loving, with one another. In the spirit of brother/sisterhood, give honest and constructive feedback so that all organizations and communities can transition towards sustainability.

- 1) Explain to participants that in this exercise they are going to identify the activities needed to ensure the individual and organizational capacities they selected in Exercise 8 are strengthened. They will determine timeline for accomplishing the activities and outcomes. This action plan will then lead, in the next exercise, to developing indicators that will be used to track progress. (5 minutes)



2) Ask the participants to work with others from their community or organization. In their small groups, they will complete the worksheet. Tell them not to fill out the indicators section, as that is completed in Exercise Ten. Nor should they complete the resources section, as that will be done in Exercise Eleven. Explain that there will not be a formal presentation after the group work, but a discussion and groups will be asked to give examples of their work. Explain the worksheet, giving an example of how to fill out each section. Give the groups 45 minutes to work on their Action Plan Worksheet. Encourage them to be realistic about the time needed to complete the activities. Remind them that while they are working towards sustainability, they will continue to provide services to OVC (10 minutes task and example, 45 minutes group work = 55 minutes)

	FY...	Q...	Q...	Q...	Q...	Resources (Human, Material & Financial)	Responsible	Indicator
<b>OVC-well being</b>								
Key Outcome 1								
Activity 1								
Activity 2								
Key Outcome 2								
Activity 1								
Activity 2								
<b>Organizational</b>								
Key Outcome 1								
Activity 1								
Activity 2								
Key Outcome 2								
Activity 1								

Show this slide and ask participants to complete the worksheet.

3) Ask two groups to join together and present their Action Plan Worksheets. As each group presents, the other group should listen critically and, at the end of the presentation, ask questions and provide feedback. In particular, the group listening should verify that the proposed activities are realistic, meaningful, and achievable. Each group presents and listens, and should make adjustments based on the feedback they receive. (10 minutes each presentation, 10 minutes discussion x 2 = 40 minutes)

**Large group questions to discuss**

- Were there any common activities where resources, people or efforts could be shared? If so, can they commit to sharing?
- How will OVC service delivery be balanced with sustainability activities?

Show this slide and ask participants to discuss the questions.

- 
- 4) Ask the groups for examples of how they've filled out their Action Plan Worksheet. Ask the group the following questions. (20 minutes)
- Were there any common activities where resources, people, or efforts could be shared? If so, can they commit to sharing?
  - How will OVC service delivery be balanced with sustainability activities?
- 5) In closing, remind participants that this is not the final opportunity they will have to refine their plan. They should remain optimistic and look for opportunities to share ideas, resources, and encouragement within the OVC community. (5 minutes)

## Exercise Ten

Title	Developing performance indicators
Time	2 hours
Materials	Handouts: Develop SMART Indicators (Annex 13), Action Plan Worksheet from previous exercise, PowerPoint slides, projector, flipchart and markers
Objectives	Develop performance indicators
Output	Draft Monitoring and Evaluation (M&E) Plan for the S/T Plan.
Rationale	It can be difficult to make realistic plans; developing indicators is important not only for monitoring and evaluation during the transition plan, but as a "reality check" during the workshop.
Facilitator Notes	<p>If necessary, ask an M&amp;E Officer to present on indicator development.</p> <p>Step 2: if participants are unclear on indicators after the large group exercise, ask each table to write a SMART indicator for the large group to critique.</p> <p>Step 3: Make sure that participants use their data from Exercise Nine in their Performance Indicators Worksheet. Tell them not to fill out the resources section, as that will be done in Exercise Eleven.</p> <p>Step 4: if the group indicates additional training or support needs, be sure to capture their ideas on a flipchart so that CRS can provide follow-up after the workshop.</p>

- 1) Explain that indicators are statements, which help track progress toward completing desired outcomes. This exercise develops indicators that help keep OVC transition plans on track. Make certain that participants have all the worksheets from earlier exercises before starting the exercise. (5 minutes)

- 2) Distribute the “Develop SMART Indicators” handout. Ask participants to read the handout.

<p style="text-align: center;"><b>SMART Indicators</b></p> <p><b>Specific.</b> The indicator should be well-defined and not vague. One rule of thumb is to take out all conjunctions (if, and, or, but)</p> <p><b>Measurable.</b> The indicator should be something quantifiable, something that can be counted, measured, or assessed.</p> <p><b>Achievable.</b> The indicator developed is something realistic which the program interventions can lead to and over which the program has control.</p> <p><b>Relevant.</b> The indicator must be related to the overall program objective. The relevancy of an indicator can also be used to assess whether an activity is leading to the desired change.</p> <p><b>Time bound.</b> The indicator should be achievable within a realistic amount of time.</p>	<p>Show this slide while distributing the “Develop SMART Indicators handout”.</p>
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- 3) Explain to participants that they will continue to use the Action Plan Worksheet to develop indicators for the individual and organizational capacities developed in the previous exercise. Tell them not to fill out the resources section, as that will be done in Exercise Eleven. Additionally, participants should refer to their OVC Program Outcomes Worksheet. Divide the participants into their groups and distribute the handout. Ask them to work on their indicators for one hour, explain that there will not be a formal presentation after the group work, but a discussion and groups will be asked to give examples of their work. (5 minutes task introduction, one hour group work = 65 minutes)
- 4) Ask the groups for examples of how they’ve filled out the indicators section of the Action Plan Worksheet. If groups have similar indicators, ask them to edit the indicators during the workshop to ensure that the data are collected and calculated in the same way. Ask the group the following questions. (20 minutes)
- Did you eliminate any potential activities because of this exercise?
  - What assistance might organizations need in monitoring and evaluation?
- 5) End the session by reviewing briefly the steps the group has taken in the last ten exercises to develop their S/T plans. Congratulate them on the work they’ve done and explain that the next exercise builds upon the resource identification they did in this exercise. (5 minutes)

### Exercise Eleven

Title	Identifying necessary resources
Time	1 hour, 10 minutes
Materials	Action Plan Worksheet from previous exercise, PowerPoint slides, projector, flipchart and markers

Objectives	To identify the resources, existing and needed, to accomplish the activities detailed in the S/T plan
Output	Resource lists detailing what is needed for the OVC program to operate entirely under new structure and management.
Rationale	Resources are a source of stress if their acquisition and use are not planned for in advance. This exercise allows participants to identify the resources needed and strategize on how to use them wisely.
Facilitator Notes	<p>Step 2: As it is unlikely that additional funds will be available, participants should think about how to generate resources: reallocating funds as necessary, asking for volunteers, writing grants, etc.</p> <p>Step 2: If necessary, ask the group for a few examples of human, financial, and material resources to ensure that everyone has the same understanding of “resources”.</p> <p>Step 3: if the group indicates additional training or support needs, be sure to capture their ideas on a flipchart so that CRS can provide follow-up after the workshop.</p>

- 1) Welcome participants back and ask them to refer to their Action Plan Worksheet from the previous exercise. Explain that they will now add the resources they need to accomplish the activities, leading to their desired outcomes. (5 minutes)
- 2) Back in their small groups, ask the participants to write, in the appropriate boxes, the list of current and new resources required for implementing activities and monitoring progress on the S/T plan. Tell participants to think about, and strategize when filling out the form, which activities might be accomplished during the current year and which must be budgeted for in the following year. In some cases more funds won't be available; participants should think about how to generate resources: reallocating funds as necessary, asking for volunteers, writing grants, etc. (10 minutes task instruction, 30 minutes group work = 40 minutes total)
- 3) Ask the groups for examples of how they've filled out the resources section of the Action Plan Worksheet. Ask the group the following questions. (20 minutes)
  - Do any organizations have similar resource needs? If yes, is there a way in which resources can be shared?
  - Did any of the small groups identify new or innovative ways to stretch their resources or identify new resources?
  - What assistance might organizations need to access additional resources?

- 
- 4) Finally, remind participants that they have access to a wide range of resources in their communities and nation. The US government has committed to supporting OVC. And, while the support may take different forms, there are resources available to those who are willing to be creative and work to find them. Congratulate everyone in the room for being those types of people. Encourage their efforts! (5 minutes)

## Exercise Twelve

Title	Finalizing the action plan
Time	45 minutes
Materials	Action Plan Worksheet from previous exercise(s), PowerPoint slides, projector, flipchart and markers
Objectives	Develop action steps needed to complete the transition plan after the workshop.
Output	Realistic, time-bound plan to finalize and implement the S/T Plan.
Rationale	This exercise helps participants determine who does what so that roles are clear.
Facilitator Notes	Congratulate participants for their perseverance and hard work. This is the last section of the action plan!

- 1) This exercise is the final step in developing the action plan. In this exercise, participants will determine who does what and how to validate the plan with others back in their communities and organizations. Explain: S/T is a process rather than a one-time complete handover of the OVC program to another partner. In this process, CRS may revert to a supportive role rather than a lead role. The S/T plan as an output from the workshop may include a partnership mechanism and perhaps an operational role for CRS and/or OVC technical partners. Also, the S/T plan may be used to inform the development of a RFA (Request for Application) or other funding mechanism for the transition of the OVC program. (5 minutes)
- 2) Back in their small groups, ask the participants to write, in the appropriate boxes, who will be responsible for each of the implementing activities and monitoring progress on the Sustainability and Transition plan. They should indicate who is responsible for overseeing, or supervising the work, and who will undertake the activities. (5 minutes task instruction, 20 minutes group work = 30 minutes total)
- 3) Ask the group for a few examples of their work. Remind them to make sure that no one is over-burdened. Explain that the next exercise completes the workshop.

## Exercise Thirteen

Title	Verifying and communicating the plan
Time	3 hours, 30 minutes
Materials	Handout: Next Steps Worksheet (Annex 14), Considerations While Developing a Communication Plan (Annex 15) Communication Plan Worksheet (Annex 16), PowerPoint slides, projector, flipchart and markers
Objectives	To plan a process that introduces the transition plan to key stakeholders.
Output	Strategies to solicit stakeholder feedback.
Rationale	The plan developed in the workshop is, by necessity, the work of a very small number of people. However, transition affects a much greater number of people. To get the best thinking from everyone concerned, and to increase buy-in to transition, partisans must plan how to solicit feedback on the plan and communicate the realities of transition to stakeholders.
Facilitator Notes	This is a long exercise but critical to the success of the transition plan. Make sure that the next steps worksheet involves soliciting the input of stakeholders not at the workshop and that the communication plans include steps to incorporate the feedback of those same stakeholders.

- 1) Explain that the plans participants developed reflect the thinking of just the people in the room, based on their knowledge and research before the start of the workshop. However, transition affects a much greater number of people. To get the best thinking from everyone concerned, and to increase buy-in to transition, partisans must plan how to solicit feedback on the plan and communicate the realities of transition to stakeholders. (5 minutes)
- 2) Distribute the “Next Steps Worksheet”. The worksheet asks just four questions: What must be done to solicit feedback? When should it be done? Who should do it? How will it be done? Since the action plans are not final until participants meet with their respective communities, key community stakeholders (caregivers, guardians), and the appropriate authorities to finalize the plan, they should use the worksheet to plan the process. Divide into groups by community or organization to complete the form. Each group should prepare to present their work to the large group for no more than five minutes. (5 minutes task introduction, 45 minutes group work = 50 minutes total)
- 3) Ask each group to present their next steps for no more than 5 minutes. As each group presents, allow up to 10 minutes for discussion and feedback. Encourage each group to take the feedback offered by their peers. (15 minutes per group, total depends upon the number of groups, estimated at 1 hour 15 minutes)

**Next Steps Worksheet**

What must be done to solicit feedback?	When should it be done?	Who should do it?	How will it be done?

Show this slide while distributing the “Next Steps Worksheet”. Ask groups to complete the worksheet and prepare to present their work to the large group

- 4) Next, participants develop a communication plan. Divide the group back into their small working groups and distribute the handouts, “Considerations While Developing a Communication Plan” and “Communication Plan Worksheet.” Ask the group to read both handouts, discuss the questions on the worksheet, and fill in the boxes. Each group should prepare a 5-minute presentation of their communication plan (step 5 on the worksheet) to the larger group. (5 minutes task introduction, 45 minutes group work = 50 minutes total)
- 5) Ask each group to present for no more than five minutes. During presentations, give participants from other groups the opportunity to make suggestions about different outcomes. Allow for questions of clarification. (30 minutes)
- 6) Finally, reinforce the importance of communicating clearly, honestly, and often with those who will be affected by the transition. Remind them that the transition plan is not complete until stakeholders have given their feedback and therefore their communication plans must reflect any changes as a result stakeholder feedback. Close the exercise by congratulating everyone. (5 minutes)

### Exercise Fourteen

Title	Closing and final evaluation
Time	45 minutes
Materials	Handout: Final Evaluation (Annex 3), projector, flipchart and markers
Objectives	To celebrate the great efforts made and results of the workshop.
Output	Evaluation results

Rationale	The workshop should end on an encouraging and celebratory note. Participants and facilitators should have the chance to congratulate each other and celebrate the hard work they've done.
Facilitator Notes	<p>This should be a happy and celebratory hour. If time and budget allows, organize a small party with refreshments to end the workshop on a personal and friendly note.</p> <p>If possible, a senior representative from the CRS country program may be invited to give a closing address. S/he should thank everyone, congratulate them on their hard work, and reiterate CRS' support for and commitment to the transition process.</p>

- 1) Congratulate everyone on their hard work. Note in particular their work in the last session, for not losing interest when the end of the workshop was near. Explain that CRS is committed to constantly improving its work with partners and the quality of workshops. Distribute the final evaluation and encourage everyone to be candid in their responses. (5 minute task introduction, 15 minute evaluation = 20 minutes total)
- 2) When participants have finished their evaluations, introduce the CRS representative to give remarks. Open the floor to participants, either a formal representative or individual speakers. The facilitators should also thank everyone, congratulate them on their hard work, and wish them a safe trip home. The workshop is then officially closed. (25 minutes)



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# Trainer Note 1

## OVC Definitions

### OVC Vision

Orphans and vulnerable children are resilient, healthy and see purpose in their lives now and in the future. OVC reside in self-sufficient, vibrant, nurturing communities and households.

### Definition of Sustainability for CRS OVC Track I Programs

OVC have uninterrupted access to quality core services resulting in the Integral Human Development of OVC.

### Sustainability Approach for CRS OVC Track I Programs

Fostering partnerships and developing sustainable capacities at the community, diocese, national and international levels.

### Key Assumptions of Sustainability Planning

- 1) Sustainability planning is most effective when approached from a systems perspective.
- 2) Sustainability requires a thorough understanding of organizational capacity.
- 3) Sustainability is a dynamic process.

### OVC Track 1 Program approach to sustainability

OVC Track 1 Program approach to sustainability is to foster partnerships and develop sustainable capacities at community, diocese, national and international levels in order that:

- a. OVC actively engage in their own care and invest in their own future.
- b. OVC households and guardians actively engage in OVC care and invest in their future
- c. Community members take a leadership role in the care of OVC in their midst.
- d. Community-based service providers provide effective, high quality core services to OVC and their families/caregivers.
- e. Community-based service providers engage in good resource stewardship.
- f. Diocese and National faith partners and their structures provide the long-term program and resource support needed to sustain their community partners.
- g. Local authorities feel a sense of responsibility to care for OVC and provide services.
- h. National governments create a supportive policy environment.
- i. Regional & Global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical and material support needed to provide integrated quality services at the community level.

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# Trainer Note 2

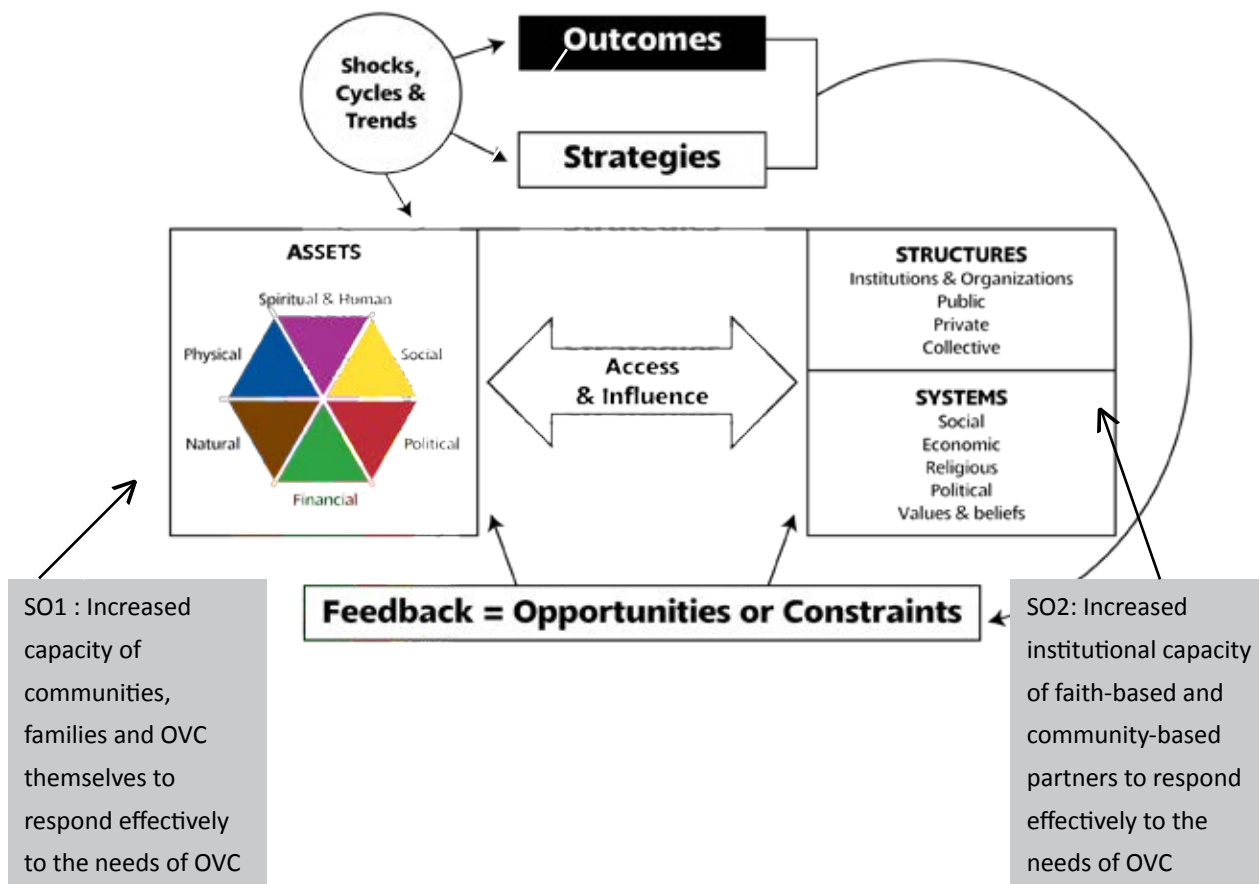
## Sustainability Approach Examples

Approach	Illustrations of Approach
(1) OVC actively engage in their own care and invest in their own future.	OVC can do their own Income-generating activities (IGA).
(2) Community members take a leadership role in the care of OVC in their midst.	Communities come up with IGA initiatives to support OVC; Community leaders help mobilize funds from the community and help the most vulnerable children.
(3) Community-based service providers provide effective, high quality core services to OVC and their families/caregivers.	Community-based providers identify the needs of the OVC and the caregivers in a participatory manner; give chance to the children to say their pressing needs.
(4) Community-based service providers engage in good resource stewardship.	Transparency and accountability; the resources must go to the needy; guiding principle must be put in place in the management of funds.
(5) Diocese and National faith partners and their structures provide the long-term program and resource support needed to sustain their community partners.	Resource mobilization – both financial and human.
(6) Local authorities feel a sense of responsibility to care for OVC and provide services.	District committee to plan for the care of OVC.
(7) National governments create a supportive policy environment.	Government would enact a policy of free education for all OVC.
(8) Regional and global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical and material support needed to provide integrated quality services at the community level.	CRS continues as donor.

# Annex 1

Human development is much more than the sum of an individual's or household's material possessions or assets. CRS has developed the Integral Human Development (IHD) framework (Figure A) to enable CRS and its partners to identify cultural, social, spiritual and human assets. The framework helps to identify existing assets and to help them strategically interact with the broader "structures and systems" that influence access to local assets. The goal of the two OVC PEPFAR program objectives is to strengthen both the assets and the structures and systems which lead to the optimum outcome of OVC developing complete and integrated lives. The IHD framework, when applied, ensures that OVC are not only served as individuals, but are empowered to significantly contribute to their nation's development, as has been documented through measurable improvements in national population-based surveys.

**Figure A: CRS Framework for Integral Human Development**



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# Annex 2

## OVC Sustainability and Transition Workshop

### Objectives of the S/T Workshop

- 1) Review the common vision and approach for PEPFAR OVC sustainability.
- 2) Develop a common language for sustainability.
- 3) Review transition planning.

### Outputs of the S/T Workshop

- 1) Agree on a common vision of sustainability and objective
- 2) Define partners, stakeholders and their roles.
- 3) Articulate project outcomes to be maintained.
- 4) Define critical capacities necessary to sustain those outcomes.
- 5) Develop the first draft of the S/T plan which includes a process for monitoring progress.

### Workshop Schedule\*

DATE/TIME	AGENDA
<b>DATE</b> _____ <u>Day One</u> Including tea breaks (2 @ at 20 minutes) and lunch (1 hour)  6 hours, 45 minutes total	Exercise 1, Setting the stage: 1 hour, 45 minutes  Exercise 2, Creating common ground: 1 hour, 10 minutes  Exercise 3, Identifying strengths and concerns in the transition process: 1 hour  Exercise 4, Reviewing the vision: 1 hour, 10 minutes
<b>DATE</b> _____ <u>Day Two</u> Including tea breaks (2 @ at 20 minutes) and lunch (1 hour)  7 hours, 30 minutes total	Exercise 5, Developing the OVC track I Approach to Sustainability: 1 hour 45 minutes  Exercise 6, Identifying the Partnership Landscape: 2 hours, 15 minutes  Exercise 7, Elaborating Critical Program Outcomes: 1 hour, 50 minutes

\* Please note the schedule may be adjusted during the workshop to meet participant interests and concerns.

<p><b>DATE</b> _____</p> <p><u>Day Three</u></p> <p>Including tea breaks (2 @ at 20 minutes) and lunch (1 hour)</p> <p>7 hours total</p>	<p>Exercise 5, Developing the OVC track I Approach to Sustainability: 1 hour 45 minutes</p> <p>Exercise 6, Identifying the Partnership Landscape: 2 hours, 15 minutes</p> <p>Exercise 7, Elaborating Critical Program Outcomes: 1 hour, 50 minutes</p>	
<p><b>DATE</b> _____</p> <p><u>Day Four</u></p> <p>Including tea breaks (2 @ at 20 minutes) and lunch (1 hour)</p> <p>7 hours, 30 minutes total</p>	<p>Exercise 11, Identifying Necessary Resources: 1 hour, 10 minutes</p> <p>Exercise 12, Finalizing the Action Plan: 45 minutes</p> <p>Exercise 13, Verifying and Communicating the Plan: 3 hours, 30 minutes</p> <p>Exercise 14, Closing and Final Evaluation: 45 minutes</p>	
<p><b>Contact</b></p>		
<p><b>CRS contact information</b> _____</p>	<p><b>Partner contact information</b> _____</p>	
<p><b>Venue information</b></p>		
<p><b>Address</b> _____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><b>Telephone number</b></p> <p>_____</p> <p>_____</p>	<p><b>Partner contact information</b></p> <p>_____</p> <p>_____</p>

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# Annex 3

## OVC Sustainability and Transition Planning Workshop

### Final Evaluation

In what ways has the workshop helped your organization to create a transition plan?

What would you change about the training/workshop? For example, pre-workshop activities, planning exercises, presentation style, facilitation, handouts, duration, other? Please explain why.

What other training or support do you need to help the transition process?

What parts of your learning will you apply immediately in your own work? Please be specific.

Taking into account all aspects of the workshop, please give your overall rating of the event by circling the appropriate number.

Excellent	Good	Adequate	Poor	Very Poor
5	4	3	2	1

**Additional comments?**

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# Annex 4

## Sample Letter of Invitation

Dear XX:

CRS XX is delighted to invite you to join us in (place), (date) to participate in an OVC Sustainability and Transition workshop.

(Note what financing for the trip is available and provide details).

### Objectives of the S/T Workshop

- 1) Review the common vision and approach for PEPFAR OVC sustainability.
- 2) Develop a common language for sustainability.
- 3) Review transition planning.

### Outputs of the S/T Workshop

- 1) Agree on a common vision of sustainability and objective.
- 2) Define partners, stakeholders and their roles.
- 3) Articulate project outcomes to be maintained.
- 4) Define critical capacities necessary to sustain those outcomes.
- 5) Develop the first draft of the S/T plan which includes a process for monitoring progress.

### ESSENTIAL INFORMATION

Logistics

When: xx

Duration: (in days and hours)

Location: xx

Invited: xx

In order for you to participate in the workshop, you must do the following: (Details as necessary)  
(Include additional information as necessary on travel, finances, etc)

We sincerely hope to see each and every one of you in xx -- we know that you can produce wonderful sustainability plans and look forward to an exciting time together.

Any questions, feel free to contact XX.

Yours truly,

CRS Country Representative

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# Annex 5

## Learning Needs Assessment

### OVC Sustainability and Transition Workshop

The organizers of the OVC Sustainability and Transition Workshop would greatly appreciate your assistance in completing the following Learning Needs Assessment (LNA). Your responses will be kept confidential and will only be used by the organizing team to better plan the agenda in light of the participants' relevant experiences and expertise. We ask you to please be honest and candid in your responses, so that we can better design the training to fit your needs.

Please complete the following pages and return to XX (email or postal address) by date.

- 1) Your name:
- 2) Current position and location:
- 3) Previous positions related to OVC services:
- 4) How long have you worked with your organization?
- 5) Briefly describe your educational background:
- 6) Have you ever had any training in sustainability or transition planning?  
 Yes                       No

If yes, please describe the type of training, where it was received, duration, and content, as applicable (university degree, in-service opportunities, community training, etc.):

- 7) Are you working directly with OVC or on sustainability? If yes, please describe:
- 8) If your organization is currently involved in OVC programming, what are the main challenges that you face?
- 9) What do you hope to gain from the OVC Sustainability and Transition Workshop?
- 10) There are currently 10 technical exercises. Please indicate up to three modules (with a "1", "2", and "3") where you feel the most technically up-to-date and confident in your knowledge of these areas.

Reviewing the vision	
Developing the OVC track I approach to sustainability	
Identifying the partnership landscape	



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Elaborating critical program outcomes	
Developing critical capacities	
Identifying key capacity-building activities and timeframe	
Developing performance indicators	
Identifying necessary resources	
Finalizing the action plan	
Verifying and communicating the plan	

11) Please indicate up to three modules (with a “1”, “2”, and “3”) where you feel the **least** technically up-to-date and confident in your knowledge of these areas.

Reviewing the vision	
Developing the OVC track I approach to sustainability	
Identifying the partnership landscape	
Elaborating critical program outcomes	
Developing critical capacities	
Identifying key capacity-building activities and timeframe	
Developing performance indicators	
Identifying necessary resources	
Finalizing the action plan	
Verifying and communicating the plan	

12) Please list any additional topics that you would like to see covered during the training.

13) Additional comments, suggestions, or concerns.

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# Annex 6

## OVC Track I Program Approach to Sustainability

OVC Track I Program approach to sustainability is to foster partnerships and develop sustainable capacities at community, diocese, national, and international levels in order that:

- a. OVC actively engage in their own care and invest in their own future.
- b. OVC households and guardians actively engage in OVC care and invest in their future.
- c. Community members take a leadership role in the care of OVC in their midst.
- d. Community-based service providers provide effective, high quality core services to OVC and their families/caregivers.
- e. Community-based service providers engage in good resource stewardship.
- f. Diocese and National faith partners and their structures provide the long-term program and resource support needed to sustain their community partners.
- g. Local authorities feel a sense of responsibility to care for OVC and provide services.
- h. National governments create a supportive policy environment.
- i. Regional & Global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical and material support needed to provide integrated quality services at the community level.

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# Annex 7

## OVC Sustainability Approach Results Worksheet

Results	Examples (2-3)
1) OVC actively engage in their own care and invest in their own future.	
2) OVC households and guardians actively engage in OVC care and invest in their future.	
3) Community members take a leadership role in the care of OVC in their midst.	
4) Community-based service providers provide effective, high quality core services to OVC and their families/ caregivers.	
5) Community-based service providers engage in good resource stewardship.	
6) Diocese and National faith partners and their structures provide the long-term program and resource support needed to sustain their community partners.	
7) Local authorities feel a sense of responsibility to care for OVC and provide services.	
8) National governments create a supportive policy environment.	
9) Regional & Global HIV technical resource organizations, such as CRS, provide the diocesan and national networks with the technical and material support needed to provide integrated quality services at the community level.	

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# Annex 8

## Partnership Landscape Worksheet

Individuals or organizations	Function (outside of OVC project)	Current Role in OVC Project	Role in OVC Project after Transition (New vision)
Key individual stakeholders (e.g., OVC, guardians, traditional leaders)			
Community-based groups (e.g., schools, parishes)			
Local implementing partners, formed through sub-agreement (e.g., Diocese, local NGOs)			
Government (local, district, national)			
CRS			
Other (e.g., INGOs)			

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# Annex 9

## OVC Program Outcome Dimensions

Program outcomes can be broken down into four major dimensions. These dimensions include OVC wellbeing, organizational sustainability, the enabling environment, and foundational capacities. These domains represent critical areas that need to be considered when thinking about long-term sustainability.

One of the principal program outcomes to be sustained is the wellbeing of the OVC continuously assisted. It is therefore assumed that certain project activities and the quality of those services will need to be sustained in order to ensure the future wellbeing of that child.

Organizational sustainability refers to the strength of the implementing partner. This domain can be subdivided into two categories: organizational capacity and organizational viability. Organizational capacity refers to the systems, structures and staffing of the organization that allow it to function. Organizational viability refers to the ability of the organization to sustain financing that covers expenses and ideally allows it to expand its programs.

The enabling environment refers to the policies and procedures in place – at organizational, community and national level – that encourage sustained OVC services. This dimension can be subdivided into community capacity and economic, political and policy factors.

Finally, foundational competencies include more abstract concepts such as the capacity for leadership, creativity, human relationships, core values (culture, donors, partners, CRS), learning commitment to program goals by key stakeholders (donors, government, partners, communities). Other components can be added to any dimension as the facilitators or group find necessary.

### Wellbeing for OVC and their Families Outcomes

- Services provided are consistent with national quality standards.
- Services provided are family-focused and consistent with Integral Human Development.
- The most vulnerable families are receiving services.
- Programs demonstrate a measurable improvement in family and OVC wellbeing.

### Organizational Outcomes

- Communities are engaged in multi-sector service delivery and identification of material and human resources.
- Information is efficiently collected and utilized to address the changing needs of families and donor reporting requirements.
- Financial resources are managed in accordance with international standards and donor regulations.
- The program has a diverse base of financial resources.

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### **Enabling Environment Outcomes**

- Mechanism is in place to assure that support to families with OVC is owned and led by community members.
- Clear linkages and referral mechanisms exist to government and other key stakeholder resources.
- Potential deleterious effects of the program are routinely reviewed and addressed by the program management and community members.
- Community mobilization of resources (human and material) are recognized and facilitated.

### **Foundational Competencies**

- Mechanism is in place to acknowledge and enhance community commitment , leadership, and creativity in support of families with OVC.
- A common vision has been established and promoted by key stakeholders.
- Guiding principles have been adopted for IHD support to families with OVC.
- Adherence to guiding principles is routinely reviewed.

# Annex 10

## Individual and Organizational Critical Capacity Worksheet

Dimension	Component	Outcome (1 outcome per component)	Ranking
<b>OVC Wellbeing</b>	i. Activities		
	ii. Quality of Services		
	<i>(Additional component)</i>		
<b>Organizational Sustainability</b>	i. Organizational Capacity		
	ii. Viability		
	<i>(Additional component)</i>		
<b>Enabling Environment</b>	i. Community capacity		
	ii. Economic, Political and Policy Factors		
	<i>(Additional component)</i>		
<b>Foundational Competencies</b>	i. Leadership		
	ii. Creativity		
	iii. Core Values		
	iv. Commitment		
	v. Learning		
	<i>(Additional component)</i>		

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# Annex 11

## OVC Program Outcomes Worksheet

Program Outcome	Critical Capacities for Individuals	Critical Capacities for Organizations



# Annex 12

## Action Plan Worksheet

	FY....				Resources (Human, Material & Financial)	Responsible (implement and supervise)	Indicator
	Q1	Q2	Q3	Q4			
<b>OVC-well being</b>							
Key Outcome 1							
Activity 1							
Activity 2							
Key Outcome 2							
Activity 1							
Activity 2							
<b>Organizational</b>							
Key Outcome 1							
Activity 1							
Activity 2							
Key Outcome 2							
Activity 1							
Activity 2							
Key Outcome 1							
Activity 1.1							
<b>Enabling Environment</b>							
Key Outcome 1							
Activity 1							
Activity 2							
Key Outcome 2							
Activity 1							
Activity 2							
Key Outcome 1							
Activity 1.1							
<b>Foundational Competencies</b>							
Key Outcome 1							
Activity 1							
Activity 2							
Key Outcome 2							
Activity 1							
Activity 2							
Key Outcome 1							
Activity 1.1							

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# Annex 13

## Develop SMART Indicators

Indicators are developed following the *SMART* principle:

**S**pecific. The indicator should be well-defined and not vague. One rule of thumb is to take out all conjunctions (if, and, or, but).

**M**easurable. The indicator should be something quantifiable, something that can be counted, measured, or assessed.

**A**chievable. The indicator developed is something realistic which the program interventions can lead to and over which the program has control.

**R**elevant. The indicator must be related to the overall program objective. The relevancy of an indicator can also be used to assess whether an activity is leading to the desired change.

**T**ime-bound. The indicator should be achievable within a realistic amount of time.

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# Annex 14

## Next Steps Worksheet

What must be done to solicit feedback?	When should it be done?	Who should do it?	How will it be done?

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# Annex 15

## Considerations While Developing a Communication Plan

- 1) Be clear on the messages for various stakeholders. For example, determine who needs to know the program is ending at each level: national, district, parish, household. Each stakeholder groups will want to know what sort of changes they should expect to see. It may be useful to provide suggestions on what they can do at their level to prepare for transition.
- 2) There may be uncertainty about the project end date and what is happening, but most people will want to know when the project is ending as far in advance as possible. CRS' experience from other programs shows that this helps them prepare financially, programmatically, and even, to an extent, mentally. Generally, people like to know what is going on and appreciate being told. They don't like what they are being told, but often they understand that resources are ending or a shift is happening. Transparency is vital to the success of the process.
- 3) It might be helpful for staff to develop key messages together for different stakeholders. In one country, CRS maintained an ongoing dialogue with the Ministry and as a result of the transition, the Ministry made an agreement with a children's shelter to provide electricity for free to help cover costs. If this dialogue hadn't happened, they wouldn't have received this benefit and the government wouldn't have gotten involved.
- 4) Don't assume the message will be passed on. In some cases, formal and informal leaders are told but do not pass the message to everyone who may be affected. Some population groups, such as women, OVC, or isolated communities might not get the message or get the incorrect message. Using a variety of communication channels is important.
- 5) Keep the messages as simple as possible, but expect misunderstandings. Plan to reinforce the message repeatedly. Invariably there will be people who will say they never heard about the transition, but the aim is for the majority of project participants to understand what is happening in a timely fashion.
- 6) Remember that worried reactions are normal and acceptable. Some may worry about the OVC in their care. Others may worry their job will end; still others may worry that the transition may mean additional work for them. Listen carefully and don't hide the truth, but do involve these people in finding responses and/or solutions to their worries. Engaging people will go a long way to alleviating their concerns.

# Annex 16

## Communications Plan Worksheet<sup>1</sup>

Communication is critical to how your organization will explain the transition and sustainability to the broader community — especially community-based service providers, guardians, village committees, volunteers, parishes, local authorities, and the government.

Follow these steps to creating a successful communications plan. Think about the questions and fill in the box below each step.

### Step 1: Review the current situation

Describe the need for and purpose of the transition process	What communications or publicity efforts are most effective in your context?

### Step 2: Determine your target audience

Who needs to know about the goal and activities of the transition?	What is the best way to get your message out to stakeholders?

### Step 3: What do you want stakeholders to do?

Why do stakeholders need to know about the transition?	What should stakeholders know about the transition? <i>(Differentiate among the stakeholders as needed.)</i>	Why should they get involved?

### Step 4: Determine your budget

What resources do you have for communication?	What is the most effective means to communicate about the transition?	Which individuals or organizations might help us for low or no cost?

### Step 5: Commit your plan to paper

Stakeholder	Message	Communication means (meeting, radio, letter, etc.)	Responsible	Resources needed	Timeline

<sup>1</sup>Adapted from <http://www.ncppa.org/State%20Coalition%20Handbook%20Final.pdf> State Coalition Handbook: *Strategies & Techniques*

# Annex 17

## Sample S/T Action Plan

SAMPLE S/T ACTION PLAN			What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
OVC Zambia: Solwezi Diocese				Diocese	Parish	Community	CRS				
Dimension	Component	Outcome									
	Program Activities	OVC under program receive minimum package of services	Dissemination of information on the government approved minimum package	x		x		Meeting with Community Committee and Diocesan staff regarding minimum package	4th quart.	Coord.	By the end of sept. 09, diocese of Solwezi have conducted community committee meetings regarding minimum packages for OVC in all communities
		OVC under program attained life skills	Skills and facilitation	x	x			Train parish team on Life Skills	4th quart.		By the end of 4th quart. OVC in Solwezi have conducted a training for Parish team in life skills in all 5 sites.
		OVCs attained at least 3rd level of education	Raising awareness among parents and guardians on the right to education and IGAs	x				Sensitization meetings about rights of the child.	4th quart.	Coord.	By the end of year the OVC have sensitized and trained the diocese on the rights of the child and entrepreneurial skills.

SAMPLE S/T ACTION PLAN			What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
OVC Zambia: Solwezi Diocese				Diocese	Parish	Community	CRS				
Dimension	Component	Outcome									
OVC well being	Quality of Services	Quality standards for OVC programming developed	Better understanding of the meaning of quality standards	x			x	Brochures disseminating the standards	4th quart.	Coord.	End of quart. 4 CHAMP OVC have printed brochures concerning the standards and have disseminated them to CRS and the diocese.
		Adequate school materials are provided so OVC attendance to school is increased	Better understanding of project grant procedures to enhance adequate programming	x	x			Orientation on the grant requirements	4th quart.	Account.	By the 4th quart. OVC have conducted orientation with the diocese and parish concerning the grant requirement.
		Guardians participate as caregivers	Improved understanding of OVC care and protection		x	x		Caregivers training with emphasis on child protection	2nd quart.	Coord.	By 2010, the 2nd quart. OVC have trained caregivers with emphasis on child protection in all the communities.

SAMPLE S/T ACTION PLAN			What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
OVC Zambia: Solwezi Diocese				Diocese	Parish	Community	CRS				
Dimension	Component	Outcome									
	Capacity	Partners are efficient and effective implementers of OVC programs		x			Capacity-building training on leadership skills	2nd quart.	Coord.	By the end of March.09 the programme have capacity built the parishes in leadership skills.	
		Partners manage projects with minimal TA	x	x			Capacity-building training on managerial skills	1st quart.	Coord.	By the end of Nov. 2010 the programme have capacity built the parishes on managerial skills.	
		Partners have improved capacity on proposal writing	diocese					2nd quart.	Coord.	By the end of 2nd quart. the OVC programme have capacity built and trained the community on leadership skills.	



SAMPLE S/T ACTION PLAN			Tracking What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
Dimension	Component	Outcome		Diocese	Parish	Community	CRS				
Organizational	Viability	Our partners' ability to promote themselves with material and fact sheets is significantly improved									
		Partners' long term financial sustainability is improved	Basic accounting skills	x	x			Parish: basic accounting training	3rd quart.	Account.	By the end of 3rd quart. OVC have conducted a training for the diocese regarding the basis accounting.
		Greater involvement of community leaders in OVC projects	Community members are able to actively engage in planning and design of OVC programs		x	x			Holding project planning and design meetings with participation of community leaders.	2nd quart.	Coord.

SAMPLE S/T ACTION PLAN			What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
OVC Zambia: Solwezi Diocese				Diocese	Parish	Community	CRS				
Dimension	Component	Outcome									
	Community	Community resiliency is significantly improved									
		Community committees are strengthened	Improve leadership skills of committee members			x		Capacity-building training on leadership skills	2nd quart.	Coord.	By the end of 2nd quart .the OVC programme built capacity and trained the community on leadership skills.
		Community stakeholders' networking is strengthened	Partner capacity to set up Parish Committees is improved		x			Orientation and review of parish meeting	3rd quart.	Coord.	By the end of 3rd quart. the parish have been oriented on partner capacity and the review on parish meeting.

SAMPLE S/T ACTION PLAN			What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
Dimension	Component	Outcome		Diocese	Parish	Community	CRS				
Enabling Environment	Economic, Political and Policy Factors	National policies are in place to ensure equal rights for OVCs		x							
		Advocate for child- friendly national budget with timely disbursement of funds									
		Govt. systems to implement OVC policies are supported				x			Community sensitization through church gatherings	4th quart.	Coord.

SAMPLE S/T ACTION PLAN			What critical capacity needs to be strengthened?	Who?				Activity/ Intervention	Timeline (QUARTER)	Responsibility	Indicator
Dimension	Component	Outcome		Diocese	Parish	Community	CRS				
OVC Zambia: Solwezi Diocese											
<b>Foundational Competencies</b>	Leadership	Transparent management of human and financial resources	Improved managerial skills	x	x			Capacity-building training for Diocesan and Parish staff	2nd quart.		
	Creativity	Activities are innovative and driven from the community	Community committees use participatory approaches to understand the community needs			x		Community committees hold Meetings that include OVC	1st quart.		By the end of 1st quart. the programme have held community meetings that include the OVC.
	Core values (seen of stewardship)	There is a process/tool in place to monitor that the poorest and most vulnerable children in the community are being served	Community committees are active in their role of assessing and identifying the most vulnerable			x		Home visitations	3rd quart.	S. Coord.	By the end of 3rd quart. the caregivers are covering 80% of the households through home visitation, meeting the needs of the most needy child.
	Learning	Enable environment for enhanced child participation	Community committees include children in their decision making meetings			x		Holding Meetings where OVC will attend	4th quart.	Care-G	By the end of 4th quart. the caregivers have held meetings allowing the OVC to make their own decision by attending these meetings.
	Commitment to project goal										

# **A Facilitator's Guide to Developing OVC Program Sustainability and Transition Plans**

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