

# Guide and Template for Phase-Out Strategy

Version: March 2016

## **What is a Phase-Out Strategy?**

A description of how the project intends to **withdraw resources** while ensuring the achievement of project goals. A project usually aims to phase out having implemented **self-sustaining changes**. A project can also produce a “phase-over” strategy, which means that **local institutions or communities sustain activities**.

## **Why produce a Phase-Out Strategy?**

The ACP-Energy Facility Grant Application requests that each implementer considers the sustainability of their intervention. By developing a phase-out strategy, the sustainability approach that you have defined in your initial application will be described in detail. The phase-out strategy describes how the project is going to be handed over to the project partners. The strategy should describe specific activities that need to be undertaken before project closure.

## **Actions to produce a Phase-Out Strategy:**

The main actions in developing a strategy are listed below. Some of these actions will take in parallel, such as the definition of activities and the discussions with stakeholders who will be responsible in the future.

- **Defining the activities that need to be sustained** – of the activities currently being undertaken by the project, it is necessary to first of all identify those that will need to be continued once the project has ended.
- **Describing whether these activities change post-project** – it is also necessary to understand if and how the activities that will be continued will change. This includes identify new activities not currently being performed.
- **Defining the resource implications of continuing the activities** – once the activities and on-going information needs have been identified, the resources required to sustain the project results can be quantified.
- **Identifying stakeholders to whom activities will be handed over and signing an agreement** that defines their roles and resource inputs. This is a critical activity. It is vital that all stakeholders have committed to taking on board the performance of the activities but more importantly the commitment of necessary inputs. This should be described in a formal agreement to secure management buy-in and ensure that roles and responsibilities are clearly defined, also in the future.

### **Checklist for the Good Phase-out Strategy**

- Those who are going to have responsibilities in the phase-out strategy, should be included in the development of it
- If you ensure that stakeholders feel ownership in your current project, you will improve the chance of a successful handover afterwards
- If partners need to allocate resources in order for your phase-out strategy to work (e.g. finances, materials, personnel), make sure to obtain commitments from them
- Define and agree clear responsibilities for oversight, implementation, and budget.
- Does your strategy depend on specific individuals (e.g. staff members)? If yes, how will you ensure continuity if they leave?
- Make your phase-out strategy more resilient through capacity-building activities that could be self-sustaining (e.g. re-training, training of trainers)

**Sustainability Objective:**

...describe the goals for ensuring sustainability of the project, for example “Formalised framework to ensure the successful and continued provision of energy to 5,000 households in ....”

SUMMARY - ACTIVITIES REQUIRING SUSTAINED INPUT					
A	B	C	D	E	F
<b>Activity No.</b>	<b>Activity Description</b>	<b>Current Responsible (Position &amp; Organisation)</b>	<b>Responsible post-project (Position &amp; Organisation)</b>	<b>Agreed/ Commitment?</b>	<b>Handover Date</b>
Original project activity no. described in the log-frame, or addenda	Describe the project activity that will be continued based on the grant application/ log-frame	Input the current staff member responsible for the implementation of this activity under the grant agreement, including organisation & position.	Input the nominated partner responsible for the implementation of this activity in the future. By defining the post of the official who has overall responsibility, in the case of staff turnover, the tasks should be passed on with the role.	Obtain an agreement with the respective partner and ensure that they have obtained the necessary internal approvals thereby encouraging ownership.	Define the date by which the activities will be handed over. It is important that this is recognised formally in order to ensure that the transition of responsibility is clear.

RESOURCE REQUIREMENTS AND RISK MANAGEMENT			
A	G	I	J
<b>Activity No.</b>	<b>Resources (€ and/or man days)</b>	<b>Budget responsible</b>	<b>Risk management</b>
As above	Define the financial resources and/or number of man-days required per annum to sustain this activity.	Specify which organisation is providing the required human and/or financial resources.	Describe the risks for each activity and which measures that are set in place in order to proactively manage them.

**Optional: Phase-Out Strategy Work Plan**

In order to ensure timely implementation, a work plan which identifies key milestones and when these are expected to be in place, is beneficial. The table below provides an example of the type of activities that could be necessary.

Activity x.a	Deadline
Activity x.a Description .....	
Define resource requirements	
Meet with partner institutions to discuss future responsibilities	
Sign MOU (including resource commitments)	
Undertake additional capacity building pre-handover	
Develop necessary documentation/ instructions for handover	