SUSTAINABILITY ANALYSIS

MODULE 9
FACILITATOR'S GUIDE

THE AGA KHAN UNIVERSITY

AGA KHAN FOUNDATION

Primary Health Care Management Advancement Programme

SUSTAINABILITY ANALYSIS

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MODULE 9
FACILITATOR'S GUIDE

Aga Khan Health Services

URC/CHS

University Research Corporation
Center for Human Services

Dedicated to
Dr. Duane L. Smith (1939-1992),
Dr. William B. Steeler (1948-1992)
and all other health leaders, managers and workers
who follow their example in the effort to bring quality health
care to all in need.

Contents

Foreword

What is the purpose of the Facilitator's guide?

The Facilitator's guide contains a suggested workshop design for use by individuals who will help PHC managers and staff learn how to use the Primary Health Care Management Advancement Programme (PHC MAP) series. There is a Facilitator's guide for each module in the PHC MAP series.

What information does it contain?

Each Facilitator's guide contains instructions for conducting a workshop on one of the modules in the PHC MAP series using the information contained in the User's guide.

The instructions are arranged in one to two hour sessions. The number of sessions depends on the amount of information and/or the number of steps contained in the User's guide. The first page of each session lists session objectives, major topic headings, time required, and materials and equipment. The following pages describe the instructional activities in outline form.

The outline is divided into two columns. The right-hand column indicates what the facilitator says or does to conduct the session. The left-hand column lists the handouts, overhead transparencies, or other materials needed to support the activity. Copies of these materials, suitable for duplication, appear at the end of the session in which they are first used. Some transparencies are used in more than one session.

How are the workshops organised?

The first session of each workshop contains activities designed to introduce the PHC MAP series and explain its importance to PHC programmes, present an overview of the workshop, explain the purpose of the module, review specific terms or concepts used in the module, and

summary form as contained in the first session of the Facilitator's guides for Modules 2 through 9.

- If information needs have not been clearly identified and participants have no background in systems, then Module 1 should be presented in full. The selection of the next module will depend upon priorities set by the participants as they complete the steps in Module 1.
- If information needs have been clearly identified and participants have no background in systems, then that portion of Module 1 can be added to the first session of the selected module.
- If information needs have been clearly identified and participants have a background in systems, then the overview of PHC MAP in the selected module will be sufficient.

Understands the content of the selected module. Read the User's guide and Facilitator's guide for the selected module and consider options for workshop delivery.

- Depending upon the length of the module and the availability of staff for training, the workshop sessions may be presented as described in the Facilitator's guide, or workshop sessions may be delivered at intervals (for example, every morning for a certain number of days, one session per week, or one day per week for three or four weeks).
- If follow-on technical assistance is available, the content of the module could be presented in the workshop and the application of the procedure to the PHC programme could be conducted on the job.
- Participants could plan steps in the workshop, complete them on the job, and bring the results to the next workshop session. This approach is particularly applicable to Module 2 which requires development of a questionnaire, selection of a survey sample, training of data collectors, and data collection. These steps cannot actually be carried out within the time limits of the workshop as contained in the Module 2 Facilitator's guide.
- Other options are possible depending upon the circumstances of each situation.

Determines what programme information, if any, is needed for completion of the module. For example, census data and lists of households are required to complete some of the steps in Module 3.

Determines the most appropriate people to attend the workshop. For example, Module 7 is best completed by those responsible for planning, training, supervision, logistics, and other management services.

Discusses the delivery options and participants with the PHC manager and make decisions regarding the most appropriate option and participant selection. Also determines if the needed information is available and if it is not, the alternatives for obtaining the information.

Notifies participants of the date, time, and purpose of the workshop and confirms attendance. Initial notice of the meeting may come from the PHC manager, with follow-up by the facilitator.

Prepares the agenda, using as a model the sample in Session 1 of the Facilitator's guide for the selected module.

Inspects the room where the workshop will be held and answers these questions:

- Is the room large enough to seat all the participants?
- Can chairs and tables be arranged in a variety of ways; all participants around one table; participants in groups of three or four at smaller tables?
- Is the lighting adequate?
- Can temperature and humidity be controlled?
- Is there an electrical outlet for an overhead projector?
- Is a microphone necessary for everyone to hear and to be heard?
- Are toilets conveniently located?
- Is the site convenient to parking, restaurants and public transportation?
- Are supporting facilities available and convenient: duplication, word processing, computers?

Prepares notes to conduct the workshop using the session outlines in the Facilitator's guide for the selected module, and makes the necessary adaptations. Refer to the appropriate User's guide for content.

Duplicates the worksheets and other handouts as indicated in the Facilitator's guide and obtains the necessary equipment.

Conducts the workshop as planned.

Provides follow-on assistance, if appropriate.

Session 1: Introduction and overview

Objectives:	Participants will be able to: • Explain the purpose of Module 9. • Define sustainability in relation to PHC programmes. • Give at least two reasons why sustainability is important to PHC managers.
Session outline:	I. Introduction (30 minutes) II. Overview of Workshop (10 minutes) III. Purpose of Module 9 (20 minutes) IV. Module 9 User's guide (15 minutes)
Materials:	Module 9 User's guide Handout 9-1: Agenda Transparency 9-1: Workshop objective Transparency 9-2: Sustainability is... Transparency 9-3: Why consider sustainability? Transparency 9-4: Sustainability analysis includes: Transparency 9-5: Steps in sustainability analysis Facilitator Reference 9-1: Flowchart of sustainability analysis
Equipment:	Flip chart, stand, markers, masking tape, overhead projector, and screen

Session 1: Introduction and overview

I. Introduction (30 minutes)

Note: Omit section I if you have presented Module 1, or some other module, immediately prior to the presentation of Module 9.

A. OPENING REMARKS

- **Introduce** self and other staff, as necessary.
- **Explain** your role in the workshop.
- If you do not know the participants, **ask** each one to state his or her name, position title, and job location.

Name tags
or place cards

Note: *If the group is larger than 6 or 8, you may wish to have them wear name tags or set cards with their names at places where they are sitting.*

Flip chart

- **Ask** each participant to complete this sentence: "As a result of attending this workshop, I expect..." and **write** their responses on the flip chart.
- **When** all responses have been recorded, say that you will return to this list after giving an overview of the workshop.

B. OVERVIEW OF PHC MAP

See the Module 1 User's
guide for this information

- **Explain** why information is important for PHC programmes.
- **Summarise** PHC MAP programme, including:

    Purpose of PHC MAP.

    Title and purpose of each module and other materials.

- **Make** the following points about PHC MAP:

    Has been field tested and revised to ensure usefulness to PHC programme staff.

Session 1: Introduction and overview

Modules can be used in any sequence.

Checklists and other materials can, and should, be adapted to fit a particular situation.

The procedures outlines in the modules can be adopted as routine monitoring activities in a PHC programme.

- **Explain** why MAP is being introduced in this PHC programme.

Note: The remarks here should be tailored to the specific programme and should provide the answers to these questions:

Why are we doing this workshop?

What do we expect to achieve?

It may be appropriate for the PHC manager to make these remarks.

II. Overview of workshop (10 minutes)

Transparency 9-1:
Workshop Objective

Handout 9-1: Agenda

- **Review** the workshop objective.
- **Distribute** and **review** the workshop agenda, describing the activities that will take place to accomplish the workshop objectives.
- **Review** the expectations contributed by participants at the beginning of the session.

  Indicate which ones will be met and which ones will not and why.

  Suggest, if possible, alternatives for meeting the expectations that will not be met in this workshop.
- **Ask** for questions or comments.

Session 1: Introduction and overview

III. Purpose of Module 9 (20 minutes)

Transparency 9-2:
Sustainability is...

Transparency 9-3: Why
consider sustainability?

Transparency 9-4:
Sustainability analysis
includes:

Transparency 9-5: Steps
in sustainability analysis

- **Explain** that the purpose of Module 9 is to provide PHC managers and others with guidelines and tools to develop and analyse sustainability strategies.

- **Present** the definition of sustainability and explain that within this broad definition, each PHC programme must define its own sustainability objectives. The procedures and tools to do that are contained in this module.

- The **importance** of sustainability
  Present the reasons why sustainability is important to PHC programme managers.

  Ask participants if they have been asked about the sustainability of their programmes or when they expected that the programme, or a service offered by the programme, would be able to function without funding from a particular source.

- The two aspects of sustainability analysis
  Explain strategic assessment and **mention** population size and political commitment as two examples of factors that influence sustainability.

  Explain financial assessment and **mention** that the computer programs included in the module make financial assessment easy and fast, though it can be done without a computer.

- **Present** the seven steps in sustainability analysis that will be the focus of the remaining sessions in the workshop.

- **Ask** for questions or comments about sustainability and sustainability analysis.

- **Explain** what Module 9 does and does not do.

Session 1: Introduction and overview

Module 9 does not tell you what to do to make a PHC programme sustainable.

Module 9 does not develop a strategy for you.

Module 9 contains tools to help you examine a large variety of options relatively quickly as a basis for developing your own strategy.

IV. Module 9 User's guide (15 minutes)

Module 9 User's guide

- **Distribute** a User's guide to each participant.
- **Refer** participants to the Introduction and **explain** that most of the content of this section has already been presented and discussed.
- **Refer** participants to page 11 and **explain** the levels of analysis that can be performed, including Quick start. In this workshop you will complete Level 1 and receive an orientation to Levels 2 and 3.
- **Refer** participants to the appendices and explain the content and purpose of each.
- **Ask** for questions and comments on the user's guide.
- **Explain** that the next session will cover the first three steps in sustainability analysis.

SAMPLE AGENDA MODULE 9*

Session 1 (1 hr, 15 mins)	Introduction and overview
Session 2 (1 hr, 30 mins)	Planning the sustainability analysis (Steps 1, 2 and 3)
Session 3 (2 hrs, 30 mins)	Strategic assessment (Steps 4 and 5)
Session 4 (2 hrs)	Financial assessment (Step 6)
Session 5 (1 hr, 30 mins)	Action planning (Step 7)

* For actual presentation, substitute actual clock hours in the first column.

WORKSHOP OBJECTIVE

Conduct a sustainability analysis for a PHC programme using the steps and materials contained in the Module 9 User's guide

SUSTAINABILITY IS...

the ability of a PHC programme to continue providing services to meet the needs of its target populations

WHY CONSIDER SUSTAINABILITY?

- Decreasing funding for development
- Diversion of funds to other areas
- Need to reallocate resources
- Move toward community-controlled PHC
- Need to increase community awareness in continuing health care

SUSTAINABILITY ANALYSIS INCLUDES:

Strategic assessment:

- examine the effects of 10 factors that influence sustainability

Financial assessment:

- examine the effects of the 10 factors on future revenues and expenses

STEPS IN SUSTAINABILITY ANALYSIS

1. Identify users; specify purpose and scope

2. Clarify objectives

3. Select level of detail

4. Conduct strategic assessment

5. Consider response

6. Conduct financial assessment

7. Select strategy; develop action plan

Flow chart of sustainability analysis

Step 1

Users, purpose scope

➡️

Step 2

Sustainability objectives

➡️

Step 3

Level of detail

	L1	2	3
SA			
FA			

Table 1: Sustainability objectives

Target group	PHC service	Coverage obj.

⬅️

⬇️

Strategic assessment

Step 4:
Analyse factors

⬅️

C
B
Appendix
A

➡️
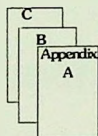
Table 2: Step 5

Summarise results of analysis and strategy

➡️

Step 7

Summarise strategy, action plan

⬆️

⬇️

Step 6:
Financial assessment

Table 3:
Initial projections

⬅️

Revenues			
Expenditures			
Balance			

Table 4
What-if analysis

Table 5:
Adjusted projections

Revenues			
Expenditures			
Balance			

➡️ ⬇️ ⬅️ ⬇️

Figure 1:
Initial projections: revenues and expenditures: 5 years
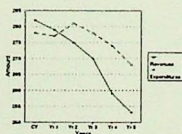
Figure 2:
Adjusted projections: revenues and expenditures: 5 years
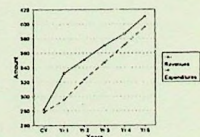
Session 2: Planning the sustainability analysis (Steps 1, 2 and 3)

Objectives:

Participants will be able to:

- Specify users, the purpose, and the scope of the analysis.
- Clarify sustainability objectives.
- Decide on the level of detail needed.

Session outline:

I.   Introduction (5 minutes)
II. Specify users, purpose, and scope of analysis (25 minutes)
III. Clarify sustainability objectives (45 minutes)
IV. Decide on level of detail needed (15 minutes)

Materials:

Module 9 User's guide

Transparency 9-6:	Session 2: Objectives
Transparency 9-7:	Facets of the sustainability objective
Handout 9-2:	Worksheet for specifying the purpose of the analysis
Handout 9-3:	Worksheet for specifying the sustainability objectives
Handout 9-4:	Worksheet for specifying the restrictions on sustainability

Handout 9-5: Worksheet for selecting
the type of assessment
and level of detail

Equipment: Overhead projector and screen

Session 2: Planning the sustainability analysis (Steps 1, 2 and 3)

I. Introduction (5 minutes)

Transparency 9-6:
Session 9: Objectives

- **Review** the session objectives.
- **Explain** that the session objectives parallel the first three steps in sustainability analysis.

II. Identify users, purpose, and scope of sustainability (25 minutes)

Handout 9-2: Worksheet for specifying the purpose of the analysis

- **Distribute** the worksheet and introduce the three sections: user, purpose, scope.
- **Discuss** the considerations and alternatives available for the choices in each section.
- **Refer** participants to the sample worksheet on page 16 in the User's guide to see the choices one programme made.
- **Ask** for questions or comments on completing this step.
- **Direct** participants to complete the worksheet for their programme.
- **Ask** one group member to present the choices made and give the highlights of the discussion that led to those choices.

III. Clarify sustainability objectives (45 minutes)

Transparency 9-7: Facets of the sustainability objective

- **Present** the three facets of sustainability.
- **Explain** how the three facets are inter-related.
- **Explain** that one facet is selected as the main objective and influences how the other two must be adjusted to achieve the main objective.

Session 2: Planning the sustainability analysis (Steps 1, 2 and 3)

- **Explain** that the ideal approach is to decide the desired level of health status and coverage, identify the services and management functions needed to provide that outcome, and identify the resources needed to provide the services.

  If the budget is fixed, it may be necessary to start with resources.

  If the services/institutions are the primary focus of sustainability, it may be easy to lose sight of the purpose of the institution which is improvement of health status.

  For the purpose of this workshop, health coverage will be the first priority for the sustainability analysis.

Handout 9-3: Worksheet for specifying the sustainability objective

- **Distribute** the worksheet and **note** that the priorities have already been indicated.

- **Refer** participants to the sample worksheet on page 20 in the User's guide to see how it might be filled out.

- **Direct** participants to check the target populations their programme currently serves and the coverage objective for each.

- **Direct** participants to consider whether they wish to maintain the level of coverage or increase or decrease it for any of the target populations. If so, that should be indicated in the third column.

- **Direct** participants to next check the categories of services to be sustained to support the coverage objective and list the specific ones for each category checked.

- **Direct** participants to check the categories of resources to be sustained to support the required services.

Session 2: Planning the sustainability analysis (Steps 1, 2 and 3)

- **Ask** for questions or comments on the sustainability objectives worksheet.
- **Explain** that it is important to clarify whether sustainability means self-sustaining or if external support is permitted.

Handout 9-4: Worksheet for specifying the restrictions on sustainability

- **Refer** participants to the sample worksheet on page 21 in the User's guide and **direct** them to check the appropriate categories and make the appropriate notes.

IV. Decide on the level of detail (15 minutes)

Transparency 9-4: Sustainability analysis includes:

- **Explain** that the first decision required in this third step is whether to do a strategic assessment, a financial assessment, or both.
- **Explain** that the second decision is to decide whether to conduct a Level 1, 2, or 3 analysis or to do all three.

  Level 1 will be completed in the workshop so that participants have an understanding of the entire process of sustainability analysis.

  Levels 2 and 3 require information that participants may or may not have readily available.

- **Refer** participants to the two charts on page 14 in the User's guide.

  Level 1 is based on information participants have from their experience of working in the programme.

  The more detailed information indicated by the X in Levels 2 and 3 can be obtained by using other MAP modules. For example, Modules 6 and 7 contain procedures for assessing quality of services and management functions.

Session 2: Planning the sustainability analysis (Steps 1, 2 and 3)

Handout 9-5: Worksheet for selecting the type of assessment and level of detail

Module 8 contains procedures for determining expenditures by PHC service.

- **Distribute** the worksheet and explain that the three levels of analysis are summarised for both strategic assessment and financial assessment of sustainability.

- **Explain** that for this workshop Level 1 is selected for both types of sustainability assessment. **Suggest** that participants retain the worksheet for future use.

- **Ask** participants to state which level of sustainability analysis they will choose to perform after the workshop and explain the reason for their choice.

- **Ask** for questions or comments on the three steps included in planning a sustainability analysis.

- **Explain** that the next session will address Steps 4 and 5 on conducting the strategic assessment.

SESSION 2: OBJECTIVES

- Specify users, purpose, scope

- Clarify objectives

- Decide on level of detail

FACETS OF THE SUSTAINABILITY OBJECTIVE

- What is to be sustained?

    - Health outcome/coverage

    - Services/institutions

    - Resources

- What level is to be sustained?

- What are the restrictions, if any, on the sources of support?

WORKSHEET FOR SPECIFYING THE PURPOSE OF THE ANALYSIS

User/audience:

___ Manager	_____
___ Board of directors	_____
___ Central directorate	_____
___ Donors	_____
___ Community	_____
___ Other	_____

Purpose:

___ General knowledge	_____
___ Monitoring progress	_____
___ Planning for the future	_____
___ Decision-making	_____
___ Other	_____

Scope:

___ Geographic area	_____
___ Programme/project/activity	_____
___ Time/duration	_____

WORKSHEET FOR SPECIFYING THE SUSTAINABILITY OBJECTIVES

Priority	What is to be sustained?	At what level?

1. Health coverage

___ Children < 2 years		
___ Children < 5 years		
___ Pregnant women		
___ Married women 15-49		
___ Other:		

2. Services/institutions

___ PHC outreach services (list)		
___ PHC clinical services (list)		
___ Management services (list)		
___ Agency/institution/unit (list)		
___ Other:		

3. Resources

___ Funding (specify)		
___ Contributions (cash, in-kind)		
___ Personnel		
___ Technical capability		
___ Other:		

WORKSHEET FOR SPECIFYING THE RESTRICTIONS ON SUSTAINABILITY

Sustainability restrictions

___ No restrictions   _____

___ Donor restrictions   _____

___ Other   _____

___ Self-sustaining   _____

WORKSHEET FOR SELECTING THE TYPE OF ASSESSMENT AND LEVEL OF DETAIL

Strategic assessment: Check the level of analysis to be undertaken.

_____ **Level 1:** A general analysis of each of the 10 factors

_____ **Level 2:** A general analysis of 8 of the factors plus a detailed assessment of two of them. You assess each **PHC service** and each **management service**.

_____ **Level 3:** A general analysis of 6 of the factors plus a detailed assessment of four of them. You assess the effects of changes in **target population size** and **target population KAP (coverage)** for each **PHC service** and each **management service**.

Financial assessment: Check the level of analysis to be undertaken.

_____ **Level 1:** A general analysis of **revenues** by source and **expenditures** by general ledger items; and a "what-if" analysis of the effect of changes in the 10 factors on future revenues and expenditures.

_____ **Level 2:** A detailed analysis of **revenues** by source and **expenditures** for each **PHC service** and **management service**; and a What-if analysis of the effect of changes in the 10 factors on future revenues and expenditures.

_____ **Level 3:** A detailed analysis of **revenues** by source and **expenditures** for each **PHC service** and **management service** taking into account changes in **target population size** and **target population KAP (coverage)**; and a "what-if" analysis of the effect of changes in the ten factors on future revenues and expenditures.

Session 3: Strategic assessment (Steps 4 and 5)

Objectives:
Participant will be able to:
- Analyse selected factors for their effect on programme sustainability.
- Identify strategies for dealing with threats and opportunities.

Session outline:
I. Introduction (5 minutes)
II. Conduct strategic assessment (1 hour)
III. Identify strategies (45 minutes)
IV. Financial implications (40 minutes)

Materials
Module 9 User's guide
Transparency 9-7: Session 3: Objectives
Transparency 9-8: Terms
Transparency 9-9: Types of sustainability factors
Transparency 9-10: Threat/opportunity codes
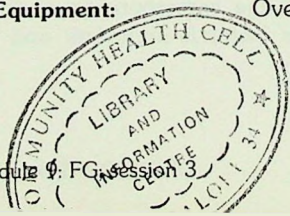Transparency 9-11: How to develop strategies
Handout 9-6: Sustainability factors worksheet

Facilitator
Reference 9-2: Brainstorming guidelines

Equipment: Overhead projector and screen

Session 3: Strategic assessment (Steps 4 and 5)

I. Introduction (5 minutes)

Transparency 9-7:
Session 3: Objectives

- **Review** the session objectives
- **Give** an overview of the activities of the session.

II. Conduct strategic assessment (1 hour)

Transparency 9-8:
Terms

- **Identify** sustainability factors
  Define sustainability factor, threat and opportunity and give an example of each.
  Ask participants to give an example of each from their own experience.

Transparency 9-9: Types
of sustainability factors

  Present and **explain** ten types of factors, noting that this is not an exhaustive list.

- **Assess** factors
  Refer participants to Appendix A which contains checklists for each of the ten factors and **explain** how the checklists are organised.

Handout 9-6:
Sustainability factors
worksheet

  Distribute the worksheet and **explain** that it will be used to record their strategic assessment of their programme.

  Direct each participant to select a sustainability factor that they think is particularly important to their programme. Each participant should choose a different factor and enter it in the first column headed "Factor."

Note: If there are 8 or more participants in the group, form teams of two for each factor.

  Direct each participant to determine whether that factor presents a threat or an opportunity to their programme using the information on the corresponding checklist about why this factor is important and key indicators.

Session 3: Strategic assessment (Steps 4 and 5)

Tell participants to use their best judgement inmaking the determination and, if they think more information is needed, indicate what that information is and record both in the column headed "Threat/Opportunity Description."

Transparency 9-9: Threat/opportunity codes

Explain the codes and **direct** participants to enter the appropriate code for each factor in the third column on the worksheet headed "Effect."

Note: See page 55 in Appendix B for a full explanation of the codes.

Ask if anyone has questions about the task. Each participant completes columns two and three for the factor he or she selected.

Ask a participant to read aloud the description of the threat/opportunity and the code they assigned, explain the basis for the determination, and identify, if appropriate, the additional data needed for a final determination.

Invite other participants to comment or ask questions and **facilitate** discussion to help participants reach consensus on the description.

Repeat steps 9 and 10 until all participants have reported.

User's guide

Review the information needs identified by participants and **suggest** other MAP modules that will help them gather that information, referring to the information on page 26-27, as needed.

Session 3: Strategic assessment (Steps 4 and 5)

III. Identify strategies (45 minutes)

Transparency 9-11: How to develop strategies

- **Explain** alternative methods for developing strategies to offset threats or take advantage of opportunities presented by factors that influence sustainability.

  Attacking the problem not the symptoms is essential for threats such as adequate supplies are not always available or health workers are not supervised regularly.

  Attacking the problem is less applicable for threats beyond the programme's control, such as increase in the size of the target population or withdrawal of donor funds.

  Review of solutions that have worked before is useful for increases or decreases in target population or need to improve target group KAP. The checklists in Appendix A contain examples of useful solutions.

  Brainstorming is useful when the tried and true solutions are not always applicable, such as cutting costs and taking advantage of opportunities.

- **Review** the threat/opportunity descriptions with participants and select three: one amenable to the "five why" analysis, one amenable to an existing solution, and one amenable to brainstorming.

- **Facilitate** strategy development using the most appropriate method for each of the three descriptions.

Note: See the Facilitator Reference 9-2 at the end of this session for brainstorming guidelines. You may wish to duplicate this reference for participants to use after the workshop to conduct their own brainstorming sessions.

Session 3: Strategic assessment (Steps 4 and 5)

- **Direct** participants to enter the strategy for the selected factors in the fourth column on the worksheet.
- **Direct** participants to estimate the degree to which the strategy will neutralise or offset a threat or enhance an opportunity and enter the appropriate code in column five.

IV. Financial implications (40 minutes)

- **Refer** participants to the questions on the first checklist in Appendix A under "Financial implications." The questions are the same for all factors.
- **Give** examples of how strategies affect costs and revenues using the information on page 56 in Appendix B.
- **Refer** participants to page 56 in Appendix B and review with them the definitions and examples for one-time, recurrent, and compounded costs and revenues.
- **Ask** for questions or comments on financial implications.
- **Direct** participants as a group to estimate financial implications for the strategies they have developed and enter them in the last column on the worksheet.
- **Ask** one member of the group to report the financial implications estimated by the group and the rationale to support that estimation.
- **Make** suggestions to modify any estimates you have reason to think may not include some important considerations.
- **Ask** for final questions or comments on strategic assessment.

SESSION 3: OBJECTIVES

- Analyse selected factors for their effect on sustainability

- Identify strategies for dealing with threats and opportunities

TERMS

Sustainability factor:

- a condition that may affect the continued existence of a programme

Threat:

- a sustainability factor that may hinder or interfere with the continued existence of a programme

Opportunity:

- a sustainability factor which supports the continued existence of a programme and may contribute to its improvement or expansion

TYPES OF SUSTAINABILITY FACTORS

1. Size of target population

2. Target group's demand for services

3. PHC service quality

4. Management support

5. Organisational capacity

6. Political commitment

7. Personnel

8. Programme revenues

9. Programme expenditures

10. Environment

THREAT/OPPORTUNITY CODES

Threat (negative)

---	Life-threatening, must overcome
--	Serious and significant
-	Minor, but should be dealt with
0	Neutral; neither a threat nor an opportunity
+	Minor advantage, opportunity to pursue
++	Significant opportunity, very advantageous
+++	Golden opportunity, must follow up

Opportunity (positive)

HOW TO DEVELOP STRATEGIES

1. Attack problems, not symptoms

2. Review what has worked

3. Brainstorm

SUSTAINABILITY FACTORS WORKSHEET

Classify each factor, identify strategies where appropriate, estimate financial implications				FINANCIAL IMPLICATIONS					
PHC services and management support services Factor: Threat/opportunity; description	Effect	Strategy	Effect	Revenues			Expenditures		
				1-Time Rev.	Rcrnt. Rev.	Cmpnd. Rev.	1-Time Costs	Rcrnt. Costs	Cmpnd. Costs

BRAINSTORMING GUIDELINES

Definition: Brainstorming is a technique used by small groups to generate a variety of ideas, to identify problems, theories for the cause of problems, proposed remedies, or obstacles to problem solutions.

Principles: No idea can be criticised or evaluated. The aim is to produce the greatest number of ideas in the shortest time. An idea already presented can be expanded, modified, or used as a trigger to produce other ideas.

Pitfalls: Using brainstorming as a substitute for data. Once a list of ideas has been produced, they must be processed to: set priorities among them; analyse symptoms; test theories; identify root causes; or verify the effectiveness of a solution. The group may have difficulty suspending judgement. This can be helped by conducting a warm-up session with a neutral subject, such as "How many means of transportation for people can we name?" or "Which objects in your house have handles?"

Procedure: **Phrase the statement** to be specific, focused, broad enough to encourage creativity, and without bias. For example, "For the past two months, the rural health centres have been running short of antibiotics at least a week before the new delivery comes. What could be the causes?"

Prepare ahead of time, if possible, by communicating the statement to participants at an earlier time. A group of six to eight participants is ideal.

Review the principles: no criticism; think unconventionally; aim for quantity; build on others' ideas.

Review the rules: make contributions in turn; only one idea per turn; you may skip a turn; do not explain your idea.

Conduct the brainstorming: lead a warm-up, if necessary; write the statement where all can see; have a recorder write all contributions where they are visible to all; end after 10 or 15 minutes.

Process the ideas: clarify each solution; combine and group similar ideas; agree on evaluation criteria; collect additional data as needed.

Session 4: Financial assessment (Step 6)

Objectives:	Participants will be able to: • Identify options for increasing revenues and/or decreasing costs. • Conduct a "what-if" analysis.
Session outline:	I. Introduction (5 minutes) II. Identify options (1 hour) III. Conduct "what-if" analysis (55 minutes)

Materials:	Module 9 User's guide
	    Transparency 9-12: Session 4: Objectives
	    Transparency 9-13: Types of changes
	    Handout 9-7: Revenue and expenditure projections worksheet
	    Handout 9-8: What-if analysis worksheet

Equipment:	Flip chart, stand, markers, masking tape, overhead projector and screen, hand calculator ***Note:*** *The lesson plan for this session is written for a Level 1 financial assessment using a hand calculator. If the programme you are working with has the appropriate computer capability, follow the directions in Appendix B.*

Session 4: Financial assessment (Step 6)

I. Introduction (5 minutes)

Transparency 9-12:
Session 4: Objectives

- **Review** session objectives.
- **Present** highlights of session activities.

II. Identify options (1 hour)

- **Refer** participants to page 31 in the User's guide and **review** the content and organisation of Table 3.

Handout 9-7: Revenue and expenditure projections worksheet

- **Distribute** the worksheet and **direct** participants to prepare an estimate of programme revenues and expenditures for the next 5 years based on past experience and their judgment of changes in the foreseeable future.

Flip chart

- **Direct** participants to prepare a graph on the flip chart similar to the one on page 32 and determine when, if at all, costs exceed revenues.
- **Refer** participants to the options for increasing revenues and decreasing costs on page 32 and check those that are feasible to consider for their programme.
- **Direct** participants to select two options for increasing revenues and two for decreasing costs and estimate the percent of change they would expect for each.

III. Conduct "what-if" analysis (55 minutes)

Transparency 9-13: Types of changes

- **Explain** the types of changes that can be made in revenue and expenditures and give an example of each, using the information on page 33.

Session 4: Financial assessment (Step 6)

Handout 9-8: What-if
analysis worksheet

Handout 9-7: Revenue
and expenditure
projections worksheet

Flip chart

- **Refer** participants to Table 4 on page 37 and explain it using the information contained on page 33.
- **Distribute** the worksheet and **direct** participants to determine whether the options they selected are one-time, recurrent or compounded and enter the estimated percentages of change in the appropriate places.
- **Distribute** a second blank worksheet and direct the group to recalculate their 5 year projections using one option for increasing revenue and one option for decreasing cost.
- **Direct** participants to prepare another graph similar to the one on page 36 and identify any changes in the relationship of cost and revenue.
- **Explain** that depending on the results of the what-if analysis, participants can:

    Revise their estimates of change in revenue or expenditure until revenue equals or exceeds expenditure.

    Revise one or more strategies for achieving sustainability.

    Modify the sustainability objectives defined on Handout 9-3 to fit the projected budget.
- **Explain** that in the next session participants will review sustainability objectives and strategic and financial assessments and select a strategy to put into action.

SESSION 4: OBJECTIVES

- Identify options for increasing revenues and/or decreasing costs

- Conduct a "what-if" analysis

TYPES OF CHANGES

One-time: occurs only once

Recurrent: a permanent change that is continued year after year

Compounded: a recurrent change that increases or decreases over time by a fixed amount

REVENUE AND EXPENDITURE PROJECTIONS WORKSHEET

	CY	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	TOTAL
REVENUES Fees Contributions Government subsidies Grants/contracts Outside income Other **TOTAL**							
EXPENDITURES Personnel Travel/per diem Supplies Equipment Other direct costs Indirect costs Other **TOTAL**							
SUMMARY Revenues Expenditures **BALANCE**							

WHAT-IF ANALYSIS WORKSHEET

FINANCIAL FACTORS	1-Time Revenue	Recurrent Revenue	Compound Revenue
Revenue categories			
Fees			
Contributions			
Government subsidies			
Grants/contracts			
Outside income			
Other			
Other			
Expenditures categories	**1-Time Costs**	**Recurrent Costs**	**Compound Costs**
Personnel			
Travel/perdiem			
Supplies			
Equipment			
Other direct costs			
Indirect costs			
Other			
Other			
Other			
Other factors affecting expenditures			
Inflation			
In-kind contributions			

Session 5: Action planning (Step 7)

|	
Objectives:	Participants will be able to:
	• Select an optimum strategy for sustaining the programme.
	• Describe the essentials of a plan to implement the selected strategy.
Session outline:	I. Introduction (5 minutes)
	II. Select sustainability strategy (30 minutes)
	III. Develop an action plan (10 minutes)
	IV. Next steps (30 minutes)
	V. Conclusion (15 minutes)
Materials:	Module 9 User's guide
	Transparency 9-14: Session 5: Objectives
Equipment:	Flip chart, stand, markers, masking tape, overhead projector, and screen
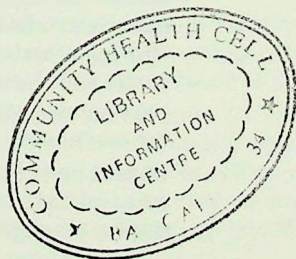
Session 5: Action planning (Step 7)

I. Introduction (5 minutes)

Transparency 9-14:
Session 5: Objectives

- **Review** session objectives.
- **Present** an overview of session activities.

II. Select sustainability strategy (30 minutes)

- **Direct** participants to assemble the worksheets that summarise the decisions they have made in performing the sustainability analysis:

    Handout 9-3:   Worksheet for specifying sustainability objectives

    Handout 9-4:   Worksheet for specifying restrictions on sustainability

    Handout 9-6:   Sustainability factors worksheet

    Handout 9-7:   Revenue and expenditure projections worksheet (both initial and adjusted versions)

- **Remind** participants that they also may review the graphs that they prepared to display the results of the revenue and expenditure projections.
- **Direct** participants as a group to review these materials, make adjustments in objectives, strategies, and/or estimates of change in revenue and expenditure projections, and select the optimum strategy or strategies for achieving sustainability.
- **Direct** participants to prepare a written summary of the selected strategy in the format display on page 38 in the User's guide.

Session 5: Action planning (Step 7)

- **Ask** one group member to present the selected strategy and describe the adjustments, if any, that were made, and the rationale for those adjustments.
- **Explain** the importance of expanding this summary into a detailed document which includes assumptions that were made so that they are not forgotten and can be referred to periodically to monitor progress and make adjustments as necessary as the sustainability plan is implemented.

III. Develop an action plan (10 minutes)

- **Explain** that if sustainability is to be achieved, the strategy must be implemented and monitored.
- **Emphasise** that implementation must involve all staff, using the guidelines mentioned on page 38.
- **Invite** participants to discuss briefly how the sustainability strategy planning can be incorporated into their existing planning activities.

IV. Next steps (30 minutes)

- **Ask** participants to identify the steps, if any, in sustainability analysis where they need to do more work because of lack of information.
- **Direct** participants to consider what they need to do immediately after the workshop to:
    Complete and/or refine one or more steps in sustainability analysis and/or incorporate the selected strategy into their routine planning activities.
    Involve other staff in implementation.

Session 5: Action planning (Step 7)

- **Direct** participants to list what they need to do to implement those actions and then develop an action plan which includes:

  Tasks in order of accomplishment.
  When each task must be completed.
  Who is responsible for each task.

- **Ask** participants to review their action plan, anticipate any problems the might occur, and suggest a way to deal with each problem.

- **Ask** for questions and comments on the action plan.

V. Conclusion (15 minutes)

Flip chart of expectations from Session 1

- **Review** the expectations that it was agreed would be met by the workshop and **ask** them to assess how well they think those expectations have been met. If any were not met, **ask** how the workshop could be improved to make that happen.

- **Thank** participants for their time and attention, **congratulate** them on the results of their work, and **wish** them good luck in implementing their action plans.

Note: Indicate what follow-on assistance will be available, if appropriate.

SESSION 5: OBJECTIVES

● Select a strategy for sustainability

● Describe essentials of a plan to implement the selected strategy

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Primary Health Care Management Advancement Programme

SUSTAINABILITY ANALYSIS

MODULE 9
FACILITATOR'S GUIDE