

Assessment template Phase-out Plan for projects

**This assessment covers the following Phase-out plan**

|  |  |
| --- | --- |
| Name lead organization |  |
| Name other implementing organization(s) (if applicable) |  |
| Title of project |  |
| Year |  |
| Assessment by (names + roles) |  |
| Date |  |

# Introduction

***How to use this assessment form?***

* This assessment template is linked to the phase-out plan template for partners
* Each section in the phase-out plan template is assessed by the country office and by HAC Netherlands experts.
* The assessors give scores for each key theme for assessment and explains the score in the column ‘Assessment’. Subsequently, the assessor gives an overall assessment per chapter, again using a score and an explanation; in this assessment the various elements of the chapters can be weighed and the elements that are deemed most important for the assessment mentioned
* Finally each assessor lists the 3 major points of improvement (from their own perspective) in the final assessment on the last page.
* Scores to be used for the assessment of the key themes and the overall assessment per chapter:

4 **Good** all relevant aspects of the key theme all well addressed – no major comments

3 **Sufficient** most relevant aspects of the key theme are well addressed, but some relevant aspects are missing or can be improved. The plan can be approved with specified conditions.

2 **Insufficient** only some aspects of the key theme are addressed with major relevant aspects missing or not treated adequately. The plan cannot be approved

1 **Poor** the key theme is hardly addressed. The plan cannot be approved

* Finally, in a subsequent group assessment a conclusion is reached about the quality of the phase-out plan as a whole. Only the three major points of improvement per field of expertise are discussed in the group. One person compiles the assessment form and sends it to the partner.

# Assessment

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| **Annual Plan template** | **Assessment** | **Score** **1-4** | **Requested in the template** |
| **1 Programme description** |
| 1.1 | Outcomes of the MAPP to be implemented |  |  | Shortly mention the key elements or the particular part of the Theory of Change in your Multi-Annual Project Plan (MAPP, previously referred to as SPP) that you are going to implement this year (Max 1 A4) |
| 1.2 | Changes in comparison to MAPP |  |  | Explain, if applicable, changes in target group(s) and beneficiaries as well as other relevant contextual changes (environment, social or political) compared to the Multi-Annual Project Plan (or SPP). (Max ½ A4)Explain, if applicable, changes in strategy, approach, theory of change etc. compared to the MAPP (or SPP). Justify why you decided for these changes (e.g. based on changed context, feedback from the community, different needs, unintended negative consequences, etc.). (Max ½ A4) |
| 1.3 | Context Analysis |  |  | Provide an overview of important changes in the context of the project with its implications for implementation in these final years. Please pay also specific attention to potential risks that may jeopardize the realization of (some) activities and describe how they are dealt with, also make a qualification of these risks. (Max ½ A4) |
| 1.4 | Description of planned activities for the final years of the project |  |  | Describe, per pathway of change the activities that you have planned for these final years. In your MAPP you have listed the main activities over the years, in this paragraph you work-out more detailed activities. In paragraph 1.5 there is room for showing when you plan these specific yearly activities. Be SMART in your description of your activities (Specific, Measurable, Attainable, Realistic, Timely), please see some examples below. Also include your activities planned for CAM/FAM (since not included in an outcome pathway in the MAPP). |
| 1.5 | Phase-out Work Plan |  |  | Shortly describe (copy-paste the key words of that activity) the activities listed under 1.4 in the table below. Please tick the boxes, indicating when you will be working on that activity. |
| **Score for the quality of this section (1-4):****Explanation of the score:** |

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| **Annual Plan template** | **Assessment** | **Score** **1-4** | **Requested in the template** |
| 2 Planning, Monitoring, Evaluations and Learning |
| 2.1 | Dashboard of indicators |  |  | Present the most relevant planned and realised outcome indicators of the previous year(s) of the MAPP (if applicable) and the planned indicators for this annual plan period. Use the list of outcome indicators as defined in your multi-annual PMEL plan. This table can be seen as a dashboard of your project; at a glance, you must be able to see the most relevant results. |
| 2.2 | PMEL Activities |  |  | Phase-out Monitoring: Describe what activities are planned these final years for collecting the ongoing monitoring data, and for monitoring if the activities are in line with the multi-annual PMEL plan. (Max ½ A4)Evaluative activities: Describe when the next evaluative activity is planned (baseline evaluation, outcome studies, mid-term evaluation or end-term evaluation). And how you will receive feedback and suggestions from the communities on a regular basis this year. |
| 2.3 | Analysis, reflection & learning |  |  | Explain what the organisation will do these final years to make effective use of all efforts done in PMEL. Explain what reflection sessions you plan to organise to reflect on the ToC, and (possibly) the results booked so far. Also describe whether and which decision making processes will be influenced by PMEL and other project experiences (Max ¾ A4). |
| 2.4 | PMEL database |  |  | Please attach the full PMEL database, created as part of your multi-annual PMEL plan to this report. It should contain the planning of outcome and output indicators of the coming year. Also upload the key planning per indicator on the partner portal (see Project Connect Manual). |
| **Score for the quality of this section (1-4):****Explanation of the score:** |

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| 3 Sustainability and Complementarity |
| 3.1 | Community ownership |  |  | Help a Child recognizes that families and the communities are the owners and managers of the adaptive development process they go through. This ownership means that people feel and believe that it are their own efforts that are driving the process of change. They believe they contribute the maximum of their own human, financial and materials resources. In the process Help a Child travels along with the communities that aims at the self-reliance of its inhabitants and the community as a whole. Ownership is also about the communities owning up to the project, as they are convinced it meets their needs (this is why they need to play a role in the project design and monitoring). This will enable that the communities are willing to take charge of the project during implementation and after the project itself has phased out.Please explain how you ensure community ownership in your project. |
| 3.2 | Local capacities and strengths |  |  | Starting point for the capacity building is that communities already have knowledge and skills. The sustainability of projects depends on building on existing skills and development initiatives that have happened in the community in the past. Jointly community members need to determine what skills they need to increase their self-reliance towards well-being. Explain how this project uses local capacities and strengths to ensure sustainability. |
| 3.3 | Phasing |  |  | It’s crucial that through all stages of the project the community is in the driving seat, not because Help a Child wants them to, or because they get paid for it, but because they see the need for it, and have gained the confidence that they can. Therefore, it is needed, that toward the end of the project, all structures operate in ways that the community can continue them with their own resources: any payment for salaries, for meetings, for transport, for maintenance, for investments, for volunteers should be at the level where the community or individuals are able and willing to take care of it. Phasing out a project to reach that stage is a craft that requires planning. Explain how you are phasing your project in such a way that from this year up to the very end (the ‘exit’) there is a clear philosophy on sustainability so that the community embrace the project and its anticipated change and can continue on their journey towards a better future after phase-out. |
| 3.4 | From facilitating to coaching |  |  | To ensure community ownership and sustainability of development initiatives special facilitating and enabling skills of the involved staff of Help a Child and its partner organizations are required. The role of staff should also evolve over time from a more facilitating role at the phasing-in of a project to a coaching role at the end of a project. Explain how the role of staff changes over time in your project and explain how this contributes to more ownership and sustainability. |
| 3.5 | Slow way versus the fast way |  |  | Those projects that generated many positive effects and contribute towards sustainability have been able to ‘get things going’, to strike a chord in the community that keeps vibrating, to touch on an energy that started off further processes. Less performing projects may carry out a lot of activities, they may invest much, and they may achieve short-term results. But they remain the partners’ projects and activities while the community has remained on the receiving end. The box below simplifies two modes of working, the fast and the slow way.Explain and reflect which elements of the ‘slow’ and ‘fast’ way of development are included in your project, and justify your choices. |
| 3.6 | Financial sustainability |  |  | During the project you aim to slowly hand-over the project to the community. We therefore advise you to think on how the project can become more financially sustainable over the years. How do you for example work with incentives for volunteers that need to remain active after the life span of the project, do you have a gradual decline in your incentives? And how do you ensure the community can keep investing in their community after the project ended, are there any Income Generating Activities or Savings that they can use for this? And what system supports this? Also ensure that during for example construction activities (hardware) the community is always actively involved in financial contributions or in-kind contributions. Please read the construction guidelines of Help a Child in this case.Explain how you ensure financial sustainability. |
| 3.7 | Exit strategy |  |  | Help a Child and its partner organizations join the communities capacity enhancement process as facilitators, trainers and eventually especially as coaches for a limited defined period of time. From the beginning of the project it must be clear what the phases of development are and what the time frame is of the involvement of Help a Child and its partners comes to an end. Also roles and responsibilities between the community and Help a Child and its partners must be clear in the process of phasing out and handing over to ensure local ownership and sustainability. Make sure communities have a say in how the phase-out should look like in their opinion, as to increase the likelihood of them actually taking over the project, as they have been involved in the design of the phase out strategy. They know what is expected of them, and this is in line with their own expectations and desires. Explain how you go about this process of preparations for exit. |
| 3.8 | Linking & Learning with government authorities |  |  | Explain how you will link with and learn from government authorities these final years. You need to revert back to your MAPP where this is also described and explain what part is applicable these final years. This can include Lobby & Advocacy initiatives. (Max ½ A4) |
| 3.9 | Linking & Learning with other stakeholders |  |  | Explain how you will link with and learn from other relevant actors and service providers these final years. This can include Lobby & Advocacy initiatives (Max ½ A4) |
| **Score for the quality of this section (1-4):****Explanation of the score:** |

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| 4 Organisational Development |
| 4.1 | Organisational activities |  |  | Related to the MAPP, what kind of organizational development activities are foreseen in these final years. You can think of staff training, performing organisational scans, implementation of child protection staff policy, etc. (Max ½ A4) |
| 4.2 | Expectations of external support |  |  | Other than providing funds, is there any type of support you need or expect from Help a Child and/or other external support in these final years in order to implement your MAPP successfully? Think of training, support visits, coaching, etc. (Max ½ A4) |
| **Score for the quality of this section (1-4):****Explanation of the score:** |

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| **Annual Plan template** | **Assessment** | **Score** **1-4** | **Requested in the template** |
| 5 FINANCIAL PHASE-OUT PLAN |
| 5.1 | Finance and Administration plan |  |  | Provide a list of the management letter issues of external audits and issues from internal audits of previous years and provide per issue information about how they are followed up. (Max ½ A4) |
| 5.2 | Planned Budget |  |  | Use the budget template which can be found here for submitting the Phase-out Budget. Submission of the budget and plan should be done in Project Connect. For more information see the Project Connect Manual. |
| **Score for the quality of this section (1-4):****Explanation of the score:** |

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| **OVERALL ASSESSMENT** |
| **To what extent is this Phase-out Plan acceptable within the strategic framework of the MAPP and the ToC of Help a Child?*** Fully acceptable, no changes needed
* Acceptable with some changes

 * Not acceptable in this form, major changes needed

**Three major changes needed to reach full acceptance are explained here:**1. …
2. …
3. …
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