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by

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**Establishing Autonomy from Parent NGOs:**

**A Case Study of a São Paulo Local Development Program**

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**Establishing Autonomy from Parent NGOs:  
A Case Study of a São Paulo Local Development Program**

**by**

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**Report**

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## **Dedication**

I would like to dedicate this report to my mother and father, Ann and Eric Casstevens, who have never faltered in showing me unfettered love and support, no matter how far away from home I may be.

*“I must say as to what I have seen of Texas, it is the garden state of the world.”*

– David Crockett, letter to his children, 1836

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In April 2013, I was granted federal support to move to Brazil for 12 months to pursue Portuguese language enrichment, final coursework, and community development research in a socially vulnerable area of São Paulo. I therefore owe a tremendous thank you to the David L. Boren Fellowship coordinators, the National Security Education Program (NSEP), and Institute of International Education (IIE) for providing the financial means to transition my proposal into a reality.

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I cannot close without also thanking the numerous lifelong Brazilian and international friends that became my Brazilian family. I could not have succeeded here without those people, particularly Carlotta Giacché and Clemence Vignal. Lastly, I could never thank my family enough for their never-ending support and love they never cease to give, even from afar.

## **Abstract**

### **Establishing Autonomy from Parent NGOs: A Case Study of a São Paulo Local Development Program**

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The University of Texas at Austin, 2015

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The following report addresses the ability of community-based programs supported by international development aid organizations to sustain development activities even after the termination of funding and programmatic support from their parent organizations. The report specifically explores how these programs may revise their objectives, operations, and community partnerships to increase the likelihood that projects and activities may be sustained long-term and create a larger impact. The researcher study utilized a participatory research approach to examine and evaluated the sustainability challenges of a small community development program in São Paulo, Brazil called the PDA Sampa Sul. Funded by World Vision child sponsorship donations, the program pursues child protection, active citizenship, and education projects to address social vulnerability and empower community members to create lasting change.

## Table of Contents

List of Tables .....	xii
List of Figures .....	xiii
Chapter 1: Introduction .....	1
Rationale .....	1
Background .....	5
Outline of study.....	8
World Vision.....	8
PDA Sampa Sul .....	8
Importance of Sustainability.....	9
Organization of Report .....	10
Chapter 2: Literature Review.....	12
International Development Aid.....	12
A Note on Foreign Aid .....	12
Decrease in Aid.....	15
Is Aid Sustainable? .....	15
International Development Organizations .....	16
World Vision.....	19
Profile.....	19
Philanthropic Activity in Brazil .....	21
Development Model.....	22
Conclusion on Sustainability .....	24
Chapter 3: Methodology .....	27
Selection of Case.....	27
Limitations .....	29
Language and Cultural Competence .....	30
Participatory Research at PDA Sampa Sul .....	30
Informal Observation .....	32

Initial Integration into Region.....	32
Accompanying Organization .....	33
Policy Analysis .....	34
Document Review.....	35
Semi-Structured Interviews .....	35
Selection of Participants .....	37
Chapter 4: PDA Sampa Sul.....	38
Programmatic Structure .....	39
Personnel.....	39
Program Methodology .....	40
PDA Methodology.....	40
Key Projects.....	44
Budget.....	46
Community Partners .....	47
Managing Council / “Conselho Gestor” & Partnering Organizations .....	47
Additional Community Partners .....	48
Analysis.....	50
Personnel & Program Methodology .....	50
Budget.....	52
Community Partners .....	53
Chapter 5: Conclusions.....	55
Conclusion .....	<b>Error! Bookmark not defined.</b>
Recommendation #1: Invest Now in Funding Efforts .....	56
Recommendation #2: Increase Staff Capacity .....	58
Volunteer Program.....	58
Internship Program.....	60
Maximize Utility of Volunteers/Interns/Researchers .....	61
Recommendation #3: Strengthen Relationships with Community Partners .....	62

Appendix A: Resources Not Explicitly Referenced .....	64
Appendix B: Interview Guide.....	65
PDA Sampa Sul Staff Member/Volunteer.....	65
Visão Mundial (VM) Employee .....	67
Employees at other PDAs .....	69
World Vision Employee .....	71
List of Acronymns .....	72
Works Cited .....	74

## List of Tables

Table 3.1: U.S. Total Net Economic Engagement with Developing Countries, 2010-2011.....	14
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## List of Figures

Figure 4.1: The World Vision Ministry Framework.....	41
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## Chapter 1: Introduction

### RATIONALE

When initiating community-based programs, development aid organizations typically determine specific objectives and guidelines that define the extent of their financial and programmatic support from program implementation to conclusion. According to the World Bank, development aid organizations, such as nongovernmental organizations (NGOs), work to define objectives that establish a path towards achieving sustainability of program operations. In this sense, sustainability can be understood as a way in which the community continues to benefit from the development activities even after the organization has withdrawn its financial and programmatic support.<sup>1</sup> Ideally, local community members and institutions are treated as more than just collaborators in development activities, but as active actors in the programmatic process, so that through time, they themselves may identify and solve the problems they face, creating a higher likelihood of long-term sustainability.<sup>2</sup>

As a means of ensuring that program-related activities will continue over time, research suggests it is important for program implementation (i.e. qualified staff, financial support, materials, compatibility of activities) and sustainability efforts (i.e. incentives, risk-taking, adaptation of activities, transparent communication) to be concomitant

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<sup>1</sup> The World Bank Operations Evaluation Department, *Evaluation Results for 1988: Issues in World Bank Lending Over Two Decades* (Washington, DC: The World Bank, 1988), 7.

<sup>2</sup> Justin M. Mog, "Struggling with Sustainability: A Comparative Framework for Evaluating Sustainable Development Programs," *World Development* 42, no. 12 (2004): 2140.

processes that both begin at the program's initiation.<sup>3</sup> Focusing on implementation and sustainability simultaneously helps the program establish a certain sense of routinization, which is the process of programs developing routinized activities that enable them to establish specific methods and processes are ultimately more sustainable.<sup>4</sup>

The idea of sustainability is especially important for development aid organizations that create local community development programs with a limited timeframe of support. For example, World Vision (WV) is a humanitarian aid and development organization present in nearly 100 countries<sup>5</sup> that focuses on empowering the world's most vulnerable children and families to address the underlying causes of poverty.<sup>6</sup> The organization uses aid funds collected through its extensive donor network to create and support Area Development Programs (ADP) that use child sponsorship and other community projects as tools to strengthen families and communities. According to World Vision's model, the ADPs typically receive funding and support from World Vision for up to 15 years, with the idea that during those 15 years, the communities themselves gain enough information and skills to sustain projects following the program's end date.<sup>7</sup> According to this example, sustainability should be an integral component of the community development program's strategic plan, as prioritizing the issue helps reduce the likelihood that the program and community members develop dependence on the parent organization, thus creating a more

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<sup>3</sup> Pierre Pluy and other, "Program Sustainability Begins with the First Events," *Evaluation and Program Planning* 28, (2005) 123-127.

<sup>4</sup> Ibid, 123-124.

<sup>5</sup> World Vision, Our Impact, <http://www.worldvision.org/our-impact>.

<sup>6</sup> World Vision International, *World Vision's Development Programme Approach*, (December 2011), [www.wvi.org/development](http://www.wvi.org/development).

<sup>7</sup> Ibid.

meaningful impact. This allows them to develop the necessary skills and resources to maintain community activities despite the conclusion of the financial and programmatic support.

Unfortunately, local programs such as the ADPs supported by World Vision often experience significant funding, personnel, and socio-political challenges that interrupt or inhibit their focus on sustainability.<sup>8</sup> Research indicates that unstable human and financial resources hinders program routinization, particularly when programs experience a significant decrease in financial resources dedicated to development activities.<sup>9</sup> With this in mind, it seems that programs that do not place sustainability at the core of their focus from the beginning may experience significant challenges in ensuring that community projects are maintained long-term. When program staff have difficulty completing daily objectives or seem overwhelmed due to lack of personnel, programmatic development efforts are not prioritized, thus sustainability efforts are at-risk.

This report examines the challenges that community-based programs supported by larger development organizations experience throughout the sustainability and routinization processes. To that effect, the report explores how community development programs may revise their objectives, operations, and community partnerships to ensure that projects and activities may be sustained long-term despite the termination of the parent organization's active involvement. The resulting information is vital for both smaller programs and larger development organizations to understand how to become more

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<sup>8</sup> PDA Sampa Sul Employees, personal communication, February 2015.

<sup>9</sup> Pluy, "Program Sustainability Begins with the First Events," 124.

efficient and effective in pursuing their development goals, so that they may create a larger and more sustainable community impact.

As a means of better understanding this issue, the following report attempts to answer the question: How can community-based programs revise their objectives and operations to ensure that projects and activities will be sustained, regardless of the parent organization's active involvement? This general question is explored within the context of a specific program supported by the international NGO World Vision called PDA<sup>10</sup> Sampa Sul, a local development program in São Paulo, Brazil that pursues projects related to child sponsorship, education, and active citizenship.<sup>11</sup> Partly due to the opportunity of spending over three months in the field, I chose to focus on one single case and utilized a participatory research approach in order to more completely understand the strengths and challenges of the program in regards to sustainability. Participatory research methods allow the researcher to work collaboratively with the research participants in order to accomplish common goals. Therefore, this approach allowed me to engage more deeply with the specific characteristics and practices of the development organization and community program, as a way to understand one way to tackle the issue of sustainability.

The conclusions and subsequent recommendations found at the end of this report are therefore somewhat specific to the needs of the PDA.<sup>12</sup> Although, they maintain a basis in theory and scientific research, which allows trends to be compared across various sectors

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<sup>10</sup> PDA Sampa Sul stands for “Program de Desenvolvimento de Área Sampa Sul” which translates from Portuguese to Area Development Program of Southern São Paulo. Therefore, this program is demonstrative of one of the ADPs supported by World Vision discussed earlier in this chapter.

<sup>11</sup> Visão Mundial Brasil, *Planejamento do Ano Fiscal 2015: PDA Sampa Sul*, (September 2014).

<sup>12</sup> From this point forward, “the PDA” is equivalent to PDA Sampa Sul, unless otherwise noted.

and programmatic models as a possible track toward achieving sustainability of community development projects.

## **BACKGROUND**

I became interested in the sustainability of community development programs in spring 2013, when I served as a Curtis W. Meadows student consultant in San Ramón, Nicaragua, a fellowship program coordinated by the RGK Center for Philanthropy and Community Service at the LBJ School of Public Affairs.<sup>13</sup> I worked with a small U.S.-based NGO that used an ecotourism model to support local development projects in a rural and underdeveloped area in the mountainous area of the country. Alongside a team of two other master's level students, I helped the program revise its funding approach and measure community impact through survey research and semi-structured interviews with local board members, public servants, and entrepreneurs. The information collected from the interviews was transposed into a report with recommendations for future practices and our research team facilitated the local board members' proposal of improved operations guidelines and created a personalized finance tool for the sole use of the organization. Throughout the process, I not only learned about the inner workings of community development in international settings, but also became familiar with the importance of human and financial resources in small programs and of investing in sustainability measures to help ensure that the community continues to feel the positive impact of the investments throughout and following the project's duration.

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<sup>13</sup> See <http://www.rgkcenter.org/programs/meadowsfellows> for more information.

My interest in internationally-supported community development programs blossomed through my experience in Nicaragua and led me to seek similar research opportunities in vulnerable communities of Brazil. I secured a research internship with the Center for Public Administration and Government (CEAPG) at the Getúlio Vargas Foundation (FGV) to begin in January 2015. I would work on a three-year participatory research initiative pursuing community development in the sub-prefecture of M'Boi Mirim<sup>14</sup> in the *zona sul* (“south zone”) periphery<sup>15</sup> of São Paulo, an area of over 600,000 inhabitants that experiences high instances of poverty and social vulnerability. The main purpose of the study is to examine urban vulnerability as it relates to lack of distribution of public services, housing deficits, and local and global climate changes.<sup>16</sup> The initiative links various São Paulo academic and policy institutions that place multidisciplinary professionals into the local context, seeking a deeper understanding of the complexities in the region as a means of proposing different mechanisms of public action to improve conditions. One of the primary goals is to furnish community members with tools and ideas of how to hold the municipal government accountable for social and urban issues in the region.

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<sup>14</sup> São Paulo is divided into 32 smaller ‘municipalities’ that are referred to as sub-prefectures. M'Boi Mirim is one of those sub-prefectures, which has a population of more than 600,000 people.

<http://www.prefeitura.sp.gov.br/cidade/secretarias/subprefeituras/subprefeituras/index.php?p=8978>

<sup>15</sup> The periphery in Brazil refer to the outlying areas of cities. In São Paulo, the periphery is associated with large amounts of social and financial inequality, and often encompasses areas that could be described as *favelas* or urban slums composed of informal housing.

<sup>16</sup> Peter Spink, Francisco Fonseca, Marco Antonio Teixeira, Mario Aquino Alves, Marta Farah, 2014. *As vulnerabilidades urbanas e as possibilidades para a ação pública*, Fundação Getúlio Vargas Centro de Administração Pública e Governo.

My in-country research and internship supervisor, as well as the coordinator for the above-referenced research initiative, Professor Peter Spink, considered my interest areas and the needs of the overall study. He decided I would best serve as an active participatory researcher at the PDA, the case study used in this report, from the period of February through May 2015. I would serve a dual purpose of monitoring the program's daily activities and progress for the benefit of Professor Spink's study, while also delving deeper into the ground level complexities of local development programs in the area, particularly one whose primary target population is children, youth, and families. Therefore, in addition to research duties, my role at the PDA allowed me to actively engage with the program staff to offer my skills and academic capacity to diversify operations and provide new perspective. Therefore, I considered my active participation to collaboratively pursue the goals of the program with the main actors to be a form of qualitative participatory research and developed my methodology from that perspective. More on the participatory research approach and specific research methods chosen for this research study will be discussed in depth in Chapter 3, but it is important to understand that this approach allowed me to develop a close working relationship with the staff at the PDA, which enriched my results and analysis, while providing the most benefit to the study participants.

## **OUTLINE OF STUDY**

### **World Vision**

World Vision is a multinational humanitarian and development aid organization that was founded in the 1950s in the United States.<sup>17</sup> The organization traditionally uses a child sponsorship model to pursue community and economic development projects throughout the world. Child sponsorship functions by securing donors in developed regions to sponsor children in less developed areas who have access to World Vision's Area Development Programs (ADPs). Donations are transferred to children in the form of access to services and activities administered by their local ADP and quarterly check-ins from local development agents (ADLs) who monitor health, education access, and family stability. World Vision encourages all of its community development programs to encourage a certain sense of autonomy within the community and their program by partnering with local actors, so that their projects are more likely to be sustained even after the NGO's support is no longer possible. In this way, World Vision attempts to protect children and families by encouraging them to develop skills and learning so that they may help alleviate poverty within their communities.

### **PDA Sampa Sul**

The community development program PDA Sampa Sul operates in the Jardim Ângela/Capão Redondo region of the southern periphery of São Paulo. Jardim Ângela is in the sub-prefecture of M'Boi Mirim, while Capão Redondo is part of the neighboring

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<sup>17</sup> World Vision, Our History, <http://www.worldvision.org/about-us/our-history>.

sub-prefecture Campo Limpo. The PDA was created in 2008 under the auspice of Visão Mundial (VM), the Brazilian World Vision branch, and works to monitor local children supported by World Vision Australia's sponsorship donations and to provide community support to all vulnerable children and families in the area. The PDA employs nine staff members that support over 1,400 children and 500 families in the community, meaning that efficiency and organization of resources are essential in order to ensure program effectiveness. Aside from the child sponsorship duties, as explained in the previous subsection, the program also hosts various community engagement activities and serves as a meeting space made available to community members to hold events, workshops, or other productive community activities. The program also maintains a significant presence in schools, where staff members go weekly to register more children in the program, hold art or other workshops, and engage with parents.

### **Importance of Sustainability**

Sustainability is of particular concern to the PDA. Since program initiation in 2008, the PDA receives all financial resources from World Vision Australia. The parent organization systematically decreases its financial and supervisory support over a 15-year timespan, which in the case of the PDA estimates that WV Australia will cease funding by 2023. WV aims for community members themselves to sustain program activities, so that their projects and impacts may be felt by the community long after the organization is no longer present. Therefore, the PDA must empower community partners and local actors to work towards establishing financially and programmatically sustainable development activities before the conclusion of World Vision's support. It is therefore imperative that

the PDA and VM reevaluate whether or not their programmatic operations are adequately working toward fulfilling this key objective.

### **Organization of Report**

The remainder of this report is organized into four additional chapters. Chapter 2 delves deeper into the concepts introduced in this chapter from an academic standpoint by reviewing relevant literary sources that discuss foreign aid and international development organizations. Chapter 2 also provides an in-depth profile of World Vision, discusses the growing trend of philanthropic activity in Brazil, and reviews WV's development model. The chapter concludes with some general comments regarding the importance of sustainability and routinization in development efforts.

Chapter 3 discusses the methodology used in this research report. The chapter first presents the reasons behind the selection of the specific case of the PDA Sampa Sul and considers the limitations that exist due to this narrow focus. This chapter also addresses the importance of language and cultural competence as a preface to the participatory research approach used in the study. The chapter then introduces the purpose and strategies behind participatory research methods and discusses the specific methods utilized in this research study, which include informal observation methods and semi-structured interview.

Chapter 4 details the results of the participatory research study. The chapter first provides a review of the programmatic structure of the PDA Sampa Sul, including a discussion of the personnel, program methodology, budget, and community partners. Then the chapter provides an analysis of the PDA in regards to sustainability, particularly discussing strengths and weaknesses of the four areas mentioned in the previous section.

Finally, Chapter 5 concludes the report by offering three recommendations for the PDA based off the review of academic and other relevant literature, along with the results and analysis of the participatory research study. The conclusions and recommendations presented in Chapter 5 will ideally serve a dual purpose of assisting the PDA to improve operations and program structures so it may accomplish a more sustainable impact, while recommending best practices that could be applicable to the broader field of international development as a mechanism to create more sustainable impacts via community-based programming.

## **Chapter 2: Literature Review**

Before delving deeper into the specific case of the PDA Sampa Sul, it is crucial to review relevant literature to create a framework to better understand and analyze the case. This chapter will review the context of international development as it pertains to creating a sustainable impact by first reviewing foreign aid in general and then discussing aid more in the context of international development organizations. The second section provides a more in-depth profile of the international development NGO World Vision, offers some background information on the growing trend of philanthropy in Brazil, and discusses WV's development program approach. The chapter will conclude with a recap on the importance of sustainability efforts in development activities as a way to introduce the research study's methodology that will be reviewed in Chapter 3.

### **INTERNATIONAL DEVELOPMENT AID**

#### **A Note on Foreign Aid**

The World Health Organization defines aid as “the international transfer of public funds in the form of loans or grants, either directly from one government to another (bilateral aid), or indirectly through nongovernmental organizations or a multilateral agency (multilateral aid) such as the World Bank.”<sup>18</sup> In the book *Poor Economics*, the authors present Jeffrey Sachs' theory that donating foreign aid is key to enabling poor countries to become more productive, as the countries invest in areas critical to their

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<sup>18</sup> World Health Organization, “Trade, Foreign Policy, Diplomacy and Health: Development Cooperation,” <http://www.who.int/trade/glossary/story016/en/>.

economic and social development.<sup>19</sup> Although Sachs seems to refer more to bilateral aid in this instance, we can easily connect it to the importance of aid at the nongovernmental or nonprofit organizational level. For example, when countries establish a national strategy toward development, this opens an opportunity for foreign donors and NGOs to work towards the country's priorities through the contribution of resources and expertise.<sup>20</sup>

The OECD began monitoring development aid over 50 years ago and has seen a positive impact in both the face of poverty and the way that development is financed.<sup>21</sup> Considering that over 80% of the total financial flows between developed and developing nations come from private funds versus government aid,<sup>22</sup> NGOs play a huge role in the international development spectrum. Therefore, it is especially important that those organizations invest time and resources in ensuring that their development contributions instigate a real impact and that they encourage sustainability within the country and communities they support.

A key starting point to creating a sustainable impact with development activities is funding. In the United States, Americans give significantly more private aid and donations to developing countries than the government, amounting to \$247.6 billion in 2010-11,

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<sup>19</sup> Abhijit V. Banerjee and Esther Duflo, *Poor Economics: A Radical Rethinking of the Way to Fight Global Poverty*, (United States: Public Affairs, 2011).

<sup>20</sup> Initiative for Global Development, *The IGD Development Guide: A Business Approach to Ending Extreme Global Poverty*, (Seattle: 2006), 7, [http://igdleaders.org/policy/documents/IGDDDevelopmentGuide\\_000.pdf](http://igdleaders.org/policy/documents/IGDDDevelopmentGuide_000.pdf).

<sup>21</sup> OECD, "Rethinking Development Aid," OECD Yearbook 2014, [www.oecd.org/development](http://www.oecd.org/development).

<sup>22</sup> Center for Global Prosperity, *The Index of Global Philanthropy and Remittances*, (Washington DC: Hudson Institute, 2013), 5, [http://hudson.org/content/researchattachments/attachment/1229/2013\\_indexof\\_global\\_philanthropyand\\_remittances.pdf](http://hudson.org/content/researchattachments/attachment/1229/2013_indexof_global_philanthropyand_remittances.pdf).

versus just under \$30.9 billion of official government foreign aid in the same period.<sup>23</sup> This private aid comes from remittances (36%), private capital flows (39%) and private philanthropy (14%), such as international foundations, corporations, private and voluntary organizations, religious ministries (i.e. World Vision), and university scholarships (see Table 3.1).<sup>24</sup> Therefore, private funders play a significant role in development objectives, as the majority of financial resources pooled into developing nations comes from their pockets. This literature review refers specifically to private philanthropy when it refers to development aid, since World Vision donors fall into that category.

	<b>Billions of \$</b>	<b>%</b>
<b>U.S. Official Development Assistance</b>	<b>\$ 30.9</b>	<b>11%</b>
<b>U.S. Private Philanthropy</b>	<b>\$ 39.0</b>	<b>14%</b>
Foundations	\$ 4.6	12%
Corporations	\$ 7.6	19%
Private and Voluntary Organizations	\$ 14.0	36%
Volunteerism	\$ 3.7	9%
Universities & Colleges	\$ 1.9	5%
Religions Organizations	\$ 7.2	18%
<b>U.S. Remittances</b>	<b>\$ 100.2</b>	<b>36%</b>
<b>U.S. Private Capital Flows</b>	<b>\$ 108.4</b>	<b>39%</b>
<b>U.S. Total Economic Engagement</b>	<b>\$ 278.5</b>	<b>100%</b>

Table 3.1: U.S. Total Net Economic Engagement with Developing Countries, 2010-2011

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<sup>23</sup>Ibid, 9.

<sup>24</sup>Ibid.

## **Decrease in Aid**

In 1970, several of the world's richest countries decided to contribute 0.7% of their annual Gross National Income (GNI) toward international development aid.<sup>25</sup> Unfortunately, since that year few nations have met their annual aid goals, the United States ranking one of the lowest in terms of meeting that target.<sup>26</sup> The WHO says that aid levels have seen a significant decrease over the past 10 years,<sup>27</sup> which infers that governments and other aid giving organizations are getting even further away from that target. Although those numbers refer to government aid spending and not development aid organizations, if the investment in and perhaps value of aid is decreasing, this signifies that the NGO sector may also experience a decrease in private donors, a significant problem for the international development field. This theory was confirmed by a World Vision representative who stated that the organization's committed donors are sharply dropping compared to several years ago,<sup>28</sup> backing the notion that development efforts supported by private funds are at-risk.

## **Is Aid Sustainable?**

The international donor community and other private funders want to know what happens to their money once they invest in international assistance.<sup>29</sup> Does it contribute towards sustainable projects that create continued benefits? Are they making worthwhile contributions when they to donate to a religious ministry that supports children with limited

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<sup>25</sup> Anup Shah, "Foreign Aid for Development Assistance," *Global Issues*, September 28, 2014, <http://www.globalissues.org/article/35/foreign-aid-development-assistance>.

<sup>26</sup> *Ibid.*

<sup>27</sup> World Health Organization, "Trade, Foreign Policy, Diplomacy and Health."

<sup>28</sup> World Vision Australia employee, interview by Katie Casstevens, April 18, 2015, São Paulo, Brazil.

<sup>29</sup> Thomas J. Bossert, "Can They Get Along Without Us? Sustainability of Donor-Supported Health Projects in Central America and Africa," *Social Science & Medicine* 30, no. 9 (1990): 1015.

access to basic needs? Or, are they creating a crutch that will only create more vulnerability once the aid is withdrawn?

Before attempting to answer these questions, I will first briefly review the idea of international development organizations, their objectives, and some common challenges they face.

### **International Development Organizations**

International philanthropy refers to private philanthropy stemming from developed countries and then transferred to developing ones.<sup>30</sup> Thus, it is another term for international development aid and the two terms are used synonymously throughout this report. The goal of international philanthropy is to use private contributions to fund development activities that attempt to respond to issues of inadequate services in areas of poverty and intense vulnerability.<sup>31</sup> According to literature on nongovernmental organizations that engage in development activities, particularly those that work to distribute international philanthropy aid, three main types of organizations interact with each other in developing countries. Essentially, nongovernmental development organizations (NGDOs) receive support from international development cooperation institutions (IDCIs) and work closely with and cater to the needs of grassroots sectors and grassroots organizations (GROs).<sup>32</sup> Essentially, NGDOs are the indigenous NGOs, those that serve a traditional development function within communities (i.e. Visão Mundial),

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<sup>30</sup>Center for Global Prosperity, *Global Philanthropy and Remittances*, 11.

<sup>31</sup> William Easterly, ed., Center for Global Development, *Reinventing Foreign Aid*, (Cambridge, Massachusetts: The MIT Press, 2008), 12.

<sup>32</sup> Mario Padron, "Non-governmental Development Organizations: From Development Aid to Development Cooperation," *World Development* 15, supplement (Great Britain: DESCO, 1987): 69.

IDCIs are the international NGOs that administer funding and encourage solidarity (i.e. World Vision), and GROs are the beneficiaries or target groups (i.e. the PDA and its local community partners).

Literature suggests that NGDOs play a key role in the design and implementation of development strategies within developing countries, either as an addition or as an alternative to governments themselves.<sup>33</sup> IDCIs funnel large amounts of funds in the form of material aid, cash grants, and personnel to the NGDOs who then work on the ground with the GROs to facilitate development activities.<sup>34</sup> Therefore, there is an important relationship working between all of these constituents. It is important to note that development cooperation cannot be sustainable without the participation of GROs, as they represent the target population.<sup>35</sup> If they are not present and onboard from the beginning of the development projects and throughout, the presence of the NGDOs is seen more as general aid rather than cooperative development activities.<sup>36</sup> Therefore, in this theoretical model, sustainability is seen as a cooperative process between the international, regional, and local players.

Other literature defines NGOs engaging in development activities slightly differently, although comes to similar conclusions. One research study refers to nongovernmental organizations that span diverse gaps as “bridging organizations,” since

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<sup>33</sup> Mario Padron, *Cooperación al Desarrollo y Movimiento Popular: Las Asociaciones Privadas de Desarrollo*, (Lima, Peru: DESCO, 1982).

<sup>34</sup> D. Porter and K. Clark, “Questioning Practice: Non-government Aid Agencies and Project Evaluation,” *Development Dossier*, no. 16, (Canberra: Australian Council for Overseas Aid, May 1985): 1.

<sup>35</sup> Padron, “Non-governmental Development Organizations,” 69.

<sup>36</sup> *Ibid.*

they bring together various constituencies that seem to be diverse in nature, but share a basic interest in solving development problems.<sup>37</sup> These bridging organizations are especially concerned with attacking social problems that harm the poor so that they can advocate for sustainable change, doing this in a way that allows them to bring various players together to achieve their goals. The literature says they are different from conventional NGOs because they interact with various constituents, including local groups, national bodies, and international institutions, and also because they invest in programs considered more innovative, such as staff training and development, advocacy, information collection, and networking.<sup>38</sup>

If we compare these two models, the bridging model essentially outlines three key partners in the development cooperation process: the IDCI monitors the flow of funds as it connects donors with recipients, and the NGDO funnels these funds into productive projects that could be through a partnership with either GROs or other integral constituents such as government entities. Therefore, participation is needed from all contributing partners in order to make effective change.<sup>39</sup> This is a process of cooperation that requires active participation that goes beyond the project framework to create sustainable benefits.

That is to say, unless development activities make a viable impact on social and/or physical systems within a community, to which people can appreciate this change and

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<sup>37</sup> David L. Brown, "Bridging Organizations and Sustainable Development," *Human Relations* 44, no. 8 (1991): 808.

<sup>38</sup> Paromita Sanyal, "Capacity Building Through Partnership: Intermediary Nongovernmental Organizations as Local and Global Actors," *Nonprofit and Voluntary Sector Quarterly* 35, no. 1 (Boston, MA: Association for Research on Nonprofit Organizations and Voluntary Action, Harvard University, March 2006): 66-82.

<sup>39</sup> Padron, "Non-governmental Development Organizations," 74.

maintain it, the improvements will not have a legitimate effect. Since these bridging organizations establish “bridging ties” between local civil society groups, other organizations, and national and global institutional structures, they are more likely to make large-scale, sustainable impacts through the process of capacity building. Therefore, it seems that creating effective partnerships with local groups, organizations, government constituencies and international institutions is key to sustainability efforts.

## **WORLD VISION**

This sections builds upon the previously presented information by introducing World Vision, the organization that supports the PDA Sampa Sul. The information and theories discussed above regarding foreign aid and international development activities help provide a framework for understanding World Vision’s purpose, history, and development model. This section also provides a brief review of philanthropic activity in Brazil, as it has been on the rise in recent years which could impact WV’s funding capacity.

### **Profile**

World Vision is an international relief and development organization that uses donations and staff efforts to address worldwide poverty.<sup>40</sup> The organization was founded in 1950 by a man named Bob Pierce who traveled around the United States attempting to raise awareness about poverty issues he witnessed in Asia. Three years later, the child sponsorship program was born and by the late 1950s, more than 13,200 children in five countries received assistance from the organization.

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<sup>40</sup> Forbes, “#11 World Vision,” Forbes.com, December 2014, <http://www.forbes.com/companies/world-vision/>.

In the early 1970s, World Vision created a relief and development division that shifted its focus toward a community development approach rather than solely providing benefits to sponsored children.<sup>41</sup> After incorporating this new development model, by the late 1970s they supported 193,000 sponsored children, but provided relief aid to more than 446,000 people worldwide.<sup>42</sup> Their new goal was to help communities achieve self-reliance, thus creating a larger and more sustainable impact. With this new approach, the organization's impact skyrocketed, and by 1989 their work reached more than 17.2 million people, which stemmed from 5,510 projects that sponsored 834,000 sponsored children in over 80 countries.<sup>43</sup>

Over the last two decades, World Vision projects have maintained a large focus on responding to the rise of HIV/AIDS, the fall of communism, war relief, advocacy, global hunger, and national disasters.<sup>44</sup> In the last five years, the organization focused more on improving their sponsorship community development model, particularly as it pertains to the goal of self-sufficiency. They released *The Handbook for Development Programmes*<sup>45</sup> along with other policy and practice outlines<sup>46</sup> in 2011 that provided visibility to their development framework. Additionally, the organization developed a number of program tools and rolled out the second edition of its *Learning through Evaluation with*

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<sup>41</sup> World Vision, Our History.

<sup>42</sup> Ibid.

<sup>43</sup> Ibid.

<sup>44</sup> Ibid.

<sup>45</sup> World Vision International, *The Handbook for Development Programmes*, (Monrovia, CA: World Vision International, 2011), <http://www.wvi.org/development/publication/handbook-development-programmes>.

<sup>46</sup> World Vision International, Development Programming Guidance, <http://www.wvi.org/development/guide/development-programming-guidance>.

*Accountability & Planning (LEAP)* tool that monitors and evaluates program effectiveness.<sup>47</sup>

Understanding World Vision as an agency that purports international community development is essential. However, child sponsorship within the context of a Christian values framework shapes World Vision's ideology and development approach. World Vision explicitly states that the organization holds Christian values and pursues its work according to a set of core values that portray its institutional ethics and aspirational character.<sup>48</sup> Although World Vision does not impose religious values on its target populations, the organization and all its subsidiaries operate from this standpoint.

### **Philanthropic Activity in Brazil**

Philanthropic activity has been on the rise in Brazil over the past several decades as the country's overall wealth has increased.<sup>49</sup> In the 1990s, Brazilian corporations began to invest more in social responsibility and philanthropy,<sup>50</sup> and over the past five years individual and family philanthropy has also increased.<sup>51</sup> Still, corporate philanthropy is much more prominent than individual philanthropy in Brazil, representing over \$1.2 billion in corporate social investment and contributions in 2011.<sup>52</sup> The Instituto Coca-Cola Brasil

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<sup>47</sup> World Vision International, LEAP 2<sup>nd</sup> Edition, <http://www.wvi.org/development/publication/leap-2nd-edition>.

<sup>48</sup> Erica Bornstein, "Child Sponsorship, Evangelism, and Belonging in the Work of World Vision Zimbabwe," *American Ethnologist* 28, no. 3 (2001): 595-622.

<sup>49</sup> Center for Global Prosperity, *Global Philanthropy and Remittances*, 13.

<sup>50</sup> Sonia Avelar. "On Corporate Giving and Philanthropy in Brazil," *Revista, Harvard Review of Latin America*, Spring 2002, <http://www.drclas.harvard.edu/publications/revistaonline/spring-2002/corporate-giving-andphilanthropy-brazil>.

<sup>51</sup> Fernando Rossetti. "Brazilian Philanthropy Forum: Brazil enters the global philanthropy industry," *Alliance Magazine*, March 2012, <http://www.alliancemagazine.org/en/content/brazilian-philanthropy-forum-brazil-enters-global-philanthropy-industry>.

<sup>52</sup> Center for Global Prosperity, *Global Philanthropy and Remittances*, 13.

represents a large corporation's philanthropic commitments, as they have invested in development activities for over 10 years through partnerships with various institutions that work directly in communities, including Visão Mundial.<sup>53</sup>

While Visão Mundial's original objectives solely revolved around pursuing development activities supported by international donations, the Brazilian World Vision branch now actively seeks private donations from Brazilian citizens who are willing to support vulnerable children and communities.<sup>54</sup> Therefore, Brazilians now participate as donors in the sponsorship program. By encouraging this philanthropic activity in Brazil, World Vision not only increases impact opportunities for Brazilian communities by increasing funding capacity, but also helps to encourage the growth of philanthropic activity throughout Brazil, particularly at the individual level which has been slower to expand. Ideally, the private philanthropy sector will continue to grow in Brazil as its citizens develop a deeper understanding of the value in contributing towards viable and sustainable projects that combat poverty and vulnerability.

### **Development Model**

Part of World Vision's development program approach is to identify community partners that can help promote and sustain the well-being of local children, families, and other community members.<sup>55</sup> Their local programs engage with faith-based organizations (FBOs), churches, government units, NGOs, community-based organizations (CBOs),

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<sup>53</sup> Instituto Coca-Cola, Programas Desenvolvidos, <http://www.institutococacola.org.br/projetos-desenvolvidos.htm>.

<sup>54</sup> Visão Mundial Brasil, Apadrinhar uma Criança, <https://www.visaomundial.org.br/apadrinhar-uma-crian%C3%A7a/nidc/>.

<sup>55</sup> World Vision, *Development Programme Approach*, 4.

community groups, and local private sector businesses.<sup>56</sup> Typically, these groups or organizations are present in the community prior to World Vision's investment in the community and will likely remain following its departure. Therefore, the World Vision units in developing countries value their community partners as key to the sustainability of community development activities, provided that the WV development programs are successful in bringing these groups together to collaboratively address priorities of child well-being and provide capacity-building support.<sup>57</sup> World Vision therefore could be considered a bridging organization, as discussed in the previous section, since it brings together various constituents to work toward a common development goal.

According to the definitions of development organizations reviewed above, WV would most likely be considered an IDCI, an International Development Cooperation Institution, since it uses international private funds typically from developed countries, and then sends those funds to lesser-developed regions to be distributed by local organizations. At the same time, this model is complicated by the fact that the funds are technically distributed by NDGOs directly associated with WV. To explain, WV refers to the umbrella organization that began in the United States in the 1950s. Since then, this organization has expanded to nearly 100 countries, each country developing its own nongovernmental organization that carries out the goals of WV, and follows that organization's general policies and procedures. At the same time, these smaller local organizations work independently to pursue the development needs of their own country and communities.

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<sup>56</sup> Ibid.

<sup>57</sup> Ibid.

They receive financial resources from different WV units, but function more precisely as an NDGO, as they implement projects and mobilize various grassroots efforts. In fact, although the organizations would not be considered grassroots themselves, as they were ultimately carefully planned and targeted by WV, their intent is to partner with existing GROs to increase the viability and sustainability of the community institutions that already existed when WV arrived. Therefore, this very relationship between WV (IDCI), the various World Vision country branches (NDGOs), and the numerous GROs that they work with is key to ensuring that World Vision's development activities are sustained within local communities over the long-run and achieve the largest impact possible. When this relationship works effectively, provided that other organizational necessities are in place and functioning effectively, (i.e. good management systems, sufficient resources, government support, etc.), the local projects and activities should ideally be able sustained even after the IDCI and NDGOs are no longer actively present in the community.

#### **CONCLUSION ON SUSTAINABILITY**

Foreign aid and international development projects should always hold sustainability as key, since attaining a sustainable impact assumes that the improvements in the lives of the poor and socially vulnerable will be viable in the long-run, because they become embedded in the social and physical ecologies of the community.<sup>58</sup> As briefly discussed in Chapter 1, when development programs achieve routinization of program-related activities by investing in events that concurrently incorporate sustainability efforts

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<sup>58</sup> Brown, "Bridging Organizations," 809.

into implementation efforts, the overall potential and impact of the program becomes more stable and likely to remain over the long-run.<sup>59</sup> Specific routinization events are defined as the following: the ability to secure stable human and material resources; the willingness to take risks in support of program activities, which can build confidence among actors; the creation of incentives that encourage staff members and other human supports to remain committed to the program; the effectiveness in adapting activities according to the environment according to variation in environment and local circumstances; the ability to align program and organizational objectives with organizational and staff values; the dedication toward ensuring transparent communication between actors to ensure congruence among objectives; the willingness to share cultural artifacts, such as symbols, rituals, values, and beliefs, and organizational artifacts with the community; and finally, the ability to align program rules and policies with those of the larger organizations.<sup>60</sup>

According to the literature, when organizations align their programs with these routinization goals, the programmatic impact is more likely to be sustained over time.<sup>61</sup> It is not necessary that a program maintain all of the routinization events at the same time. Research found that the occurrence of just one of the listed routinization activities leads to a higher likelihood of programmatic and activity sustainability.<sup>62</sup> Therefore, in response to the hypothetical questions presented at the end of the first section of this chapter, whether or not private donor investments lead to sustained community benefits depends on the

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<sup>59</sup> Pluy, "Program Sustainability Begins with the First Events," 124.

<sup>60</sup> Ibid, 124-126.

<sup>61</sup> Ibid, 126.

<sup>62</sup> Ibid, 135.

extent to which the development programs are able to align their goals and objectives with these specific routinization activities.

The next chapter builds upon the theory introduced in this chapter as it outlines the specific methodology used in this research study that attempts to determine whether or not the PDA Sampa Sul may be successful in achieving these routinization and sustainability goals.

## **Chapter 3: Methodology**

As outlined in Chapter 1, the purpose of this research study is to understand how development aid organizations and the community-based programs they support can work together to create a more sustainable impact. This report examines the challenges that community-based programs supported by development aid experience throughout the sustainability and routinization process by attempting to understand community-based programs may revise their objectives and operations to ensure that projects and activities will be sustained regardless of the parent organization's active involvement. As a means of investigating this topic, I chose to focus on one specific case, the area development program PDA Sampa Sul, a program that currently experiences challenges related to ensuring that its activities remain sustainable at the end of its 15-year timeline of support from the international NGO World Vision.

This first chapter discusses the basis for choosing the specific case study, including benefits and challenges in examining the research question within the constraints of such a narrow focus, and the importance of ensuring language and cultural competency before entering the field to pursue participatory research methods. Then, the chapter provides a background to the purpose and strategies of participatory research methods, before outlining the specific methods used which include informal observation and semi-structured interviews.

### **SELECTION OF CASE**

As mentioned in Chapter 1, as a research intern for the CEAPG's public action research initiative, Professor Peter Spink evaluated my personal interest areas and the

specific needs of the larger project, and placed me at the PDA to accompany the program for nearly four months to better understand its relationship with public services and policies in the area. To this extent, I would assist the program with operations and programmatic development as appropriate, while also allowing me to pursue participatory research methods that would benefit his research initiative and allow me the space to elaborate my own study.

Once I began working with the PDA, I soon realized the program was struggling with challenges due to a lack of sufficient human and financial resources necessary to maintain present projects and ensure the possibility of continuing projects in the future. Additionally, both management and support staff seemed to be overwhelmed by high workloads, inefficient processes, and a lack of staff support. My first instinct was to attempt to procure funds for the organization to secure more resources to help relieve staff and secure program viability. Through more time accompanying the organization's daily tasks, I realized that this uncertainty concerning future resources and sustainability, as well as a lack of autonomy from the parent organization, could be a phenomenon common to many community-based development programs. I broadened my research interests from just a simple focus on the PDA's resource needs to an attempt to understand how I could pull key trends from the program's experience that could perhaps help other programs in similar situations become more efficient and effective. From my experience working with community development NGOs in the past, along with the literature regarding instable resources reviewed in Chapter 1, I understood that overworked staff and tight budgets is not a problem unique to the PDA.

Despite the goal of drawing more broad conclusions, this report maintains an analytical focus on the case of the PDA and World Vision for two reasons:

1) As an intern placed at the PDA, I had direct access to a plethora of case-specific information including policies, program implementation documents, program statistics, staff perspectives, direct interaction with program activities, contact with World Vision employees, etc.

2) Under the same pretext, I could focus my limited time for field research on attempting to fully understand the technical logistics and challenges of one program, rather than comparing various programs. This would ideally help me gain a more thorough conceptualization of programmatic concerns and the ability to make more qualified analytical conclusions.

## **LIMITATIONS**

While focusing on one case helped developed a deeper understanding of the context of World Vision and the PDA as they relate to sustainability of development activities, I acknowledge that this narrow focus is specific to just one organization and therefore limiting. While I am able to apply the knowledge learned from this case study to other similar organizations, and I hope that other organizations will be able to similarly use my study in a beneficial way, all conclusions and recommendations must be understood as stemming specifically from the needs of and the research developed within the context of the PDA. Therefore, if an organization or program chooses to follow any of the recommendations presented in Chapter 5, they must understand that the recommendations

are implied for programs assumed to have conditions or characteristics similar to those of the PDA.

#### **LANGUAGE AND CULTURAL COMPETENCE**

It is important to note that Brazil is a Portuguese-speaking country, and therefore the bulk of the personal encounters and document review elaborated in this report was conducted in the Portuguese language. As a native English speaker, I planned for this challenge in advance by using the eight months in-country prior to February 2015 to invest in measures to ensure that I would be linguistically and culturally prepared to conduct fieldwork and research in Portuguese.

#### **PARTICIPATORY RESEARCH AT PDA SAMPA SUL**

Participatory research is a qualitative social research methodology that incorporates the people under study into the research process itself.<sup>63</sup> Therefore, the questions and results converge from multiple perspectives, that of the researcher and those from the target population under study, which in this case is the PDA staff members.<sup>64</sup> In this way, participatory research methods illicit a knowledge-production process that is pursued jointly by both parties, resulting in new insights and benefits for both the research and the participants of the study.<sup>65</sup> Since I was already planning to accompany and assist the PDA in its daily operations, it seemed most logical to approach the research study from this perspective.

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<sup>63</sup> Jarg Bergold and Stefan Thomas, "Participatory Research Methods: A Methodological Approach in Motion," *Forum Qualitative Sozialforschung/ Forum: Qualitative Social Research* 13, no. 1 (2012): par. 1, <http://www.qualitative-research.net/index.php/fqs/article/view/1801/3334>.

<sup>64</sup> Ibid.

<sup>65</sup> Ibid, par. 2.

Participatory research can manifest in various forms of research strategies, provided that the academic researcher and the practitioners collaborate together to produce information that is useful to both parties.<sup>66</sup> The goal therefore becomes working together to reconstruct the practitioners' knowledge in a way that facilitates understanding and empowerment so that the practitioner can then use this knowledge to pursue future interests. Although participatory research lacks a systematic procedure, since the characteristics and needs of the research study change with every case, literature on this type of research suggests that researchers can create systematic solutions based on a structural theory specific to the area being studied. If a structural theory does not exist or is not possible to develop within the context of specific projects, the social location of the population that is affected by the research problem must be identified.<sup>67</sup> In the case of the PDA, there is research relevant to community-based programs supported by development aid to inform the study on suggested practices. At the same time, a specific structural theory that defines the PDA does not exist. Therefore, according to the participatory research literature, the common experiential background among the target population of study is enough to facilitate communication and joint action between the researcher and the group of people involved in the study.<sup>68</sup>

Given this information, the research methodology used in this report allows the participation of the various actors involved, while simultaneously eliciting information so

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<sup>66</sup> Ibid, par. 8.

<sup>67</sup> Ibid, par. 28.

<sup>68</sup> Ibid, par. 28.

that I as the researcher could help empower the program staff in the long run. The majority of the methodology, therefore, is based on participatory research based off informal observations during my experiences learning about the community and accompanying the PDA in daily tasks. Additionally, semi-structured interviews with key actors involved in the PDA helped add more depth to the results by eliciting more specific information regarding program functioning, sustainability, and future operations. The following subsections go into more depth regarding the specific methodology.

### **Informal Observation**

#### ***Initial Integration into Region***

I visited Jardim Angela for the first time in October 2014, when I toured three facilities run by the Santos Martires Society (SSM), one of the PDA's community partners.<sup>69</sup> At the suggestion of Professor Spink and in anticipation of my fieldwork beginning early the next year, the focus of this visit was to familiarize myself with and understand more about the region, particularly the key social and community issues present. I shadowed a post-doctoral student, Ana Marcia Ramos, who was conducting informational interviews with the leadership of all the social programs supported by the SSM. We visited a social assistance center for families, a youth center, and a day-program for children with special needs. Throughout the visits, I noted information about available services in the community and asked questions about various problems related to social and urban vulnerability. Although the PDA was not specifically discussed during the visit,

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<sup>69</sup> The significance of the term 'community partner' as it pertains to the PDA will be explained further in Chapter 4.

the general information related to regional organization, available services, and interaction with public policy and government interventions, which prefaced my understanding of the need for the PDA's presence in the region.

I did not return to Jardim Angela until I visited the PDA for the first time on January 28, 2015, accompanied by one of the key researchers in Professor Spink's study from a partnering institution, Professor Mary Jane Spink. As a social psychologist, she studied the various urban and social risk factors in the area and their impact on community members. At this initial meeting, three staff members introduced me to the program's purpose, management structure, and general activities and gave me a tour of the facility. We organized a regular schedule that would begin the following Monday, which included me working at the PDA two to three times per week through mid-May 2015, completing a total of 25-35 hours per week in the region. During these hours, I would be actively participating in the daily operations of the PDA, including observing and participating in daily operations, meetings, program development, project operations, outreach material development, and so on.

### ***Accompanying Organization***

My main duties at the PDA allowed me to accompany the organization throughout its daily processes, with the goal of better understanding the way the program worked together with public services and local actors to pursue its projects. For the purpose of his study, Professor Spink wanted to understand more about the daily functioning of an organization in the area, as no other researcher associated with their study had spent so many consistent hours in the region. Therefore, I monitored the organization as the staff

members performed normal tasks, all the while making mental notes about general observations, so that I could record those observations. I checked in with Professor Spink once per week to debrief about those observations and receive supervisory support. Throughout this process, I was not passively observing. I acted in a participative manner in operations and tasks, serving more as an intern that the PDA could call upon and utilize as needed.

During the first two weeks, I accompanied the program coordinator to several community meetings at various facilities in the region, including the sub-prefecture building of M'Boi Mirim,<sup>70</sup> one of the local CEUs (Unified Educational Center), which is a large multi-functioning school and community events center, and at the SSM (Santos Martires Society). I also attended all coordination and staff meetings at the PDA, including a training led by a VM programs evaluation employee. I was essentially shadowing the program coordinator and took advantage of asking her questions as often as appropriate as an effort to more deeply understand the functioning and purpose of the PDA. I also encouraged her to use me for knowledge or assistance where applicable, so that we were constantly exchanging information in a way that was productive for the program's overall needs.

### ***Policy Analysis***

As part of understanding the PDA's role in the community, I reviewed numerous municipal policy documents published by São Paulo's City Hall that helped inform my

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<sup>70</sup> Remembering that São Paulo is divided into 32 sub-prefectures, or smaller municipalities, M'Boi Mirim's sub-prefecture building serves as a municipal building that employs municipal workers who coordinate public services and represent the needs of the population within its sub-prefecture.

understanding of the context of municipal, state, and federal social and public services systems. I also reviewed various academic articles on fundraising techniques, programmatic best practices, and needs assessments, which informed some of the daily conversations I had with the PDA staff. For the purpose of keeping this literature review and report focused and concise, I chose to include only the most pertinent information relating to the specific topic of research. For a list of additional resources that I referenced while accompanying the PDA that were not specifically referenced in this report, please see Appendix A.

### ***Document Review***

As I further developed my specific goals regarding sustainability, I began to review PDA and World Vision documents that referred program implementation, goals and objectives, financial information and organization, project guidelines, and program evaluations. These documents are specifically referenced in throughout Chapters 4 and 5 as necessary.

Access to the documents not available on the internet were furnished from PDA and VM staff members for the sole purpose of my research study. Most documents reviewed were considered public, although some information reviewed was requested to be kept anonymous.

### **Semi-Structured Interviews**

Aside from the participatory methods, the research study utilizes semi-structured interviews to elicit more specific trends regarding operations effectiveness, challenges, and possibility of sustainable programs. The study received Institutional Review Board (IRB)

Exempt status (Protocol Number: 2015-02-0079) based on 45 CFR 46.101(b) on March 17, 2015 through March 16, 2018, signed by the University of Texas IRB Chair, James Wilson. Following notice of this exemption, I performed nine semi-structured interviews with individuals that were in some way connected to the PDA, interviewing a total of 13 participants. Please see Appendix B for an Interview Guide that lists all the questions asked during the interview process. The question lists vary depending on the type of person who was interviewed, such as PDA Employee or Volunteer, VM Employee, Employee of a Different VM PDA, or a WV Employee. All interview questions are listed in both English and Portuguese, since all but one of the interviews were conducted in Portuguese.

All interviews were one-on-one between the researcher (me) and the research participants, except for one group interview that consisted of six total participants plus the researcher. One of the participants in the group interview was a staff member of VM who had already been interviewed. All interviews were conducted in-person, except for one interview that was via audio call and one participant that provided text responses via e-mail. All interviews were conducted in private settings behind closed doors, so as to create ‘safe spaces’ where participants felt safe to express their personal views, ideas, and experiences without the fear that any dissenting views might be used against them.<sup>71</sup> Participants were explained the goals of the research study and confidentiality rights in their language before the initiation of the study. They were also provided a paper copy of this information to review and keep.

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<sup>71</sup> Bergold and Thomas, “Participatory Research Methods,” par. 12.

### ***Selection of Participants***

Of the 13 total research participants, four of those participants worked directly with the PDA, three worked for VM, one worked for World Vision Australia, four worked for another PDA associated with VM in another region of Brazil, and one worked for a social organization that formerly functioned as a PDA in another region of Brazil until its support period ended. One opportunity for further research would be to conduct interviews with community actors, such as employees of partnering organizations or members of the “Conselho Gestor.”<sup>72</sup>

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<sup>72</sup> Defined in Chapter 4.

## Chapter 4: PDA Sampa Sul

World Vision’s core principles place child well-being at the center of its approach toward pursuing community development that addresses global poverty issues.<sup>73</sup>

The focus of the Development Programs Approach is equipping local-level staff to work effectively with communities and partners towards the sustained well-being of children, especially the most vulnerable. The approach serves as a vehicle to integrate and focus WV’s development programs on child well-being priorities – including the child wellbeing targets in the WV national office strategy.<sup>74</sup>

As one of WV’s Area Development Programs, PDA Sampa Sul embraces this mission, by trying “to help local community members achieve their dreams,”<sup>75</sup> as one PDA employee put it during his interview. He continued, “But it only works when it’s the community itself that is pushing to make this happen.” This PDA employee is referring to the determination it takes of community members, local organizations, civil society groups, and government constituents to work together to make change a reality—a reality that is sustainable in the long-run. Without realizing, his statement emanates the theory presented in Chapter 2 regarding cooperative engagement between various constituents.<sup>76</sup>

The previous contextual example demonstrates how the literature reviewed in Chapter 2 provides a framework for understanding and analyzing the specific case of World Vision’s PDA Sampa Sul. Using the insight from the literature review as an organizing framework and by elaborating the research methods outlined in Chapter 3, this chapter is

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<sup>73</sup> World Vision, About Us, <http://www.worldvision.org/about-us>.

<sup>74</sup> World Vision International, Development Programming Guidance.

<sup>75</sup> PDA Sampa Sul Employee, interview, April 1, 2015.

<sup>76</sup> Padron, “Non-governmental Development Organizations”; Porter and Clark, “Questioning Practice”; Sanyal, “Capacity Building through Partnership.”

devoted to deeply reviewing and analyzing this specific case of the PDA. The chapter will first present the programmatic structure and functioning of the program, including a discussion of the personnel, program methodology, budget, and community partners, and will then analyze these points. All review and analysis is based off of information collected from document review, informal observation, and the semi-structured interviews.

### **PROGRAMMATIC STRUCTURE**

The PDA Sampa Sul functions as a small community development program that supports vulnerable children and families throughout the Jardim Ângela and Capão Redondo region. With financial support from World Vision Australia and programmatic support from Visão Mundial, the PDA Coordinator and staff members run all projects and activities independently from those agencies. Therefore, aside from what is outlined in their Redesign documents and Annual plans, which will be discussed further below, they have autonomy in the types of activities they pursue provided they have adequate staff and funding support.

The purpose of this section is to provide a broad overview of the overall structure and objectives of the PDA, including a description of personnel, budget, program methodology, and community partners. A more detailed analysis of these structural components will be provided in the next section.

### **Personnel**

The PDA employs a total of nine staff members which include: one Program Coordinator, one Sponsorship Project Coordinator, one Active Citizenship Project Facilitator, one Art Workshop Facilitator, four Local Development Agents (ADLs), and

one Building Manager. According to the PDA's most recent Redesign document<sup>77</sup> and FY2015 Plan,<sup>78</sup> in addition to these positions, the PDA should currently employ a Finance Administrator, Education Project Coordinator, and an Activity Facilitator.

### **Program Methodology**

The PDA follows World Vision's Area Development Program methodology, which is outlined on its website.<sup>79</sup> The following subsections outline how the PDA has specifically adapted that methodology to fit the individual needs of its program. Additionally, they provide a detailed review of the three primary projects that the PDA pursues, which form the foundation of all the program's development activities.

### ***PDA Methodology***

The *WV Handbook for Development Programmes* provides a basic framework that serves as the starting guideline for all WV programs, integrating WV's dynamic response to poverty, inequity, and vulnerability throughout the world.<sup>80</sup> WV refers to this as the Ministry Framework and defines its primary goal as "sustained well-being of children within families and communities, especially the most vulnerable."<sup>81</sup> Figure 4.1 illustrates this approach, demonstrating how the primary goal leads to aspirations and outcomes that hold child well-being and protection as key. This leads to dynamic approaches that attempt to empower children, families, and communities to address complex structures and systems

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<sup>77</sup> Visão Mundial Brasil, *Documento de Desenho de Programa: PDA Sampa Sul*, (Fortaleza, Brazil: World Vision, October 31, 2013).

<sup>78</sup> Visão Mundial Brasil, *Planejamento do Ano Fiscal 2015*.

<sup>79</sup> World Vision International, *Development Programming Guidance*.

<sup>80</sup> World Vision International, *The Handbook for Development Programmes*.

<sup>81</sup> *Ibid*, 5.

and promote caring and healthy relationships. The core principle found on the outside of the circle informs the entire process.

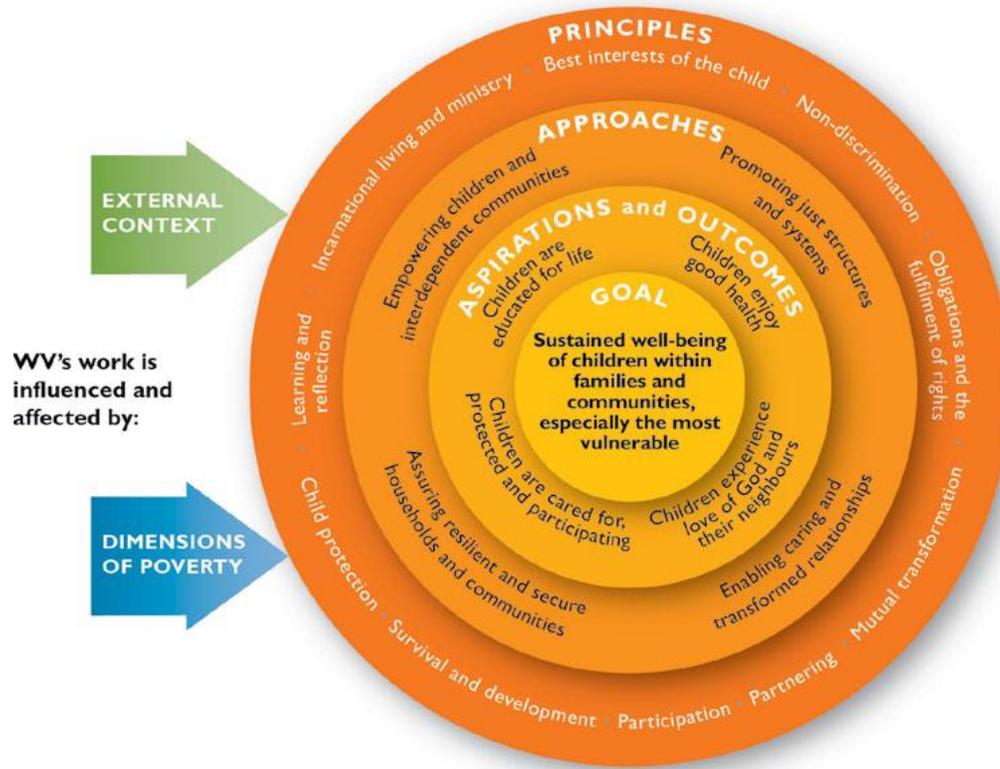


Figure 4.1: The World Vision Ministry Framework<sup>82</sup>

VM works to advance this methodology by customizing it to meet the needs of Brazil, which is then taken one step further by the PDA to meet the needs of its particular target population in São Paulo. The Area Development Program methodology was initiated in 1992 as an intervention model that aimed to support sustainable community development practices.<sup>83</sup> VM has one coordinating office in Recife and several regional

<sup>82</sup> Ibid.

<sup>83</sup> Visão Mundial Brasil, Regional Sudeste Território Urbano, “Nova Proposta de Intervenção Cluster/Território,” PowerPoint Presentation slides, 2015.

offices throughout Brazil that provide technical and coordinating support to their ADPs. The staff at these regional offices identifies communities demonstrating social vulnerability and conducts research and analysis of the area. Upon determining the area in need of support, VM begins to search for established community organizations that could serve as local partners in their development effort by helping support the Area Development Program. In this way, ADPs are not organizations in their own regard, they are development programs implemented and supported by existing community supports. This is one of the key sustainability goals of the ADP approach, as it encourages active community support at the individual, community, organizational level in an attempt to maintain projects even after WV has withdrawn funding and programmatic support.

In 2007, VM conducted research and analysis in the Capão Redondo region of Southern São Paulo. They concluded the area as socially at-risk and an area that could benefit from development activities. VM began drafting a Design document that would outline the purpose and goals of the PDA Sampa Sul. This document was completed in June 2008,<sup>84</sup> which determined program initiation to occur in October 2008 at the beginning of FY2009. Aside from outlining the purpose and goals, the Design document served as the program's implementation plan as it outlined the PDA's proposed projects and activities, personnel needs, budget, and program life. The VM Southeastern Regional Office in Rio de Janeiro assigned the PDA a Program Evaluator to accompany the continued advancement of the program. This Program Evaluator reevaluates the PDA's

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<sup>84</sup> Visão Mundial Brasil, *Documento de Desenho de Programa: PDA Sampa Sul, Fase de Desenho*, (Fortaleza, Brazil: World Vision, June 2008).

annual progress toward its goals, readjusting as necessary with each year's updated Annual Plan. A staff member from VM also completes an in-depth analysis of the program at the end of every 5-year cycle.

The PDA currently has three official community partners, which are the Santos Mártiries Society (civil society organization), CCA São Bento (public school and community center), and IPJ (government-funded youth center). While the community partners do not contribute any financial assistance or support staff toward the PDA, they do furnish members of the "Conselho Gestor" or managing council that is responsible for making programmatic decisions regarding the PDA. These specific relationships will be discussed further below. ADPs always hold Sponsorship as their primary project and develop other projects that advance community development projects specific to their target communities. Therefore, the PDA invests the majority of its effort towards its Sponsorship project, more of which will be discussed in the following section.

Finally, it is important to note that in order to pursue all of its projects and activities, the PDA rents a house that serves as its program base in the neighborhood of Jardim Jangadeiro. Before moving to this space in FY2011, the PDA rented office space in a commercial region of Capão Redondo. The program staff found the office space constricting and difficult to manage program activities and therefore sought to relocate. Now, the program is run from a three-story house that has two meeting rooms downstairs plus a kitchen, an activities room in the basement, and three staff offices plus one additional meeting space on the second floor. This space allows PDA staff to ample space to attend to programmatic concerns and organize activities onsite. For example, the program hosts

art classes for children twice a week in the basement and supplies four computers in one of the downstairs common rooms that are accessible to the public. The PDA also opens the building up as a community center that other community members may use for social activities or workshops as approved. Therefore, the new office space helped move the PDA toward establishing a more sustainable presence within the community by allowing them the possibility to invite children and community members to participate in activities in a safe and inviting environment. All of the interviewed PDA staff members and Visão Mundial employees who maintain direct contact with the PDA mentioned that the PDA's new location was significantly improved from the previous space, and allowed for a much better dissemination of services and community support.<sup>85</sup>

### ***Key Projects***

Although the PDA's original Design document<sup>86</sup> presented five key projects, the PDA currently pursues three main projects, which include the main Sponsorship project, the traditional and integral project of World Vision, along with the Active Citizenship and Education projects. The following list provides a brief description of the objectives of each project.

**Sponsorship.** The Sponsorship project is integral to the PDA Sampa Sul, as it is the key project of WV internationally and therefore the primary focus of most ADPs. The Sponsorship project's two main goals are to help families develop and improve their attitudes toward protecting children, adolescents, and youth and to assist

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<sup>85</sup> PDA Sampa Sul, WVI, and VM Employees, interviews, various dates between March-April 2015.

<sup>86</sup> Visão Mundial Brasil, *Documento de Desenho de Programa*, 2008.

schools, community organizations, and the PDA itself to improve their understandings and actions in promoting the protection of the target population's well-being.<sup>87</sup> The program seeks to train parents and caretakers on proper health care and the basic needs of their children and to continually and to systematically monitor the well-being of the sponsored and nonsponsored children in the community. They carry out this project through engaging in four main activities, which are outlined in the Annual Plan.

**Active Citizenship.** The PDA's Active Citizenship was initiated in FY2012 and seeks to advocate for adolescents, youth, and community leaders to be qualified participants in public discussions and sociopolitical propositions within their communities. The project attempts to assist in the formation of groups of adolescents and youth that work towards public participation in discussions and monitor public policies that affect their lives and communities. This project is carried out through six primary activities, outlined in the Annual Plan.

**Education.** The Education Project is PDA's newest venture, beginning as a new goal of FY2015.<sup>88</sup> The key development objectives of the Education Project are to ensure that children, adolescents, and youth receive adequate support throughout their academic development and to improve the same target population's written and verbal literacy and expression. The PDA collaborates with different schools to work together for improved education. They also ensure that the target population has

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<sup>87</sup> Visão Mundial Brasil, *Planejamento do Ano Fiscal 2015*.

<sup>88</sup> Visão Mundial Southeast Regional Employee, personal conversation, February 2015.

access to socio-educational, cultural, and leisure activities. The FY 2015 Plan<sup>89</sup> lays out six activities throughout the year that the PDA should participate in.

## **Budget**

The PDA's original Design completed in 2008 estimated that the PDA would be funded by World Vision Australia until FY2025. The PDA's funding source was based off of total number of registered children in the program. The PDA would receive USD\$175 per registered child per year. World Vision methodology expects that as development activities strengthen the community and decrease vulnerability, investment in the area will be less necessary throughout the funding cycle. Therefore, the estimated lifetime budget of the PDA at the time of initial design estimated that by FY2013 the program would have 2,500 registered children amounting to a total budget of USD\$437,500.<sup>90</sup> Starting in FY2022, the PDA was expected to systematically decrease the total number of sponsored children to 2,000 by FY2023, 1,500 by FY2024, and 1,000 by FY2025. The annual budgets appropriated from WV Australia for those fiscal years would decrease accordingly related to the proportion of US\$175 per year per registered child.

The ADPs function in 5-year programmatic cycles. Program evaluators from WV perform research and evaluation of the ADPs every five years to create a Redesign document that attempts to ensure program viability, effectiveness, necessity, and sustainability. According to the Resdesign document completed at the end of FY2013,<sup>91</sup>

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<sup>89</sup> Visão Mundial Brasil, *Planejamento do Ano Fiscal 2015*.

<sup>90</sup> Visão Mundial Brasil, *Documento de Desenho de Programa*, 2008.

<sup>91</sup> Visão Mundial Brasil, *Documento de Desenho de Programa*, 2014.

the PDA was estimated to have 1,150 registered children in FY2014, 2802 in FY2015, and 3,802 by FY2016, receiving the same total dollar amount per registered child per year. Additionally, the estimated duration of the program was decreased to end in FY2023, rather than the originally estimated FY2025. Therefore, the total estimated budget for the PDA was decreased both due to incorrectly estimating the number of registered children the PDA would acquire as well as decreasing the total funding time by two years.

At this time, the PDA has no additional funding sources other than World Vision Australia. The capital flows that the PDA receives per registered child from VM Australia fund all three of the PDAs main projects, discussed later on in this chapter. At the time of the Redesign, the program intended to begin working with World Vision Brazil as an additional source of funding. This would mean that they would also need to increase total number of sponsored children. Until this point, the PDA has not successfully acquired this funding.

### **Community Partners**

One of the PDA's main goals is to work via networks so as to improve work on social problems in the community collaboratively. They do this by working with three types of groups present in the community.

#### ***Managing Council / “Conselho Gestor” & Partnering Organizations***

The “Conselho Gestor” is the managing council that is technically in charge of approving all programmatic decisions related to the PDA.<sup>92</sup> Therefore, while the PDA has

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<sup>92</sup> Visão Mundial Southeast Regional Employee, personal conversation, March 2015.

a full staff that executes all activities and daily functioning, the official leadership stems from the Conselho Gestor. The Conselho Gestor is made up of a total of nine members who come from the PDA (3 members), the Southeast Regional Visão Mundial office (1 member), and the PDA's partnering organizations (5 members) which include the SSM, CCA São Bento, and the IPJ. The Conselho Gestor is partly responsible for evaluating the program, and, according to the Redesign, should meet periodically with the technical team and partnering organizations to improve communication and learning. It is important to understand that the partnering organizations and the "Conselho Gestor", which is made up of employees of those organizations and community actors, technically are responsible for the PDA's programming. Therefore, this relationship is a key component to its sustainability model.

### ***Additional Community Partners***

World Vision's development approach assumes that governments should provide essential services, including health care, education, and basic public safety, to its local citizens.<sup>93</sup> They often find that these services are not adequately met within the community, and therefore the ADPs attempt to take a more direct role in delivering these services. Although the PDA does not directly provide such services, the program partners with various units to make access to these services more convenient. For example, Jardim Ângela/Capão Redondo has access to a limited amount of government-administered Basic Health Units (Unidade Básica de Saúde – UBS) distributed across the region that provide

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<sup>93</sup> World Vision International, *World Vision's Development Programme Approach*, 4.

basic health prevention services and medical consultations free of cost.<sup>94</sup> Through its active presence in the Jardim Jangadeiro, the name of the smaller neighborhood where the PDA office building is located, PDA staff members realized that many people in the immediate vicinity did not readily access these services, due to matters of distance and inconvenience of the units.<sup>95</sup>

As part of its Sponsorship project that holds health as a main priority, the PDA invited one of the UBSs to provide health on-site health services every Tuesday for three hours as a means of creating easier access to health care. Community health workers and one medical doctor attend to the needs of approximately 50 community members per week through this project, providing health care to numerous community members who might not have been as likely to seek services before. This project demonstrates the importance of partnering with government programs to ensure that local citizens are able to access such services. It also represents a huge opportunity for sustainability, as the community members understand the benefit of having more readily accessible healthcare, and therefore may be more likely to ensure that the UBS continues to provide services within Jardim Jangadeiro even if the PDA were not able to provide a meeting space following the conclusion of the World Vision funding cycle.

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<sup>94</sup>Ministério do Planejamento, UBS – Unidade Básica de Saude, Governo Federal Brasil, <http://www.pac.gov.br/comunidade-cidada/ubs-unidade-basica-de-saude>.

<sup>95</sup> PDA Coordinator, personal conversation, January 28, 2015.

## ANALYSIS

The previous chapters and subsections reviewed the relevant literature and methodology that is aimed at understanding the general question of how community-based programs can improve operations to create a more sustainable impact. As illustrated, this question was evaluated based off the case of the PDA Sampa Sul. Considering the programmatic structure presented in the previous section, this section attempt to analyze the strengths and challenges of the PDA as it attempts to achieve sustainability goals. Ideally, the PDA currently invests in or has the potential to invest in at least some of the routinization events outlined at the end of Chapter 2, indicating higher chances of long-term sustainability.

### **Personnel & Program Methodology**

The PDA is currently understaffed according to their Redesign document.<sup>96</sup> At minimum, they are down two employees. Based off the literature reviewed earlier in this report, a lack of human resources puts the program at-risk for long-term sustainability.<sup>97</sup> According to the updated FY2015 Annual Plan and various interviews conducted with PDA and WV staff, the PDA would technically benefit from at minimum four additional employees. The PDA could potentially benefit from a Finance Administrator/Administrative Assistant, an Education Project Coordinator, a Fundraising Manager, additional ADLs and Activities Facilitators, which were suggested in the Annual plan and by interviewees.

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<sup>96</sup> Visão Mundial Brasil, *Documento de Desenho de Programa*, 2014.

<sup>97</sup> Pluy, "Program Sustainability Begins with the First Events," 124.

The head Program Coordinator takes care of all finance duties, oversees all projects except for Sponsorship, represents the program in the local and greater community, coordinates with managing support from regional, national, and international offices, leads projects as necessary, and manages all staff. She technically should also be attempting to raise funds to help expand the program, although this activity has not been actively pursued.<sup>98</sup>

The Program Coordinator is stretched among all her duties. According to a Program Evaluator from World Vision, the PDA is currently behind on two of its three projects. The program did not meet its registered children goal from FY2014 and is still far from its revised FY2015 goal. Additionally, the PDA has not completed any of its proposed activities for the new Education project activity, and therefore received very low marks in that area on its most recent evaluation update conducted in February 2015 by a VM Program Evaluator. Therefore, the fact that the program is significantly and continuously behind on its programmatic goals indicates that there is either a lack of staff to adequately handle all activities and projects, or the possibility of a management issue. Given the qualitative data collected from the seven interviewees who had direct familiarity with the PDA, six indicated that the PDA's primary need was more staff members and more funds. Therefore, it is assumed that the lack of human and financial resources is causing a decrease in programmatic efficiency, rather than poor management.<sup>99</sup> At the same time, it may be

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<sup>98</sup> PDA Sampa Sul Employee, interview, March 2015.

<sup>99</sup> Do to the limitations of this study, the researcher was unable to explore the idea of management further. Provide more time and resources, it might be interesting to assess worker productivity by examining worker inputs/outputs, outcomes, etc. to determine whether or not the program is functioning at maximum capacity.

useful for the PDA coordination team to attempt to brainstorm the specific reasons behind the failure to complete programmatic goals, so that they can understand whether it is a staffing, funding, or management issue.

### **Budget**

One employee of World Vision Australia confirmed that the organization has been increasingly struggling over the past several years to maintain donors. She expressed concern that this could play a large role in whether or not the PDA will continued to be funded for the full duration of its 15-year funding cycle. When asked how the PDA might prepare for this situation, she recommended that they create a sustainability plan that particularly addresses detailed fundraising goals, the importance of strong community partnerships, and the necessity to remind collaborators in PDA activities that they as community members are part of the sustainability process. She also suggested that the PDA could help her office in Australia by passing along quality marketing material that showed successful stories of children whose lives were impacted by the PDA. She mentioned that this positive material is what helps hook donors.

The information shared here is useful to PDA employees, not only for international marketing material, but also as they begin to establish a portfolio that they may use when applying for new funding sources. One PDA employee thought about this idea himself, as he mentioned that the PDA needs to begin thinking about marketing now to increase funding streams. He said that it is important to take photos of all activities so that they can create promotional material, reinforce their brand, and attract more attention.

Almost all interviewees mentioned that the PDAs most pressing need is an increase in financial resources. Although PDA and WV employees mentioned on various occasions both informally and during the semi-structured interviews that fundraising and resource management is key to increasing future projects, the PDA still has not prioritized this issue. Therefore, as the PDA nears the end of its 6<sup>th</sup> year of funding from WV Australia, it is severely at-risk financially as that funding begins to systematically decrease as the program begins to reduce the total amount of sponsored children. Also, the PDA could increase its development activities and community impact, such as the Education project, if it had more financial resources to support more staff members and community activities.

### **Community Partners**

Various PDA employees and some WV employees stated during the interviews that they did not feel that members of the Conselho Gestor and partnering organizations demonstrated an invested interest in the PDA's purpose and projects. One PDA employee stated that he knows of some members of the Conselho Gestor who he does not feel can adequately explain what activities the PDA actively engages in. Considering that engagement of community members is key to the ADP sustainability plan, active engagement and a thorough commitment of the Conselho Gestor and community partners is imperative. Given that this relationship is not currently in ideal health, it could dangerously effect the future sustainability of PDA activities if it is not addressed.

One PDA Employee suggested that it might be effective to create a monthly meeting where community and civil society organizations meet together to discuss tough

cases in the area.<sup>100</sup> In this way, participants could bounce ideas and even share cases if one organization had the potentiality to assist in that particular case. Aside from sharing responsibilities, this also ensures that no one is less informed, so that overall the network of professionals and informed citizens that attempts to combat the social problems within the community is strengthened.

According to literature on partnering organizations in Chapter 3, World Vision could also be considered a bridging organization that carries out its activities through its country and regional offices, as well as its ADPs. Therefore, VM would represent an NGDO in Brazil that serves as a bridging organization between the multiple civil society, organizational, governmental, and international institutions. The individual ADPs could be considered a manifestation of this bridging organization that works more directly with GROs to carry out the overall goals of the larger NGDO (Visão Mundial) and IDCI (World Vision International). According to the literature, it is therefore imperative that VM, and therefore the PDA, invest considerably in the relationships and capacity building processes to ensure sustainability of development activities.

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<sup>100</sup> PDA Sampa Sul Employee, Interview by Katie Casstevens, April 1, 2015.

## **Chapter 5: Conclusions**

The PDA Sampa Sul is a program rich with community support, local and government partners, dedicated staff, and positive outcomes. At the same time, as illustrated in the previous chapter, the PDA is experiencing difficulty in ensuring that projects will remain sustainable even after World Vision has concluded its support. The three core problems revolve around a lack of adequate staff members to fully support development projects, lack of financial resources and need for more fundraising efforts, and a weak relationship between community partners, including partnering organizations and the “Conselho Gestor.”

As a final conclusion to this report, I present three key recommendations for the PDA Sampa Sul. These recommendations stem from a broad review of relevant literature, my informal observations during my time accompanying the PDA, the participatory research methods that were detailed throughout this report, and the semi-structured interviews. The recommendations should be understood as mere options that the PDA may consider as program staff begin to prioritize the idea of sustainability. These options are in no way comprehensive or exclusive, but could provide a framework that will help the program lead the community to become more self-reliant.

Although these conclusions are specific to the needs and characteristics of the PDA Sampa Sul, ideally actors in the field of international development and community-based programming may be able to draw conclusions about ensuring sustainability of development activities based off the conclusions and recommendations for the PDA. The presented options therefore serve as points of reference for the overall literature on

sustainability of community-based programs that receive international development aid. As mentioned in Chapter 1, since this report focuses on a specific case, the conclusions and recommendations are not fully applicable to the broader field, but ideally they can help shed light on some best practices that are relevant to other programs with similar structures and sustainability concerns.

### **Recommendation #1: Invest Now in Funding Efforts**

World Vision Australia has been experiencing intense difficulty in recent years with maintaining donors and funding sources. Therefore, aside from the imminent 15-year deadline for sustainability of projects, the possibility exists that World Vision Australia could pull funds early if it does not see an increase in donor activity. Aside from PDA and WV employees indicating a need for more funds, the fact that WV Australia is at-risk further indicates a need to invest immediately in funding efforts. It is recommended that the PDA create a sustainability plan that includes both financial and programmatic goals.

More specifically, this plan should outline detailed fundraising objectives and strategies which could include seeking partnerships with private companies, universities, foundations, government grants, international funds, and so on. For example, one PDA in Recife successfully managed to gain a private partnership agreement with Coca-Cola, which now funds all program operations.<sup>101</sup> Additionally, an international website named Globalgiving.com dedicates itself to increasing the impact of organizations throughout the world that work to solve problems within their communities.<sup>102</sup> Pursuing various

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<sup>101</sup> World Vision employee, interview, April 20, 2015.

<sup>102</sup> Globalgiving.com, [www.globalgiving.org/aboutus/](http://www.globalgiving.org/aboutus/).

fundraising options will help the PDA diversify its funding portfolio and increase its likelihood to establish long-term financial support for development activities in the community.

To begin this process, the PDA coordination staff could write down all activities from the past six years of program life in order to create a timeline of everything the program has accomplished up until this point. Then, they could organize that information into program strengths and measurable outcomes that they can use to prove to future funders that the program has a vouched history of viability. Demonstrating positive indicators will give the PDA more bargaining power to convince funders that their project is a worthwhile and sustainable investment.

The plan should also address different marketing and promotional strategies that the PDA may use both locally and internationally that will help increase brand recognition and the visibility of the organization. Marketing material could include photographs, video compilations, flyers/pamphlets, blog posts, monthly success stories, etc. It would also be helpful to keep regular logs of the program's indicators so that the staff members can show data about the effectiveness of the program. For example, future funders and community partners will want to know what aspects of social vulnerability have improved in the region already during the lifetime of the PDA and in what ways. With readily available high-quality material that demonstrates the benefits and effectiveness of the program, it helps to show others that the program is indeed worthwhile and in need in the area. The marketing materials created for the PDA should also be passed along to the Visão Mundial and World

Vision Australia offices, so that those offices may also use the information to procure more funding for the PDA and World Vision in general.

Additionally, it might be helpful for the PDA to brainstorm future projects and activities that have limited financial necessity. Once WV is no longer available to offer financial support, community members will be more able to efficiently and effectively maintain projects that are affordable and easily implemented. Therefore, if the PDA can attempt to implement projects with sustainability in mind from the beginning, as discussed in Chapter 1, these projects will be more likely to succeed long-term.

### **Recommendation #2: Increase Staff Capacity**

One of the primary concerns coming from the employees and volunteers at the PDA Sampa Sul regarded insufficient staff available to manage all program activities. Given that the program has positions available to be filled, it is recommended that the PDA evaluate and restructure its current budget and attempt to fill those open positions as soon as possible. Once those positions are filled, the PDA can then focus on expanding staff capacity with recommended positions. The program might be able to expand this staff capacity more immediately by implementing a volunteer program and/or an internship program.

#### ***Volunteer Program***

The PDA currently has one committed volunteer who has dedicated nearly two years to assisting the PDA weekly with various programmatic and development needs, a relationship that has been very valued and productive toward for the growth of the PDA. It could be very beneficial for the PDA to recruit additional committed volunteers so that

they can increase their staff capacity in a more immediate way. If the PDA were able to attract new committed volunteers, the program could expand program activities and relieve staff of certain programmatic implementation duties so that they could focus more on program development and sustainability efforts. Additionally, volunteers could invest time on expanding the PDA's funding capacity or contributing to marketing and promotional efforts. Either option infers the possibility that the PDA's budget will expand, which indicates that they could be able to eventually hire committed volunteers. This represents an additional incentive for volunteers to invest their time and skills into the PDA, despite a lack of financial compensation.

The PDA could also see a volunteer program as an opportunity to encourage community engagement and the benefits of volunteerism among local citizen, thus creating a sort of spillover community benefit. Various interviewees and community actors in the regions have mentioned that they feel Brazilians lack a natural tendency to give back to their communities in the way of donating time.<sup>103</sup> One Brazilian Social Worker said that it isn't in the "consciente brasileira" or "Brazilian conscious" to donate time voluntarily.<sup>104</sup> Therefore, if the PDA were to encourage the benefits of volunteerism, this could simultaneously inspire community members to volunteer in other local institutions, such as partnering organizations or other community groups. In this way, the PDA would also

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<sup>103</sup> PDA Sampa Sul employees and community partners, personal conversation and interviews, February-April 2015.

<sup>104</sup> Brazilian Social Worker, private conversation, May 6, 2015.

be philanthropic activity at the individual level, which was discussed in Chapter 2 as an apparent challenge in Brazil.

### ***Internship Program***

An internship program is another option toward quickly and affordably increasing staff capacity. The PDA could seek undergraduate and master's-level interns who can work short-term on special projects to advance the PDA's effectiveness. Examples of desired fields could include: Public Administration, Public Policy, Social Work, Marketing, Social Entrepreneurship, Social Psychology or other social science fields. Depending on their field of study, interns could work in various roles including: fundraising/resource development; establishment of volunteer program; development of promotional materials; marketing efforts; leading support or process groups; life skill education activities; and so on.

Most universities throughout São Paulo and Brazil have internship requirements for the students depending on their degree plans. This means that universities are constantly looking for more organizational partners who are willing to support their students in a collaborative learning process. If the PDA could define needed roles and formalize specific job descriptions, they could approach universities with a tangible request that may be more openly accepted than if they arrived empty-handed. It would be wise for the PDA to first approach universities that the program already has a research relationship with, such as the Fundação Getúlio Vargas, the Universidad de São Paulo, the Pontificia Universidade Católica de São Paulo, among others. In order to determine which job functions to prioritize when seeking internships, the PDA coordination team should hold a meeting with the goal

of identifying three primary roles that could benefit from trained support. Those staff members could then reference World Vision's development handbook<sup>105</sup> and the PDA's Redesign document as a starting point toward creating these job descriptions. After the process of formalizing and professionalizing the job descriptions, the PDA would then have those documents on file as potential resources to recruit future employees as expansion or rehiring processes demanded.

### ***Maximize Utility of Volunteers/Interns/Researchers***

Despite a lack of committed volunteers, the PDA receives several visitors, researchers, and single-serving volunteers and interns who either arrive to complete short-term volunteer service or learn more about the program's services and viability. It is important to make sure that anyone who comes to the PDA for the purpose of volunteerism, internship duties, or research be appreciated and utilized as a support toward the PDA. In other words, the people that arrive with the plan to complete volunteer activities should be prepared to work, just as much as the staff members receiving those volunteers should be prepared with specific works objectives that will provide benefit to the program.

In order to ensure that the program maximizes the utility of such people who arrive to the program's office space, the PDA should create certain guidelines for how to handle visits. For example, the Program Coordinator could assign two specific staff members who would be responsible for giving tours to visitors and ensuring that they received a comprehensive but efficient introduction to the program. Although an introduction to the

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<sup>105</sup> World Vision International, *The Handbook for Development Programmes*.

program is very important, this strategy could reduce the time that it takes to introduce the program model and space to visitors so that they will have more time to accomplish work. Those same staff members could also work with the visitors to develop an action plan with the volunteer/intern/researcher before they begin their work so that everyone is clear on expectations and duties. Therefore, all visitors will understand the program's purpose and will have specific objectives to work toward before they leave the PDA for the day. It is also important that all visitors leave with some sort of material representing the program's purpose. This helps improve brand recognition both within the region and beyond, and could even help attract attention throughout the city to some of the issues of social vulnerability in the zona sul region.

### **Recommendation #3: Strengthen Relationships with Community Partners**

The PDA seems to currently have a weak or underdeveloped relationship with its "Conselho Gestor" and partnering organizations. Although these individuals and organizations do not have daily interaction with the PDA, they are part of the overall development framework according to World Vision's development handbook.<sup>106</sup> According to the Ministry Framework, the partnering organizations are key to long-term sustainability of the Development Programs, as they create more autonomy of community projects and activities within key community actors themselves. Therefore, it is important that the PDA and its community partners work together to strengthen this relationship in order to ensure the possibility of sustaining the PDA's impact. In pursuing a stronger

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<sup>106</sup> World Vision International, *The Handbook for Development Programmes*.

relationship, all parties involved also need to be interested in pursuing the same objective so that the goals and steps represent a concerted effort.

The PDA and its community partners could implement a monthly meeting to discuss key cases throughout the community to encourage and active dialogue. Also, it might be helpful for members of the Conselho Gestor to attempt to engage more actively in PDA activities, so they are more fully aware of the program they are representing. If they are more aware, they can also do a better job in advocating for the program throughout the community, which ultimately advocates for the success of the community itself. For example, the PDA and its partnering organizations might want to consider joint development projects that help deepen the interaction between the various entities and community actors. This also creates the opportunity of higher participation from the target population, as well as more brand recognition opportunities for all participating organizations.

As mentioned by one World Vision employee, aside from investing in collaboration efforts at the organizational level, it is also imperative to remind community members who actively engage in PDA activities that they are also part of the sustainability process. All users of the PDA projects should fully understand that the PDA is a program run by the community itself and that eventually World Vision funding will run out. Ideally, when that day comes, many of the PDA's projects will have already become sustainable, because local community members and organizations have taken autonomy of these activities so that they will be maintained even after the end of the funding cycle.

## **Appendix A: Resources Not Explicitly Referenced**

Conselho Estadual dos Direitos da Criança e do Adolescente. “Estatuto da Criança e do Adolescente.” Secretaria de Estado de Relações Institucionais. Governo do Estado de São Paulo. <http://www.condeca.sp.gov.br/ARQUIVOS/ECA.pdf>.

PlanejaSampa. “Programa de Metas 2013-2016.” Prefeitura de São Paulo. <http://planejasampa.prefeitura.sp.gov.br/metas/>.

ProBrasil. “Serviço de Assistência Social à Família – SASF.” <http://probrasil.org.br/index.php?pg=sasf>.

Secretaria Municipal de Assistência e Desenvolvimento Social. Prefeitura de São Paulo. [http://www.prefeitura.sp.gov.br/cidade/secretarias/assistencia\\_social/](http://www.prefeitura.sp.gov.br/cidade/secretarias/assistencia_social/).

Sociedade Santos Mártires. <http://www.santosmartires.org.br/home.php>.

## Appendix B: Interview Guide

### PDA SAMPA SUL STAFF MEMBER/VOLUNTEER

1. What is your role as it pertains to PDA Sampa Sul? / **Qual é a sua função como funcionário/voluntario do PDA Sampa Sul?**
2. Please explain to me what you consider the primary purpose of PDA Sampa Sul. **Por favor, explique o que você considera ser o objetivo principal do PDA Sampa Sul.**
3. When PDA Sampa Sul was created in 2008, World Vision and the program staff decided on certain goals and objectives to work toward over the program's 15-year funding life. How do you define the primary programmatic and financial goals and objectives of PDA Sampa Sul? How has PDA Sampa Sul been doing in regards to progress towards achieving those goals? **Quando o PDA Sampa Sul foi criado em 2008, a Visão Mundial e a equipe do programa definiram certas metas e objetivos para serem atingidas ao longo dos 15 anos de financiamento. Retomando essas metas e objetivos, como você as define tanto programáticos como financeiros? Como você avalia que tem sido o desenvolvimento do PDA Sampa Sul referente a conseguir atingir essas metas?**
4. How might PDA Sampa Sul improve its service to children and families in need in the area? **Como poderia o PDA Sampa Sul melhorar os serviços que oferecem às crianças e famílias em situações de vulnerabilidade social na área?**
5. Please explain to me what you understand by the new cluster/território methodology and how you expect it to impact PDA Sampa Sul's operations. **Por favor, explique o que você entende pela nova metodologia do "cluster"/território e qual impacto você espera que terá no desenvolvimento do PDA Sampa Sul.**
6. How well do you think that PDA Sampa Sul is prepared to adopt this new methodology? What changes will need to be made? What is already in line? **O quanto você acha que o PDA Sampa Sul está preparado para adotar essa nova metodologia? Quais mudanças precisarão ser feitas e o que já está em ordem?**
7. How does PDA Sampa Sul interact with its partner organizations and the Conselho Gestor? How do they work together to advance the program? Do you feel that there is any way that this relationship could create any difficulties for PDA Sampa Sul to achieve its objectives? **Como se dá a relação do PDA Sampa Sul com as suas organizações parceiras e com o Conselho Gestor? Em que medida elas colaboram no desenvolvimento do programa?**

**Você considera que de alguma forma elas poderiam vir a criar algum tipo de problema para atingir os objetivos do PDA Sampa Sul?**

8. Do you feel that PDA Sampa Sul could become sustainable in the long-term? If so, in what way: How is the program working towards this goal and where is it experiencing difficulty?  
**Você considera que o PDA pode se tornar sustentável a longo prazo? Se sim, de que maneira? Que ações você considera que estão sendo feitas para que isso possa se tornar realidade e quais dificuldades você considera que está enfrentando para obter êxito?**
  
9. Overall, how prepared do you think that PDA Sampa Sul is in regards to its path toward programmatic and financial sustainability by 2025? Please explain. **De maneira geral avalie conforme sua visão, o quanto considera que será possível que o PDA Sampa Sul torne-se sustentável, tanto do ponto de vista programático, como do ponto de vista financeiro até o ano de 2025. Por gentileza, explique em suas palavras.**

## **VISÃO MUNDIAL (VM) EMPLOYEE**

1. What is your role as it pertains to PDA Sampa Sul? / **Qual é a sua função referente ao PDA Sampa Sul?**
2. Please explain to me what you consider the primary purpose of PDA Sampa Sul. **Por favor, explique o que você considera ser o objetivo principal do PDA Sampa Sul.**
3. When PDA Sampa Sul was created in 2008, World Vision and the program staff decided on certain goals and objectives to work toward over the program's 15-year funding life. How do you define the primary programmatic and financial goals and objectives of PDA Sampa Sul? How has PDA Sampa Sul been doing in regards to progress towards achieving those goals? **Quando o PDA Sampa Sul foi criado em 2008, a Visão Mundial e a equipe do programa definiram certas metas e objetivos para serem atingidas ao longo dos 15 anos de financiamento. Retomando essas metas e objetivos, como você as define tanto programáticos como financeiros? Como você avalia que tem sido o desenvolvimento do PDA Sampa Sul referente a conseguir atingir essas metas?**
4. How might PDA Sampa Sul improve its service to children and families in need in the area? **Como pode o PDA Sampa Sul melhorar os serviços que oferece as crianças e famílias carentes na área?**
5. Please briefly explain the new cluster/território methodology and how you expect it to impact PDA Sampa Sul's operations. **Por favor, explique em breve a nova metodologia de "cluster"/território e qual impacto você espera que terá nas operações do PDA Sampa Sul.**
6. What have been the experiences of other PDAs that have already adopted or are in the process of adopting this new methodology? **Como tem sido as experiências dos outros PDAs que já adotaram ou estão no processo de adotar essa nova metodologia?**
7. How well do you think that PDA Sampa Sul is prepared to adopt this new methodology? What changes will need to be made? What is already in line? **O quanto você acha que o PDA Sampa Sul está preparado para adotar essa nova metodologia? Quais mudanças precisarão serem feitas e o que já está em ordem?**
8. How does PDA Sampa Sul interact with its partner organizations and the Conselho Gestor? How do they work together to advance the program? Do you feel that there is any way that this relationship could create any difficulties for PDA Sampa Sul to achieve its objectives? **Como se dá a relação do PDA Sampa Sul com as suas organizações parceiras e com o**

**Conselho Gestor? Em que medida elas colaboram no desenvolvimento do programa? Você considera que de alguma forma elas poderiam vir a criar algum tipo de problema para atingir os objetivos do PDA Sampa Sul?**

9. How have other PDAs with similar needs and target populations as those of PDA Sampa Sul worked towards achieving autonomy from World Vision? What were their biggest strengths and weakness in pursuing this? Please give me an example of a PDA that successfully achieved sustainability and one that did not successfully achieve sustainability. **Como os PDAs cuja população alvo e objetivos são semelhantes ao do PDA Sampa Sul conseguiram autonomia financeira da Visão Mundial? Que ações realizaram? Que ações são mais difíceis de se conseguir êxito para obter essa autonomia? Após obterem essa autonomia quais foram os pontos fortes e os pontos fracos observados com isso? Por favor poderia me descrever um PDA que conseguiu essa sustentabilidade e um que não obteve o mesmo sucesso?**
  
10. Do you feel that PDA Sampa Sul could become sustainable in the long-term? If so, in what way:? How is the program working towards this goal and where is it experiencing difficulty? **Você considera que o PDA pode se tornar sustentável a longo prazo? Se sim, de que maneira? Que ações você considera que estão sendo feitas para que isso possa se tornar realidade e quais dificuldades você considera que está enfrentando para obter êxito?**
  
11. Overall, how prepared do you think that PDA Sampa Sul is in regards to its path toward programmatic and financial sustainability by 2025? Please explain. **De maneira geral avalie conforme sua visão, o quanto considera que será possível que o PDA Sampa Sul torne-se sustentável, tanto do ponto de vista programático, como do ponto de vista financeiro até o ano de 2025. Por gentileza, explique em suas palavras.**

## EMPLOYEES AT OTHER PDAS

1. Please explain a little bit about the primary purpose of your program and your role. What is the structure and what programs do you provide for children and the community? **Por favor, explique brevemente sobre os principais objetivos do seu programa e a sua função nele. Como está estruturado e quais programas são oferecidos às crianças e a comunidade?**
2. Please explain a bit about the financial situation of your program. Do you receive any additional funds throughout the year aside from World Vision? **Por favor, explique em linhas gerais como se dá o financiamento do seu programa. Ele recebe subsídios, subvenções, ou patrocínios adicionais durante o ano, fora os fundos que recebem da Visão Mundial?**
3. When PDA Sampa Sul was created in 2008, World Vision and the program staff decided on certain goals and objectives to work toward over the program's 15-year funding life. Was this a similar process for your program? How do you define the primary programmatic and financial goals and objectives of your program? How has your program been doing in regards to progress towards achieving those goals? **Quando o PDA Sampa Sul foi criado em 2008, a Visão Mundial e a equipe do programa definiram certas metas e objetivos para serem atingidas ao longo dos 15 anos de financiamento. Esse processo foi parecido para seu programa? Como você define as metas e objetivos principais do seu programa, tanto programáticos como financeiros? Como você avalia que tem sido o desenvolvimento do seu programa referente a conseguir atingir essas metas?**
4. How might PDA Sampa Sul improve its service to children and families in need in the area? **Como pode o PDA Sampa Sul melhorar os serviços que oferece as crianças e famílias carentes na área?**
5. Please briefly explain the new cluster/território methodology and how you expect it to impact/it has impacted your program's operations. **Por favor, explique em breve palavras a nova metodologia de "cluster"/território e qual impacto você espera que terá/tem tido nas operações do seu programa.**
6. How does your organization consider long-term sustainability? How has your program actively worked toward this and where has it experienced difficulty? **Como sua organização considera a ideia de sustentabilidade do programa a longo prazo? Como vocês vêm trabalhando para atingir essa meta de sustentabilidade? Quais tem sido as facilidades e as dificuldades para obtê-la?**
7. Overall, what do you feel are the biggest challenges toward achieving programmatic and financial sustainability? What recommendations would you give to PDA Sampa Sul in

regards to improving their effectiveness in this area? **De forma geral, em sua opinião quais são os maiores desafios para se obter sustentabilidade programática e financeira? Quais recomendações você daria ao PDA Sampa Sul para melhorar a eficiência nessa área?**

## WORLD VISION EMPLOYEE

1. Please explain a little bit about your role with World Vision and your knowledge of PDAs in Brazil. **Por favor, explique qual é sua relação com a Visão Mundial e o seu conhecimento dos PDAs no Brasil.**
2. How does the process typically work for local development programs (PDAs) to establish programmatic and financial sustainability? **Como funciona tipicamente o processo dos programas de desenvolvimento da área (PDAs) estabelecer sustentabilidade programática e financeira?**
3. When PDA Sampa Sul was created in 2008, World Vision and the program staff decided on certain goals and objectives to work toward over the program's 15-year funding life. What do you feel are the largest challenges or most important objectives they might have during this timeline, particularly regarding long-term sustainability? **Quando o PDA Sampa Sul foi criado em 2008, a Visão Mundial e a equipe do programa definiram certas metas e objetivos para serem atingidas ao longo dos 15 anos de financiamento. Como você define os desafios maiores ou objetivos mais importantes que eles poderiam experimentar durante este período, particularmente referente a sustentabilidade a longo prazo?**
4. What is your knowledge of Brazilian PDAs and how they have done at the process, particularly PDA Sampa Sul? **Que é o seu conhecimento dos PDAs brasileiros e como eles têm conseguido sustentabilidade a longo prazo, particularmente o PDA Sampa Sul?**
5. What are some strategies that PDAs could employ as a way of encouraging programmatic and financial sustainability? **Quais são algumas estratégias que os PDAs poderiam utilizar como maneira de encorajar sustentabilidade programática e financeira a longo prazo?**
6. Are you familiar with the new cluster/território methodology that Brazilian PDAs are beginning to adopt? Please explain what you understand by this methodology and what impact you expect it to have. **Você está familiarizado com a nova metodologia de "cluster"/território proposto pela Visão Mundial? Se sim, por favor, explique o que você entende por ela e qual impacto você espera que terá nas operações dos PDAs.**
7. What are some challenges and strategies PDAs might have during the process of adopting this new methodology? **Que são alguns desafios e estratégias que os PDAs poderiam experimentar durante o processo de adotar essa nova metodologia?**

## List of Acronymns

ADL:	Local Development Agent ( <i>Agente de Desenvolvimento Local</i> )
ADP:	Area Development Program
CEAPG:	Center for Public Administration and Government at FGV ( <i>Centro de Administração Pública e Governo da FGV</i> )
CEU:	Unified Educational Center ( <i>Centro Educacional Unificado</i> )
FGV:	Getúlio Vargas Foundation ( <i>Fundação Getúlio Vargas</i> )
FY:	Fiscal Year
GNI:	Gross National Income
GRO:	Grassroots organization
IDCI:	International development cooperation institutions
NGDO:	Nongovernmental development organizations
NGO:	Nongovernmental organization
OECD:	Organization for Economic Cooperation and Development
PDA:	Area Development Program in Brazil ( <i>Programa de Desenvolvimento de Área</i> )
SSM:	Santos Martires Society ( <i>Sociedade Santos Mártires</i> )
VM:	Visão Mundial (World Vision Brazil)
WHO:	The World Health Organization
WV:	World Vision International



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