



Program Sustainability *Workbook* 2015



California's link to quality
After School Assistance Providers

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I. Introduction

Sustainability*

What keeps effective programs sustained over time? Believe it or not, it takes more than just money! The Sustainability Framework identifies a set of organizational and contextual elements that can help build the *capacity* for sustaining a program.¹

Sustainability depends on developing a clear plan for putting in place and keeping in place the key elements that make an initiative successful. It inevitably requires a balance of funding and an array of elements listed in the framework below. It requires building relationships with key stakeholders that can broker resources as well as become champions for the program. Figuring out what resources are needed and how to rationalize them is what sustainability planning is all about.²

Good sustainability plans help the developers of promising programs and initiatives clarify where they are and where they want to go. They help policy makers, opinion leaders, and investors decide how and why to get on board. They help key audiences understand what the initiative is and why it is needed. A good sustainability plan is a roadmap that will help all stakeholders successfully reach their goals.²

Sustainability planning should be done throughout the life of an initiative. A sustainability plan works best when it is used and reviewed on a continual basis.²



**Adapted and modified from the Finance Project Framework*

¹ Center for Public Health Systems Science. *The Program Sustainability Assessment Tool*, copyright 2012, Washington University, St .Louis, MO

² The Finance Project. *Sustainability Planning Workbook*. Washington, DC: The Finance Project Publisher, 2003

Key Elements Overview*

Vision

Having a clear picture of what you want to sustain, which starts with clearly articulating what you want to achieve through your work and then clearly identifying the strategies and activities that will get you there.

Results Orientation

Defining “success” for your initiative; measuring your progress over time; and adjusting your work, based on what you learn.

Strategic Financing Orientation

Projecting the resources you will need and systematically developing a variety of financing strategies and funding sources to provide a stable base of resources over time.

Broad-Based Community Support

Strategically considering whose support you need and developing appropriate outreach efforts and vehicles for community involvement in your initiative.

Key Champions

Rallying leaders from business, faith-based institutions, government, and other parts of the community and persuading them to use their power and influence to generate support for your initiative.

Adaptability to Changing Conditions

Being proactive in the policy environment and adjusting to changing social, economic, and political trends in the community.

Strong Internal Systems

Building strong systems and structures, such as fiscal management, information, personnel, and governance.

Marketing and Communications

Creating a written plan that can be used to manage and market your work.

**Adapted and modified from the Finance Project Framework*

III. Action Plans for Priority Elements

A. Self-Assessment

INSTRUCTIONS:

1. Please complete the Finance Project’s Self-Assessment Tool (pp. 6-14)
2. Review the results from the Self-Assessment Tool to support Step III-B.
Use your data to describe/highlight areas of strength and areas of need for each of the sustainability elements (Step III-B).

Please refer to the “key elements” document and discussions you may have had with those responsible for the sustainability plan.

Vision						
The initiative’s leaders know what they want to sustain.						
	1	2	3	4	5	Comments
A. The initiative's leaders have developed a clear vision for their work.						
B. The initiative’s leaders have developed a process to determine what is to be sustained, and by whom.						
C. The initiative’s leaders have decided what they want to sustain (for example, a formal entity, a process, a service, a particular practice, a method of operation).						
D. The initiative’s leaders have analyzed and can articulate how the initiative fits (or would like to fit) within the larger community.						
E. The initiative’s leaders have analyzed and can articulate how the initiative complements, yet is distinguishable from, other initiatives.						



Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative’s leaders:

- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

Results Orientation						
The initiative incorporates processes to establish and track performance and process measures. The initiative's leaders use that information to improve their work over time.						
	1	2	3	4	5	Comments
A. The initiative has an accepted "theory of change" and logic model that shows how its work fits into a range of state and community efforts to improve the lives of children and families.						
B. The initiative's leaders have identified and use indicators ³ and performance measures to track the performance of their own work.						
C. The initiative uses indicators and performance measures to plan its work and budget its resources.						
D. The initiative's leaders examine data on these measures (including input from clients, parents, or both) to find ideas for ways to improve service design and delivery.						
E. The initiative's leaders implement these ideas, including changing or discontinuing initiatives as necessary.						
F. The initiative's staff and board collaborate with other initiatives that are pursuing improvements in community-wide indicators that relate to the initiative's work.						

Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:



- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

³ In this tool, indicators are defined as measures of change in child and family well-being across an entire community. Performance measures track changes in child and family well-being among specific target populations served by an initiative, program, or individual; or the level of activity or quality of a specific service. Most initiatives would use performance measures to track their own work; they would use indicators to see how they contribute to community-wide efforts.

Strategic Financing Orientation						
The initiative's leaders have identified a variety of financing strategies that could support the initiative. The initiative has a plan to pursue those strategies and is following that plan.						
	1	2	3	4	5	Comments
A. The initiative's leaders know how much funding is needed to sustain their work.						
B. The initiative's leaders have identified the types of financial resources necessary to sustain their work, such as: <ul style="list-style-type: none"> discrete sources of public funds (for example, one-time, ongoing); discrete sources of private funds; institutionalization within an ongoing system or process. 						
C. The initiative's leaders have identified and are pursuing ways to ensure the most efficient use of existing funds (for example, gaining economies of scale).						
D. The initiative's leaders have identified and are pursuing ways to support the redirection or reallocation of funds (for example, using funds freed up through improved outcomes to finance more prevention activities).						
E. The initiative's leaders have identified and are pursuing ways to increase the flexibility of existing funding streams (for example, through pooling funds across agency and program lines or improving coordination of existing funding streams).						

Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:



- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

Broad-Based Community Support						
The initiative's leaders take steps to involve the community in their work and gain community support based on the initiative's positive impact on families' lives.						
	1	2	3	4	5	Comments
A. The initiative has a plan to establish a desired identity and reputation within the community.						
B. The initiative's leaders involve recipients of their services in their work to improve service design and delivery and to build ownership and support.						
C. In addition to service recipients, the initiative's leaders involve a diverse set of stakeholders in their work (such as community-based organizations, government agencies, and private businesses) to improve service design and delivery and to build ownership and support.						
D. The initiative's leaders and community partners understand and communicate the work's value for families in its community.						
E. The initiative's leaders collect quantitative and qualitative data to show the value of their work for families.						
F. The initiative's leaders package those data in user-friendly formats and communicate them regularly to the community, key stakeholders, media, potential funders, and others.						
G. The initiative's leaders recognize and reward people who are instrumental in helping achieve sustainability for the work.						

Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:



- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

Key Champions						
<p>The initiative's leaders identify potential champions they need to approach on an individual level and are following a plan to do so. These champions include senior decision makers, local community representatives and peer initiatives, and individuals. The initiative's leaders also pursue ways to communicate with stakeholders in a more general (less labor-intensive) fashion.</p>						
	1	2	3	4	5	Comments
A. The initiative's leaders have identified key senior decision makers at the community and state levels who can influence its sustainability.						
B. The initiative's leaders have designed and implemented a plan for tailored outreach to these key decision makers (including appropriate messengers and messages).						
C. The initiative's leaders have also developed other, less labor-intensive ways to contact and keep other potential champions informed (for example, sending them newsletters, inviting them to initiative events).						
D. The initiative's leaders use a variety of strategies to encourage parent champions, such as strongly involving parents in its work.						
E. The initiative's leaders have and use a variety of strategies to encourage peer community champions, such as collaborating with other organizations (for example, public and nonprofit service providers) in service planning, delivery, and financing.						



Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:

- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

Adaptability to Changing Conditions						
The initiative’s leaders seek new opportunities for resource development and support and are able to respond to new opportunities (for example, welfare reform, newly elected or appointed leaders) as they arise.						
	1	2	3	4	5	Comments
A. The initiative’s leaders monitor changes in the policy and program environment to see how their initiative could fit with new directives and agendas.						
B. The initiative’s leaders consider how its work can be framed or positioned to interest different funders and to take advantage of new financing opportunities.						
C. The initiative’s leaders use this information to approach new funders.						
D. The initiative’s leaders have identified opportunities to participate in efforts to improve the overall policy and program environment (for example, standing advisory groups, opportunities to develop or comment on state plans for expending federal funds).						
E. The initiative’s leaders actively participate in decision-making processes about changes in policy and practice.						
F. The initiative’s leaders have determined how they can improve their ability to participate in these efforts (for example, by establishing their credibility as technical experts, community representatives, or controllers of resources), and have followed through to increase the likelihood of being able to participate.						



Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative’s leaders:

- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

Strong Internal Systems						
The initiative has strong internal processes that ensure a vibrant, durable, and continuously improving initiative.						
	1	2	3	4	5	Comments
A. The initiative has a well-defined team of staff, advisory or governance group members, volunteers, and others that it needs to accomplish its mission.						
B. The initiative’s leaders and others understand and accept their roles and responsibilities.						
C. The initiative has strong fiscal processes that allow leaders to stay informed on its current financial status and to be alerted to emerging financing concerns.						
D. Staff and board develop and review projections for short- and long-term revenues and expenses.						
E. Staff and board develop financing strategies to meet those needs; staff and board review and change financial strategies as needed.						
F. The initiative has strong internal systems (for example, accounting, auditing, management information, procurement, personnel) to maintain quality control over its work.						
G. The initiative has strong communication processes to ensure that all partners are kept informed.						



Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative’s leaders:

- 1 = Have not started this task
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- 5 = Have made sufficient progress in completing this task

Marketing and Communications						
The initiative has a marketing and communications strategy that ensures the message is consistent and accurate to achieve the end result.						
	1	2	3	4	5	Comments
A. The initiative's leaders have clear and defined marketing/communications goals for what they want to accomplish.						
B. The initiative's leaders have created a clear and concise message that supports the vision.						
C. The initiative's leaders understand how its work can be branded or positioned by using various media vehicles to attract new funders and partners.						
D. The initiative's leaders have a process to reassess and adjust their marketing and communications plan periodically based on tracking and feedback.						
E. The initiative's leaders have provided training to its staff on message unification to further merge the program message in public awareness.						

Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:



- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

Sustainability Plan						
The initiative has a sustainability plan that enables it to set priorities and take action.						
	1	2	3	4	5	Comments
A. The initiative's leaders have a long-term plan for what they want to accomplish.						
B. The initiative's leaders have identified challenges or obstacles to sustaining the initiative, including potential conflicts with alternative initiatives or agendas.						
C. The initiative's leaders have developed strategies to garner needed resources and overcome identified barriers.						
D. The initiative's leaders have a process to reassess and adjust their plan periodically.						
E. The initiative's leaders have identified and communicated with other individuals who have a role in the sustainability plan.						



Rank your progress on each of these tasks according to a five-point scale that assesses whether the initiative's leaders:

- 1 = Have not started this task
- 2 = Have started initial conceptual and planning work
- 3 = Have begun to implement this task
- 4 = Have made solid progress in implementing this task
- 5 = Have made sufficient progress in completing this task

III. Action Plans for Priority Elements

B. Current Strengths and Needs *(This section is part of the workbook deliverable)*

INSTRUCTIONS:
Please complete the Finance Project’s Self-Assessment Tool (III-A)
Review the results from the Self-Assessment Tool to support completion of section below.
Using your data from the Self-Assessment Tool, please describe/highlight areas of strength and areas of need for each of the sustainability elements.
Please refer to the “key elements” document and discussions you may have had with those responsible for the sustainability plan.

Vision
Defining goals & understanding your niche

- Text
- Text
- Text
- Text

Results Orientation
Evaluating outcomes and demonstrating effectiveness

- Text
- Text
- Text
- Text

Strategic Financing Orientation
Using current funds efficiently and identifying new funding sources.
(Appendix A)

- Text
- Text
- Text
- Text

Broad Based Community Support
Communicating & collaborating with a range of stakeholders

- Text
- Text
- Text
- Text

Current Strengths and Needs continued

Key Champions
Cultivating and engaging leadership

- Text
- Text
- Text
- Text

Adaptability to Changing Conditions
Monitoring trends and influencing changes

- Text
- Text
- Text
- Text

Strong Internal Systems
Ensuring efficiency and accountability through effective management

- Text
- Text
- Text
- Text

Marketing & Communications
Creating a written plan to manage and market your work

- Text
- Text
- Text
- Text

Action Plans for Priority Elements continued

INSTRUCTIONS: Based on those areas of improvement identified in section III-B, choose 2-3 priority elements to work on. *Please copy this template for additional priority elements.*

C. Priority Elements: *(check 1 per template)*
 Vision Results Orientation Strategic Financing Orientation *(Appendix A)*
 Broad Based Community Support Key Champions Adaptability to Changing Environments
 Strong Internal Systems Marketing and Communications

Rationale: *Which task within this element (refer to self-assessment tool) will you focus on and why?*

Action Steps	Responsibility – By Whom?	Time Frame – By when will it be done?	Resource – Who or what is being used?	How will you know if you're successful?

D. Plan for Follow-up How do you plan to monitor your progress on sustainability moving forward? Who is responsible for evaluating and documenting progress? When will you assess your progress? When will you set new milestones?

E. Sustainability Plan Follow-up **Date:**

Progress Made:

Challenges Encountered:

Next Steps:

IV. References

1. The Finance Project. *Sustainability Planning Workbook*. Washington, DC: The Finance Project Publisher, 2003
2. Center for Public Health Systems Science (2012). *Sustainability and Assessment Tool*. Washington University in St. Louis: George Warren Brown, School of Social Work. <http://cphss.wustl.edu/Projects/Pages/Sustainability-Framework-and-Assessment-Tool.aspx>

V. Appendices

2015 Funding Sources and Financing Strategies Worksheet. (sample on following page)

Appendix A: 2013 Funding Sources and Financing Strategies Worksheet				
Funding Source- Expense/Revenue	Summer Funding			
	2015	2016	2017	2018
Projected Expenses				
Committed Revenues				
Total Committed Revenues				
FUNDING GAP				
Prospective Revenues				
Total Prospective Revenues				
REMAINING GAP, if any				

Appendix A- Sample: Funding Sources and Financing Strategies Worksheet				
Funding Source	Summer Funding			
	2014	2015	2016	2017
Projected Expenses	200,000	250,000	250,000	250,000
Committed Revenues				
Packard Foundation	110,000	75,000	50,000	-
Sierra Health Foundation	30,000	30,000		
Supplemental	60,000	60,000	60,000	
Total Committed Revenues	200,000	165,000	110,000	-
FUNDING GAP	-	85,000	140,000	250,000
Prospective Revenues				
District general fund		50,000	100,000	150,000
Kaiser Foundation		35,000	35,000	
Supplemental				60,000
The California Endowment				35,000
Parent suggested donations			5,000	5,000
Total Prospective Revenues	-	85,000	140,000	250,000
REMAINING GAP, if any	-	-	-	-

Appendix B	
Sustainability Elements	Supporting Tools <i>(Found in the Finance Project Toolkit)</i>
Vision	Module I Sustainability Self-Assessment Tool (p.14) Worksheet I – Self-Assessment Summary (p. 24) Module II Worksheet I – Self-Assessment Summary (p. 5) Worksheet 2 – Clarifying Vision and Desired Results (p. 13) Your Logic Model (p. 41)
Results Orientation	Module II Worksheet I – Self-Assessment Summary (p. 5) Worksheet 3 – Identifying Conditions and Causes (p. 15) Worksheet 4 – Prioritizing Existing Strategies and Activities (P. 19) Worksheet 5 – Considering New Strategies and Activities (p. 21) Worksheet 6 – What Do You Want to Sustain? (p. 23) Worksheet 7 – Identifying Measures of Effect (p. 27) Worksheet 8 – Prioritizing Measures of Effect (p. 28) Worksheet 9 – Identifying Measures of Effort (p. 30) Worksheet 10 – Prioritizing Measures of Effect (p. 32) Worksheet 11 – Identifying Indicators (p. 36) Your Logic Model (p. 41)
Strategic Financing Orientation	Module III Worksheet I – Self-Assessment Summary (p. 5) Worksheet 2 – Financing for What? (p. 7) Worksheet 3 – How Much Do You Need? (p. 10) Worksheet 4 – Identifying Current Resources (p. 11) Worksheet 5 – Assess Your Funding Gaps (p. 13) Worksheet 6 – Evaluate Potential Funding Sources and Financing Strategies (p. 16)
Broad-based Community Support	Module IV Worksheet 4 – Self-Assessment Summary (p. 12) Worksheet 5 – Community Engagement Strategies (p. 14) Worksheet 10 – Prioritize Strategies Related to Community Support and Org. Capacity (p. 22)
Key Champions	Module IV Worksheet 6 – Self-Assessment Summary (p. 15) Worksheet 7 – Strategies for Cultivating Key Champions (p. 17)
Adaptability to Changing Conditions	Module IV Worksheet I – Environmental Scan (p. 7) Worksheet 2 – Self-Assessment Summary (p. 9) Worksheet 3 – Strategies Related to Adaptability to Changing Conditions (p. 10)
Strong Internal Systems	Module IV Worksheet 8 – Self-Assessment Summary (p. 19) Worksheet 9 – Strategies for Strengthening Internal Systems (p. 20) Worksheet 10 – Prioritize Strategies Related to Community Support and Org. Capacity (p. 22)

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<p>Marketing and Communications</p>	<p>Module I Worksheet 1 – Self-Assessment Summary (p. 24-26)</p> <p>Module II Worksheet 3 – Identifying Conditions and Causes (p. 15) Worksheet 19 – Prioritizing Existing Strategies and Activities (p. 19)</p> <p>Module III Worksheet 6 – Evaluate Potential Funding Sources and Financing Strategies (p. 16)</p> <p>Module IV Worksheet 1 – Environmental Scan (p. 7) Worksheet 4 – Self-Assessment Summary, Broad Based Community Support (p. 12) Worksheet 9 – Strategies for Strengthening Internal Systems (p. 20)</p> <p>Module IV Executive Summary Sample (24)</p>
<p>Sustainability Plan</p>	<p>Module V p. 4: Worksheet I – Priority Strategies and Milestones p. 6: Worksheet 2 – Year I Workplan</p>