
SUSTAINABILITY GUIDE

*A PRACTICAL TOOL FOR SUSTAINING
DEVELOPMENT GAINS*

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This sustainability guide is intended to serve a resource to ILAB project managers in their efforts to ensure that valuable development gains are sustained once project funding ends. Dan O'Brien, President of O'Brien and Associates International, Inc., developed the sustainability guide according to the Task Order Performance Work Statement. Mr. O'Brien would like to thank the United States Department of Labor officials, Grantee representatives, and others who offered their time and expertise throughout the development and review of this sustainability guide.



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I N T E R N A T I O N A L

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Sustainability Guide

Introduction

This Sustainability Guide is intended to serve as a resource to ILAB project managers in their efforts to ensure that valuable development gains are sustained once project funding ends. This deliverable follows up on in-person training held for ILAB project managers in January 2018. In the coming year, OTLA and OCFT leadership will continue to discuss this guide and other resources, including additional input from ILAB project managers, to articulate and communicate any new guidance or requirements for ILAB project managers and/or grantees with respect to sustainability. In the meantime, ILAB project managers are encouraged to experiment with the concepts and tools presented in this guide, as approved by their supervisors.

While USDOL does not have an explicit definition of sustainability, the OTLA and OCFT Management and Procedures Guidelines (MPG) establish clear expectations for sustaining project achievement after project funding ends. The OTLA MPG states that “*strategies should explain how the project’s specific outcomes will be sustained after the project ends*” while the OCFT MPG states that “*strategies should explain which of the project’s specific objectives will be sustained after the project ends and how they will be sustained.*”

The expectation that important outcomes will be sustained after the project ends is consistent with international development organizations as summarized below. Four of the five international development organizations refer to sustainability as the continuation of benefits once the project ends. USAID, on the other hand, refers to local systems or organizations being able to produce outcomes over time or when the USAID project ends.

- The Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) includes sustainability as one of its five criteria for evaluating development assistance (relevance, effectiveness, efficiency, impact, and sustainability). The DAC criteria reference guide states that “*sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.*”¹
- The International Labor Organization (ILO) defines sustainability as “*the continuation of benefits from a development intervention after major development assistance has been completed.*”²
- The Australian Agency for International Development (AusAID) uses a similar definition of sustainability, which is “*the continuation of benefits after major assistance from a donor has been completed.*”³
- The International Fund for Agriculture Development (IFAD) defines sustainability as “*the likely continuation of net benefits from a development intervention beyond the phase of external funding support.*”⁴

¹ <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

² ILO PARDEV Sustainability Checklist, 2017

³ Room Document #8, Promoting Practical Sustainability, AusAID, November, 2000

⁴ Development Effectiveness Review of IFAD Projects 2007-2013

- Sustainability is one of the primary pillars of the United States Agency for International Development's (USAID) local systems approach to development. The local systems approach states that sustainability is *“the ability of a local system to produce desired outcomes over time. Discrete projects contribute to sustainability when they strengthen the system's ability to produce valued results and its ability to be both resilient and adaptive in the face of changing circumstances.”*⁵

The Sustainability Guide is organized into four main sections. Section 1 lists and describes a set of factors that has been associated with achieving sustainability. Section 2 presents a sustainability checklist tool that builds on the set of sustainability success factors from Section 1. The checklist can be used by ILAB project managers during the project development process to help ensure sustainability is built into the design of ILAB projects. It can also be used to develop the project's sustainability strategy. Section 3 focuses on developing sustainability strategies and plans and offers a sustainability planning and implementation tool. Section 4 offers three project management tools that ILAB project managers can use to assess the likelihood of sustaining key project outcomes, assess risks to achieving sustainability and develop contingency plans, and identify and manage key stakeholders who could influence sustainability. Note that while developing a sustainability strategy is a requirement of both OTLA and OCFT projects, the checklist that is described in Section 2 and the project management tools discussed in Section 4 are new tools that ILAB project managers are not currently using.

1. Sustainability Success Factors

Based on a cursory review, there appears to be a set of factors that is associated with sustaining project outcomes; however, a more extensive review of relevant literature was not feasible during the timeframe available and is strongly recommended. The contractor's limited review of current literature on sustainability and interviews with 20 ILAB project managers and directors of ILAB projects (i.e., grantees implementing ILAB projects). One instructive study identified during the literature review was a post-project sustainability study of 12 USAID food security projects in four countries.⁶ The study, which was conducted by Tufts University, concluded that **project achievements at the time of the endline survey did not necessarily translate into sustained benefit for project beneficiaries**. In fact, focusing exclusively on achieving impact during the life of the project could jeopardize longer term sustainability. Other important findings include the following:

- **Replacement resources, capacity building, and motivation were critical to achieving sustainability.** Identifying cash or in-kind resources to replace resources provided by the project; building the management and technical capacity of partners (both organizational and individual) to continue to implement activities; and maintaining high levels of partner and beneficiary motivation were not only critical but interrelated success factors.

⁵ Local Systems: A Framework to Support Sustained Development, USAID, April 2014

⁶ Sustaining Development: A Synthesis of Results from a Four-Country Study of Sustainability and Exit Strategies among Development Food Assistance Projects, Gerald J. and Dorothy R. Friedman School of Nutrition Science and Policy at Tufts University, October 2016 <https://www.fantaproject.org/research/exit-strategies-ffp>

- **Gradual transition from project supported activities to independent operation was important to achieve sustainability.** Sustainability was more likely when projects gradually phased out activities and resources and allowed partners to operate independently.
- **Providing free resources can jeopardize sustainability.** Providing free resources, such as marketing services, local transportation, and incentives, created expectations that could not be sustained once the project ended and funds were no longer available.
- **Creating linkages, especially vertical linkages, between community and institutional structures was critical for effective phase-over and sustained support.** Creating linkages between project beneficiaries and partners and corresponding public and private sector institutions to support them is one of the most important sustainability success factors.

Interviews conducted with ILAB project managers and the directors of ILAB projects focused on identifying project outcomes they perceived to be either sustained or showed promise and the factors that contributed or could contribute to their sustainability. These success factors, which are presented and described below, were highly consistent with those noted above from the USAID food security post-project sustainability study.

- **Replacement Resources.** One of the most frequently mentioned success factors was replacement resources. Identifying resources to replace project resources was considered critical in allowing partners to continue to implement activities to sustain outcomes. The sources of replacement resources could include government budgets, funding from NGOs, organization membership fees, and revenue generated by income-generating activities or small businesses.
- **Ownership and Political Will.** Another frequently mentioned success factor was ownership and political will to continue to sustain a particular outcome. Ownership and political will are similar to the motivation success factor identified in the USAID study. A high level of commitment from project partners and other stakeholders is perceived to be critical to sustaining an outcome.
- **Capacity.** The OTLA and OCFT MPGs state that building capacity is key in helping ensure outcomes are sustained. During interviews, capacity was noted as one of the most important factors that could help project partners sustain outcomes once ILAB projects end. As noted in the USAID post-project impact study, building both organizational and individual capacity are critical factors. Capacity building involves preparing, positioning, and equipping local entities and individuals to own and sustain the outcomes.
- **Institutional Linkages.** Creating linkages between project partners and beneficiaries and public or private institutions is another important success factor. These linkages might include trade unions to labor rights training institutions, labor inspectors to Ministry of Labor virtual training classrooms, community volunteers to local government outreach services, and Village Savings and Loan Associations (VSLAs) to markets and lending institutions.

- **Long Disengagement Process.** Several directors of ILAB projects commented that a long disengagement process was key to sustaining project outcomes. Transferring the responsibility for implementing activities to partners well before the project ended helped ensure sustainability. In two cases, the long disengagement process was made possible because the projects were granted no-cost extensions.
- **Integration with Existing Systems.** Project interventions that were integrated with existing systems, structures, policies, or laws appeared to have a greater chance of being sustained once the project ended. For example, incorporating child labor-free criteria in certification processes or investing resources to support labor law reform was more likely to be sustainable.
- **Addressing Felt Needs.** Interventions or outcomes that were perceived as addressing real or felt needs of project partners and beneficiaries were more likely to be sustained. These include outcomes aligned with government and non-government partners' priorities. It was noted that some projects perceived to be imposed by ILAB were not meeting felt needs and thus were perceived to be unsustainable.
- **Tangible Results.** Project interventions that achieve tangible outcomes are another important success factor. Successful interventions create confidence in partners and beneficiaries and motivate them to continue once the project ends. Successful interventions range from educational interventions that make learning fun and motivate parents to keep children in school to improved labor inspection information systems that provide real time information to labor inspectors and their supervisors.
- **Viable Cost Recovery Models.** Some OTLA and OCFT projects include cost recovery models, which are interventions that generate revenue. For example, OTLA supports the ILO/IFC Better Work Program that generates revenue from apparel factory subscriptions and purchases of Better Work assessment reports by the brands in several countries. In some cases, OCFT projects also include VSLAs, vocational training for youth leading to the establishment of small businesses, and fee-based services.⁷ These interventions are potentially sustainable because they generate their own replacement resources.
- **Public Private Partnerships.** Certain ILAB projects aim to create partnerships or alliances with the private sector. The partnerships often include integrating project outcomes with private sector systems to promote sustainability. The most commonly identified example for OCFT projects is incorporating child labor-free criteria in product certifications (e.g. coffee in Peru) or in a company's supply chain (e.g., hazelnuts in Turkey).⁸ Examples of OTLA projects that partner with the private sector include labor compliance and monitoring projects that form alliances with large buyers to ensure labor rights are respected in the supply chain.

⁷ Fee based services occur when an individual or organization charges a fee for services provided that can help sustain the service. This might include a trade union charging small fees for training in labor rights or a community water supply committee charging a user fee for water supply.

⁸ It should be noted that OCFT reports mixed results using certifications to reduce child labor.

2. Sustainability Checklist

The sustainability checklist, which is essentially comprised of the sustainability success factors identified in Section 1, is a versatile new tool that ILAB project managers can use during the project development process to help ensure sustainability is addressed from the beginning and/or by grantees during the development of the project's sustainability strategy. Below are a variety of tips for using the sustainability checklist during the project development process.

- The sustainability factors in the checklist could prove to be a valuable tool to help ILAB project managers develop the preliminary project objectives and outcomes for the Funding Opportunity Announcement (FOA). Project managers can use the checklist to help ensure that outcomes and indicators include sustainability language.
- The checklist, or parts of it *could* be used by FOA review panels to score proposals on the extent to which they address the sustainability of critical outcomes. For example, the panel could score outcomes and their indicators on whether they include adequate sustainability language. The panel could also score the outcomes and their strategies on how effectively they address key sustainability success factors.
- Once the grant is awarded, project managers could use the checklist as a tool to discuss specific outcomes and their outputs and strategies to determine to what extent they answer the questions in the checklist. Questions addressing replacement resources, ownership, capacity, linkages, and the disengagement process would likely be highly relevant.
- More specifically, ILAB project managers can use the checklist as a vehicle to review, comment on, and approve key deliverables such as the results framework, PMP or workplans. For example, if the draft set of indicators in the PMP does not include language on sustaining the outcome or if the workplans do not include activities designed to institutionalize the outcome (e.g., training capacity), the ILAB project manager could ask the grantee to make revisions.
- OCFT may require grant recipients to develop a comprehensive monitoring and evaluation plan (CMEP). The CMEP is another excellent opportunity to ensure sustainability is built into the project's outcomes, indicators, and data collection methodology. Again, since OCFT is required to approve the CMEP, it can heavily influence to what extent sustainability is reflected in the Results Framework and PMP.

The sustainability checklist poses the success factors as questions in the first column and then provides columns for *yes*, *no*, *not applicable*, and *comments*. The checklist is designed to be used for each outcome in the following manner:

- Enter the name of the outcome.
- For each sustainability factor, mark the “*yes*” column if the factor is adequately addressed or “*no*” if the factor is not adequately addressed. If a particular sustainability factor does not apply to the outcome, mark not applicable or N/A.
- Provide comments to justify and explain why the factor was marked “*yes*” or “*no*.”

Sustainability Checklist

| Outcome: | | | | |
|---|-----|----|-----|----------|
| Sustainability Factor | Yes | No | N/A | Comments |
| Are the outcome indicators written to reflect sustainability? ⁹ | | | | |
| Are there plans to ensure cash or in-kind resources to replace resources provided by the project? ¹⁰ | | | | |
| Is there a strategy to create ownership on the part of key stakeholders, particularly in the public sector? | | | | |
| Are there strategies to build the management and technical capacity required for sustainability? | | | | |
| Is there a plan to establish critical linkages between partners and project participants and private or public institutions that can provide necessary support? | | | | |
| Is there a sufficiently long disengagement process to transfer the responsibility to partners or beneficiaries so they operate independently? ¹¹ | | | | |
| Is this outcome integrated in existing systems, structures, policies, or laws? | | | | |
| Is this outcome designed to demonstrate tangible results that partners and beneficiaries can see? | | | | |
| If appropriate, have viable cost recovery approaches been incorporated for this outcome? | | | | |
| If appropriate, have partnerships with the private sector or strong civil society organizations been incorporated in this outcome? | | | | |

3. Planning for Sustainability

To maximize sustainability in the near term, sustainability strategies and plans are necessary to help ensure projects have a clear plan to sustain critical outcomes. OTLA and OCFT provide specific guidance on sustainability in the MPGs, which is summarized below.

⁹ Sustainability language does not mean using the word sustainability. Sustainability language refers to writing indicators in ways that measure sustainability such as linkages with resource organizations or markets or skills and capacities needed to sustain outcomes once the project ends.

¹⁰ Replacement resources should be sustainable such as government or private training centers that can provide capacity building. Replacing USDOL project resources with other donor resources is not sustainable.

¹¹ “Significantly long” was defined in the USAID post project evaluation as approximately one year.

Summary of OTLA and OCFT Sustainability Guidance in the MPGs

| OTLA MPG Sustainability Guidance | OCFT MPG Sustainability Guidance |
|---|---|
| <ul style="list-style-type: none"> ▪ Submit a sustainability strategy (including local capacity) as part of the initial draft Project Document Package. ▪ Strategies should explain how the project’s specific outcomes will be sustained after the project ends. ▪ Report on the progress of the sustainability plan in each of their TPRs. ▪ Engage relevant government agencies and nongovernmental organizations (NGOs) to strengthen their capacity. | <ul style="list-style-type: none"> ▪ Submit the strategy for promoting sustainability within the timeline established in the General Timetable of Deliverables. ▪ Strategies should explain which of the project’s specific objectives will be sustained and how they will be sustained. ▪ Report on the progress in each of their October TPRs. ▪ The assessment/ strategy must be linked to project impact and ability to ensure that changes endure and that organizations have the capacity to maintain and/or expand them. ▪ Engage relevant government agencies and NGOs to strengthen their capacity in areas including advocacy and awareness. ▪ Aim to work with companies/industry groups to develop and improve their voluntary social compliance practices. |

In developing and reviewing sustainability plans, both ILAB project managers and grantees should consider the following six key elements.

- **What?** There needs to be a determination of what is to be sustained. ILAB projects typically focus on sustaining critical outcomes. However, in certain projects, it may be appropriate to sustain outputs as well as outcomes. It should also be noted that it may not be necessary or appropriate to sustain all outcomes.
- **How?** Once it is determined what will be sustained, the strategy for how outcomes and/or outputs will be sustained needs to be developed.
- **Who?** Once the strategy to sustain a certain outcome or output is developed, the organization responsible for sustaining it needs to be identified. The responsible organization is typically a government agency or other key project partners such as trade unions, non-governmental organizations, community groups, and/or the private sector.
- **When?** In sustainability planning, it is important to set a general timeframe for when the responsible organization will implement the sustainability strategy or its components. The timeframe, at this stage, is often stated in terms of quarters in relation to the project’s life cycle. Setting the timeframe should take into consideration the required length of the disengagement or exit strategy.
- **How much?** It is also important to determine the kinds and amounts of resources that are likely to be required to sustain a particular outcome. The strategy will help determine the kinds and amounts of necessary replacement resources, while the responsible organization will help determine the source of the resources. The timeframe, on the other hand, will help determine when the resources should be available.

- **Achieved?** This element consists of indicators to measure the achievement of the sustainability strategy. Sustainability indicators are used to track the progress in achieving the strategy as well as its achievement.

There are a variety of sustainability planning tools that can be used. Minimally, the planning tool should include the six elements discussed above. Below is a sustainability planning matrix with the six sustainability elements from an OTLA project in Haiti. The example focuses on sustaining the labor inspector and conciliator training program developed and implemented by the project. The strategy consists of combining inspector and conciliation training into one package and developing a training plan and budget so the required resources are known. Next, the strategy proposes that the HOPE Commission, Ombudsperson, the Haiti Association of Industries (ADIH), and USDOL write letters and meet with the Labor Minister to encourage he or she to allocate funds to the Labor Directorate so the training program can be implemented.

Sustainability Planning Matrix Example for an OTLA Project

| Outcome | Sustainability Strategy | Responsible Organizations | Timeframe | Resources Required | Indicators |
|---|--|---------------------------|-----------|---|---|
| Inspector and conciliator skills improved | • Combine inspector and conciliator training in one package. | Labor Directorate | Quarter 1 | Based on training plan (estimated \$2,000 per inspector or conciliator per year for 20 persons) | Inspector and conciliator training package finalized |
| | • Develop training plan and budget. | Labor Directorate | Quarter 2 | | Training plan and budget developed |
| | • CTMO-HOPE/ Ombudsperson, ADIH and USDOL encourage Minister to provide funds. | HOPE, ADIH, USDOL | Quarter 2 | | Letters and meetings with Labor Minister Labor Minister approves funds |

Following is another example of a sustainability planning matrix from an OCFT project in Colombia. The example focuses on sustaining increases in the retention of children and adolescents in schools through the use of the Pazalobien methodology.¹² The sustainability strategy consists of identifying a core group of teachers who have already been trained in Pazlobien methodology and training them to train other teachers to use the methodology.

Sustainability Planning Matrix Example for an OCTF Project

| Outcome | Sustainability Strategy | Responsible Organizations | Timeframe | Resources Required | Indicators |
|------------------------|---|---------------------------|-----------|--------------------|-----------------------------------|
| Increased retention of | • Identify core group of teacher champions that | Mi Sangre Foundation | Quarter 1 | | List of champion groups (names of |

¹² Pazalobien seeks to encourage children, teenagers and youths to develop creativity, participation, and perspective regarding their rights. The creativity aspect of Pazalobien focuses on music, art, theatre, and sport and emphasizes learning through play.

| Outcome | Sustainability Strategy | Responsible Organizations | Timeframe | Resources Required | Indicators |
|--|--|--|-----------|---|--|
| children and adolescents in the educational system | have been trained in Pazalobien methodology | | | Pazalobien guides and materials (estimated budget \$20,000) | teachers) by school (names of schools) |
| | • Train teacher champions in Training of Trainer (TOT) approaches | Mi Sangre Foundation | Quarter 2 | | Number of teacher champions trained in TOT by school |
| | • Provide teachers and schools Pazalobien guides and materials | Mi Sangre Foundation | Quarter 2 | | Percent of target schools with full package of Pazalobien teaching guides and materials |
| | • Champion teachers train teachers in Pazalobien methodology and use the methodology in classrooms | School principal and core Pazalobien champion teams trained in TOT | Quarter 4 | | Percent of teacher champion groups effectively training new teachers in Pazalobien methodology |

Grant recipients are required to submit sustainability plans within a specified timeframe after signing the Cooperative Agreement. ILAB project managers can use the sustainability checklist described in Section 2 to help grant recipients to develop the sustainability plan or to review sustainability plans. More specifically, ILAB project managers might use the checklist to help develop the sustainability plan in the following ways:

- Provide the sustainability planning tool along with the checklist and ask grant recipients to develop the sustainability plan using the checklist to ensure critical sustainable success factors are addressed in the plan. Project managers should provide coaching to grant recipients while the plan is being developed.
- Use the checklist to review and provide feedback on sustainability plans to ensure that outcomes to be sustained have clear strategies that address replacement resources, ownership and commitment, capacities, institutional linkages, integration with existing systems and structures, and a sufficiently long disengagement process.
- During visits to the project, project managers could meet with key project staff and work with them to complete or update the sustainability planning tool. Project managers could use the checklist to keep project staff focused on ensuring that key sustainability factors are adequately addressed in the plans.
- Use the checklist to review existing sustainability plans to determine whether they address the sustainability principles contained in the checklist such as replacement resources, ownership, capacity building, institutional linkages, and prolonged disengagement

possesses. The review should lead to revised sustainability plans that will increase the chances that key outcomes will be sustained.

- During midterm and final implementation evaluations, include evaluation questions about the effectiveness of sustainability plans and whether they meet sustainability principles. ILAB might provide the checklist to evaluators to use during the evaluation to assess their effectiveness.

4. Sustainability Planning Tools

This section introduces three specific tools that ILAB project managers can use to help ensure sustainability is built into project design and to develop sustainability plans. These tools are actually project management tools that can be used in a variety of management situations. For our purposes, we are discussing their potential use to help plan and monitor sustainability.

The tools consist of the Risk Probability and Impact Register and Matrix to assess risk, the Stakeholder Power and Interest Register and Matrix to analyze stakeholders, and the Likelihood of Sustainability Matrix to determine willingness and ability of stakeholders to sustain certain outcomes. Before reviewing the tools, it would be worth briefly discussing how ILAB project managers might use the tools.

These tools can be used in a variety of situations. For example, a change in governments would result in changes in counterpart ministries. In this situation, the Stakeholder Power and Interest Register and Grid could be used to conduct a stakeholder analysis to determine how to manage a new group of stakeholders. On the other hand, an existing government might change key policies that affect sustainability. In this situation, a risk analysis could be conducted using the Risk Probability and Impact Register and Matrix to identify new risks, their probability and potential impact, and develop mitigation or contingency plans.

The sustainability tools can also be used in a more linear process as suggested in the following steps:

1. **Conduct a risk assessment using the Risk Probability and Impact Register and Matrix.** The risk assessment would identify risk factors associated with a given outcome and their probability and impact on the outcome. Specific mitigation or contingency strategies would also be developed to address the risk factors.
2. **Conduct a stakeholder analysis using the Stakeholder Power and Interest Register and Grid.** The stakeholder analysis would identify those actors who are key to sustaining an outcome as well as their relative power and interest related to sustaining the outcome.
3. **Conduct the Likelihood of Sustainability Mapping.** The results from the risk assessment and stakeholder analysis could be used to conduct the likelihood of sustainability mapping, which would identify those outcomes best oriented for sustainability and those that may need to be scaled back, modified, or dropped from consideration.

Keeping in mind how the tools might be used, the tools themselves are discussed below along with examples.

Risk Probability and Impact Register and Matrix

The Risk Probability and Impact Register and Matrix are companion tools to help manage risk. Effective risk management involves analyzing uncertain events and their circumstances. Risk analysis addresses two dimensions. The first is the probability of the uncertain event occurring. The second is the consequences or the impact of the event once it occurs. Risks are classified high or low probability and high or low impact as described below.

- **Low probability/low impact risks** – Risks in the bottom left corner are minimal and can often be ignored.
- **High probability/low impact risks** – Risks in the top left corner are of moderate importance. While these events are likely to occur, their impact is minimal. The strategy to manage these risks is to reduce the likelihood that they'll occur.
- **Low probability/high risks** – Risks in the bottom right corner are of high importance if they do occur, but they're unlikely to happen. For these, however, project managers should reduce the impact they'll have if they do occur by having mitigation or contingency plans in place.
- **High probability/high impact risks** – Risks towards the top right corner are of critical importance. These are top priorities and are risks that project managers must pay close attention to.

Once risks have been classified, they are plotted in one of four quadrants in the Risk Probability and Impact Matrix.

Risk Probability and Impact Matrix

| | |
|--|---|
| Outcome: | |
| High Probability Risks Low Impact Risks | High Probability Risks High Impact Risks |
| Low Probability Risks Low Impact Risks | Low Probability Risks High Impact Risks |

Below is an example of the Risk Probability and Impact Matrix completed using the OTLA Haiti project introduced previously.

Risk Probability and Impact Matrix Example

| | |
|---|---|
| Outcome: Inspector and conciliator skills improved | |
| High turnover of inspectors and conciliators resulting in the need to provide training to new staff | Ministry of Labor budget does not have a line item for inspector and conciliator training |

| Outcome: Inspector and conciliator skills improved | |
|---|--|
| Training facilities used by Ministry of Labor are no longer available | Ministry of Labor decides building the capacity of inspectors and conciliators is not a priority |

The Risk Probability and Impact Register, which appears below, is designed to be used with the matrix to help identify and classify risks. The example is from the same OTLA Haiti project.

Risk Probability and Impact Register and Example

| Outcome | Risks | Probability | Impact | Mitigation |
|---|---|--------------------|---------------|--|
| Inspector and conciliator skills improved | Ministry of Labor budget does not have a line item for inspector and conciliator training | High | High | Influential stakeholders write letters to and meet with the Minister of Labor to encourage him or her to allocate funds for training |

Steps in Using the Probability and Impact Register

- **Outcome.** List the specific outcome that is to be sustained. The risk matrix above lists the outcome from the OTLA Haiti project, which is to sustain the inspector and conciliator training program.
- **Risk.** List the risks to sustaining the outcome. The primary risk to not achieving sustainability of the training program is the lack of funds in the Ministry of Labor budget.
- **Probability.** Classify the probability of a risk occurring as high or low. The probability of the Ministry of Labor budget not having a specific line item for inspector and conciliator training is high.
- **Impact.** Classify the impact the risk would have on sustaining the outcome as high or low. The impact of the lack of funds would have a high impact on sustaining the training program.
- **Mitigation.** Develop specific steps to mitigate the risk or to manage it when it occurs. The primary strategy to address the risk is to have influential stakeholders write letters to the Minister of Labor and meet with him or her to encourage him or her to allocate funds for the training program from other line items in the budget.

The Risk Probability and Impact Register and Matrix are designed to be used as companion tools. Project teams might find it useful to first identify the range of risks associated with sustaining an outcome. The matrix can be used to plot the risks in the register according to the four classification quadrants. Finally, depending on the classification, the project teams should develop mitigation or contingency plans especially for risks classified as high probability/high impact and low probability/high impact.

Stakeholder Power and Interest Register and Grid

Stakeholders are organizations or individuals who have a stake or an interest in the project and specifically the outcomes to be assessed for sustainability. Since stakeholders will be affected in some way by the outcome, they have an interest in influencing it. If stakeholders perceive that they will benefit from the outcome, they will likely be supportive. On the other hand, if the outcome is perceived as having a potential negative effect on stakeholders, they will likely be unsupportive and may even try to block the outcome.

The Stakeholder Power and Interest Register and Grid are tools to help project managers identify, analyze, and manage key stakeholders who could affect the sustainability of outcomes. Like the risk analysis tools, the stakeholder analysis tools are companion tools to help manage stakeholders.

- **Low power/low interest** – Stakeholders in the bottom left corner of the grid have neither much power or interest in sustaining the outcome. Minimal time should be spent managing this group of stakeholders. However, it is a good idea to provide information to them because their position may change in the future.
- **High power/low interest** – While stakeholders in the top left corner of the grid do not have significant interest in sustaining the outcome, they do have a considerable amount of power. If, for some reason their level of interest increases, they possess the power to influence sustainability efforts. It is important to keep these stakeholders informed.
- **Low power/high interest** – Stakeholders plotted in the lower right corner of the grid are highly interested and motivated to sustain the outcome but do not have much power. To the extent possible, these stakeholders can be used to promote sustainability to other key stakeholders.
- **High power/high interest** – The high power and high interest stakeholders are critical to manage because they are interested in sustaining the outcome and have the power to influence sustainability in either a positive or negative way. It is important to keep these stakeholders informed and updated with changes. Frequent meetings are suggested. If possible, it is important to involve them in decisions including having them sit on the project steering committee.

Stakeholder Power and Interest Grid

| | |
|------------------------------------|-------------------------------------|
| High Power Low Interest | High Power High Interest |
| Low Power Low Interest | Low Power High Interest |

Following is an example of the Stakeholder Power and Interest Grid using the same OTLA Haiti project.

Stakeholder Power and Interest Grid Example

| | |
|------------------------|---|
| Minister of Labor | Director of Inspection |
| Vice Minister of Labor | Team leader for the inspectors and conciliators working group |

The Stakeholder Power and Interest Register, shown below, is designed to be used with the stakeholder analysis grid. The example is from the OTLA Haiti project introduced previously.

Stakeholder Power and Interest Register and Example

| Name/Org./Pos. | Responsibility | Power | Interest | Strategy |
|--|------------------------|-------|----------|---|
| John/Jane Doe, Ministry of Labor, Director of Inspection | Quality of inspections | High | High | Manage closely; conduct weekly meetings |

Steps in Using the Stakeholder Power and Interest Register

- **Name, Organization, Position.** List the name, organization, and position of the stakeholder. While the name John Doe is fictitious, the Director of Labor in the OTLA Haiti project example is a key stakeholder.
- **Responsibility.** List the specific responsibility of the stakeholder. The Director of Labor is ultimately responsible for the quality of inspections and, thus, is interested in a training program to help ensure quality.
- **Power.** Classify the level of power the stakeholder has on the sustainability of the outcome as high or low. The Director of Inspection’s influence is high since he or she must approve the training program.
- **Interest.** Classify the degree of interest the stakeholder has in the sustainability of the outcome as high or low. The Director’s interest is high because a sustainable training program would increase the quality of labor inspections.
- **Strategy.** Develop specific steps to manage the stakeholder. The primary strategy to manage the Director of Inspection is to conduct weekly meetings to keep him or her informed of the training program and steps to help ensure its sustainability once the ILAB project ends. He or she also sits on the project committee.

Like the risk assessment tools presented earlier, the Stakeholder Power and Interest Register and Grid are designed to be used as companion tools. Project teams might find it useful to first identify all of the key stakeholders associated with sustaining a particular outcome, along with their responsibilities, and enter this information in the register. Next, their levels of power and interest can be classified as high or low and entered in the register. Once classified, the stakeholders can be plotted in the grid according to the four classification quadrants. Finally, depending on the classification, the project teams should develop specific strategies to manage stakeholders.

To learn more about stakeholder analysis and the Stakeholder Power and Interest Grid, click the following link to read an article on stakeholder management published on the Project Management Institute's website: <https://www.pmi.org/learning/library/stakeholder-management-task-project-success-7736>

Likelihood of Sustainability Map

The Likelihood of Sustainability Map, which is based on economics pricing theory, is designed to assess the willingness and ability of stakeholders to sustain an outcome. O'Brien and Associates International (OAI) developed and first used the Likelihood of Sustainability Map to assess the willingness and ability of potential private sector actors to form public private partnerships in USAID projects. OAI later modified the tool and has used it as a sustainability tool in ILAB evaluations and an ILO sustainability workshop.

The likelihood analysis is based primarily on two factors: willingness and ability to sustain the outcome. The willingness factor is based on political willingness and interest, while ability is based on resources that have been identified and secured. The Likelihood of Sustainability Map consists of the following four quadrants.

- **High Likelihood:** Strong willingness, commitment, and motivation to sustain an outcome and capacities and resources in place to ensure its sustainability. For example, the Ministry of Labor might have a national mandate to improve the quality of inspections or address child labor in the agriculture sector along with funds to support the outcome. Outcomes that are classified as high likelihood should be a priority for stakeholders to sustain.
- **Medium High Likelihood:** Strong willingness, commitment, and motivation to sustain an outcome and resources identified but not yet committed to ensure sustainability. Capacity to continue to implement the outcome may also be lacking. Given the strong degree of willingness, outcomes classified as medium high likelihood should be a priority for stakeholders whose efforts should focus on obtaining the replacement resources or building the capacities of stakeholders to continue to implement the outcome.
- **Medium Low Likelihood:** Uncertain willingness, commitment, and motivation to sustain an outcome and replacement resources not yet identified. Management and technical capacity could also be lacking. Outcomes classified as medium low likelihood could be considered as candidates for sustainability if the degree of willingness can be increased. The focus should be on identifying the causes for the lack of willingness to sustain the outcome and taking steps to increase it.
- **Low Likelihood:** Weak willingness, commitment, and motivation to sustain an outcome and replacement resources not identified with limited possibilities. Management and technical capacities are also probably weak. Stakeholder should not spend effort and resources on trying to sustain outcomes classified in this quadrant of the map.

Likelihood of Sustainability Map

| | |
|--|---|
| <p>MEDIUM HIGH LIKELIHOOD</p> <p>High Willingness Low Ability</p> | <p>HIGH LIKELIHOOD</p> <p>High Willingness High Ability</p> |
| <p>LOW LIKELIHOOD</p> <p>Low Willingness Low Ability</p> | <p>MEDIUM LOW LIKELIHOOD</p> <p>Low Willingness High Ability</p> |

Following is an example of the Likelihood of Sustainability Map from the OTLA Haiti project. In this example, 14 of the project’s outcomes and outputs are plotted in the map.

Likelihood of Sustainability Map Example

| | |
|---|--|
| <p>MEDIUM HIGH LIKELIHOOD</p> <ul style="list-style-type: none"> • Inspector Training (Better Work support) • Information Education Communications (IEC) strategy (radio, audio spots) • Call center • Inspection Information System | <p>HIGH LIKELIHOOD</p> <ul style="list-style-type: none"> • Judicial Training (professional) • Inspection Tools • Inspector TOT |
| <p>LOW LIKELIHOOD</p> <ul style="list-style-type: none"> • Ministry of Labor Management Training • Judicial Training (continuing education) | <p>MEDIUM LOW LIKELIHOOD</p> <ul style="list-style-type: none"> • Inspector Training • Conciliator Training • Career Path (job profile, HR plan) |

Steps in Using the Likelihood of Sustainability Map

- Select the outcomes and outputs that stakeholders consider important to sustain.
- For each outcome and output, assess the level of commitment and motivation that key stakeholders show in sustaining the outcome. The key stakeholders would be those who are responsible for providing funding and continued implementation of the outcome. Classify the willingness as high or low.
- For each outcome and output, assess ability of key stakeholders to provide replacement resources and the management and technical capacity to continue to implement the outcome. Classify the ability as high or low.
- Plot the outcomes and outputs on the Likelihood of Sustainability Map in the corresponding quadrant.
- Develop concrete actions to increase the low ability to sustain an outcome or output in the medium high likelihood quadrant. This might include obtaining replacement resources or building capacities of stakeholders to continue to implement the outcome.

- Consider taking actions to address the low willingness to sustain an outcome or output in the medium low quadrant. The causes of the low willingness would have to be identified and actions taken to address them.