

**S**TRIVE Stage 2  
ANNUAL PLAN 2010/11

# Annex G

## *Sustainability Plan*

Proposed Actions to SUSTAIN REGIONAL SYSTEMS  
and STRENGTHEN the ORGANIZATION

## SUSTAINABILITY PLAN

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## 1. INTRODUCTION

As the STRIVE Project nears completion (31 July 2010 per project design), appropriate attention needs to be given by DepED at both the Regional and Central Office levels as to how the selected systems introduced through the STRIVE Project will be sustained, built upon and if desired, extended across the Department. Importance needs to be placed on the requirement to strengthen the capacity of the DepED organization, at the Regional Office as well as the Central Office level and the commitment of management to utilize, maintain and continuously improve the systems.

DepED will need to decide on how best to move forward to sustain and extend the benefits of the selected systems beyond the project. The STRIVE Project intends to provide opportunities for senior managers at the Regional and Central Office levels to give due consideration and make informed decisions about how the organization can be strengthened to better ensure the future use and effectiveness of the selected systems.

Last May 26, 2010, the AusAID gave notice to DepED that they have approval for a 9-month extension for project STRIVE to allow for the completion of:

- The pilot of the different systems and tools on School Based Management, Training and Development, and Learning Resource Management and Development for a full-school year cycle.
- Training and training methodologies for those who will have responsibility for system implementation, and
- A plan for national roll-out of these systems

Given that the systems developed under STRIVE have been tested during the project and the regions and divisions have signified their willingness to utilize it and implement these systems in other non-project schools and divisions, STRIVE shall assist the regional managers of the STRIVE pilot regions to craft a **“Transition and Sustainability Plan”** for Regions VI, VII and VIII which articulates the strategies and methods for a region-wide application of the project outputs as well as maintaining the education support systems after STRIVE technical assistance. *It is imperative that the Transition and Sustainability Plan is aligned and integrated in the BESRA Implementation and Accountability Plan (BIAP) of the Regions to ensure that Regional reform initiatives are consistent and approaches are holistic.*

The crafting of the Transition and Sustainability Plan is scheduled between August to September 2010. At the same time STRIVE shall continue to implement sustainability strategies within the 9-months extension period.

## 2. PURPOSE OF THE TRANSITION AND SUSTAINABILITY PLAN

The “Transition and Sustainability Plan” which will be crafted by the regional managers seeks “to provide the managers of the STRIVE Regions and Field Divisions as well as the Central Offices with a blue print to ensure the continuous implementation and strengthening of the various systems even beyond the project life of STRIVE 2.”. The plan shall also focus on how the phase out of STRIVE support and handover of systems shall take place.

More specifically, the plan shall:

- Identify issues concerning the management, utilization and maintenance of the systems and the implementation of the new structure for the regions
- Define the strategies the Regions, Divisions, and Central Office shall take to resolve or manage the issues
- Define the actions the Regions, Divisions and Central Office shall take to ensure the inclusion of the resolutions in the institutional processes and structures and the day to day operation of the regions and divisions.
- Provide inputs to a Central level **Transition and Sustainability Plan for a nation-wide adoption** of the education support systems as deemed fit

## 3. CONCEPT AND PROCESS FOR THE DEVELOPMENT OF THE TRANSITION AND SUSTAINABILITY PLAN

The development of the Transition and Sustainability plan shall involve activity planning, commitment planning, and setting up of the change management structures.

**Activity planning** – involves making a road map for change, citing specific activities and events that must occur if the transition is to be successful. It identifies the tasks that need to be done, by when, by whom, with whom and link the tasks to the organizations’ change goals and priorities. Activity planning also should gain top-management approval, be cost effective, and remain adaptable as feedback is received during the change process.

**Commitment planning** – involves identifying key people and groups whose commitment are needed for change to occur and formulating a strategy for gaining their support. While key stakeholders have been involved early in the change process, there is still a need to deepen the understanding of key stakeholders on the change process and what it entails to get their support and commitment. Commitment planning involves communication and advocacy and the development of advocacy materials.

**Change management structures** – involves creating special structures for managing the change process by keeping everyone focused, supporting the changes, and making the organizational transitions less ambiguous. The primary structure needed in a change effort is the “Change Management Team”. At the regional level, the Regional Executive Committee (REXECOM) created during the pilot is also the change management team but at the field division level, this structure has not been formalized and needs to be set up.

If the formal organization (such as the REXECOM) also manages the change process, they need to be clear as to which tasks are part of the day-to-day operation of the organization and which ones are part of the change process. Over and above the day-to-day operations of the regions and divisions, the change management team needs to set up structures to sustain the momentum of change concerning:

- provision for extra resources needed to support change such as manpower, training, consultation, data collection and feedback, special meetings and assessment
- building a support system for the Change Management Team such as provision of technical advise, continuous dialogue and exchange with other change management teams, linkage with Central Office

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- developing new competencies and skills to implement the new functions and systems through training and coaching arrangements, processing learning, dialogue and exchange of ideas
- reinforcing new behaviours through recognition and appreciation ceremonies
- staying on course in implementing the change

The process that will be followed for each region and division in developing the “Transition and Sustainability Plan” will be:

1. Review and reiteration of the vision for the change
2. Assessment of the current situation vis-a-vis the pilot structure and systems developed
3. Determination of the factors which will help or hinder the implementation and sustainability of the new structure and systems
4. Identification of strategies to counteract hindrances and develop the organization further
5. Action planning on the implementation of the agreed-upon strategies

The development of the “Transition and Sustainability Plan” shall be crafted following a series of events providing region, division and CO managers the opportunity to engage in meaningful discussions about how best to move forward after STRIVE 2 ends. These events are:

- Presentation and discussion of the results of the Piloting of the various systems by the Regional Directors to Stakeholders and Decision Makers which includes selected bureaus and units of the Central Office (July–Week 4)
- Assessment of the Situation in each Region and Division, identification of factors which will help or hinder the sustainability of the various systems and the new structure and strategizing to resolve or manage issues (August – Week 1)
- Development of a “Transition and Sustainability Plan” for each Region and Division. (August – Week 3)
- Engagement in Regional workshops on “Organizing for Implementation” workshops related to the finalization of the Regional Education Development Plan (REDP) to incorporate aspects of the Transition and Sustainability Plan. (August - Week 4)

#### 4. SUSTAINABILITY STRATEGIES AND ITS APPLICATION DURING THE 9-MONTH EXTENSION

The project design of STRIVE included principles which were specifically intended to sustain the Project benefits. These are:

- Flexibility:** proposed interventions will provide for flexibility in implementation, taking into account the major operational difficulties involved in delivering services in the selected regions and making the necessary adjustments;
- Continuity:** proposed interventions will build on previous and current initiatives by the Department of Education (DepED) in support of the key reform thrusts of BESRA;
- System Strengthening:** proposed interventions will strengthen and build upon existing systems rather than establish additional systems and processes and will assist partner agency's personnel to enhance the performance of their existing roles and responsibilities; and
- Sustainability:** proposed interventions will be capable of being implemented in a sustainable manner and will promote strategies, skills and mechanisms which will increase the likelihood of long term sustainability.

These principles guided the conduct of activities during the earlier stage of the project and continue to serve as guide posts for current and future project implementation activities.

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AusAID requires that projects work more effectively with the objective of leaving a long-lasting positive impact. This commitment is articulated in the AusAID paper 'One Clear Objective – Poverty Reduction through Sustainable Development'. Sustainability is considered a key attribute of high quality aid.

Consideration of the sustainability of benefits was an integral and essential element of all project planning and decision-making within STRIVE.

Careful thought from project inception were given to the phase-out and exit strategy to ensure that relevant STRIVE initiatives are institutionalised i.e. mainstreamed into DepED programming in the future. The intrinsic design of all STRIVE activities are aimed towards this end. They are not a number of isolated project-based interventions but are activities designed to link within the existing Government policies and operations.

The table below shows the sustainability strategies followed by STRIVE and how the strategies will be implemented during the nine (9) – month extension.

PROVEN SUSTAINABILITY STRATEGIES	PROPOSED STRATEGIES IN THE 9-MONTH EXTENSION
<b>1. Fit within partner government policies</b>	
<p><i>Objectives and activities which 'fit' with Partner Government policies have much better prospects for sustainability as they are more likely to have high-level political and institutional support both during implementation and beyond.</i></p>	<p><b>STRIVE thrust in the extension is aligned to and supports the BESRA Implementation Action Plan (BIAP). Examples of these are:</b></p> <p>BESRA KRT 2 – Better learning outcomes achieved through standards-driven reforms in teacher education and development</p> <ul style="list-style-type: none"> <li>- STRIVE T&amp;D component will continue to enhance the T&amp;D systems developed by STRIVE and pilot its integration with other systems. The capability of region and division staff to manage, maintain and enhance the systems will be further strengthened.</li> <li>- The T&amp;D systems developed by STRIVE are being adapted by the TED TWG and rolled out to other regions. STRIVE will also be developing Trainers who can transfer the technology of the T&amp;D systems to other schools and divisions in the extension period.</li> </ul> <p>BESRA KRT 3 – Desired learning outcomes enhanced by National Learning Strategies, Multi-sector coordination and Quality Assurance.</p> <ul style="list-style-type: none"> <li>- STRIVE LRMD components will continue to enhance the LRMD system developed by STRIVE and pilot its integration with other systems. The capability of region and division staff to manage, maintain and enhance the systems will be further strengthened. The pilot regions, divisions, and schools are working at populating the LR web portal.</li> <li>- The LRMD system developed by STRIVE is being adapted by the NLS TWG and will be rolled out to other regions. STRIVE will also be developing Trainers who can transfer the technology of the LRMD system to other schools and divisions in the extension period.</li> </ul> <p>Additional linkage and integration with the BESRA TWG work plans (BIAP) will be pursued.</p> <p><b>DepED Order No. 25 s. 2010 requires all units to go through a Strategic Planning Exercise and come up with a Strategic Plan which upon approval, shall be the basis for the budget proposals</b></p> <ul style="list-style-type: none"> <li>- Aligned to this order, the regions are in the process of</li> </ul>

PROVEN SUSTAINABILITY STRATEGIES	PROPOSED STRATEGIES IN THE 9-MONTH EXTENSION
	<p>preparing their Regional Education Development Plan (REDP) which will serve as basis for the plans and programs in the next 6 years.</p> <ul style="list-style-type: none"> <li>- The work plans which were prepared during the piloting of the new functions and structures are due for review in August 2010 and it shall be prepared to align with and support the thrust and directions of the REDP . This approach will ensure that the plans and programs of the functional units of the regions-which include the adaption and utilization of the new systems - will be appropriately budgeted and funded in the next fiscal year.</li> </ul> <p><b>Alignment of systems to any new directions emerging from a new administration and adjustments of basic education plans (schools, divisions, and regions) will be done.</b></p>
<b>2. Participation:</b>	
<ul style="list-style-type: none"> <li>▪ <i>The critical factor in promoting sustainability is the role of the stakeholders, i.e., those directly/indirectly concerned with the program or project. Sustainability cannot be achieved without their involvement and support.</i></li> </ul>	<p>The region and division management teams shall be engaged in managing the implementation and integration of the various systems through a one year school cycle. In August/September 2010, they will be guided in crafting a “Transition and Sustainability Plan” to ensure that the systems are utilized, maintained, enhanced in their own regions and divisions and that they will have the capability to transfer the technology to other divisions in their own regions and to other regions in the country.</p> <p>Project support will generally include facilitation and technical assistance in identifying the readiness of the STRIVE Regions vis-à-vis the requirements for mainstreaming, operating and maintaining the support systems and developing the plan based on the results of readiness assessment.</p> <p>Activities of project support to relevant organic units at the Central level will range from the analysis of recommendations resulting from the pilot test of the systems; identification of requirements for a nationwide roll out of the outputs; and transition planning for the institutionalization of the systems.</p>
<ul style="list-style-type: none"> <li>▪ <i>Ideas are demand-led</i></li> </ul>	<p>The region and division teams shall continue to conduct a quarterly M&amp;E to identify and resolve issues and apply lessons learned and raise issues which are beyond their area of control to the Management Committee/ Educational Development Projects Implementing Task Force (EDPITAF).</p> <p>Technical Advise will be provided on a differentiated mode according to the needs and level of the region/ division in systems utilization.</p>
<ul style="list-style-type: none"> <li>▪ <i>Stakeholders, both men and women should actively participate and have the opportunity to influence the direction and detail of implementation.</i></li> </ul>	<p>The REXECOM, composed of the RD, ARD and the Chiefs of the RO Functional Divisions, will continue to pilot the structure with suggested enhancements resulting from the various M&amp;E reports, pilot experience and TA inputs.</p>
<ul style="list-style-type: none"> <li>▪ <i>Time and resources are available for participatory analysis</i></li> </ul>	<p>This will be addressed directly during the preparation of the Transition and Sustainability planning activities.</p>
<b>3. Management and organization</b>	
<ul style="list-style-type: none"> <li>▪ <i>Integrate with and build on local management structures</i></li> </ul>	<p>At the regional level, all the systems will be managed by the functional divisions in the new structure. Organic personnel will be managing and operating the systems. Project teams will no longer be assigned after</p>

PROVEN SUSTAINABILITY STRATEGIES	PROPOSED STRATEGIES IN THE 9-MONTH EXTENSION
<ul style="list-style-type: none"> <li>▪ <i>Work with counterparts who are in existing line positions rather than in newly created 'project' positions</i></li> </ul>	<p>the completion of Stage 2, and instead all activities will be managed by organic staff. At the Division office, organic teams will be assigned to manage and operate the systems.</p>
<ul style="list-style-type: none"> <li>▪ <i>Counterpart and expatriate team members are located in the same office</i></li> </ul>	<p>At the regional level, there will no longer be an "expatriate" team member. All the functional team members operating the system will be organic to the region. At the division level, organic staff will be assigned to run the systems.</p>
<ul style="list-style-type: none"> <li>▪ <i>Teamwork approaches are emphasised</i></li> </ul>	<p>The new structure of the RO operates on teamwork approaches. In the field divisions, teams have to be formed to operate the systems.</p>
<ul style="list-style-type: none"> <li>▪ <i>Permit some flexibility in implementation as lessons are learnt</i></li> </ul>	<p>The region and division teams shall continue to conduct a quarterly M&amp;E to identify and resolve issues and apply lessons learned and raise issues which are beyond their area of control to the Management Committee/ EDPITAF</p>
<p><b>4. Integrate and build on existing government operations and processes</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Activities should integrate with and build on existing government operations, processes, systems and performance monitoring wherever possible</i></li> </ul>	<p>The EDPITAF will continue liaising with CO, DBM, and CSC to institutionalize legal requirements in the systems and to ensure continued commitment to implementing the results from the piloted regional organizational structure.</p>
<ul style="list-style-type: none"> <li>▪ <i>Use available information sources where ever possible. This not only builds on existing processes so that capacity building has a better chance of being sustained post-project but also minimises workload and demand on stakeholders in providing information</i></li> </ul>	<p>The various technology driven systems will be utilized in the 9 months to provide information to the individuals needing the information. These systems are:</p> <ul style="list-style-type: none"> <li>- Enhanced Basic Education Information System (EBEIS)</li> <li>- Training and Development Information System (TDIS)</li> <li>- Learning Resource Web Portal (LR Portal)</li> <li>- Project Management Information System (PMIS)</li> </ul>
<p><b>5. Counterpart contributions</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Counterpart contributions, either in cash or in kind (like counterpart staff and office space) are signs of commitment and demonstrate in a tangible way that partners place value on the expected benefits.</i></li> </ul>	<p>The regions and divisions with the support of CO will provide their contribution in institutionalizing the systems and structures by: providing the necessary resources to utilize, maintain and enhance the systems and operationalize the structure in the form of: meeting the required staffing levels for the various functional divisions and by including in the MOOE the funds for the various activities, necessary equipment, facilities, and supplies. to implement the mandated functions and the systems</p>
<p><b>6. Training</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>The provision of appropriate training for identified target groups is a key strategy for achieving sustainable benefits</i></li> </ul>	<p><b>In the 9-months extension, continuous capability building will be provided to:</b></p> <p>Regional Managers – to manage and enhance the systems and manage the new functions</p> <p>Technical staff (Education Supervisors)– to implement their new functions (technical and behavioural skills provided) and operate and maintain the systems effectively and efficiently as well as to coach others in the use and maintenance of the systems</p> <p>Systems Users at the Region, Division and Schools – to enable them to utilize the system</p> <p><b>Capability of trainers will be developed to enable transfer of the systems technology to other staff in non-pilot schools, divisions,</b></p>



PROVEN SUSTAINABILITY STRATEGIES	PROPOSED STRATEGIES IN THE 9-MONTH EXTENSION
	and regions.
<ul style="list-style-type: none"> <li>▪ <i>Effective training should not only 'educate' but also motivate</i></li> </ul>	<p>Training provided will be continuously monitored and evaluated. Proof of training effectiveness will be seen in the willingness and ability of participants to utilize the systems and implement their new functions.</p>
<ul style="list-style-type: none"> <li>▪ <i>Trainees and Trainers must be selected on merit and include both men and women</i></li> </ul>	<p>Training will be provided to users of the systems regardless of gender.</p>
<ul style="list-style-type: none"> <li>▪ <i>Trainees must be given the opportunity to apply newly acquired skills on completion of training.</i></li> </ul>	<p>The Job-embedded Learning (JEL) module developed by the Training and Development (T&amp;D) component will be implemented</p>
<ul style="list-style-type: none"> <li>▪ <i>In-country training, such as on-the job training, mentoring and short-course competency-based training are more likely to support more sustainable benefits than overseas courses or long-term 'academic' training for a few.</i></li> </ul>	<p>In the 9-month extension, all training will be in-country. The approach to building capability will be primarily done through the coaching model to be used by the Technical Advisers.</p>
<b>7. Information dissemination and networking</b>	
<ul style="list-style-type: none"> <li>▪ <i>Generating an understanding of STRIVE and support for the project's objectives among a wide group of stakeholders should be a component of any sustainability strategy. It can include the use of many types of different media and group events.</i></li> </ul>	<p>Orientation on the STRIVE Project of the new Secretary, including his newly-appointed management team, will be provided to get his support.</p> <p>Continue introducing change management and organization development concepts to relevant Central office units and personnel and get their support on the restructuring.</p> <p>Continue with the change management efforts and advocacy to ensure high level acceptance and support from the region/division</p> <p>Strengthening of education partnerships for the management, operation, and sustainability of the T&amp;D, Learning Resource Management and Development (LRMD), and Community Learning Centers shall be done.</p>
<b>8. Technology</b>	
<ul style="list-style-type: none"> <li>▪ <i>To promote sustainability the technology to be transferred must be selected on the basis of its appropriateness in terms of technical and financial criteria, plus social, gender and cultural acceptability. Training to support the introduction of any new technology should be relevant and appropriate.</i></li> </ul>	<p>Technical assistance to do systems enhancement based on the pilot results will continue to be provided to the regions and divisions.</p> <p>Technical assistance in the synchronization and integration of the various systems will be provided to the regions and divisions.</p> <p>Just-in-time training related to systems management, operationalization, integration, and enhancements will be provided</p>
<b>9. Social, gender and culture</b>	
<ul style="list-style-type: none"> <li>▪ <i>Development interventions can fail to deliver sustainable benefits if social, gender and cultural issues are not taken into account. A greater</i></li> </ul>	<p>The gender and development plan will continue to be implemented</p> <p>Gender and development related issues will be reviewed and equitable action will be taken in consideration and incorporated in the systems processes and tools.</p>

<p><i>participation by women in identification, design and decision-making is a key part of any sustainability strategy.</i></p> <ul style="list-style-type: none"> <li>▪ <i>Their participation in all parts of the activity cycle is essential. For sustainable outcomes, poverty reduction objectives must specifically address the needs of women given that they are over-represented in the poorest sections of many societies.</i></li> </ul>	
<p><b>10. External political and economic factors</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Sustainability can be much more difficult to achieve in an unstable political or economic environment. Changes in government policy and other external factors can have an adverse impact on prospects for sustainability.</i></li> <li>▪ <i>In a poor economy most interventions should avoid being too complicated, ambitious and expensive.</i></li> <li>▪ <i>Other external factors can also significantly affect implementation and the sustained flow of benefits. While these factors cannot usually be foreseen or controlled, contingency planning and risk management strategies can play an important part in reducing their negative impact.</i></li> </ul>	<p>The risk management plan – reviewed and revised for the extension- will be implemented and closely monitored.</p> <p>Advocacy activities and partnerships with external stakeholders are part of the systems and shall be implemented accordingly.</p>
<p><b>11. Anti-Graft &amp; Corruption Measures</b></p>	
<ul style="list-style-type: none"> <li>▪ <i>Sustainability can be maintained through practices promoting honesty, transparency and accountability</i></li> <li>▪ <i>Using resources &amp; entrusted power efficiently for the general welfare</i></li> <li>▪ <i>Enhancing institutions for public scrutiny, establishing systems to provide timely reporting on performance &amp; decision-making</i></li> <li>▪ <i>Mobilizing stakeholders support for clean and good governance</i></li> <li>▪ <i>Preparing and /or implementing education programs can help create an anti-graft &amp; corruption culture</i></li> </ul>	<p>The continued implementation of the “Anti-graft and Corruption Strategy” of STRIVE which spells out measures to be taken to ensure prevention, detection, investigation and correction of fraud and corruption, shall be closely monitored.</p>

## 5. CONCLUDING STATEMENT

Sustainability will only happen when the people concerned have control and ownership. Otherwise benefits and processes will inevitably fade when the project ends. For people to have ownership, they must be able to participate throughout the intervention process and learn from the mistakes, do things differently, and be in control of the situation.

The development of a “Transition and Sustainability Plan” during the extension will engage the region and division management teams in a process of renewing their vision for the change, assessing what they have gained in terms of piloting a new structure and new systems, identifying what has hindered them or could hinder them from implementing and maintaining the systems and strategizing and action planning on solutions to institutionalize the systems. They will also have the opportunity to plan how to gain the commitment of stakeholders and create structures to manage the change better and to “stay the course”.

In the 9-months extension, there will be new applications of the sustainability strategies in STRIVE 2 in terms of managing the project and the transition in the day-to-day operations of the regions and divisions.

The above measures will be taken to embed control and ownership of the change by the people in the pilot regions and divisions. They will ensure that the new structure and systems developed through STRIVE will have the capacity to endure so that the organization will reap the benefits of its implementation in the future and beyond.