User Notice: These guidelines are to be used by the Program Manager/Solution Owner and Transition Lead (if appointed) in consultation with the Transition Coach.
## Transitioning Well Guidelines Revision History

<table>
<thead>
<tr>
<th>Document Name</th>
<th>Version</th>
<th>Release date (and application date if different)</th>
<th>Main modifications</th>
<th>Author(s)</th>
<th>Approver</th>
<th>Process Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solution Costing Guideline release</td>
<td>V1</td>
<td>February 2020</td>
<td>• Creation</td>
<td>Anderson Ti-Timi</td>
<td>Guideline Review Board</td>
<td>Carla Blauvelt</td>
</tr>
<tr>
<td>TW Checklist</td>
<td>V0</td>
<td>May 2023</td>
<td>• Addition</td>
<td>J. Roussel</td>
<td>TW Coaches</td>
<td>Carla Blauvelt</td>
</tr>
<tr>
<td>TW Integrated Guidelines</td>
<td>V1</td>
<td>November 2023</td>
<td>• Integration of all guidelines into one document&lt;br&gt;• New definitions added&lt;br&gt;• Interdependencies added&lt;br&gt;• Transition Strategy Go/No-Go checklist added&lt;br&gt;• Stakeholder Alignment Workshop integrated into Transition Strategy&lt;br&gt;• Examples updated</td>
<td>Lead: J. Roussel Multiple Contributors</td>
<td>TW Coaches</td>
<td>Carla Blauvelt</td>
</tr>
</tbody>
</table>
Why does VillageReach transition solutions and how does it fit into the VillageReach missions, goals, and strategies?

_VillageReach’s mission is to transform health care delivery to reach everyone. To accomplish this mission, transition of VillageReach solutions to government/other partners supports the VillageReach Mission Goals and Strategies_

<table>
<thead>
<tr>
<th>Why transition?</th>
</tr>
</thead>
<tbody>
<tr>
<td>We want our solutions to reach sustainable impact at scale</td>
</tr>
<tr>
<td>Through transitioning to governments and other partners in a manner that is thoughtful and sets them up for success we can have long-term positive impact on the people we are trying to serve</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Why not continue to implement solutions?</th>
</tr>
</thead>
<tbody>
<tr>
<td>By transitioning we can allocate our resources to help solve other pressing health issues through new impactful innovations and replication of proven solutions in other geographies</td>
</tr>
</tbody>
</table>

**VillageReach 2020-2023 Goal #2:**
We will be a global leader in radical collaboration with governments and the private sector to sustain and scale equitable primary health care delivery solutions.

**VillageReach Strategy:**
Create the enabling environment needed to absorb and sustain innovative solutions.

**VillageReach Approach:**
Create the enabling environment needed to absorb and sustain innovative solutions.
Milestones for Programs and Transitioning Well by Phase

**VillageReach Phases of Program/Project Management**

*Official Transition* refers to the time when the components agreed in the Transition Strategy are fully being managed, operated, and/or financed by the government/other partner.
# Transitioning Well check-list

**TRANSITIONING WELL MILESTONES CHECK-LIST – Status report**

<table>
<thead>
<tr>
<th>PROGRAM START</th>
<th>SOLUTION IMPACT PROVEN</th>
<th>TRANSITION START</th>
<th>TRANSITION COMPLETE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theory of Change reviewed</td>
<td>Solution Description reviewed</td>
<td>Solution actual cost estimate updated</td>
<td>Data sharing &amp; evaluation MoU signed</td>
</tr>
<tr>
<td>Not Started</td>
<td>Solution Toolkit</td>
<td>Mid-Transition</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Solution Model developed</td>
<td>TRA completed</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Solution actual cost</td>
<td>Quarterly</td>
<td>TRA completed</td>
</tr>
<tr>
<td>Not Started</td>
<td>not Started</td>
<td>Transition Plan reviews</td>
<td>TRA completed</td>
</tr>
<tr>
<td>Not Started</td>
<td>not Started</td>
<td>skills acquisition evaluated</td>
<td>TRA completed</td>
</tr>
<tr>
<td>Not Started</td>
<td>Stakeholder Alignment Workshop held</td>
<td>Not Started</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Transition Strategy</td>
<td>Not Started</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Transition Plan</td>
<td>Not Started</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>TRA Workshop held</td>
<td>Not Started</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>TRA completed</td>
<td>Partner MoU(s) signed</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Transition Plan</td>
<td>Not Started</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>developed</td>
<td>Transition Plan</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Not Started</td>
<td>developed</td>
<td>Not Started</td>
</tr>
<tr>
<td>Not Started</td>
<td>Not Started</td>
<td>completed</td>
<td>Not Started</td>
</tr>
</tbody>
</table>

- The checklist is a tool used by each program to track its status by guideline.
- It indicates which guidelines and which aspects of each guideline are applicable by major project milestone.
- Using the checklist, Program Transition leads to quickly check what is needed and assign latest status (Not Started, In Progress, Complete) for each activity.

*Even if solution impact is proven, additional transitioning well milestones should only be pursued if government has confirmed commitment to the solution and if funding for VillageReach TA is in place.*
TW guidelines and associated activities have interdependencies

- **Solution Description**
- **Solution Toolkit**
- **Solution Costing**
  - Solution processes, methods and tools

- **Transition Strategy**
- **Transition Readiness Checklist**
  - HR and Skills needs
  - Goals to measure against
  - Transition Scope, Roles & Responsibilities, Target Dates for transition by solution element
  - Major gaps to close
  - Changes to transition scope and timing

- **Transition Plan**
- **Skills Development Plan**
  - Solution content to master
  - Key transition dates

- **Solution elements and descriptions**
- **Toolkit**
  - Solution methods and tools
  - Solution Cost Estimate (Pre-Transition)
  - Solution Cost Estimate (During Transition)

- **Post-Transition Evaluation Plan (Pre-Transition)**
  - Key dates for transition (Transition Strategy)
  - TRC Results (TRC) (Transition Strategy)
  - Progress vs Plan (Transition Plan)
Introduction
Transitioning Well key terms

**Solution**

What do we mean by a solution?
A solution is the “WHAT is” and the “HOW to” needed to solve a defined problem. The components that can make up a solution include a combination of processes, products, principles, organization, tools, metrics and collaboration that provides the functionalities needed to solve a defined problem.

**Adoption**

What do we mean by solution adoption by government?
Formal decision by government to integrate the proven solution into its health system. Other organizations may be involved in managing or operating the solution (NGO, private sector or other) but the decision to adopt can only be made by government as the “owner” or steward of the public health system.

**Scaling**

What do we mean by solution scaling or scale-up?
Implementation of a solution, once adopted by government, to the target scope of application, as agreed with government. Scope can be geographical, organizational (national vs provincial, programs, etc.) or by health topic. Scale-up may be done by government or by a partner (NGO, private sector or other) designated by government.
Transitioning Well key terms

**Transition**

What do we mean by **solution transition** to government ownership or other partners/organizations?

Transition is the process of integrating a donor-funded solution into existing public sector systems & practices or integrating the solution to or within the processes of a local CSO, other organization, or private sector entity in a manner that ensures the solution provides a defined level of quality and impact over time. Transition does not mean the government/partner organization does everything. The government/partner organization can play one or more roles (owner, manager or operator).

**Institutionalize**

What do we mean by **institutionalizing a solution in the public system**?

Institutionalization is the process of making the solution a normal way of doing business in the relevant government ministries or departments. Institutionalization activities are a key part of transition and include budgeting, creating needed jobs/positions, approval of relevant standard operating procedures, and integrating the solution into related processes, tools, performance frameworks and governance structures.

**Sustain**

What do we mean by **solution sustainability after transition**?

Ability of the receiving organization to continue operating the solution with adequate financing, after transition, according to quality standards approved by the government and at an acceptable level of performance. It is recommended to develop a Post-Transition Evaluation Plan before the transition and to execute an evaluation at least once within the first two years after transition.
### Which transition scenarios are covered by the guidelines?

<table>
<thead>
<tr>
<th>CASE 1: Move from being a “government project” to a normal way of doing business in public system</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current state</strong></td>
</tr>
<tr>
<td>• Government employees are main “doer”</td>
</tr>
<tr>
<td>• Donor fund all/most activities</td>
</tr>
<tr>
<td><strong>Target state</strong></td>
</tr>
<tr>
<td>• Government employees are main “doer”</td>
</tr>
<tr>
<td>• Governments budget for efforts and fund all or some activities</td>
</tr>
<tr>
<td><strong>Transition focus</strong></td>
</tr>
<tr>
<td>✓ Adoption</td>
</tr>
<tr>
<td>✓ Institutionalization</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CASE 2: Move from being a “NGO managed project” to a normal way of doing business in public system</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current state</strong></td>
</tr>
<tr>
<td>• NGO employees are main “doer”</td>
</tr>
<tr>
<td>• Government approves solution but NGO manages and operates it</td>
</tr>
<tr>
<td>• Donor fund all efforts</td>
</tr>
<tr>
<td><strong>Target state</strong></td>
</tr>
<tr>
<td>• Government employees are main “doer”</td>
</tr>
<tr>
<td>• Government owns solution but may subcontract activities to CSO or private sector companies</td>
</tr>
<tr>
<td>• Governments budget for efforts and fund all or some activities</td>
</tr>
<tr>
<td><strong>Transition focus</strong></td>
</tr>
<tr>
<td>✓ Adoption</td>
</tr>
<tr>
<td>✓ Institutionalization</td>
</tr>
<tr>
<td>✓ Transition from NGO</td>
</tr>
</tbody>
</table>
transitional process

**Phase:** Define and begin to implement the solution

- Co-develop a solution with government based on a problem identified as a priority by government.
- Develop a **Solution Description** that defines the scope of the solution.
- Begin solution implementation – at start, it may be on a small scale, e.g., in one province or district.
- Develop a **Solution Toolkit** containing instructions, tools and SOPs related to the elements needed to operate the solution long term.
- Start **Solution Costing** and develop a solution cost model.
- Conduct an impact evaluation to assess whether the initial solution is effective.

**Phase:** Continue implementation & plan for transition

- Implement the solution and demonstrate impact; define key strategies and plans for transition.
- Continue solution implementation while planning for transition.
- Set key directions on timing, funding and roles and responsibilities as part of a **Transition Strategy**.
- Formalize in an agreement with government.
- Evaluate solution maturity and the context influencing solution success via the **Transition Readiness Checklist (TRC)**. This is based on dimensions outlined in our transition to government framework. We recommend conducting the TRC multiple times throughout the transition process to adapt to changing solution maturity and context.
- Define the actions and timing for transition based on TRC results through a **Transition Plan**.
- Update solution cost model, analyze solution actual cost and perform cost estimate.
- Develop and implement a **Skills Development Plan** to build the skills needed for long term impactful operation of the solution.
- Develop a **Post-Transition Evaluation Plan** to measure Key Performance Indicators and the transition process.

**Phase:** Transition and Sustain the solution

- Continue implementation of the solution while transitioning the solution to government/partner ownership by implementing defined plans and update strategies and plans as needed.
- Continue solution implementation and activities defined in the Transition Plan.
- Conduct formal handover to government.
- Refine the **Post-Transition Evaluation Plan** and evaluate the transition with the government partner. The government may identify a need for ongoing external resources to support the solution after transition.
- Update solution actual cost and perform solution cost estimate.

The technical partner may continue to provide support post transition, but this support will be limited to solution upgrades related to new and emerging technology and practices, performance assessments, or support in partnership development and management.

Following a transition, we recommend that funders support a final evaluation, commissioned by the new solution owners and/or managers, to gauge to what extent a solution has maintained impact and quality post transition.

**Transitioning Well to government or other partners requires transition-related actions from the beginning, when the solution is being defined. These activities should then continue throughout both the implementing of the solution, as well as the transitioning and sustaining of solution.**
To ensure that solution teams and their partners are applying lessons learned from research done on sustainability in other organizations and past transitioned solutions in VillageReach, the Transitioning Well team developed eight guidelines to support program teams in effectively and efficiently sustaining their solutions through transition.

<table>
<thead>
<tr>
<th>GUIDELINE</th>
<th>DESCRIPTION OF GUIDELINE CONTENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Solution Description</td>
<td>This guideline helps stakeholders identify the core elements needed to operate a solution. It provides instructions on how to define the solution scope and its elements, and how to create and validate the solution description. VillageReach recommends developing a solution description at the beginning stage of program implementation.</td>
</tr>
<tr>
<td>2. Solution Toolkit</td>
<td>This guideline covers instructions for how to create a solution toolkit that ensures all operational staff have the required knowledge for effective solution implementation. A solution toolkit ensures that individuals responsible for each part of the solution can easily access standard operating procedures, reference materials and tools needed to carry out activities that sustain solution fidelity and impact.</td>
</tr>
<tr>
<td>3. Solution Costing</td>
<td>This guideline provides stakeholders with tools and approaches for solution costing. For a government/partner to embed a solution they must know the ongoing operating cost. Specific guidance on cost model development, actual costing and cost estimating is needed to design affordable solutions, identify opportunities for solution cost improvement, develop long-term financing plans, develop budgets and produce solid funding requests.</td>
</tr>
</tbody>
</table>
### Description of Transitioning Well guidelines, continued

<table>
<thead>
<tr>
<th>GUIDELINE</th>
<th>DESCRIPTION OF GUIDELINE CONTENT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4. Transition Strategy</strong></td>
<td>This guideline helps solution owners and partners identify and document the goals and vision for transition. It helps align the solution team and government or receiving partner around roles and responsibilities for solution operation, resources, expected geographical coverage of the solution at the point of transition, risks and mitigating factors and timing of transition.</td>
</tr>
<tr>
<td><strong>5. Transition Readiness Checklist (TRA)</strong></td>
<td>The TRA guideline helps stakeholders understand when and how to assess the readiness of a solution to transition using the TRA tool. It also details how the checklist should be used, and the stakeholders who should participate in the process.</td>
</tr>
<tr>
<td><strong>6. Transition Plan</strong></td>
<td>This guideline aids stakeholders to develop, update and maintain a Transition Plan. It includes required actions and associated timelines to address any issues identified through the TRA.</td>
</tr>
<tr>
<td><strong>7. Skills Development Plan (SDP)</strong></td>
<td>This guideline helps stakeholders design a plan that develops or enhances the necessary skills for the entity managing or operating the solution post transition. The SDP is a component of the overall Transition Plan. It has a special focus given the critical role of skilled individuals in ensuring solution fidelity and sustainable performance.</td>
</tr>
<tr>
<td><strong>8. Post-Transition Evaluation Plan</strong></td>
<td>This guideline provides stakeholders with direction on how to monitor solution key performance indicators throughout a transition, as well as how to evaluate solution fidelity and impact post transition. It also evaluates the transition process itself, highlighting the role of contextual factors, facilitators, challenges and lessons learned for future solutions’ transition to government.</td>
</tr>
</tbody>
</table>
1. Solution Description guideline
Contents

1.0 Solution Description overview
   • Background on this guideline
   • Solution Description glossary
   • What is a Solution Description?
   • Needs addressed by the Solution Description

1.1 Developing a Solution Description
   • Process description standards
   • Process for developing a Solution Description
   • Solution Description step descriptions
   • Solution Description Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)
   • Additional Guidance
   • Solution Element Definition sheet
   • What is a solution?

1.2 Example(s)
Why is it important to have a solution description?
A solution description breaks down the knowledge and experience needed to implement and operate a solution into elements that are easy to understand and apply by people not involved in the initial implementation.

What question(s) does this guideline answer?
• How do I define the scope of a given solution?
• How do I identify the required elements of a given solution?
Background on this guideline 2

Who is responsible? (See link to the Terms of Reference folder for further details on the roles)

The **Transition Lead** is responsible for producing the Solution Description with the program team and designated Monitoring & Evaluation (M&E) staff and/or Research Evidence, & Learning (REL) team member. **Note:** The Program Manager/Solution Owner may act as a Transition Lead until a Transition Lead is appointed. *This will often be the case as solutions should be documented at the onset of implementation, regardless of whether it is transitioned or not.*

The **Transition Coach** helps guide the Transition Lead through this process. If there are any questions on how to apply the guidelines, the coach can help guide the work.

The **Program Manager/Solution Owner** is accountable for the Solution Description.

When do you do a solution description?

A solution description should be done at the beginning of the implementation phase of a program/project regardless of whether the solution ends up transitioning or not.

The Solution Owner should ensure that once a Transition Lead is appointed, they review and revise the solution description with the Solution Owner, National Government Champion or partner lead, and solution M&E/REL team member after the Transition Strategy to include the elements that will still exist post transition. The Solution Owner, Transition Lead, and the person responsible for replication in other countries, should also revise at the time of planning a replication to ensure it has the elements that will be replicated.
Solution description glossary

**Enabling elements** - Represent activities that provide the operating legal, strategic, regulatory, technology and contractual environment for the solution

**Flexible elements** - These are selected Enabling, Managerial and Operational elements that are either only relevant for a specific scenario (e.g. use of outsourcing), or only necessary at certain volumes (e.g. automation)

**Managerial elements** - Represent activities that support or provide oversight to the operational elements

**Operational elements** - Represent activities that are conducted on a regular/periodic basis (Daily/Weekly/Monthly) as part of operating the solution

**Required elements** - Selected Enabling, Managerial and Operational elements that are must-haves, without which the solution is no longer relevant for achieving impact

**Solution** - The “WHAT is” and the “HOW to” needed to solve a defined problem. The components that can make up a solution include a combination of processes, products, organization, tools, metrics and collaboration that provides the functionalities needed to solve a defined problem.

**Solution description** - The set of solution elements, organized into Operational, Managerial and Enabling categories, that together represents the overall solution

**Solution element** - A distinct body of knowledge that represents a part of the overall solution
What is a solution description? 1 of 2

The set of solution elements, organized into Operational, Managerial and Enabling categories, that together represents the overall solution

Example: AlôVida Mozambique

<table>
<thead>
<tr>
<th>Solution name</th>
<th>Health Center by Phone (AlôVida Mozambique)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solution description overview</td>
<td>A toll-free nurse-staffed health hotline that provides free health advice to all via phone or IP messaging services</td>
</tr>
<tr>
<td>Scope of solution</td>
<td>National level – Mozambique</td>
</tr>
</tbody>
</table>

Solution elements

- Enabling
  - Health Content Management (Calls, IVR, and WhatsApp)
  - Hotline sensitization (Demand Generation)
  - Client Privacy and confidentiality
  - Agreements with MNOs (Zero cost rates in calls)

- Managerial
  - Quality Assurance
  - Human resource Management
  - Training and Skill Development
  - Resource Planning and Scheduling
  - Quarterly performance assessment
  - Coordination meetings with stakeholders

- Operational
  - IVR Messages
  - Hotline calls
  - One-way Referrals
  - WhatsApp Chatbot
  - Health campaign broadcast
  - Gather user Feedback (Feedback loops)

AlôVida Solution Elements 1/3

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>RELATED ELEMENTS</th>
<th>ELEMENT DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health Content Management</td>
<td>Evaluate and make decisions to scale the AlôVida platform and health services. Decision making is based on real-time call center and Stakeholder engagements and involves all MNOs and tool vendors.</td>
<td></td>
</tr>
<tr>
<td>Hotline sensitization</td>
<td>Expand and inform the public about the hotline, and involve in social media sharing of stories and success stories.</td>
<td></td>
</tr>
<tr>
<td>Client Privacy and confidentiality</td>
<td>Ensure compliance with national data protection rules for calls and any information collected. Quality assessment and training. Includes development and application of call center compliance processes including eavesdropping,; monitoring and periodic reviews.</td>
<td></td>
</tr>
<tr>
<td>Agreements with MNOs (Zero cost rates in calls)</td>
<td>Ensure agreements with mobile telephone operators are in place and overall voice service tariffs not exceed the support of mobile telephone operators, ensuring that the cost of calls to AlôVida is maintained at zero</td>
<td></td>
</tr>
</tbody>
</table>

Solution element definitions
A solution description is not a project management tool; it describes the target technical solution whose implementation is needed to achieve targeted outputs and/or outcomes.

A solution description is not a process, nor does it describe a process; but it can be a starting point to develop process descriptions for different solution elements, which are part of the Solution Toolkit.

A solution is typically represented using a) Solution Summary that provides an overview description of the solution and scope of the solution, b) a Solution Overview with elements that are organized in three categories: Enabling, Managerial and Operational; and c) Solution element definitions that describe each solution element.

### Solution Summary
- **Solution name**: Health Center by Phone (AlôVida Mozambique)
- **Solution description overview**: A toll-free nurse-staffed health hotline that provides free health advice to all via phone or IP messaging services
- **Scope of solution**: National level – Mozambique

### Solution Overview
- **Enabling**
  - Health Center Management
  - User friendliness
  - Client Privacy and confidentiality
  - Agreements with MNHIs or other local and national level
- **Managerial**
  - Quality Assurance
  - Human resource Management
  - Training and Skill Development
  - Resource Planning and Scheduling
  - Quarterly performance assessment
  - Coordination meetings with stakeholders
- **Operational**
  - IVR Messages
  - Online Help
  - One way Helpdesk
  - WhatsApp Chatbot
  - Health campaign broadcast
  - Gather user feedback (feedback loops)

### Solution element definition sheet

*Table*
Needs addressed by the Solution Description

Developing a solution description is the starting point to define the solution and develop a Solution Toolkit.

Solution descriptions also enable:

- Identifying key elements of the solution that are essential for impact
- Identifying major areas for costing
- Communicating the solution to internal and external stakeholders
- Describing partner involvement in the Transition Strategy

Transition
- Transition the solution to government/partner

Scale-up
- Apply the solution in all applicable regions

Replication
- Adopt the solution in a new country

Solution descriptions are needed for Transition, Scale-up and Replication.
Developing a Solution Description
Process description standards

Definitions

- **Start or End of a process**: Each process flow will begin and end with this symbol

- **Process Step**: Description of application/system step or manual step within the process will be described in this symbol

- **Document**: This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step

- **Incoming Link**: Symbol will be used if the process is a continuation of another process

- **Outgoing Link**: Symbol will be used if the process continues to additional processes or sub-processes

- **Decision**: Symbol will be used if alternative flows exist depending on a decision
Process for developing a Solution Description

START

1.0 Consult the solution theory of change

1.1 Describe the solution, its goal and scope

1.2 Identify Operational Solution Elements

1.3 Identify Managerial Solution Elements

1.4 Identify Enabling Solution Elements

1.5 Validate Solution Description

Yes

Solution validated?

No

1.6 Release Solution Description

Solution Description

END

Solution Description released

Solution elements and descriptions

Solution Toolkit

1.7 Test and evaluate the solution

Solution elements support impact?

No

Go to 1.1

Yes

1.8 Assess and revise solution elements post-Transition Strategy

Required elements validated?

No

Go to 1.1

Yes

No action needed

See RACI for Roles & Responsibilities

Transitioning Well Integrated Guidelines_November 2023
<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.0 Consult the solution theory of change | - Review the solution theory of change with the solution M&E manager or REL team member to identify the key activities that lead to impact  
  *Tip: The Theory of Change is a starting point for brainstorming to identify each solution element*  
  **Time estimate:** 2-3 hours |
| 1.1 Describe the solution, its goal and scope | - Start by developing a Solution Summary and briefly describe your solution in 1-2 sentences specifying what your solution does, who it targets, the health scope of your solution, the organizational (national, provincial, other) scope of your solution and the goal or problem it aims to solve. Validate the Solution Summary with key program staff.  
  - Identify key stakeholders that need to be involved in developing the solution description (technical staff, M&E staff, field staff, partners, etc.).  
  **Time estimate:** 2-3 hours |
| 1.2 Identify Operational Solution Elements | - With your team, start development of the Solution Overview and identify what key operational elements of your solution are essential for achieving impact. You can do this by asking:  
  "What are the essential activities that support the regular day-to-day operations of the solution to ensure that the solution achieves impact"  
  *Tip: It is easier to first develop operational activities before defining the managerial and enabling activities as these are more difficult*  
  *Tip: List the solution elements with a short description; once all elements are identified, work on more detailed Solution Element Definitions*  
  - Define each element in the solution definition table  
  *Tip: If the solution is not at the national level, it may be helpful to note where the element takes place (regional, province, district, etc.)*  
  **Time estimate:** 0.5 day |
| 1.3 Identify Managerial Solution Elements | - With your team, identify what key managerial elements of your solution are essential for achieving impact. You can do this by asking:  
  - "What are the activities that support the managerial aspects of the solution to ensure the solution achieves impact"  
  - "What are the oversight activities needed to ensure optimal operation of the solution?"  
  - Define each element in the solution definition table  
  **Time estimate:** 0.5 day |
| 1.4 Identify Enabling Solution Elements | - With your team, identify what key enabling elements of your solution are essential for achieving impact. Specifically, the operating legal, strategic, regulatory, technology and contractual environment needed for the solution to operate successfully (e.g. sensitization campaigns, free IP messaging services, data security compliance) by asking:  
  "What are the enabling activities that support the solution that are essential or non-negotiable for ensuring the solution achieves impact"  
  - Define each element in the solution definition table  
  **Time estimate:** 0.5 day |
## Solution Description step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.5 Validate Solution Description | • With your team, identify who should be involved in validating the solutions (may include the government or partner when revised for transition/replication)  
• Define validation criteria  
  Tip: Use criteria such as Completeness (e.g. all required elements), Complexity (not overly complex to manage) and Robustness (can be sustained even as leadership, organizational structures and people change)  
• Organize and run a validation session  
  Time estimate: Make take several meetings over several days |
| 1.6 Release Solution Description | • Package the Solution Description for dissemination  
• Provide the Solution Description to key stakeholders in Program Team, Government and Partners  
  Time estimate: Can take several weeks depending on required formats |
| 1.7 Test and evaluate the solution | • In consultation with your M&E team member or the REL team, evaluate your solution  
• After evaluating your solution with your program team, review the results and your original solution description and ask:  
  - Which elements are Required (must-haves, without which the solution is no longer relevant) for achieving impact?  
  - Which elements are Flexible (either only relevant for a specific scenario (e.g. use of outsourcing) or only necessary at certain volumes (e.g. automation) ?  
  Tip: Avoid including “optional” elements, those that are “nice to have” but not essential to achieving impact  
  Time estimate: Can take multiple months |
| 1.8 Assess and revise solution elements post-Transition Strategy* | • After a solution has been proven effective and set for transition and a Transition Strategy has been put in place, use the Transition Strategy and confirm the list of Required Elements and Flexible Elements for the Solution  
• If there are any discrepancies, return to 1.1 and revise the Solution Description  
  Time estimate: Several days or weeks depending on how much needs to be changed |

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*Example of a change in solution elements: After review of the CCPF Impact Evaluation and the budgets, the Malawi Ministry of Health and Population (MOHP) made the decision to change the SMS component of Tips & Reminders to just Tips that are accessed via calling in through the IVR as the IVR were found to be just as impactful and were free of charge to the government, whereas SMS would have been an added cost. The Transition Lead updated the solution elements and definition accordingly.
### Solution Description RACI

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program Manager/Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>National Government Champion or Partner Lead</th>
<th>M&amp;E or REL Team</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/Funder</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 Consult the solution theory of change</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
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</tr>
<tr>
<td>1.1 Describe the solution, its goal and scope</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
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</tr>
<tr>
<td>1.2 Identify Operational Solution Elements</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
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<td>I</td>
</tr>
<tr>
<td>1.3 Identify Managerial Solution Elements</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
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<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.4 Identify Enabling Solution Elements</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.5 Validate Solution Description</td>
<td>R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>C</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.6 Release Solution Description</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.7 Test and evaluate the solution</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.8 Assess and revise solution elements post-Transition Strategy</td>
<td>A/R</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>I</td>
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</tr>
</tbody>
</table>

*Note: Solution descriptions should be done at the onset of a program so the Program Manager/Solution Owner acts as both the Program Manager/Solution Owner and Transition Lead, if a Transition Lead is not on board. All programs, regardless of if they eventually transition, should have solution descriptions.

- **Responsible**—identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the **Accountable** person. R’s can be shared.
- **Accountable**—designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.
- **Consulted**—identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.
- **Informed**—identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Additional Guidance: *How to identify a solution element?*

**Criteria for a distinct and robust solution element**

- Does it represent a distinct body of knowledge or require different skills to execute?
- Are different people/organization responsible for developing or approving the associated body of knowledge?
- Is it an input into the workflow of another element (vs being a step or activity in the workflow of another element)?

If the answer to any of these criteria is NO, then you likely do not have a standalone element.
Additional Guidance: *Develop and validate a solution description*

**Checklist for developing the integrated solution model**
- ✓ Element names should be short (1-3 words maximum)
- ✓ An integrated solution model has each element represented in a box
- ✓ Elements are presented from the bottom starting with Operational; then followed by Managerial; and lastly by Enabling at the top
- ✓ Each element has a definition, with all definitions listed in a Solution Element Definitions sheet
- ✓ Elements definitions contain the “required” activities and not just those “we can already do today”

**Checklist for validating the solution description**
- ✓ Does the solution contain the activities needed to achieve the targeted impact?
- ✓ Are the different elements consistent in technical content and complexity?
### Solution Element Definition sheet

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>SOLUTION ELEMENT</th>
<th>ELEMENT DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENABLING</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MANAGERIAL</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OPERATIONAL</td>
<td>e.g. An activity that supports the regular day-to-day operations of the solution to ensure that the solution achieves impact</td>
<td>e.g. Describe the scope of the activity, key actors involved, frequency of activity (day to day) and target group (if applicable)</td>
</tr>
</tbody>
</table>
What is a solution?

Short Exercise – Efficient Coffee Solution

My name is Eristie and I own Café Ulongo, located in a busy city center location. We serve over 200 cups of coffee a day with most orders between 8-10h and 12-15h. Although I also serve food, people come to us mostly for coffee so the quality and reputation of the coffee I serve is important.

Our customers expect fresh coffee, so I need to make each cup to order. I offer 5 different coffees: expresso, americano, latte, macchiato and cappuccino and a changing menu of specialty drinks. We are only two staff in our small café so I need a cost efficient, automated way to make coffee that is also reliable and fast.

One current distributor (Madikeri Roasters) proposes to lease us a self-cleaning coffee machine for free and service it every six months as long as we only use their coffee. Another distributor sells coffee and machine separately but the machine costs $3 000 and we must pay an annual service cost.

Pretend that you are Madikeri Roasters and want Ulongo Café to buy your coffee. Using the potential solution elements in Chart 1, choose the elements of the minimum solution (“Required Elements”) that you would propose to meet Ulongo Café’s needs.
What is a solution?

Short Exercise

Exercise: Choose the required elements – those must-haves that make up the Efficient Coffee Solution that you would propose to meet Ulongo Café’s needs. Be ready to explain your choice of elements.
What is a solution?

Chart 1: Potential Solution Elements

- Routine maintenance training & guidance
- Periodic maintenance services
- Barista training & drink recipes
- Coffee machine operating procedure
- Efficient Coffee Solution for small urban café
- Promotional support
- Leasing Contract
- Coffee capsule supply
- Coffee inventory management
- Water filter supply
Example(s)

- Health Center by Phone (AlôVida Mozambique)
- Outsourced Transport (LMSC Mozambique)
- SC Investment Coordination (SCICA DRC)
## AlôVida solution (v1.0)

### Enabling event-based
- Health Content Management (Calls, IVR, and WhatsApp)
- Hotline sensitization (Demand Generation)
- Client Privacy and confidentiality
- Agreements with MNOs (Zero cost rates in calls)

### Managerial quarterly, monthly
- Quality Assurance
- Human resource Management
- Training and Skill Development
- Resource Planning and Scheduling
- Quarterly performance assessment
- Coordination meetings with stakeholders

### Operational monthly, weekly, on-going
- IVR Messages
- Hotline calls
- One-way Referrals
- WhatsApp Chatbot
- Health campaign broadcast
- Gather user Feedback (feedback loops)

### Example: AlôVida Mozambique

*Transitioning Well Integrated Guidelines September 2023*
### AlôVida Solution Elements 1/3

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>CCPF ELEMENT</th>
<th>ELEMENT DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ENABLING</strong></td>
<td>Health Content Management</td>
<td>Evaluate and make decisions to add to the AlôVida platform new health topics. Decision-making is based on criteria such as consistency with core Hotline objectives and impact on skills and financial resources.</td>
</tr>
<tr>
<td></td>
<td>Hotline sensitization</td>
<td>Engage and inform the public about the hotline, an this includes work with existing civil society organizations (media, partners, community structures, faith-based groups, etc.) and MoH units involved in community engagement. Includes use of SMS messaging, branding, communication materials and media.</td>
</tr>
<tr>
<td></td>
<td>Client privacy and confidentiality</td>
<td>Ensure compliance with national data protection principles for calls as well as for any information used in quality assessment and training. Includes development and application of call center compliance procedures including ethics training, confidentiality agreements, and needed roles &amp; responsibilities (e.g. compliance officer)</td>
</tr>
<tr>
<td></td>
<td>Agreements with MNOs (Zero cost rates in calls)</td>
<td>Ensure that agreements with mobile telephone operators are revitalized and revised whenever there is a need to add some service or element that may need the support of mobile telephone operators, always ensuring that the cost of calls to AlôVida is maintained at zero.</td>
</tr>
</tbody>
</table>
## AlôVida Solution Elements 2/3

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>CCPF ELEMENT</th>
<th>ELEMENT DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>MANAGERIAL</td>
<td>Quality assurance</td>
<td>Define criteria and assess performance for the quality of health information provided to users including accuracy of health information, and respect of MoH guidelines. Also includes following documented process flow and customer interaction standards.</td>
</tr>
<tr>
<td></td>
<td>Human resources management</td>
<td>Define organizational structure and positions for Hotline. Identify typical profiles (skills, educational, work experience) and job descriptions for each agreed position.</td>
</tr>
<tr>
<td></td>
<td>Training and skills development</td>
<td>Develop training materials covering process workflow, tool usage, customer service, and medical information. Manage skills acquisition with a training program covering initial and refresher training.</td>
</tr>
<tr>
<td></td>
<td>Resource planning and scheduling</td>
<td>Identify the expected volume of calls per AlôVida shift based on AlôVida call volume data and allocate people in each shift based on needs. Develop projections of needed staff and system capacity and ensure plans are in place to cover forecast needs. Develop monthly schedule by named resource.</td>
</tr>
<tr>
<td></td>
<td>Quarterly performance assessment</td>
<td>Assess the quarterly performance of agreed indicators vs target in order to review the data on the uptake of services and the purpose of calls. Agree on action plans in MoH and in coordination with relevant partners.</td>
</tr>
<tr>
<td></td>
<td>Coordination meetings</td>
<td>Organize periodic coordination meetings with implementing partners to present the performance of AlôVida services and outline the specific support needs necessary to enhance the functionality of the services.</td>
</tr>
</tbody>
</table>
### AlôVida Solution Elements 3/3

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>CCPF ELEMENT</th>
<th>ELEMENT DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPERATIONAL</td>
<td>IVR messages</td>
<td>Provide health information via prerecorded voice messages that users can access for free when calling in, categorized into date-related categories under the following categories: Child Vaccination, Vaccination of Girls against Cervical Cancer, COVID-19 vaccine, Cholera, and polio.</td>
</tr>
<tr>
<td></td>
<td>Hotline calls</td>
<td>Identify caller, including registration. Identify the purpose of the call and provide accurate Ministry of Health-approved health information. Ensure capture of the required information.</td>
</tr>
<tr>
<td></td>
<td>One Way Referrals</td>
<td>During a Hotline call, provide advise to caller to go to a Health Centers or Hospital if presenting with danger signs</td>
</tr>
<tr>
<td></td>
<td>WhatsApp Chatbot</td>
<td>Provide users with easy access to healthcare information (Child immunization) and help desk through the messaging platform.</td>
</tr>
<tr>
<td></td>
<td>Health campaign broadcast</td>
<td>Disseminate targeted messages through SMS to AlôVida users, aiming to promote health services and distribute essential information based on the current priorities set by MISAU</td>
</tr>
<tr>
<td></td>
<td>User Feedback</td>
<td>Gather valuable insights and perspectives from the users themselves to evaluate AlôVida and other health services including quality, identifying user needs, identifying avenues for continuous improvement, enhancing user satisfaction and defining and executing a corrective action plan.</td>
</tr>
</tbody>
</table>

Example: AlôVida Mozambique
Outsourced Transport Solution Description

1.0 Enabling  
- event-based

1.1 4PL/3PL Service Definition
1.2 4PL/3PL Supply Analysis & Strategy
1.3 4PL/3PL Tendering, Selection & Contracting
1.4 Transport Route Optimisation
1.5 Performance Verification

2.0 Managerial  
- quarterly, monthly

2.1 4PL/3PL Management
2.2 Logistics Cost Management
2.3 Supervision

3.0 Operational  
- monthly, weekly, on-going

3.1 Distribution Cycle Coordination
3.2 Health Commodity Distribution
3.3 Inventory & Cold Chain Data collection
3.4 Distribution Evaluation & Transporter Payment

Example: LMSC Mozambique

Note: each Solution element has associated Standard Operating Procedures, tools, templates, and roles & responsibilities requirements
## Outsourced Transport element descriptions (1/2)

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>SOLUTION ELEMENT</th>
<th>ELEMENT DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENABLING</td>
<td>1.1-4PL/3PL Service Definition</td>
<td>Define the service package (product delivery, data gathering, and other activities) for the private sector firm(s) based on the needs of regional/provincial facilities and health facilities</td>
</tr>
<tr>
<td>ENABLING</td>
<td>1.2-4PL/3PL Supply Analysis &amp; Strategy</td>
<td>Identify potential 4PL or 3PL service providers; rank suppliers, including strengths and weaknesses; understand supplier’s short- and long-term goals; and determine strategy in terms of market share by supplier</td>
</tr>
<tr>
<td>ENABLING</td>
<td>1.3-4PL/3PL Tendering, Selection &amp; Contracting</td>
<td>Develop RFP/RFQ documents/Book of Specs, advertise opportunity, run evaluation; select preferred 4PL(s) or 3PL(s); develop a commercial contract (Contract negotiation and management); develop Service Level Agreement (SLA) with 4PL or 3PLs with operational practices and tools requirements, SLA KPI and Compliance requirements</td>
</tr>
<tr>
<td>ENABLING</td>
<td>1.4-Transport Route Optimization</td>
<td>Identify the best physical routes between stocking locations and points of use (e.g., health clinics) considering target service levels, transportation costs and lead-times; use actual route performance to improve planned routes</td>
</tr>
<tr>
<td>ENABLING</td>
<td>1.5-Performance Verification</td>
<td>Establish Key Performance Indicators (KPIs) for measuring and validating supplier performance, define the verification approach with clear data quality assurance and validation process, establish SOP, define the sample size, establish data collection tools and visualizations, define verification schedule and coverage, train data collection team, perform data collection and provide verification report</td>
</tr>
<tr>
<td>MANAGERIAL</td>
<td>2.1-4PL/3PL Management</td>
<td>Based on the Service Level Agreement conduct Quarterly Performance Reviews to check performance and agree joint corrective action plans; conduct bi-annual business reviews looking at overall relationship</td>
</tr>
<tr>
<td>MANAGERIAL</td>
<td>2.2-Logistics Cost Management</td>
<td>Identify actual logistics costs (labor, overheads, fuel, etc.) and key cost drivers; develop database of costs to evaluate and compare suppliers; define and implement cost improvement actions and continuous improvement action plan</td>
</tr>
<tr>
<td>MANAGERIAL</td>
<td>2.3-Supervision</td>
<td>Define clear responsibilities and supervision tools, establishing areas and key metrics to be measured, defining schedule for supervision visit and period to be covered, establish report template and action plan follow up and timeline, define budget, conduct supervision, present the findings, follow up on problems and manage escalation process</td>
</tr>
</tbody>
</table>
## Outsourced Transport element descriptions (2/2)

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>SOLUTION ELEMENT</th>
<th>ELEMENT DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPERATIONAL</td>
<td>3.1-Distribution Cycle Coordination</td>
<td>Secure planned dates for all key milestones (picking, packing, shipping, reverse logistic etc.); conduct pre-distribution meeting to review and agree dates between DPM and transporters; identify and mitigate potential slippages</td>
</tr>
<tr>
<td></td>
<td>3.2-Health Commodity Distribution</td>
<td>Develop an order per Health Facility in Regional/Provincial warehouse; develop a picking list and shipping manifest per Health Facility. Pick and pack each order. Set dates for arrival at each Health Facility; communicate dates to Health Facilities prior to shipment; load vehicles with products, execute and track transportation; provide schedule updates to Health Facilities so they can anticipate arrival of delivery. Manage loss and damages and incident reports; manage receipt of items at Health Facility; validate quantities and quality of items; capture proof of delivery; put items into inventory; update inventory records at Health Facility</td>
</tr>
<tr>
<td></td>
<td>3.3-Inventory &amp; Cold Chain Data Collection</td>
<td>Capture the following information: medicine consumption, stock levels, out-of-stock, since when, goods received, expired products, using SELV for vaccines and SIGLUS for medicines; ensure temperature sensors are working; capture temperature data; provide data to support cold chain maintenance activities</td>
</tr>
<tr>
<td></td>
<td>3.4-Distribution Evaluation and Transporter Payment</td>
<td>Conduct post-distribution evaluation meeting with all stakeholders; evaluate performance using agreed KPIs, identify and launch corrective actions; approve transporter payment; make payment</td>
</tr>
</tbody>
</table>

**Example: LMSC Mozambique**
Supply Chain Investment Coordination and Advocacy (SCICA) Solution Description

### 1.0 Enabling
- **event-based**
  - 1.1 SCICA charter development and adoption
  - 1.2 SCICA charter integration
  - 1.3 SCICA target setting (national and provincial)
  - 1.4 Stakeholder identification and management
  - 1.5 SCICA stakeholder perception survey

### 2.0 Managerial
- **quarterly, monthly**
  - 2.1 Annual national reviews
  - 2.2 Semi-annual national reviews
  - 2.3 Annual provincial reviews
  - 2.4 Quarterly provincial reviews
  - 2.5 National priorities consolidation

### 3.0 Operational
- **monthly, weekly, on-going**

*SCICA is not an operational approach and does not have Operational elements*

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**Note:** each Solution element has associated Standard Operating Procedures, tools, templates, and roles & responsibilities requirements

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Example: SCICA DRC
### SCICA Solution Element Definitions 1/2

<table>
<thead>
<tr>
<th>CATEGORY</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>ENABLING</strong></td>
<td>1.1 SCICA Charter development and adoption</td>
<td>Develop a document that contains the objectives, key principles, major activities of the SCICA approach and key roles and responsibilities that describes the target way of working for identifying and prioritizing needed investments in supply chain strengthening.</td>
</tr>
<tr>
<td></td>
<td>1.2 SCICA Charter integration</td>
<td>Identify the point of institutional anchoring in the MOH for the SCICA approach. Ensure the SCICA approach is integrated into the administrative processes and rules of the MoH as well as in the guidance/instructions provided by the MoH to its technical and financial partners.</td>
</tr>
<tr>
<td></td>
<td>1.3 SCICA target setting (national and provincial)</td>
<td>Work with the Ministry of Health to determine the criteria that will guide the choice of programs and provinces on which SCICA will be focused.</td>
</tr>
<tr>
<td></td>
<td>1.4 Stakeholder identification and management</td>
<td>Organize a review of existing coordination mechanisms in the supply chain to identify all stakeholders and interventions in the supply chain and to propose options on how to involve these stakeholders in the SCICA process.</td>
</tr>
<tr>
<td></td>
<td>1.5 SCICA stakeholder perception survey</td>
<td>Gather and analyze inputs from the direct users of SCICA (all stakeholders) on the implementation of all components of the SCICA approach to identify needed adjustments in the SCICA implementation approach and in SCICA methods and tools.</td>
</tr>
<tr>
<td>CATEGORY</td>
<td>SOLUTION ELEMENT</td>
<td>ELEMENT DEFINITION</td>
</tr>
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</tr>
<tr>
<td>MANAGERIAL</td>
<td>2.1 Annual national reviews</td>
<td>Identify current supply chain performance and gaps, share analysis with key stakeholders, and conduct a review with all key stakeholders (govt., technical partners, etc.) to prioritize needed investments in the public health supply chain.</td>
</tr>
<tr>
<td></td>
<td>2.2 Semi-annual national reviews</td>
<td>Monitor the progress of actions/recommendations taken during the previous annual review organized by the specialized programs. Monitor supply chain performance vs objectives set for the current year in order to see the evolution of key indicators. Results are in input to the annual review.</td>
</tr>
<tr>
<td></td>
<td>2.3 Annual provincial reviews</td>
<td>Identify current supply chain performance and gaps, share analysis with key stakeholders, and conduct a review with all key stakeholders (Provincial govt., technical partners, etc.) to prioritize needed investments in the public health supply chain.</td>
</tr>
<tr>
<td></td>
<td>2.4 Quarterly provincial reviews</td>
<td>Monitor the progress of actions/recommendations taken during the previous annual review organized by the provincial coordinators of the specialized programs. Monitor supply chain performance vs objectives set for the current year in order to see the evolution of key indicators. Results are in input to the annual review.</td>
</tr>
<tr>
<td></td>
<td>2.5 National priorities consolidation</td>
<td>Use the results of the yearly and quarterly reviews to consolidate all needed investments and to produce a consolidated set of priorities for use in dialogue with key donors that provide funding for public health supply chain strengthening.</td>
</tr>
</tbody>
</table>
2. **Solution Toolkit** guideline
Contents

2.0 Solution Toolkit overview
   • Background on this guideline
   • What is a Solution Toolkit?
   • Solution Toolkit glossary
   • What is a Solution Toolkit?

2.1 Developing a Solution Toolkit
   • Process description standards
   • Process for developing a Solution Toolkit
   • Solution Toolkit step descriptions
   • Solution Toolkit Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)

2.2 Example(s)
Background on this guideline 1

Why is it important to have a solution toolkit?
A solution toolkit ensures that individuals responsible for each part of the solution can easily access standard operating procedures, reference materials, tools needed to sustain solution quality and impact.

What question(s) does this guideline answer?
- What is the purpose of a solution toolkit?
- How do I develop a solution toolkit?
- What needs to be included in the solution toolkit?
Who is responsible? (See link to the Terms of Reference folder for further details on the roles)

- The Transition Lead (or Program Manager/Solution Owner if a Transition Lead has not been appointed yet) is responsible for producing the Solution Toolkit with the program team at the program/project implementation phase and with the government/partner post transition strategy.
- The Program Manager/Solution Owner is accountable for the Solution Toolkit.
- The Transition Coach is responsible for guiding the Transition Lead through the toolkit development process, including helping identify consistent ways of presenting materials and tailoring to the user.
- The Government/partner champion is responsible for validating the solution toolkit after the transition strategy for ensuring that there is adherence to the processes defined in the solution toolkit in order to attain solution fidelity or that any changes are documented post transition.

When do you do a solution toolkit?

The Program Manager/Solution Owner with the program team, should start work on the solution toolkit during the implementation phase, independently of whether the solution ends up being transitioned. The Solution Description is a pre-requisite to developing a Solution Toolkit. Toolkit development timing follows the implementation schedule as content needs to be proven through use before being added to the toolkit.

During transition, the Transition Lead updates the Solution Toolkit with the program team and government counterpart/partner based on the Transition Strategy to meet the needs of the government/partner.
Why a Solution Toolkit?

Solution Toolkits are critical enablers to operating a solution. They can also be used in scaling-up, transitioning and replicating to other countries.

You will need to document all the steps, systems, tools, templates, and processes of a solution to train staff, for transition or for replication. The toolkit can be challenging to find time and resources to complete. But is ideally done over time while in the program implementation phase. Once the team decides with a government/partner to transition, the solution toolkit will require revisions.

Having a solution toolkit will ensure the following:

• Provide a single source of information on the technical content of the solution and relevant SOPs (Standard Operating Procedures)
• Gain a better understanding of the individual elements of the solution for further development and improvement, identify and work through potential differences in opinion within the team
• Create efficiencies for more rapid scale, transition, or replication (if applicable)
• Provide a method of accountability, as the toolkit can become a subdocument to the Memorandum of Understanding.
What is a solution toolkit?

A Solution Toolkit provides managers and operational staff with knowledge on how to apply the solution. The knowledge is organized by solution element with each element having its related information.

- Typical toolkit information by solution element -

- Solution Elements -
Solution toolkit glossary

**Methods** - explanations needed for any work that requires specific technical approaches (calculations, sizing rules, etc.)

**Process descriptions** - an account of the processes, activities, roles and responsibilities of the activity and provides a demonstration of the process steps, inputs, outputs, guidelines, standards, outcomes, etc.

**Roles and responsibilities** - provides a description of the relevant RACI (Responsible, Accountable, Consulted, Informed) for each process step, activity or decisions.

**Tools** - pre-defined templates, frameworks, Excel workbooks, presentation template, etc. with instructions ready for use.

**Training materials** - materials used for building the skills of a specific target user on different elements of the toolkit.

**Worked Examples** - completed examples of any tools, trainings, process descriptions, etc.
A solution toolkit helps others (whether new staff during implementation or government/partner once a transition strategy is defined) operate a solution and provides the background needed for replication.

Using the toolkit created during implementation should not require expert support although this may be initially required as part of a transition to a new organization.

Depending on local conditions (existing tools, volume of activity, etc.) content of the toolkit may need to be adapted.
Developing a Solution Toolkit
Process description standards

Definitions

- **Start or End of a process:** Each process flow will begin and end with this symbol.

- **Process Step:** Description of application/system step or manual step within the process will be described in this symbol.

- **Document:** This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step.

- **Incoming Link:** Symbol will be used if the process is a continuation of another process.

- **Outgoing Link:** Symbol will be used if the process continues to an additional processes or sub-processes.

- **Decision:** Symbol will be used if alternative flows exist depending on a decision.
Process for developing a Solution Toolkit

1. **Choose scope for a toolkit release**
2. **Develop content by solution element**
3. **Check content consistency**
4. **Check formatting consistency**
5. **Validate content with expert group**
6. **Test content with selected users**
7. **Package toolkit for easy navigation**
8. **Test usability with selected users**
9. **Revise Solution toolkit (if needed)**

**Solution Toolkit done**

**Solution Toolkit**

See RACI for Roles & Responsibilities

Transitioning Well Integrated Guidelines_November 2023

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### Solution Toolkit step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| **1.1 Choose scope for a toolkit release** | - Identify the needs by solution element and document type (Process Descriptions, Tools & Methods, Worked Examples, Training documents, etc.)  
- Identify what already exists and can be leveraged both within your own organization and from Partners and government  
- Based on the content that needs to be developed, identify potential stakeholders to involve in the content and toolkit development exercise  
  **Tip:** If already known, consult partners and government early to understand what already exists to avoid unnecessary work and use formatting that they are used to (whether specific SOP format or other)  
  **Tip:** Develop an excel file showing your needs by solution element and document type and status (done, in progress, to start)  
- Develop processes or tools of your solution and ensure there is an alignment with the stakeholders’ specific format  
- These processes or tools will include the day-to-day activities undertaken under the solution  
  **Time estimate:** 1 hour to a week depending on if documentation is in one place and if the team identifies what is needed |
| **1.2 Develop content by solution element** |  
- Throughout your program, you will be developing processes and tools to support the management and execution of the solution. This will typically take place over a period of many months during program implementation.  
  **Tip:** To isolate or develop content for the toolkit, you need to know the key activities required and what is needed to execute them.  
  **Tip:** It is essential to tailor to keep your target user in mind as you develop the processes and tools  
  **Tip:** Each process has to be defined and worked examples describing the use of certain tools must also be incorporated  
  **Tip:** It is important to clarify which toolkit elements are essential and must be followed “as is” vs those which are advice/guidance  
  **Time estimate:** Can happen over weeks and months and even years (done over the course of implementation) |
| **1.3 and 1.4 Check content and formatting consistency** | With your team, check content and formatting to ensure document consistency in language, style and presentation.  
  **Tip:** It is important to engage the Advocacy and Communications team to ensure there is consistency and adherence with the organization’s communications SOP and to assist with document check. However, it is important that branding changes once a toolkit is revised for a government/partner to ensure they see it as their document moving forward.  
  **Time estimate:** Can take several days of fully dedicated time depending on amount of content and documents |
| **1.5 Validate content with expert group** |  
- Engage expert teams (i.e., Advocacy and Communications, Diversity and Inclusion, etc.) for a third eye opinion and assistance with further formatting and editing based on internal SOPs for document generation.  
  **Tip:** It is imperative to engage the expert group early enough to provide ample time for any possible revisions.  
  **Time estimate:** Can take a week to several weeks, depending on amount of dedicated time |
<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.6 Test content with selected users | • Identify select users and test a subset of the developed content to ascertain if the materials achieve the intended knowledge transfer. Tip: Take note if the content is presenting the user with technical and knowledge conceptualization challenges.  
• If some challenges are observed, revise the content as described in step 1.2  
**Time estimate:** Can take several weeks |
| 1.7 Package toolkit for easy navigation | • If internal technical resources permit, package the toolkit or else engage a professional copy-editing firm to undertake the exercise.  
• Group the processes into sections and ensure the sections are well tailored  
  **Tip:** Understand what format (paper vs electronic) the government or partner user prefers and tailor toolkit accordingly.  
  **Tip:** For easy navigation and usability, include a short description of each section and mention the target user for that section.  
  **Tip:** It is advised to produce electronic and print versions of the toolkit  
  **Tip:** For processes with lengthy tools or appendices, only incorporate their summaries into the print version of the toolkit  
**Time estimate:** Whether internal or external, this is at least 2 weeks of fully dedicated time, so plan for 1-2 months |
| 1.8 Test usability with selected users | • With your team, start testing the toolkit with selected users to ascertain how easy it is to use. It is important to document any result that will inform you if the toolkit is serving its intended purpose. Where there are trade-offs, apply learnings and insights at the appropriate levels of the solution toolkit process flow.  
  **Tip:** For a given day-to-day task, ask users where in the toolkit they would go for the reference information – this is a good way to test navigation, usability and labelling.  
  **Tip:** The Theory of Change is a starting point for brainstorming to identify each solution element  
**Time estimate:** Can take several weeks |
| 1.9 Revise Solution toolkit (if needed) | • While the toolkit will be in existence prior to the transition, it is important to revise the toolkit based on the transition strategy and government/partner chosen for transition, as each user will be different. Additionally, as the toolkit is a living document, the Government or Partner champion may adjust content in line with their internal processes and procedures.  
  **Tip:** Highlight standard processes that are core to the solution, those that cannot be altered and secondary processes that can be altered.  
  **Tip:** Ensure the electronic version of the toolkit is handed over in an editable version to allow for future changes.  
**Time estimate:** Whether internal or external, this is at least 2 weeks of fully dedicated time, so plan for 1-2 months |
## Solution Toolkit RACI

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program Manager/ Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>National Government Champion or Partner Lead</th>
<th>M&amp;E or A&amp;C Team</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/ Funder</th>
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<tbody>
<tr>
<td>1.1 Choose scope for a toolkit release</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.2 Develop content by solution element</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>R/C</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.3 Check content consistency</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.4 Check formatting consistency</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5 Validate content with expert group</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.6 Test content with selected users</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.7 Package toolkit for easy navigation</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.8 Test usability with selected users</td>
<td>A/R</td>
<td>R (if hired)*</td>
<td>C</td>
<td>C</td>
<td>C (pre-transition) A (post-transition)</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.9 Revise Solution Toolkit</td>
<td>A (for transition) I (post transition)</td>
<td>R (for transition) I (post transition)</td>
<td>I</td>
<td>I</td>
<td>A/R (post transition)</td>
<td>I</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
</tbody>
</table>

**Responsible** – identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the Accountable person. R’s can be shared.

**Accountable** – designates the function that is ultimately ‘accountable’ for the completion of the activity, and who can say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

**Consulted** – identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.

**Informed** – identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Example(s)

- SCICA DRC
- CCPF Malawi
- TSS Mozambique
The SCICA toolkit provides a comprehensive guide on how to execute the Supply Chain Investment & Coordination solution

**Why do we need this toolkit?**

This SCICA Toolkit is an appendix to the Supply Chain Investment Review Charter. It answers the question of "How do I implement the charter?"

It allows us to implement the SCICA approach

The SCICA approach focuses on government ownership and leadership in the supply chain, which has several weaknesses including

- Lack of a coherent logistics management system;
- Lack of a system for coordinating investments and interventions in the Supply Chain (SC)

These weaknesses contribute to insufficient investment and inadequate targeting of investments to SC priorities

**Objectives of the SCICA toolkit**

Facilitate the implementation of the elements of the SCICA solution (excluding the consolidation of national priorities)

Facilitate the replication of the SCICA approach by other technical and financial partners in their areas of intervention

---

Example: SCICA DRC
SCICA (Supply Chain Investment Coordination & Advocacy) Solution Description

**Enabling**
- **event-driven, annual**
  - SCICA Charter development & adoption
  - SCICA Charter integration (in the procedures of the Ministry of Health)
  - SCICA target (national and provincial)
  - Stakeholder identification and management SCICA
  - SCICA perception survey

**Managerial**
- **quarterly, semi-annually, monthly**
  - Annual national Reviews
  - Semi-annual national review
  - Annual provincial reviews
  - Quarterly Provincial Reviews
  - Consolidation of National Priorities
  - Future element

**Operational**
- **monthly, weekly, ongoing**
  - SCICA is not an operational approach and does not have Operational elements
The SCICA toolkit provides tools and templates for each key activity.

**Example: SCICA DRC**

<table>
<thead>
<tr>
<th>Application steps</th>
<th>Associated activities</th>
<th>Tool used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation of reviews</td>
<td>Update the maps of stakeholders and interventions in the SC</td>
<td>1_Template for updating the mapping of stakeholders and interventions in the SC</td>
</tr>
<tr>
<td></td>
<td>Define the performance objectives of the SC</td>
<td>2_SC Performance Indicator Sheets_SCICA</td>
</tr>
<tr>
<td></td>
<td>Collect the data</td>
<td>4_Performance framework of the partners’ interventions in the SC_SCICA</td>
</tr>
<tr>
<td></td>
<td>Analyze the performance of the SC</td>
<td>3_Data Collection Plan_SCICA</td>
</tr>
<tr>
<td></td>
<td>Conducting annual reviews</td>
<td>5_SCICA Performance Analysis Framework</td>
</tr>
<tr>
<td></td>
<td>Conducting quarterly reviews</td>
<td>6_Fish Bone_SCICA</td>
</tr>
<tr>
<td></td>
<td>Conducting semi-annual reviews</td>
<td>7_ Reporting template for the results of the SC performance analysis_SCICA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>8_Presentation template of the priorities identified during the annual review of the SC_SCICA</td>
</tr>
<tr>
<td>Annual reviews</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quarterly/ Semi-annual</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The CCPF toolkit provides a comprehensive guide on how to manage and operate the HCBP solution in Malawi.
## Outsourced Transport Solution Description

### 1.0 Enabling
- **1.1 4PL/3PL Service Definition**
- **1.2 4PL/3PL Supply Analysis & Strategy**
- **1.3 4PL/3PL Tendering, Selection & Contracting**
- **1.4 Transport Route Optimisation**

### 2.0 Managerial
- **2.1 4PL/3PL Management**
- **2.2 Logistics Cost Management**

### 3.0 Operational
- **3.1 HF Reporting & Request Sheet**
- **3.2 Distribution Cycle Coordination**
- **3.3 Health Commodity Distribution**
- **3.4 Inventory & Cold Chain Data Collection**
- **3.5 Distribution Evaluation & Transporter Payment**

**Note:** each Solution element has associated Standard Operating Procedures, tools, templates, and roles & responsibilities requirements.

**Example:** TSS Mozambique

These 4 elements are only needed in a 4PL/3PL scenario.

Government Standard Operation Procedures (not in Toolkit)
# Outsourced Transport element descriptions (1/2)

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>TSS SOLUTION ELEMENT</th>
<th>ELEMENT DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENABLING</td>
<td>1.1-4PL/3PL Service Definition</td>
<td>Define the service package (product delivery, data gathering and other activities) for the private sector firm(s) based on needs of regional/provincial facilities and health facilities</td>
</tr>
<tr>
<td></td>
<td>1.2-4PL/3PL Supply Analysis &amp; Strategy</td>
<td>Identify potential 4PL or 3PL service providers; rank suppliers, including strengths and weaknesses; determine strategy in terms of market share by supplier</td>
</tr>
<tr>
<td></td>
<td>1.3-4PL/3PL Tendering, Selection &amp; Contracting</td>
<td>Develop RFP/RFQ documents/Book of Specs, advertise opportunity, run evaluation; select preferred 4PL(s) or 3PL(s) &amp; develop a commercial contract; develop Service Level Agreement (SLA) with 4PL or 3PLs with operational practices and requirements.</td>
</tr>
<tr>
<td></td>
<td>1.4-Transport Route Optimization</td>
<td>Identify the best physical routes between stocking locations and points of use (e.g. health clinics) considering target service levels, transportation costs and lead-times; use actual route performance to improve planned routes</td>
</tr>
<tr>
<td>MANAGERIAL</td>
<td>2.1-4PL/3PL Management</td>
<td>Based on the Service Level Agreement conduct Quarterly Performance Reviews to check performance and agree joint corrective action plans; conduct bi-annual business reviews looking at overall relationship</td>
</tr>
<tr>
<td></td>
<td>2.2-Logistics Cost Management</td>
<td>Identify actual logistics costs (labor, overheads, fuel, etc.) and key cost drivers; develop database of costs in order to evaluate and compare suppliers; define and implement cost improvement actions</td>
</tr>
</tbody>
</table>
## Outsourced Transport element descriptions (2/2)

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>TSS SOLUTION ELEMENT</th>
<th>ELEMENT DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPERATIONAL</td>
<td>3.1-HF Reporting &amp; Request Sheet</td>
<td>Complete all reports (patients vaccinated, patients treated, stock on hand, fridge temperature monitoring, storage issues, provide information on needed volumes per item (Request Sheet))</td>
</tr>
<tr>
<td></td>
<td>3.2-Distribution Cycle Coordination</td>
<td>Secure planned dates for all key milestones (picking, packing, shipping, etc.); conduct pre-distribution meeting to review and agree dates between DPM and transporters; identify and mitigate potential slippages</td>
</tr>
<tr>
<td></td>
<td>3.3-Health Commodity Distribution</td>
<td>Develop an order per Health Facility in Regional/Provincial warehouse; develop a picking list and shipping manifest per Health Facility. Pick and pack each order. Set dates for arrival at each Health Facility; communicate dates to Health Facilities prior to shipment; load vehicles with products, execute and track transportation; provide schedule updates to Health Facilities so they can anticipate arrival of delivery. Manage receipt of items at Health Facility; validate quantities and quality of items; capture proof of delivery; put items into inventory; update inventory records at Health Facility</td>
</tr>
<tr>
<td></td>
<td>3.4-Inventory &amp; Cold Chain Data Collection</td>
<td>Capture the following information: medicine consumption, stock levels, out-of-stock, since when, goods received, expired products, using SELV for vaccines and SIGLUS for medicines; ensure temperature sensors are working; capture temp. data; provide data to support cold chain maintenance activities</td>
</tr>
<tr>
<td></td>
<td>3.5-Distribution Evaluation and Transporter Payment</td>
<td>Conduct post-distribution evaluation meeting with all stakeholders; evaluate performance using agreed KPIs, identify and launch corrective actions; approve transporter payment and make payment</td>
</tr>
</tbody>
</table>
## Analysis of Outsourced Transport toolkit materials

<table>
<thead>
<tr>
<th>Ref #</th>
<th>Current Name</th>
<th>Type</th>
<th>Format</th>
<th>Notes/needed Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>10 Crimes operacionais e inaceit+íveis na TST</td>
<td>Process Description</td>
<td>Word</td>
<td>Ready for scale up</td>
</tr>
<tr>
<td>2</td>
<td>Manual TST</td>
<td>Process Description</td>
<td>Word</td>
<td>Under revision</td>
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<tr>
<td>3</td>
<td>TSS Work Flow PP-LAST</td>
<td>Process Description</td>
<td>PPT</td>
<td>Under revision</td>
</tr>
<tr>
<td>4</td>
<td>TSS Solution Toolkit_16 February 2018</td>
<td>Process Description</td>
<td>PPT</td>
<td>Under revision</td>
</tr>
<tr>
<td>5</td>
<td>ANEXO C-Matriz de Resolucao de Problemas</td>
<td>Tool</td>
<td>Excel</td>
<td>Ready for scale up; not used currently; actions are put in the minutes</td>
</tr>
<tr>
<td>6</td>
<td>Inventory checklist TSS Final 9-12-2015</td>
<td>Tool</td>
<td>Word</td>
<td>Under revision; currently put on Delivery Notes</td>
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<tr>
<td>7</td>
<td>TST-Mapa de bordo</td>
<td>Tool</td>
<td>Word</td>
<td>Ready for scale up</td>
</tr>
<tr>
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<td>TSS Maturity Matrices for 3PL and Health Facilities_Feb 2018</td>
<td>Tool</td>
<td>PPT</td>
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<td>9</td>
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<td>PDF</td>
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<td>Training</td>
<td>PPT</td>
<td>Under revision</td>
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<td>11</td>
<td>Test TSS Training</td>
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<td>Worked Example</td>
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<td>Tool to be developed</td>
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<td>Worked Example</td>
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<td>14</td>
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<td>Worked Example</td>
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<tr>
<td>17</td>
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<td>Excel</td>
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<td>Worked Example</td>
<td>Excel</td>
<td>Tool to be developed</td>
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<tr>
<td>19</td>
<td>3PL 3PL Evaluation Criteria</td>
<td>Tool</td>
<td>Excel</td>
<td>Ready for scale up</td>
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</table>
### Analysis of Outsourced Transport toolkit materials (continued)

<table>
<thead>
<tr>
<th>Enabling</th>
<th>RACI Tools Worked</th>
<th>Example</th>
<th>Methods</th>
<th>Workplan</th>
<th>RACI Tools Worked</th>
<th>Methods</th>
<th>Workplan</th>
<th>RACI Tools Worked</th>
<th>Example</th>
<th>Methods</th>
<th>Workplan</th>
<th>RACI Tools Worked</th>
<th>Methods</th>
<th>Workplan</th>
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<tr>
<td>4PL/3PL Service Definition</td>
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| Tendering & 3PL Selection | | | | | | | | | | | | | 19
| Transporter Contracting | | | | | | | | | | | | | |
| Transport Route Optimization | | | | | | | | | | | | | |
| Logistics Cost Benchmarking | | | | | | | | | | | | | |
| Performance Mgmt and Cont. Improvement | 2,3,4 | 2,3,4 | 5 | 13,18 | | | | | | | | |
| Transporter Mgmt & Payment | 2,3,4 | 2,3,4 | | 12,14,16,17 | | | | | | | | |
| Vehicle Maintenance | | | | | | | | | | | | | |
| Managerial | | | | | | | | | | | | | |
| HF Reporting & Request | 2,3,4 | 2,3,4 | | | 4 | 4 | 10.11 |
| Delivery Cycle Coordination | 2,3,4 | 2,3,4 | | | 4 | 4 | 10.11 |
| Order Creation, Pick & Pack | 2,3,4 | 2,3,4 | | | 4 | 4 | 10.11 |
| Load & Transport | 2,3,4 | 2,3,4 | 1 | | 4 | 4 | 10.11 |
| Shipment receipt at Health Facility | 2,3,4 | 2,3,4 | 7 | | 4 | 4 | 10.11 |
| TSS Data collection | 2,3,4 | 2,3,4 | 6 | | 4 | 4 | 9, 10.11 |
| Cold Chain Temperature Monitoring | 2,3,4 | 2,3,4 | | | 4 | 4 | 10.11 |

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<thead>
<tr>
<th>Operational</th>
<th>RACI Tools Worked</th>
<th>Example</th>
<th>Methods</th>
<th>Workplan</th>
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<th>Methods</th>
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</table>
| Partnership Mgmt | | | | | | | | | | | | | 15
| Implementation Mgmt | | | | | | | | | | | | | 8
| Knowledge Transfer Mgmt | | | | | | | | | | | | | |

**Note:** based on a previous release of the TSS Toolkit

### Analysis of VillageReach documents can help
- Identify where there are gaps by solution element
- Identify where there are gaps in terms of

3 - Ready for scale-up  
2 - Under revision  
1 - To be developed  
0 - From other sources than TSS  
Not applicable
3. Solution Costing guideline
3.0 Solution Costing overview
   • Background on this guideline
   • Solution Costing glossary
   • What is Solution Costing?
   • Timing of Solution Costing activities

3.1 Developing a Solution Costing process
   • Solution Costing process overview
   • Process description standards
   • Solution Costing step descriptions
   • Solution Costing Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)
   • Processes for cost model development, cost estimating and actual costing

3.2 Example(s)
Background on this guideline 1

Why is it important to do Solution Costing?
Solution Costing allows our organization and government/partner to understand on-going operating costs so they can make decisions on solution design and improve costs, thereby enabling the transition of affordable and sustainable solutions. Outputs from Solution Costing are needed to develop long-term financing plans, request funding and to develop budgets.

What questions does this guideline help answer?
• What are the cost elements of the solution?
• How much does the solution cost currently?
• How much will the solution cost to operate on an on-going basis, at a given scale?
Who is responsible? (See link to the Terms of Reference folder for further details on the roles)

- The Solution Cost Analyst is responsible for producing Solution Costing tools, models and approaches with the government/partner and program teams.
- The Program Manager is accountable for Solution Costing activities and ensuring that Solution Costing activities are conducted from solution implementation to transition through the government.
- The Transition Lead, Solution Owner, Program Manager, National Government Champion(s) and/or partner lead(s), and relevant program team members are responsible for ensuring that a Cost focal point is identified to continue to support Solution Costing activities after the transition.

When do you do Solution Costing?

- Solution Costing should be done throughout the different phases of solution development and implementation, from when the Solution Description is approved, to Transition to the Government/Partner. After the transition, Solution Costing will be conducted by the government/partner costing focal point.
Solution Costing glossary 1/3

**Actual costing** – Calculating and analyzing the cost of a solution using actual expenses to determine the *implementation costs* and *recurring costs*, often to compare actual cost vs target costs. The actual costs of the solution can only be calculated and analyzed with operational solution direct cost data. Depending on the cost management of the solution, the actual costs of the solution may come from VR financial systems, partner systems and/or government systems. *Answers the question*: how much does this solution really cost to operate?

**Cost benchmarking** – Calculating and analyzing the costs associated with a solution as part of a given program and comparing these costs to those of similar solutions. Key cost ratios are typically used to compare similar solutions. *Answers the question*: How much does this solution or program cost compared to similar solutions?

**Cost estimating** - Developing an estimate of how much it could cost to implement and operate a solution under certain assumptions of geographical coverage, number of users, technology used, local labor costs, etc. The accuracy of cost estimates depends on the accuracy of the underlying assumptions and cost data. *Answers the question*: How much *could* this program or solution cost?

**Cost focal point** – the person responsible for coordinating collection of cost data, and in some instances analyzing and sharing cost data on both the government/partner side.
Solution Costing glossary 2/3

**Cost model** – A framework, typically in Excel, in which costs are recorded and allocated to specific cost elements and activities, to do cost estimating, actual costing or benchmarking. Using the cost model, implementation costs and/or recurring costs can be developed as an input into other analyses such as Solution Cost Effectiveness, Project Budgeting, Solution Definition, Optimization and Adaptation and Investment Case Development. A given solution cost model will need to be tailored to specific customers/countries. A cost model can be used to develop a budget but is not in itself a budget. The cost model can include economic cost data, meaning that can include both costs reported in financial systems and statements, as well as costs that are not in those systems and statements (example.: subsidized or zero rate calls).

**First solution implementation** – This is when the full solution is first implemented, likely on a small scale, for a limited number of months (<3 months). As there are many contextual issues which may affect implementation, and standard operating procedures are still being refined, costs are highly unlikely to be representative of future periods.

**Full target scope implementation** – This is when the full solution has been implemented for the total target scope. This target scope is likely to either be a sizeable geographical scope (Province, State) or a one thematic area (i.e. One health topic for a whole country). The full target scope may change over time as government strategy and funding evolve.
Solution Costing glossary 3/3

**Implementation costs** – Includes all one-off costs incurred between the decision to implement a solution as part of a program and its implementation to reach full target scope implementation. Cost elements typically include training, preliminary studies, travel, consultants, equipment & supplies, etc. Different one-off costs may occur by program phase (pilot, scale-up, etc.).

**Key cost ratios** – Mathematical ratios that illustrate and summarize a solution’s cost performance. Examples: cost per km for transport and cost per minute of call... Key cost ratios will need to be defined with each Solution Owner and their use may vary by program.

**Recurring costs** – Includes all recurring costs that represent the cost of operations at a target level of scale. Cost elements typically include both Operating Expenses (Personnel, travels, overheads, telecom costs, etc.) and Capital expenses (software licenses, software and hardware upgrades, etc.).

**Stabilized solution implementation** - This is when the full solution has been operating as intended on the same scope for more than 3 months. This can be on full target scope implementation or less than full target scope. At this milestone, standard operating procedures for the solution are defined and consistently applied, with little variation on cycle times or other operational KPIs. Stabilized implementation allow observation of costs without learning cost effects.
Solution Costing has four major components

Each of these components has its inputs, activities and outputs and, as such, can be considered a sub-process of Solution Costing

Develop cost model

**Objective:**
Develop a solution cost model that contains all needed cost elements

**Major activities:**
- Identify Solution cost elements
- Agree on key cost ratios
- Capture Solution main cost drivers

Analyze actual costs

**Objective:**
Calculate and analyze solution actual cost to support cost management and improvement

**Major activities:**
- Develop standard costs
- Gather actual expenses and calculate solution cost
- Analyze solution cost by comparing actual costs vs standard costs

Estimate costs

**Objective:**
Develop a cost estimate that shows a cost projection for solution implementation and operation

**Major activities:**
- Populate cost model with standard costs and key assumptions
- Develop Cost estimates for on an iterative basis

Benchmark costs

**Objective:**
Compare proposed solution with similar solutions to identify improvement opportunities

**Major activities:**
- Take solution cost model populated with standard costs
- Analyze standard costs vs those of a comparable solution
Timing of Solution Costing activities (1/2)

Each solution costing activity is linked to specific events in a program’s evolution.

- M1: Solution Description validated
- M2: First solution implementation
- M3: Stabilized solution implementation
- M4: Full target scope implementation
- M5: Transition to Govt./Partner

COSTING DELIVERABLES

- Cost Model v1
- Actual Cost 1
- Cost Estimate 1
- Ad hoc updates

- Cost Model v2
- Actual Cost 2
- Cost Estimate 2
- Ad hoc updates

- Actual Cost 3
- Cost Estimate 3
- Ad hoc updates

- Actual Cost 4
- Cost Estimate 4
- Ad hoc updates

Minimum required occurrence
A first version of the cost model can be developed from a validated Solution Description (M1). However, this cost model may be limited and not include all cost categories of the solution. Thus, it is essential to have a second version once the solution implementation is stabilized (M3).

The first actual cost should be calculated when solution implementation is stabilized (M3). The second actual cost calculation should be done when solution is at full targeted scope (M4). This is an iterative activity and may also need to be done on an ad hoc basis to answer specific questions posed by government or donors.

An initial estimate can be made at first solution implementation (M2) although it may change significantly. A more solid value can be developed when implementation is stabilized (M3) to support decision-making on expansion. Once a solution is implemented at full target scope (M4), estimates can be updated to support the budgeting of on-going operations.
Solution Costing process
Solution Costing process overview – four sub-processes

SOLUTION DESCRIPTION

- **Cost model development**
  - Provide a framework to develop Actual Costing
  - Identify missing cost elements to refine the Cost Model

- **Actual costing**
  - Provide a framework to perform Cost Estimating
  - Provide standard costs to inform Cost estimating

- **Cost estimating**
  - Provide standard costs to support cost comparisons

- **Cost benchmarking**

**Note:** This version of the guideline does not provide a process description for “Cost benchmarking”. It will be developed when we have more experience in cost benchmarking.
Process description standards

Definitions

- **Start or End of a process**: Each process flow will begin and end with this symbol.

- **Process Step**: Description of application/system step or manual step within the process will be described in this symbol.

- **Document**: This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step.

- **Incoming Link**: Symbol will be used if the process is a continuation of another process.

- **Outgoing Link**: Symbol will be used if the process continues to additional processes or sub-processes.

- **Decision**: Symbol will be used if alternative flows exist depending on a decision.
Process for developing a Cost Model

1. Define the cost model development plan
2. Identify solution relevant cost elements
3. Define start-up and recurring costs elements
4. Organize solution cost elements into main cost categories
5. Capture solution main cost drivers
6. Assign a cost driver to each cost element
7. Agree on key cost ratios
8. Review the cost model
9. Validate the cost model

Solution Toolkit done

Actual Cost data
• M&E data
• Program data

Solution processes, methods and tools

START

Solution Toolkit

END

Need updates to reflect actual changes/costs?

Yes

No

Go to 1.2

Solution Cost Model done

Draft cost model

Solution assumptions and ground rules

Solution Cost Model

done

• Cost Model Development
• Cost Estimating
• Cost Benchmarking
## Cost model development step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
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</thead>
</table>
| **1.1 Define the cost model development plan** | • Identify costing model team members. The cost model team will include the Program Manager/Solution Owner, a Finance team member, a M&E or REL team member, the Program team and the Solution Cost Analyst  
• Define the scope of the cost model: Agree on the cost model to be developed, schedule, roles and responsibilities |
| **1.2 Identify solution relevant cost elements** | • Using Solution Toolkit and/or solution actual cost, identify solution cost elements required to develop, deploy and sustain a solution  
**Tip:** For cost model v1, refer to the work breakdown structure included in the Solution Description and relevant process, tools and methods from the Solution Toolkit  
For cost model v2, please refer to the solution actual cost |
| **1.3 Define start-up and recurring costs elements** | • Determine which of the cost elements are start-up and recurring cost elements  
**Tip:** Capital cost elements are generally start-up cost elements |
| **1.4 Organize solution cost elements into main cost categories** | • Group cost elements into main cost categories or clusters based on common characteristics or features |
| **1.5 Capture solution main cost drivers** | • Using M&E and programmatic data, set the context for the scale in which the solution will be/is implemented and operate through variables. For HCBP, variables can be the demographics, mobile users, facility size, ...  
• Identify main solution performance indicators  
• Determine the characteristics of variables and main solution performance indicators  
• Make assumptions and ground rules about how those factors drive costs  
• If needed, perform statistical analysis to verify your assumptions  
• Determine which assumptions and ground rules are cost drivers  
• Validate your cost drivers  
• Document your process to capture cost drivers |
## Cost model development step descriptions

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<thead>
<tr>
<th>STEP NAME</th>
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<tbody>
<tr>
<td>1.6 Assign a cost driver to each cost element</td>
<td>• Determine how each cost driver affect each cost element</td>
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</table>
| 1.7 Agree on key cost ratios | • Using M&E data and programmatic data, agree on key cost ratios with Solution Owner and Program team  
  **Tip:** *Key cost ratio should help you to easily monitor the cost of your solution over time and define your standard cost.* |
| 1.8 Review the cost model | • Present the cost model to your key stakeholders  
  • Focus in a logical manner on the largest cost elements and cost drivers  
  **Tip:** *Cost model will be reviewed after every actual costing to make sure that all solution cost elements are considered* |
| 1.9 Validate the cost model | • Validate the cost model by the Solution Owner and the Program team |
## Cost model development RACI

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<tr>
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<tr>
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**Responsibility** – identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the **Accountable** person. R’s can be shared.

**Accountability** – designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

**Consulted** – identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.

**Informed** – identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
**Process for Actual Costing**

1. **Gather data on actual expenses from Financial systems**
2. **Process data**
3. **Organize data based on cost elements**
4. **Consolidate the total cost of each cost category**
5. **Sum up the total cost of all cost categories**
6. **Review the actual cost**
7. **Validate the actual cost**

**M&E data**

- **Solution start-up and recurring costs**
- **Solution standard costs**

- Need updates to reflect actual changes?
  - **Yes**
    - Go to 1.1
  - **No**
    - 1.7 Validate the actual cost

**Solution Actual Cost done**

- **Actual Costing**
- **Cost Estimating**

**START**

**Solution Cost Model done**

**END**
### Actual Costing step descriptions

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</table>
| **1.1 Gather data on actual expenses from Financial systems**            | • Create a data collection plan with emphasis on collecting cost data from financial systems  
• If the solution is co-managed with other partners, be sure to collect their cost data as well.  
• Investigate possible data sources  
  **Tip**: For our organization’s cost data, ask for charge codes used to easily gather Solution financial expenses |
| **1.2 Process data**                                                     | • Clean your data to make sure your cost data is complete, correct, relevant and free of errors and outliers                                                                                                       |
| **1.3 Organize data based on cost elements**                             | • Using the cost model, organize your cost data  
• Assign cost information to each cost element                                                                                                           |
| **1.4 Consolidate the total cost of each cost category**                 | • Add the cost elements according to their cost categories                                                                                                                                                    |
| **1.5 Sum up the total cost of all cost categories**                    | • Sum up the total cost of all cost categories to obtain solution start-up and recurring cost  
• Using performance indicators, develop solution standard cost                                                                                             |
| **1.6 Review the actual cost**                                           | • Present solution actual cost to stakeholders  
• Focus on standard cost, and if possible, its evolution  
• If a change is needed to reflect actual changes/costs, return to section 1.1.                                                                           |
| **1.7 Validate the actual cost**                                         | • Validate the actual cost by the Program Manager and Program team for internal and external use                                                                                                               |
## Actual Costing RACI

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**Informed**—identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
1.1 Define estimate’s objectives
1.2 Define the estimating plan
1.3a Determine solution design choices and scope
1.3b Agree on ground rules and assumptions
1.4 Gather data of cost elements
1.5 Conduct data normalization and analyses
1.6 Develop draft cost estimate
1.7 Review the cost estimate
1.8 Validate and document the cost estimate

Solution Cost Model done
Solution Toolkit
Solution actual cost

Need updates to reflect actual costs/changes?
Yes
No

Draft cost estimate
Solution Cost Estimate done

• Solution Cost Model
• Transition Strategy
## Cost Estimating (before Transition start) step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Define estimate’s objectives</td>
<td>• Determine estimate’s objectives and overall scope. The purpose of estimates depends on the solution development stage. Estimates can be developed to support scale, increase efficiency or transition decisions.</td>
</tr>
<tr>
<td>1.2 Define the estimating plan</td>
<td>• Determine the cost estimating team members. The cost estimating plan includes the Program Manager/Solution Owner, a Finance team member, a M&amp;E or REL team member and the Solution Cost Analyst • Outline the cost estimating technique • Develop the estimate workplan</td>
</tr>
<tr>
<td>1.3a Determine solution design choices and scope</td>
<td>• Using the Solution Description, identify solution objectives and performance characteristics, any technology implications, deployment and development schedule and strategy  <strong>Tip:</strong> Use the Solution Description to facilitate these conversations</td>
</tr>
<tr>
<td>1.3b Agree on ground rules and assumptions</td>
<td>• Clearly define what the estimate includes and excludes • Identify specific assumptions, such as the estimate’s base year, including life cycle • Identify any budget constraints, inflation assumptions, and travel costs • Specify what cost element will be provided in kind by government or partner • Determine technology refresh cycle, technology assumptions, and new technology to be integrated to the Solution  <strong>Tip:</strong> Consider revising the Solution Description</td>
</tr>
<tr>
<td>1.4 Gather data of cost elements</td>
<td>• Create a data collection plan with emphasis on collecting current and relevant M&amp;E, programmatic and cost data • Investigate possible data sources using a data mapping tracker</td>
</tr>
<tr>
<td>1.5 Conduct data normalization and analyses</td>
<td>• Make your cost data credible, consistent and comparable by adjusting for cost accounting, inflation and learning • Test sensitivity of cost categories to variations in assumptions and ground rules • Conduct uncertainty analysis by defining a cost tolerance: Provide an expected cost range for each cost element</td>
</tr>
</tbody>
</table>
## Cost Estimating (before Transition start) step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.6 Develop draft cost estimate    | • Express costs in constant year dollars  
• Time-phase the outputs by spreading costs in the years they are expected to occur, based on the program lifecycle  
• Validate the draft cost estimate by looking for errors like double counting or omitted costs,                                                                                     |
| 1.7 Review the cost estimate       | • Present draft cost estimate to the estimating team  
• If there is a need to change, go back to 1.3. Update the cost estimate as more data become available or as changes occur to fit government/partner constraint                                                                 |
| 1.8 Validate and document the cost estimate | • Get the approval of Program Manager  
• Document the cost estimate process                                                                                                                                                                |
## Cost Estimating RACI (before Transition start)

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program Manager/Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>Solutions Cost Analyst</th>
<th>Cost Focal Point</th>
<th>National Government Champion or Partner Lead</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/Funder</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Define estimate’s objectives</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.2 Define the estimating plan</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.3a Determine solution design choices and scope</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.3b Agree on ground rules and assumptions</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.4 Gather data of cost elements</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.5 Conduct data normalization and analyses</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.6 Develop draft cost estimate</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.7 Review the cost estimate</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>1.8 Validate and document the cost estimate</td>
<td>A/C</td>
<td>n/a</td>
<td>n/a</td>
<td>C</td>
<td>R</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
</tbody>
</table>

**Responsible**—identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the Accountable person. R’s can be shared.

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Process for Cost Estimating (during Transition)

1. Define the estimating plan

1.1 Define the estimating plan

1.2 Review solution actual cost

1.3 Review and agree on ground rules and cost elements

1.4 Gather cost information of cost elements

1.5 Conduct data normalization and analyses

1.6 Develop draft cost estimate

1.7 Review the cost estimate

1.8 Validate cost estimate

Solution cost estimate for Transition

Solution Cost Estimate done

See RACI for Roles & Responsibilities

Need updates to reflect actual costs/changes?

Agree on solution actual cost?

No

Yes

Go to 1.2

Yes

No

START

Transition Strategy

Solution actual cost

Transition Strategy done

Yes

No

Agree on solution actual cost?
# Cost estimating (during Transition) step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| **1.1 Define the estimating plan** | • Identify cost estimating team members and develop the estimate workplan. The estimating team will include the Program manager, the Transition Lead, Solution Owner, National Government Champion(s) or partner lead(s), Government or partner Cost focal point and our organization Solutions Cost Analyst  
• Define the estimation time frame  
  **Tip:** a time frame of less than 5 years is recommended |
| **1.2 Review solution actual cost** | • With estimating team, go through the actual costs in the cost model.  
• After presenting the solution actual cost, focus on the Solution standard costs.  
• Agree with stakeholders on solution standard cost and actual cost  
• Identify and document any government or partner financial constraint as input to the cost estimate  
  **Tip:** *Use this opportunity to revisit the Solution Description validated by the government*  
  *Use the cost model to show how solution elements affect solution cost* |
| **1.3 Review and agree on ground rules and cost elements** | • If stakeholders don’t agree on standard costs and overall costs, revisit with the Solution Cost analyst the ground rules and cost elements based on input from 1.2. For example, government may choose to replace a workstation after 7 years rather than 5 years, as defined in the cost model. Partner can choose to use only the solar panel and not opt for a generator and electricity  
• Document any changes to the cost model agreed with the Cost focal point  
  **Tip:** *Use the cost model to facilitate the work* |
| **1.4 Gather cost information of cost elements** | • Collect information for all cost elements added to the *cost model* after working with the cost focal point |
| **1.5 Conduct data normalization and analyses** | • Make your cost data credible, consistent and comparable by adjusting for cost accounting, inflation and learning  
• Test sensitivity of cost categories to variations in assumptions and ground rules  
• Conduct uncertainty analysis by defining a cost tolerance: Provide an expected cost range for each cost element |
Cost estimating (during Transition) step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| **1.6 Develop draft Cost estimate** | • With the Cost focal point, prepare the cost estimate over the time-frame considering the government or partner financial constraint  
• Express costs in constant year dollars  
• Compare standard cost from cost estimate to standard cost from solution actual cost  
• Document draft cost estimate |
| **1.7 Review the cost estimate and validate cost estimate** | • Present draft cost estimate to the estimating team for approval  
• Explain differences in cost estimate vs solution actual cost  
• Validate cost estimate  
• If there is a need to change, go back to 1.2. Update the cost estimate as more data become available or as changes occur to fit government/partner constraint |
## Cost estimating (during Transition) RACI

<table>
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<tr>
<th>PROCESS STEP</th>
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<td>R</td>
<td>R</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.2 Review Solution actual cost</td>
<td>R</td>
<td>A/R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.3 Review and agree on ground rules and cost elements</td>
<td>R</td>
<td>A/C</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>C</td>
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<td>C</td>
<td>C</td>
<td>I</td>
</tr>
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<td>C</td>
<td>A</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>I</td>
<td>I</td>
<td>I</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
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<td>C</td>
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<td>R</td>
<td>C</td>
<td>R</td>
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</tr>
<tr>
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<td>C</td>
<td>A</td>
<td>I</td>
<td>I</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>I</td>
<td>I</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.7 Review the cost estimate and validate cost estimate</td>
<td>A</td>
<td>R</td>
<td>C</td>
<td>I</td>
<td>R</td>
<td>R</td>
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Example(s)

- CCPF Malawi
- eLMIS
## CCPF cost model 1/2

### Example: CCPF Malawi

#### Example for Cost Model development (steps 1.2-1.6)

<table>
<thead>
<tr>
<th><strong>Cost Category: Personnel</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Category Description</strong></td>
<td><strong>Cost of personnel required to operate CCPF</strong></td>
</tr>
<tr>
<td>Cost elements included</td>
<td></td>
</tr>
<tr>
<td>Start-up cost elements</td>
<td>• NA</td>
</tr>
</tbody>
</table>
| Recurring cost elements | • Direct staff: State Registered Nurse, Registered Nurse, Nurse Midwife Technician, Nutritionist, Clerks/HAS, Medical Assistants and Hotline Doctors  
• Indirect staff: M&E officer, Outreach Coordinator and ICT officer |
| Key Cost drivers |  |
| Hotline call volume | Call volume represents the demand for the solution and is the primary cost driver for an HCBP. The higher the demand, the higher the start-up and operating costs of the solution |
| Service level | The percentage of Hotline Call volume answered |
| Other variables | Salary and allowance structure |
| High level methodology |  |
| | • Identify direct staff to handle hotline call volume based on the Service Level  
• Determine indirect staff  
• Determine salary and allowance of each cost element |
| Key assumptions |  |
| | • On overall, 52% of calls are handled on the IVR and 48% on the hotline by health workers (2020)  
• The Service Level is less than 20% (2020)  
• Average monthly call volume is 234,104 |
Example for Cost Model development (step 1.9)
From 2010 to 2019, donors, through VillageReach, spent $8,118,660 in CCPF. This includes capital expenditure and on-going operating costs. Major events such as the relocation of the CCPF site from Balaka to Lilongwe (2017) and the change of technology from Baobab to Viamo, involving the upgrading of health workers' equipment (2018-2019), led to significant capital expenditure between 2016 and 2019. The evolution of costs from 2010-2019 was driven by the expansion of geographic scope and health topics covered. As CCPF expanded to additional districts and included new health topics, costs have evolved to meet the increased call volume.
CCPF+ Cost estimating

CCPF+ cost estimate 2022-2026

<table>
<thead>
<tr>
<th>Program Cost</th>
<th>Total Program Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Year_1</strong></td>
<td><strong>Year_2</strong></td>
</tr>
<tr>
<td>Capital expenditure</td>
<td>$344,086.14</td>
</tr>
<tr>
<td>Equipment</td>
<td>$58,925.73</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>$250,644.84</td>
</tr>
<tr>
<td>Recruitment &amp; Training</td>
<td>$34,515.56</td>
</tr>
<tr>
<td>Operational expenditure</td>
<td>$558,030.26</td>
</tr>
<tr>
<td>Personnel Direct Staff</td>
<td>$336,226.39</td>
</tr>
<tr>
<td>Personnel Indirect Staff</td>
<td>$12,114.07</td>
</tr>
<tr>
<td>Training</td>
<td>$26,898.11</td>
</tr>
<tr>
<td>Office expenses</td>
<td>$53,731.56</td>
</tr>
<tr>
<td>Technology</td>
<td>$29,031.24</td>
</tr>
<tr>
<td>Telecom</td>
<td>$23,354.90</td>
</tr>
<tr>
<td>Depreciation</td>
<td>$69,770.88</td>
</tr>
<tr>
<td>Turn-Over</td>
<td>$6,903.11</td>
</tr>
<tr>
<td><strong>Total Cost</strong></td>
<td>$902,116.40</td>
</tr>
</tbody>
</table>

Example: CCPF Malawi

Example for **Cost Estimating (step 1.8)**

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timeframe</td>
<td>2022-2026</td>
</tr>
<tr>
<td>Technologies/channels</td>
<td>IVR, Hotline, Outbound (Call out) and WhatsApp (do not include WhatsApp software set-up and ongoing cost)</td>
</tr>
<tr>
<td>Operations Management</td>
<td>In-house</td>
</tr>
<tr>
<td>SLA targeted</td>
<td>50%</td>
</tr>
<tr>
<td>Personnel required</td>
<td>61 (58 as direct and 3 as indirect)</td>
</tr>
<tr>
<td>2026 Call volume forecast</td>
<td>2,309,862</td>
</tr>
</tbody>
</table>

CCPF standard cost estimate

Standard Cost per call

![Graph showing cost per call from 2022 to 2026](transitioningweli-integrated-guidelines_nov2023)
**eLMIS Cost Model**

**COUNTRY CONTEXT**

**Example for Cost Model development (steps 1.2-1.6)**

**Example: eLMIS**

<table>
<thead>
<tr>
<th>Scope</th>
<th>User input</th>
<th>Notes and Guidelines</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Please enter the country name</td>
<td></td>
<td>Please enter the name of the country</td>
</tr>
<tr>
<td>2. Please indicate the type(s) of the lowest level facilities where eLMIS will be used</td>
<td></td>
<td>Provide the type of facilities that will use the solution directly for regular operations, excluding those that use only for supervision or monitoring or where manual data is recorded.</td>
</tr>
<tr>
<td>3. Please enter the number of () where eLMIS will be deployed</td>
<td></td>
<td>Based on above (2), please provide the number of facilities</td>
</tr>
<tr>
<td>4. Please enter the average number of users per</td>
<td></td>
<td>Based on (2), please provide the average number of user per facility</td>
</tr>
<tr>
<td>5. Please enter number of types of facilities to be covered</td>
<td></td>
<td>Ex. Central/referral hospitals, health posts, health facilities, district warehouses</td>
</tr>
<tr>
<td>6. Please indicate the names of facilities/levels above the lowest level where eLMIS will be used</td>
<td></td>
<td>Please provide name of all levels above the lowest level (2) that will have access to the solution. This includes levels that may use the solution for supervision or monitoring purposes.</td>
</tr>
</tbody>
</table>
### Model Output

<table>
<thead>
<tr>
<th>Category</th>
<th>Start-up costs</th>
<th>On-going costs</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Programmatic support</td>
<td>$8,583.3</td>
<td>$3,121.2</td>
<td>$11,704.5</td>
</tr>
<tr>
<td>Software Development</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Governance</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Training</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Infrastructure and Equipment</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Supportive Supervision and Helpdesk</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Data and Voice</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Software Subscription and Licensing</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
<tr>
<td>Data Hosting</td>
<td>$8,583.3</td>
<td>$1,599</td>
<td>$10,182.3</td>
</tr>
</tbody>
</table>

**Example: eLMIS**

**Example for Cost Model development (steps 1.2-1.6)**

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Transitioning Well Integrated Guidelines_November 2023
4. Transition **Strategy** guideline
Before proceeding to a Transition Strategy, you should complete the *Transition Strategy Go/No-Go Checklist*

The purpose of this tool is to help teams make pragmatic decisions on whether your program (the country specific implementation of a given solution) should consider being transitioned (moving to the Transition Strategy stage) for ongoing sustainability at this time, transitioned later, or thoughtfully closed out.

It serves three main purposes:

- Helping decide whether your program is ready to start work on a Transition Strategy
- Identifying areas that need improvement before a transition would be viable
- Helping decide if it is best to thoughtfully close out

Transitioning Well Transition Strategy Go/No-Go

Should your program develop a Transition Strategy for ongoing sustainability or thoughtfully closed out?

The purpose of this tool is to help teams make pragmatic decisions on whether your program (the country specific implementation of a given solution) should consider being transitioned (moving to the Transition Strategy stage) for ongoing sustainability at this time, transitioned later, or thoughtfully closed out. It serves three main purposes:

1. Helping decide whether your program is ready to go into the Transition Strategy stage
2. Identifying areas that need improvement before a transition would be viable
3. Helping decide if it is best to thoughtfully close out

About this tool

**WHO SHOULD USE THIS CHECKLIST?**
A Program Manager should use this tool in close collaboration with the Transitioning Well Lead (if different from the Program Manager) and Coach.

**WHEN SHOULD THEY USE THIS CHECKLIST?**
A Program Manager should use this checklist if any of the following are true.

*Click link here*
Contents

4.0 Transition Strategy overview
   • Background on this guideline
   • What is a Transition Strategy
   • Transitioning Strategy glossary
   • Needs addressed by the Transition Strategy

4.1 Developing a Transition Strategy
   • Overall guidance on how to develop the strategy
   • Process description standards
   • Process for developing a Transition Strategy
   • Transition Strategy step descriptions
   • Transition Strategy Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)

4.2 Example(s)
Why is it important to have a Transition Strategy?
A Transition Strategy helps our organization and the government/partner come to an agreement on overall vision and target end state in order to guide the transition. It also enables identification of potential obstacles/risks.

What question(s) does this guideline answer?
- How does the team and government/partner decide upon the overall goal and vision of the transition?
- What are the key questions that need to be asked?
- What steps should be followed to gain a shared and documented consensus on the goal and vision for transition?
Who is responsible? (See link to the Terms of Reference folder for further details on the roles)

• The Transition Lead is responsible for producing the Transition Strategy with the government/partner and program teams.

• The Transition Coach is responsible for guiding the Transition Lead through the Transition Strategy process, including helping by preparing facilitation techniques and nuanced guidance on how to work with the government/partner.

• The Program Manager/Solution Owner is accountable for the Transition Strategy and should ensure a Transition Lead is appointed prior to the Transition Strategy development process.

• The Transition Lead, Solution Owner, National Government Champion(s) or partner lead(s), and relevant program team members are responsible for developing, finalizing and signing the Transition Strategy in the form of a Memorandum of Understanding or other contractual agreement.

When do you do a Transition Strategy?

A Transition Strategy should be done AFTER an impact assessment has been completed or there is other proven evidence that the solution is impactful. Conversations about transitioning and setting up for transition should occur early in implementation but a full strategy would not be developed until the solution is proven impactful. The strategy may need to be revised during the transition process.
What is a Transition Strategy?

The Transition Strategy outlines, at a high level, the overall goal and vision of the transition.

It helps to align the program team and receiving partner/government on the outcome of the transition and the main steps that will take to get there.

A transition strategy can be filled out in a template and covers five main topics:
Transition Strategy glossary

**Funder** – an organization that provides the ongoing financial resources for the solution, if it is not the same as the owner

**Manager** – an organization that provides the oversight and direction needed for proper functioning of a solution’s operational activities. Managers are accountable for “Managerial” solution elements.

**Operator** – an organization that does the day-to-day or weekly activities associated with the solution. Operators are accountable for “Operational” solution elements.

**Owner** – the owner of a solution has the ultimate decision-making on what constitutes the right solution to meet the public health need. It is the government for a public health solution.

**Strategy alignment workshop** – event that brings together organization receiving transfer (government or partner) to discuss and agree answers to the key questions raised in the Transition Strategy template

**Transition Memorandum of Understand (MoU)** - formal MoU that lays out the agreement between the originating party and the receiving party of strategic goals, timing and the mutual roles & responsibilities for the transition. It is based on the completed Transition Strategy template.

**Transition Strategy template** – a tool used to capture answers to key strategic questions covering Government or Partner Strategy, Scope and Timing, Solution Design, Organization, Resources, Major Risks and Strategy Review Cycle. Once completed and approved, the template becomes the Transition Strategy.
Needs addressed by the Transition Strategy

The Transition Strategy focuses on five key strategic categories and associated questions, and not the «how» of the transition, which is addressed by the Transition Plan.

The answers to the questions represent the target end-state and constitute the Transition Strategy.

- **GOVERNMENT OR PARTNER STRATEGY**: Solution alignment with government or partner strategies.
- **SOLUTION IMPACT AND DESIGN**: Targeted impact and how the solution design enables sustained impact.
- **ORGANIZATION**: Roles & responsibilities for the operation of the solution after transition.
- **RESOURCES**: Funding approaches and sources and the availability of key human resources for the post-transition period.
- **SCOPE AND TIMING**: Expected solution geographical coverage at the point of transition and target dates for transition.
## Transition Strategy template (1/3)

<table>
<thead>
<tr>
<th>Category</th>
<th>Question</th>
<th>Guidance</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>GOVERNMENT OR PARTNER STRATEGY</strong></td>
<td>How does the solution support government/partner strategy?</td>
<td>Identify specific government texts that endorse the intent or approach addressed by the solution</td>
<td></td>
</tr>
<tr>
<td><strong>SOLUTION IMPACT AND DESIGN</strong></td>
<td>What are your target outcomes?</td>
<td>Document the most critical intermediate outcome to be achieved post-transition and adjust solution description accordingly</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Which solution elements are essential to a sustained impact?</td>
<td>Indicate which solution elements are essential to achieve impact and whether any elements are optional</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Will impact and solution fidelity be measured post-transition?</td>
<td>Document the commitment to measure solution fidelity and impact post-transition</td>
<td></td>
</tr>
<tr>
<td><strong>ORGANIZATION</strong></td>
<td>For each element of the solution who will be responsible (government, private sector, or social sector)?</td>
<td>Indicate who will be responsible for each solution element. Will government/partner be “Owner”, “Manager” and “Operator” for all elements? For which elements will a partner be “Manager” or “Operator”?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Who is responsible for future scale up (if solution is not at scale at time of transition)?</td>
<td>Indicate which type or organization (government, social sector, etc.) will be responsible for scale-up</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Who is the solution owner (individual, department)?</td>
<td>Indicate which department and/or individual will be responsible for on-going management</td>
<td></td>
</tr>
</tbody>
</table>
## Transition Strategy template (2/3)

<table>
<thead>
<tr>
<th>Category</th>
<th>Question</th>
<th>Guidance</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>RESOURCES</td>
<td>Which government agency/partner department will be responsible for funding each element of the solution in the long-term? Will budget be managed at a national, provincial, or district level?</td>
<td>Provide the name of the government agency and/or department/partner department that will be responsible for securing funding or each element of the solution post-transition. Indicate whether this agency and/or department are at the national, provincial or district level</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Is it new/re-allocation of funding?</td>
<td>Indicate whether the on-going funding of the solution post-transition is expected to require new funding or be funded through a reallocation of existing budgets</td>
<td></td>
</tr>
<tr>
<td></td>
<td>For any element of the solution that does not have an existing cadre/department, is there an intent to develop the cadre/department?</td>
<td>Indicate government/partner willingness to develop new positions as part of the solution transition</td>
<td></td>
</tr>
</tbody>
</table>
## Transition Strategy template (3/3)

<table>
<thead>
<tr>
<th>Category</th>
<th>Question</th>
<th>Guidance</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>SCOPE AND TIMING</td>
<td>What is the target date for transition?</td>
<td>Document by which date the transition should be completed and what are the key assumptions behind this date</td>
<td></td>
</tr>
<tr>
<td></td>
<td>What is the full scope of application of the solution?</td>
<td>Indicate the full scope (geographical, service or commodity) of application both pre and post transition and the scope to be achieved at the point of transition</td>
<td></td>
</tr>
<tr>
<td>STRATEGY REVIEW CYCLE</td>
<td>How frequently should the strategy be reviewed and when should the next review occur?</td>
<td>Indicate how frequently this Transition Strategy should be reviewed and the next review date</td>
<td></td>
</tr>
<tr>
<td><strong>SIGNATURES:</strong> xxxxx</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Developing a Transition Strategy
Overall guidance on how to develop the strategy

Who needs to be involved?

- To develop a Transition Strategy, you will need to achieve alignment across all stakeholders (program team members, government/partner organization, etc.) It’s not enough just to fill in the template! More detail is outlined in the following slides

When should I start a transition strategy?

- Once your Solution Description is done and impact impact has been demonstrated, work with your program team and Transition Coach and target receiving government/partner to start developing the Transition Strategy. While having the Solution Toolkit ready would be ideal, it is not a pre-requisite to start the Transition Strategy.

How do you fill out the Transition Strategy template and conduct a Transition Strategy workshop or series of meetings?

- This is up to each program team, their partners and coach – but you should develop the strategy with the receiving government/partner, ideally in a meeting or workshop format, the number of days or ways it is conducted can vary. The most important thing is that you make it a transparent and collaborative process to come to a shared understanding and vision!
Process description standards

Definitions

- **Start or End of a process:** Each process flow will begin and end with this symbol.
- **Process Step:** Description of application/system step or manual step within the process will be described in this symbol.
- **Document:** This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step.
- **Incoming Link:** Symbol will be used if the process is a continuation of another process.
- **Outgoing Link:** Symbol will be used if the process continues to an additional processes or sub-processes.
- **Decision:** Symbol will be used if alternative flows exist depending on a decision.
Process for developing a Transition Strategy

1. **Start**
   - Solution Toolkit
   - Solution Costing

2. **Solution Toolkit and Solution Costing done**
   - 1.1 Initiate Transition Strategy (TS) development
   - 1.2 Complete draft TS and organize workshop
   - 1.3 Conduct Stakeholder Alignment workshop
   - 1.4 Finalize Transition Strategy and develop MoU(s)
   - 1.5 Sign and publish MoU(s)

3. **Decision Points**
   - OK to proceed on workshop? Yes -> Go to 1.3, No -> Go to 1.1
   - OK to proceed MoU? Yes -> MoU, OK? No -> Go to 1.2
   - MoU, OK? Yes -> END, No -> Go to 1.3

4. **End**
   - MoU done

See RACI for Roles & Responsibilities

Transitioning Well Integrated Guidelines_November 2023
## Transition Strategy step descriptions

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.1 Initiate Transition Strategy development | • Prepare by gathering key inputs from government and/or partners, including government strategy, baseline studies/impact studies on the solution, private sector strategies, MoH organizational charts, budgeting responsibilities and relevant budget lines.  
• Identify all key stakeholders that need to be involved in Transition Strategy development.  
**Time estimate:** A month to several months |
| 1.2 Complete draft Transition Strategy and organize workshop | • Consult stakeholders at both high-level and mid-level positions and fill in the Transition Strategy template.  
**Tip:** Good involvement of mid-level MoH managers can mitigate effects of turnover during the transition.  
• Agree with government/partner the need for a strategy alignment workshop or meeting to develop the Transition Strategy.  
• Transition Lead to work with Transition Coach to organize the Transition Strategy workshop including Workshop Agenda, Facilitation techniques and frameworks to use to answer the Transition Strategy template questions.  
**Time estimate:** A month to several months of planning depending on government/partner availability to plan (which is needed) |
| 1.3 Conduct Stakeholder Alignment workshop | • Conduct a *Stakeholder Alignment Workshop* to present the draft Transition Strategy template and discuss high level implications for different stakeholders.  
• Work together to agree answers to the questions on the Transition Strategy Template.  
• Conduct a risk assessment. Potentially use questions such as “what might go wrong”.  
**Tip:** Use a question such as “It is 5 years from now and the solution isn’t providing the impact. What could we have done differently—what’s gone wrong?”  
• Identify any open issues that need to be resolved to achieve validation by government.  
• Agree the next steps and plan to reach a Memorandum of Understanding (MoU).  
**Time estimate:** A full day to several days to align- plan accordingly and build in extra days as needed |
| 1.4 Finalize Transition Strategy and develop MoU(s) | • Close out any open issues  
• Gain government agreement to develop a Transition MoU between government/partner and key stakeholders that will guide future steps including the Transition Readiness Checklist and Transition Plan development.  
**Tip:** Reaching a MoU with government can take considerable time so start this as early as feasible.  
**Time estimate:** A month to several months- finalize and develop MOUs in a 2 weeks but can take months for official revisions |
| 1.5 Sign and publish MoU(s) | • Develop the MoU with government as well as any additional Transition MoUs needed between partners.  
**Time estimate:** Can take months to get approved through Ministries of Health, Justice and Treasury (or equivalent) or partner boards |
## Transition Strategy RACI

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program Manager/ Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>National Government Champion or Partner Lead</th>
<th>M&amp;E or REL Team</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/ Funder</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Initiate Transition Strategy development</td>
<td>R</td>
<td>A/R</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>C</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.2 Complete draft Transition Strategy and organize workshop</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>C</td>
<td>C</td>
<td>A</td>
<td>C</td>
<td>I</td>
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<tr>
<td>1.3 Conduct Stakeholder Alignment workshop</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>R</td>
<td>C</td>
<td>A</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.4 Finalize Transition Strategy and develop MoU(s)</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>C</td>
<td>C</td>
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<td>I</td>
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<tr>
<td>1.5 Sign and publish MoU(s)</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R/A</td>
<td>I</td>
<td>C</td>
<td>A</td>
<td>C</td>
<td>I</td>
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</tbody>
</table>

*Responsible*—identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the *Accountable* person. R’s can be shared.

*Accountable*—designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

*Consulted*—identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.

*Informed*—identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Transition Strategy key resources

Transition Strategy Template Link in Word

https://www.dropbox.com/s/aral4quws19i533/Transition%20Strategy%20Template%202019_December.docx?dl=0

Stakeholder Alignment workshop materials

The Journey Tool provides a framework for conversations between all key stakeholders (government, donor, technical partners), at any point during a scaling journey with government. It is best used by a coalition of stakeholders committed to these concepts, and an intermediary may be helpful in supporting this process.

The Stakeholder Alignment Workshop aims to help governments, social impact organizations, and donors reach alignment on what they are trying to achieve with the embedding of a solution into public systems and define actionable ways of working to achieve those goals and mitigating the challenges they foresee. The Stakeholder Alignment Workshop helps teams move forward on their journey, wherever they might be.
Example(s)

• LMSC Mozambique
• CCPF Malawi
### Solution – Outsourced Transport

**Nota:** cada elemento da solução está associado a procedimentos operacionais padrão, ferramentas, modelos e requisitos de funções e responsabilidades.

<table>
<thead>
<tr>
<th>1.0 Habilitação</th>
<th>1.1 4PL/3PL Definição do serviço</th>
<th>1.2 4PL/3PL Análise e estratégia de abastecimento</th>
<th>1.3 4PL/3PL Concurso, seleção e Contratação</th>
<th>1.4 Otimização de Rotas de Transporte</th>
<th>1.5 Verificação do desempenho</th>
</tr>
</thead>
<tbody>
<tr>
<td>baseada em eventos</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>2.0 Gestão</th>
<th>2.1 Gestão dos 4PL/3PL</th>
<th>2.2 Gestão dos custos de logística</th>
<th>2.3 Supervisão</th>
</tr>
</thead>
<tbody>
<tr>
<td>trimestral, mensal</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3.0 Operacional</th>
<th>3.1 Coordenação Do ciclo de distribuição</th>
<th>3.2 Distribuição de Produtos de saúde</th>
<th>3.3 Recolha dados Inventário e cadeia de frio</th>
<th>3.4 Avaliação da distribuição e pagamento aos transportadores</th>
</tr>
</thead>
<tbody>
<tr>
<td>mensal, contínuo</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

**Example: LMSC Mozambique**
## Organization (Current)

For each element of the solution who will be responsible (government, private, or social sector)?

<table>
<thead>
<tr>
<th>Element</th>
<th>Government</th>
<th>Private</th>
<th>Social Sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 PL/3PL</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>1.2 PL/3PL</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>1.3 PL/3PL</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>1.4 PL/3PL</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>1.5 Verificação do desempenho</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>2.1 Gestão dos 4PL/3PL</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>2.2 Gestão dos custos de Logística</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>2.3 Supervisão</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>3.1 Coordenação Do ciclo de distribuição</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>3.2 Distribuição de Produtos de saúde</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>3.3 Recolha dados inventário e cadeia de frío</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
<tr>
<td>3.4 Avaliação da distribuição e pagamento aos transportadores</td>
<td>CMAM</td>
<td>CHEGAR</td>
<td>VillageReach</td>
</tr>
</tbody>
</table>

**Example:** LMSC Mozambique

PEPFAR

PEPFAR

PEPFAR

PEPFAR/ Global Fund

PEPFAR

PEPFAR

PEPFAR

PEPFAR

PEPFAR

PEPFAR

PEPFAR

PEPFAR

PEPFAR
### Organization (Target)

For each element of the solution who will be responsible (government, private, or social sector)?

<table>
<thead>
<tr>
<th>“FAZEDOR”</th>
<th>“FINANCIADOR”</th>
<th>Ano da tranção</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMAM</td>
<td>4PL</td>
<td></td>
</tr>
<tr>
<td>VillageReach</td>
<td>PLM</td>
<td></td>
</tr>
<tr>
<td>USAID</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>1.1 4PL/3PL Definição do serviço</th>
<th>October 2025</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2 4PL/3PL Análise e estratégia de abastecimento</td>
<td>October 2025</td>
</tr>
<tr>
<td>1.3 4PL/3PL Concurso, seleção e Contratação</td>
<td>October 2025</td>
</tr>
<tr>
<td>1.4 Otimização de Rotas de Transporte</td>
<td>October 2024</td>
</tr>
<tr>
<td>1.5 Verificação do desempenho</td>
<td>October 2024</td>
</tr>
<tr>
<td>2.1 Gestão dos 4PL/3PL</td>
<td>October 2026</td>
</tr>
<tr>
<td>2.2 Gestão dos custos de Logística</td>
<td>October 2026</td>
</tr>
<tr>
<td>2.3 Supervisão</td>
<td>October 2025</td>
</tr>
<tr>
<td>3.1 Coordenação Do ciclo de distribuição</td>
<td>October 2024</td>
</tr>
<tr>
<td>3.2 Distribuição de Produtos de saúde</td>
<td>October 2026</td>
</tr>
<tr>
<td>3.3 Recolha dados Inventário e cadela de frio</td>
<td>October 2026</td>
</tr>
<tr>
<td>3.4 Avaliação da distribuição e pagamento aos transportadores</td>
<td>October 2026</td>
</tr>
</tbody>
</table>

Example: LMSC Mozambique
MoU with Government

Memorandum of Understanding on Scaling Up and Transitioning CCPF to the Malawi Ministry of Health and Population

Example: CCPF Malawi

Link to Chipatala Cha Pa Foni (CCPF)- Health Center by Phone

Transitioning Well Integrated Guidelines_November 2023
5. Transition Readiness Checklist guideline
Contents

5.0 Transition Readiness Checklist Overview
  • Background on this guideline
  • Transition Readiness Checklist Glossary
  • What does the Transition Readiness Checklist Cover
  • Transition Readiness Checklist Content – Dimensions

5.1 Applying the Transition Readiness Checklist
  • Overall guidance for using the Transition Readiness Checklist
  • TRC Excel document example
  • TRC scoring
  • How do you determine “readiness”??
  • Process description standards
  • Process for applying the Transition Readiness Checklist
  • Transition Readiness Checklist step descriptions
  • Transition Readiness Checklist Roles & Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)

5.2 Resources
  • Resources for using the TRC

5.3 Example(s)
Why is it important to have a Transition Readiness Checklist (TRC)?

The TRC enables our organization and the receiving government/partner to jointly agree on the readiness of a solution to fully be adopted by the government/partner and identify the critical gaps impeding readiness by evaluating both solution maturity and the receiving organization’s capacity to sustain the solution. The output of the assessment is a findings document outlining key transition readiness gaps to address in the Transition Plan.

What question(s) does this guideline answer?

- What are the key questions that need to be asked and steps that should be followed to determine the readiness for solution transition to government/partner?
- How do you identify the critical activities to include in the Transition Plan to ensure a successful transition?
- What role does the government/partner organization have in conducting the TRC?
Who is responsible? (See link to the Terms of Reference for further details on the roles)

- The **Transition Lead** is responsible for applying the TRC with the government/partner and program teams and using the results to develop the Transition Plan.

- The **Transition Coach** and **Solution M&E Officer** are responsible for guiding the Transition Lead through the TRC process, including helping by preparing facilitation/data collection techniques, advising on the frequency of applying the TRC and nuanced guidance on how to work with the government/partner.

- The **Program Manager/Solution Owner** is accountable for the TRC and should ensure a Transition Lead is appointed prior to the TRC development process.

- The **Government Champion(s) or Partner Lead(s), Transition Lead, Program Manager and relevant program team members** are responsible for participating in applying the TRC, using it to develop a Transition Plan and using it to inform the evaluation of the solution transition.

When do you apply the Transition Readiness Checklist?

A TRC should be applied several times throughout the transition process to inform the Transition Plan and to measure progress towards readiness for transition. The TRC should first be applied just after the Transition Strategy definition.
Glossary

**Consensus:** Consensus means overwhelming agreement, not complete unanimity. The key indicator of whether a consensus has been reached is that everyone agrees they can live with the final proposal; that is, after every effort has been made to meet any outstanding interests.*

**Indicator:** Indicators are ways of measuring (indicating) that progress on a particular activity/dimension are in place

**Mixed-methods:** A methodology that uses both quantitative and qualitative methods

**Readiness score:** A score that indicates whether a particular TRC indicator is “fully in place,” “partially in place,” “not in place” or “not applicable”

**Primary data:** Data collected from firsthand-sources (e.g., from an individual) to answer a specific question or objective. Primary data is collected using methods like surveys, interviews or experiments.

**Secondary data:** Data collected from studies, surveys, experiments that have been run by other people or for other research/purposes

*http://web.mit.edu/publicdisputes/practice/cbh_ch1.html
What does the Transition Readiness Checklist cover?

The TRC covers seven dimensions that must be considered for the sustainability of a solution under a government/partner ownership, management and operations:

- **The first is the Context (political, economic and social)** that assesses the overall global, regional and country environment, economic capacity and political will to absorb, and support needed health-related capabilities.
- **The other six look at the Integrated Solution** to assess a range of solution-specific areas.
# Transition Readiness Checklist content - Dimensions

7 dimensions with **21** sub-dimensions

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><strong>Political, Economic and Social Context</strong></td>
</tr>
<tr>
<td>2</td>
<td><strong>Solution Design</strong></td>
</tr>
<tr>
<td>3</td>
<td><strong>Resource Availability</strong></td>
</tr>
<tr>
<td>4</td>
<td><strong>Financial Management</strong></td>
</tr>
<tr>
<td>5</td>
<td><strong>Government Strategy</strong></td>
</tr>
<tr>
<td>6</td>
<td><strong>Policy &amp; Regulatory</strong></td>
</tr>
<tr>
<td>7</td>
<td><strong>Organization</strong></td>
</tr>
</tbody>
</table>
Applying the Transition Readiness Checklist
Overall guidance on how to use the TRC

Collaboration with government/partner
It is imperative that the TRC be applied in partnership with the government/partner who is adopting the solution to ensure transparency around the transition process and to enable a shared understanding and consensus on the assessment results. Please note that government partners may react negatively to the term “assessment,” so we have chosen the term “using the checklist” instead of “conducting a readiness evaluation”.

TRC Format
The TRC is housed in an excel workbook and uses a mixed-methods approach to score indicators associated with the 7 dimensions with 21 sub-dimensions of the Transition Framework.

Applying the Checklist
The TRC requires a variety of data sources, including but not limited to program management documents, secondary data on national statistics, program M&E data, interviews with key stakeholders. Using this data the Transition Lead, Transition coach and Solution M&E officer score each indicator and then hold a workshop with all key stakeholders to come to consensus on final scores.

Frequency of applying the Checklist
The TRC should be applied several times throughout the transition process to inform the Transition Plan and to measure progress towards readiness for transition. The TRC should first be used right after definition of the Transition Strategy.

TRC Output
The output of checklist use is a findings document outlining key transition readiness gaps and suggested actions for the Transition Plan.
# Transition Readiness Checklist Excel Workbook

Here is the blank Solution Design dimension assessment from the TRC. The full assessment can be accessed [here](#).

<table>
<thead>
<tr>
<th>DIMENSION</th>
<th>SUB-DIMENSION</th>
<th>GUIDING QUESTION</th>
<th>PRIMARY INDICATOR</th>
<th>READINESS SCORE</th>
<th>COMMENTS</th>
<th>DATA SOURCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solution Design: A proven solution including the SoPs, guidelines, tools, templates, job &amp; skill descriptions, needed to manage &amp; operate the solution</td>
<td>Documented solution</td>
<td>Is the solution documented in a format that is accessible to all relevant stakeholders?</td>
<td>Solution description is documented (SOPs, checklists, etc.), under version control and has an access protocol</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Adaptability - Do guidelines allow exceptions to the documented solution based on realities on the ground?</td>
<td>Guidelines allow for exceptions to the documented solution based on the realities on the ground (Examples of exceptions could include options of different levels of automation, different private sector partners or different tools e.g. cold chain equipment, vehicle tracking systems, etc. that can be used fit on the ground needs.)</td>
<td></td>
<td></td>
<td>Suggested data sources: development of a solution specific assessment and qualitative interviews with VillageReach and government/partner staff</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Adaptability - Does the solution design take into account the specific program characteristics and the government environment in which it will be managed and operated?</td>
<td>Documented operational risk factors to sustainability post transition (Examples include program or government characteristics, current compensation/financial incentives, data quality etc.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Proof of consistent impact</td>
<td>Does the solution have a documented theory of change?</td>
<td>Documented Theory of Change that has been reviewed and agreed upon by all relevant stakeholders, including the adopting</td>
<td></td>
<td></td>
<td>Suggested data sources: evaluation reports, multi-year monitoring data with short, intermediate and long term outcomes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Are Key Performance Indicators clearly defined?</td>
<td>Key Performance Indicators definitions showing units of measure, calculations, data sources, etc.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Is performance consistently achieved at targeted levels?</td>
<td>Documentation of consistent achievement of Key Performance Indicators.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Transition Readiness Checklist: Scoring

The TRC consists 37 guiding questions and 53 indicators. Each question assesses seven different dimensions, and their sub-domains. Responses to each question and the corresponding indicator are scored using one of four readiness scores; “fully in place,” “partially in place,” “not in place” or “not applicable.”

<table>
<thead>
<tr>
<th>Readiness Score</th>
<th>Definition</th>
<th>Example of an indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully in place</td>
<td>All aspects of the indicator are fully established and in place</td>
<td>List of existing approved cadres for MoH with funding that adequately covers the needs of the solution</td>
</tr>
<tr>
<td>Partially in place</td>
<td>Action has been taken to achieve this indicator, but not all aspects are fully established and in place.</td>
<td>Partially under-staffed to meet the needs of the solution</td>
</tr>
<tr>
<td>Not in place</td>
<td>No aspect of this indicator has been established or in place.</td>
<td>Severely under-staffed to meet the needs of the solution</td>
</tr>
<tr>
<td>Not applicable</td>
<td>This indicator is not valid for this solution or country context or there is insufficient data</td>
<td>The solution does not need staff to manage or operate the solution.</td>
</tr>
</tbody>
</table>
How does the TRC inform the decision about when/if a solution is “ready” for transition?

- **The TRC provides** inputs into discussions about the exact point when a transition can occur, however the actual date of transition is often determined by a mix of factors: transition readiness, donor funding obligations/stipulations, government/partner funding cycles, and government priorities.

- **The TRC does not** provide teams with a go/no go rating (whether a solution is ready to be transitioned or not), although it provides inputs into such decisions.
Process description standards

Definitions

Start or End of a process: Each process flow will begin and end with this symbol

Process Step: Description of application/system step or manual step within the process will be described in this symbol

Document: This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step

Incoming Link: Symbol will be used if the process is a continuation of another process

Outgoing Link: Symbol will be used if the process continues to an additional processes or sub-processes

Decision: Symbol will be used if alternative flows exist depending on a decision
Process for using the Transition Readiness Checklist

1.1 Initiate TRC Plan development

1.2 Gather necessary primary and secondary data

1.3 Conduct TRC workshop

1.4/1.6 Document and share findings

1.5 Do follow-up TRC application

Conditions for new TRC met?

Yes

Conditions for new TRC
• 50% of the milestones of the Transition Plan reached or
• Significant change to the solution design or Transition Strategy.

TRC Findings document

Updated & final TRC Findings document

Multiple (see right)

• Major gaps to close (Transition Plan)
• HR & Skills needs (Skills Dev. Plan)
• Changes to Transition Strategy scope & timing
• Goals to measure against (Evaluation & Adaptation)

Transition Strategy

End

Transition Strategy done

START
<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| **1.1 Initiate TRC Plan development** | • Prepare by working with your government/partner focal point and Solution M&E Officer to review the TRC excel document, decide on data collection methods for each indicator, develop a TRC workplan and familiarize other government/partner stakeholders with the TRC process and purpose.  
  • Identify all key stakeholders that need to be involved in TRC, including our organization staff, adopting government/partner and other key stakeholders.  
  **Tip:** Start by reviewing the Transition Readiness Checklist Excel sheet to identify the information needed to use the checklist.  
  **Time estimate:** Can take several weeks |
| **1.2 Gather necessary primary and secondary data** | • Identify the necessary data sources for each data element you will need to score each relevant indicator. Data needed will come from a variety of data sources including program documents, routine M&E data and qualitative interviews.  
  • Summarize secondary data and organize it in a manner that it can be used to inform workshop participants who will build consensus on how to score each indicator.  
  **Tip:** Use secondary data whenever possible, however the TSS TRC Government Interview Guide is available to get an idea of what a qualitative interview might look like to inform the assessment.  
  **Time estimate:** One month |
| **1.3 Conduct TRC workshop** | • To use the TRC, you will need to have all key stakeholders from both our organization and the adopting organization review each question of the assessment as a group and to build consensus on the readiness score. We recommend this be done in a workshop format, starting the workshop by doing an overall presentation of the solution, the agreed upon transition strategy, the transition process and the purpose and background of the TRC. If a workshop format is not possible, you could complete it through a series of meetings and interviews with key stakeholders.  
  **Tip:** You can adapt the TRC introductory slide deck to explain the TRC to all workshop participants (found [here](#)).  
  • At the workshop, go through each guiding question and indicator with the group, present existing data sources, and come to consensus on a score for each indicator.  
  • Select a score of “N/A” when the indicator is not relevant to the Transition Strategy or the solution design.  
  **Tip:** If you have 6+ in the workshop, consider dividing the group into smaller sub-groups for the consensus building process to ensure that everyone can participate. Once each sub-group has agreed upon a readiness score for each indicator, facilitate the consensus building process across the groups.  
  **Tip:** Someone with strong facilitation skills or a background in qualitative data collection methods should facilitate the scoring part of the workshop.  
  • Summarize the group’s findings and agree the plan for writing up the results and starting the Transition Plan.  
  **Time estimate:** Can take a half-day to a full day depending on the scope and complexity of the solution and transition. |
### Transition Readiness Checklist step descriptions 2

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.4 Document and share findings | • The M&E Officer and Transition Coach should complete TRC excel template using the inputs from the workshop. Findings can be further summarized in a word document or in a PowerPoint slide deck, depending on the preference of the team and stakeholders.  
• Review findings with the Transition Lead, Solution Lead and Government/Partner focal point. Based on findings, agree upon gaps that need to be addressed to support successful transition to government/partner.  
• The M&E Officer shares findings of the TRC with all team members involved in applying the TRC  
• Share findings with solution team and government partners using the dissemination methods of your choice.  
**Tip:** Ensure that the TRC and findings document are saved in both the Transitioning Well Solution folder as well as the solution specific file sharing folder with the date of checklist completion so progress on transition readiness can be tracked over time.  
**Time estimate:** 2 weeks |
| 1.5 Do follow-up TRC application | • Conduct a follow-up once pre-agreed milestones have been accomplished or if there is a significant change to the solution design or Transition Strategy. The milestones that trigger a TRC should be selected while developing the Transition Plan. A significant change of the solution design is one that requires a change to the MOU or Theory of Change. Schedule the follow-up TRC during the quarterly Transition Plan review meetings with our organization and government/partner meetings.  
**Tip:** Follow up applications of the TRC can be done in a workshop setting or by following up with groups individually. Teams should select the follow-up method that best fits their needs and budget.  
• To conduct the follow-up TRC start by reflecting with key staff and government/partner stakeholders on barriers/facilitators to applying the TRC the first time. Adjust the approach based on learnings. Adjustments may include roles and responsibilities for using the TRC, data sources reviewed, participants in the workshop or the workshop agenda.  
• After you have reflected on the previous TRC application, update steps 1.0-1.4 to reflect the learnings and execute.  
**Tip:** Most likely the first use of the TRC will be the most time intensive. Follow up applications may not require as much time or as many stakeholders. However, note that if fewer stakeholders are involved in the process, ensure that the updated results are still shared with all key stakeholders.  
**Time estimate:** On-going until end of transition |
| 1.6 Document and share findings | See Step 1.4 |
# Transition Readiness Checklist RACI

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program Manager/ Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>National Government Champion or Partner Lead</th>
<th>M&amp;E or REL Team</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/ Funder</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Initiate TRC Plan development</td>
<td>A</td>
<td>R</td>
<td>C</td>
<td>N/A</td>
<td>R</td>
<td>I</td>
<td>N/A</td>
<td>R</td>
<td>TBD by team</td>
<td>N/A</td>
</tr>
<tr>
<td>1.2 Gather necessary primary and secondary data</td>
<td>C</td>
<td>A</td>
<td>C</td>
<td>R-as needed</td>
<td>R-as needed</td>
<td>R</td>
<td>N/A</td>
<td>R</td>
<td>TBD by team</td>
<td>C</td>
</tr>
<tr>
<td>1.3 Conduct TRC Workshop</td>
<td>A</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>TBD by team</td>
<td>I</td>
</tr>
<tr>
<td>1.4 Document and share findings</td>
<td>A</td>
<td>R</td>
<td>C</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>TBD by team</td>
<td>I</td>
</tr>
<tr>
<td>1.5 Do follow-up TRC application</td>
<td>A</td>
<td>R</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>TBD by team</td>
<td>N/A</td>
</tr>
<tr>
<td>1.6 Update findings and disseminate final findings</td>
<td>A</td>
<td>R</td>
<td>C</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>I</td>
<td>C</td>
<td>TBD by team</td>
<td>I</td>
</tr>
</tbody>
</table>

**Responsible**—identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the Accountable person. R’s can be shared.

**Accountable**—designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

**Consulted**—identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.

**Informed**—identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Other tools and resources

- Transition Readiness Checklist
- Example of TSS Transition Readiness Checklist Interview Guide
- Transition Readiness Checklist Journal Article
Example(s)

• DLS Mozambique
Examples of Transition Readiness Checklist outputs

**Political, Economic and Social Environment: Mozambique**

The global, regional and country environment; economic capacity and political stability is **moderately favorable** to absorb and support the needed health-related capabilities to manage and operate DLS.

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Questions</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government Effectiveness</td>
<td>To what extent does this program exist in a climate where government is able to develop, implement and maintain quality public and civil services?</td>
<td>1</td>
</tr>
<tr>
<td>Political Stability</td>
<td>Does this program exist in a political context that is stable, and likely to continue being stable?</td>
<td>2</td>
</tr>
<tr>
<td>Economic</td>
<td>Does the economic climate support the financing of public sector health services? <em>(GINI score; % GDP for health)</em></td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>If economic climate is not supportive, does a resource mobilization strategy exist for public sector health services?</td>
<td>2</td>
</tr>
<tr>
<td>Social</td>
<td>To what extent is the country supporting an equitable economic environment?</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>To what extent are health services and health outcomes distributed equitably across the population?</td>
<td>2</td>
</tr>
<tr>
<td>Resilience</td>
<td>To what extent is the country able to rebound from economic, political or climate related disasters?</td>
<td>1</td>
</tr>
</tbody>
</table>

**Evaluation**

**Interpretation**

- Moderate public and civil policies/services with poor ability to develop, implement and maintain quality public and civil policies/services.

- In 2017 Mozambique generated 23% of GDP from tax revenue compared to the moderately politically stable with low quality of average of 21% among other African countries. In 2018, ~ 9% of GDP dedicated to health
  - This does not account for the remaining effects of the hidden debt crisis

- Mozambique ranks as having moderately inequitable distribution of health services among economic status and sub-regions

- This ranking indicates that the current context in Mozambique may not support a viable transition to government in the long term.
Examples of Transition Readiness Checklist outputs

Solution Design

*DLS is a proven solution, however we are still in the process of documenting the standard operating procedures, guidelines, tools, templates, job and skill descriptions, needed to manage and operate the solution.*

---

**Evaluation**

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Questions</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Documented solution</td>
<td>Is the solution documented in a format that is accessible to all relevant stakeholders?</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Adaptability - Do guidelines allow exceptions to the documented solution based on realities on the ground?</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>Adaptability - Does the solution design take into account the specific program characteristics and the government environment in which it will be managed and operated? <em>(ID of risk factors; risk mitigation plan)</em></td>
<td>2</td>
</tr>
<tr>
<td>Proof of consistent impact</td>
<td>Does the solution have a documented theory of change?</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Are KPIs clearly defined?</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Is performance consistently achieved at targeted levels?</td>
<td>3</td>
</tr>
</tbody>
</table>

---

**Action Needed**

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Action Item</th>
</tr>
</thead>
</table>
| Documented solution | • Create a supply chain toolkit and provide to DP5  
• Obtain approval of toolkit by government stakeholders  
• Training and orientation on the use of the toolkits  
• Provide training and orientation to the DLS Toolkit  
• Host toolkit on an accessible web page |
| Proof of consistent impact | No action needed |
Examples of Transition Readiness Checklist outputs

Policy & Regulation

*Laws and regulations that support solution transition, operation and maintenance are partially in place to support transition.*

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Questions</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gaps in laws &amp; policies</td>
<td>Are new laws and policies needed to support solution transition and management?</td>
<td>1</td>
</tr>
<tr>
<td>Solution compatibility with existing laws &amp; policies</td>
<td>Is the solution compatible with existing laws and policies?</td>
<td>N/A</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Action Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gaps in laws &amp; policies</td>
<td>• Advocate for better policies around disbursement of HSS funding at the global and national level</td>
</tr>
<tr>
<td></td>
<td>• Hand over work on the logistician cadre to PSM (Done)</td>
</tr>
<tr>
<td>Solution compatibility with existing laws &amp; policies</td>
<td>• No action needed</td>
</tr>
</tbody>
</table>

Example: DLS Mozambique
Examples of Transition Readiness Checklist outputs

Resource Availability

*Financial, human resources and infrastructure such as buildings and equipment needed to transition, operate and maintain a solution are **partially in place***

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Questions</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources</td>
<td>Do the needed jobs exist in the public sector to manage and operate the solution?</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Is there a sufficient number of employees to handle the workload?</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Do the people who will manage and operate the solution have the skills required?</td>
<td>1</td>
</tr>
<tr>
<td>Building, Equipment &amp; Technology</td>
<td>Do government have the buildings, equipment &amp; technology necessary?</td>
<td>2</td>
</tr>
<tr>
<td>Financial</td>
<td>Does government funding adequately cover the full need of the solution?</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>Does government funding require annual budget approval or is it dedicated multi-year funding?</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>If there are real or potential funding gaps from government sources, is there a strategy in place to cover funding gaps?</td>
<td>TBD</td>
</tr>
</tbody>
</table>

**Example: DLS Mozambique**

<table>
<thead>
<tr>
<th>Sub-Dimension</th>
<th>Action Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources</td>
<td>• Identify capabilities needed to operate and manage DLS &amp; make recommendations to the DPS</td>
</tr>
<tr>
<td></td>
<td>• Conduct capabilities assessment</td>
</tr>
<tr>
<td></td>
<td>• Due to high staff turnover, make recommendations for hand-over plans to ensure smooth continuity of DLS implementation</td>
</tr>
<tr>
<td></td>
<td>• Hand off logistician cadre advocacy work to PSM (done)</td>
</tr>
<tr>
<td>Building, Equipment &amp; Technology</td>
<td>• Define equipment and technology needed to operate DLS and include in the toolkit</td>
</tr>
<tr>
<td>Financial</td>
<td>• Consult with government partners to assess if there are potential funding gaps and a strategy in place to address gaps.</td>
</tr>
</tbody>
</table>
6. Transition Plan guideline
Contents

6.0 Transition Plan overview
  • Background on this guideline
  • Transition Plan glossary
  • What is a Transition Plan?

6.1 Developing a Transition Plan
  • Process description standards
  • Process for developing a Transition Plan
  • Transition Plan step descriptions
  • Transition Plan Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)
  • Additional Guidance
  • Transition Plan Worksheet
  • Transition Plan Template

6.3 Example(s)
Background on this guideline 1

Why is it important to have a transition plan?
A Transition Plan breaks down the timeline and steps needed to collaboratively transition a solution to government/partner.

What question(s) does this guideline answer?
- How do I identify and plan for the required steps to successfully transition a solution, including addressing possible risks at the onset?
- How do I identify the time frame needed to execute the steps on the plan?
- Who needs to be involved in transition planning?
- How often should a Transition Plan be updated?
Who is responsible? (See link to the Terms of Reference folder for further details on the roles)

- The Transition Lead is responsible for leading the development of the Transition Plan with the program team and government/partner counterpart.
- The Transition Coach helps guide the Transition Lead through this process. If there are any questions on how to apply the guidelines, the coach can help guide and fill in the intangibles.
- The Program Manager is accountable for the Transition Plan.

When do you do a Transition Plan?

The Transition Plan should be developed at the beginning of the transition process, right after the Transition Readiness Checklist (TRC). The Transition Plan should be reviewed and updated quarterly (at minimum) with government/partner stakeholders and be revised after each TRC application. Note: This will likely require more frequent update as the final targeted date of transition approaches.
Transition Plan glossary

**Dependency:** A relationship in which a step or milestone relies on other step or milestones to be performed (completely or partially) before it can be performed or completed.

**Gantt chart:** A project management tool that timeline. A Gantt chart allows you to layout the key steps and activities, when each step begins and ends, the duration of each step, where steps overlap and the start and end date of the whole project. More information on Gantt charts can be accessed.

**Memorandum of Understanding (MOU):** A written agreement between an implementer like our organization and a government or partner that will be taking over a solution from our organization. An MOU expresses the mutual motivation between the parties, key dates and role & responsibilities. It is a more formal than a verbal agreement but less formal than a binding contract.

**Milestone:** An event/decision-making point that represents progress towards an objective.

**Roadmap:** time-phased description of major outcomes by phase and the principal characteristics of each phase in terms of key capabilities implemented. Unlike Gantt level project plans, it does not explain the steps and activities needed or roles & responsibilities. It does however provide the context for the project Gantt chart project plans.

**Step:** Major action such as "Define skills development plan/" needed to achieve a transition objective. A step typically takes months to complete and is broken down into activities and tasks for work planning purposes.
What is a Transition Plan

A Transition Plan is a time-phased work plan (typically a GANTT chart) that shows the gaps, steps, owners, and dates of activities organized around the seven areas from the Transition Readiness Checklist (TRC).

A Transition Plan must contain the following four elements:

1. Organized by the gaps identified by the TRC
2. The specific steps to address those gaps including risk mitigation activities
3. The individuals or parties responsible for executing each step
4. The target start and end date for each step
Developing a Transition Plan
Process description standards

**Definitions**

- **Start or End of a process:** Each process flow will begin and end with this symbol.

- **Process Step:** Description of application/system step or manual step within the process will be described in this symbol.

- **Document:** This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step.

- **Incoming Link:** Symbol will be used if the process is a continuation of another process.

- **Outgoing Link:** Symbol will be used if the process continues to an additional processes or sub-processes.

- **Decision:** Symbol will be used if alternative flows exist depending on a decision.
Process for developing a Transition Plan

1.0 Organize Transition Planning Meeting
1.1a Review Results of the TRC
1.1b Identify steps to address gaps identified in TRC
1.1c Identify government/partner dependencies
1.1d Define roadmap of whole transition period
1.1e Define plan for first 12 months of Transition
1.2 Finalize Transition Roadmap and 12-month plan
1.3 Create and sign MOU/agreement of Transition plan with partner
1.4 (At least) Quarterly Transition Plan Review

Transition Plan (v1)

MOU or other written agreement

Need to update MOU?

YES
NO

Transition Plan (Revised)

Updated Transition Plan

See RACI for Roles & Responsibilities

Transition Strategy and TRA done
### Transition Plan step descriptions

<table>
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<tr>
<th>STEP NAME</th>
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| 1.0 Organize Transition Planning Meeting | • Organize a meeting with key program and partner/government stakeholders. This should be driven by government/partner selected focal point for the solution moving forward and a small team of key individuals who are aware of the solution, transition goals, and government/partner organizational and bureaucratic structure. However, the Transition Lead should support preparation, participate, and meet with focal point before and after.  
**Tip:** If planning for the meeting proves difficult or hard to achieve, take advantage of some preplanned meetings i.e., taskforces, technical working groups or sub committees and round up the necessary players and initiate a short session.  
**Tip:** the time duration of the meeting can be greatly reduced depending on the pre-work done prior to the meeting  
**Time estimate:** 3 hours to organize + estimated 10 hours for the meeting, broken out into steps below |
| 1.1a Conduct Meeting: Review Results of the TRC | • Start by reviewing the Transition Strategy and TRC findings.  
• Next, narrow in on the key gaps identified in the TRC. Gaps are identified by indicators that were scored as “partially” or “not in place.”  
**Time estimate:** 1 hour of total of 10 hours |
| 1.1b Conduct Meeting: Identify steps to address gaps identified in the TRC | • With the meeting participants, start by identifying key actions to address each gap.  
• Once an action is identified, work with the team to understand what the interdependent tasks are that need to be performed in which order. Each action is likely to become a step in your Transition Plan.  
**Tip:** To facilitate this process, ask participants “What are the essential steps that will help us to achieve “fully in place” on the TRC”  
**Tip:** Use the Transition Plan Worksheet to facilitate this step  
**Tip:** Work with Transition Coach to learn from best practices on how to answer different questions  
**Time estimate:** 2 hours of total of 10 hours |
| 1.1c Conduct Meeting: Identify government and partner dependencies | • With meeting participants, identify what key government or partner administrative or financial processes may impact the ability to carry out the identified actions (e.g. when does the government/partner organization meet to review annual budget?) and identify possible risks. Identify the impact of elections and possible shifts in government priorities, as well as key changes in government personnel.  
• For government technical partners that will be supporting the transition, identify their funding situation and whether it is aligned with the transition activities and timeline.  
**Tip:** Use the Transition Plan Worksheet to facilitate this portion of the meeting  
**Time estimate:** 2 hours of total of 5 hours |
### Transition Plan step descriptions cont.

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| **1.1d Define roadmap of whole transition period** | • With the meeting participants develop a one-page roadmap that includes 3-4 major phases of transition. For each phase, describe the expected starting context of each phase, the major outcomes targeted, the major changes to be implemented, and the phase duration.  
**Tip:** Each phase should be 6 months minimum to 2 years maximum in duration. This gives sufficient time to make real progress without overly long periods that can dilute a focus on results.  
**Tip:** Make sure each phase corresponds to a significant increase in capability of the receiving organization and/or ability to finance  
**Tip:** Use the Transition Roadmap Template to facilitate this step  
**Time estimate:** 2 hours of total of 10 hours |
| **1.1e Define plan for first 12 months of Transition** | • With the meeting participants develop the Transition Plan GANNT chart for the first major phase of transition (likely one year) showing the timeline (start and end dates) for each Phase 1 step.  
• Identify what team (VR team v. government/partner team v. other actor/organization) is best positioned to carry out each step as well as the name of a specific individual who will be accountable for the step.  
**Tip:** Use the Transition Plan Template to facilitate this step  
**Tip:** Identify any known internal and external factors that may have a direct or indirect influence on the implementation of the timeline (local or national elections, staff turnover, changes in policy, organizational restructures). Add these as critical milestones to the Gannt chart.  
**Tip:** You may have to leverage other partnerships outside of VR and adoption government/partner to achieve a step.  
**Tip:** In order to achieve continuity and completion of a step, it is essential to identify and assign no less than two individuals per step (to curb staffing changes and turnover).  
**Time estimate:** 3 hours of total of 10 hours |
| **1.2 Finalize Transition Roadmap and Transition Plan** | • VR team and key contact from government/partner, and technical partners included in the workplan, finalize the Transition Roadmap and Transition Plan and finalize timelines.  
**Tip:** This can be done through a series of meetings, via a google doc or via sharing drafts via email or other means depending on government/partner preference.  
**Time estimate:** Can take several weeks depending on required formats |
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<th>STEP NAME</th>
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| 1.3 Create and have appropriate representative sign MOU/agreement of Transition Plan | • VR team and key contact from government/partner develop and sign an MOU or a letter of agreement. This MOU should reflect what was decided in the Transition Strategy and include the Transition Roadmap and Transition Plan, in addition to the roles, responsibilities, expectations and deliverables required to complete the transition process.  
**Tip:** It is imperative to begin the MOU/letter of agreement drafting and review process as early as possible to allow ample time for the bureaucratic process. You must first get the template from the government/partner to ensure you are working with their latest documents to avoid unnecessary delays in an already long process. It is also important to start the MOU drafting process with your government/organization as you are developing the Transition Roadmap and Transition Plan to ensure the document is ready for review by all necessary parties prior to submission and the official transition planning kick-off. Note that MOUs for governments typically require Ministry of Justice and Finance/Treasury sign off in addition to the Health and partner MOUs sometimes require board sign off. These approvals can be time-consuming to pursue and move forward.  
**Time estimate:** Several weeks or months depending on required formats, review and approval processes |
| 1.4 (At least) Quarterly Transition Plan review | • At least every quarter, meet with key stakeholders to review progress made on the Transition Plan. If within 6 months of transition, meet monthly.  
• Update the Transition Plan according to progress, adjusting timelines and milestones as needed.  
• During this meeting, you may have to review the Transition Strategy to ensure that the Transition Plan respects the agreed strategy.  
• A decision needs to be made whether updates to the Transition Plan require an amendment/change to the overall Transition Roadmap and the MOU/letter of agreement.  
**Tip:** Use this check-in meeting as an opportunity to re-align with your government/partner stakeholders on the critical steps, milestones and timeline needed to achieve the transition.  
**Tip:** If a step is delayed, facilitate a discussion about what might be causing the delay. Perhaps there was an unanticipated dependency? Do they have enough resources to accomplish the step? Is better collaboration needed between VR and the government/partner?  
**Time estimate:** 1.5 hr. meeting |
## Transition Plan RACI

<table>
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<tr>
<th>PROCESS STEP</th>
<th>Program Manager/Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>National Government Champion or Partner Lead</th>
<th>M&amp;E or REL Team</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/Funder</th>
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**Responsible** – identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the **Accountable** person. R’s can be shared.

**Accountable** – designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

**Consulted** – identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.

**Informed** – identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Additional guidance: How to work with government on the plan?

Key tips for working with the government/partner to jointly create and agree upon a Transition Plan

✔ It is important to keep the Transition Plan up to date so that it reflects the national and sub-national political environment. This will help to identify what policies and strategies are being drafted that can either be leveraged during the transition planning process or that may impact your transition timeline.
  - Example: if there is a new policy that supports the solution being transitioned, it may be opportune to speed up the transition planning process to take advantage of the favorable political environment.
  - Example: if the country is in the process of decentralizing and all the solution work has been done at the national level, you will likely have to engage both levels and carefully document has been and what is agreed upon moving forward.

✔ Understand the partner’s/government’s internal processes before starting the transition planning process. Some key government internal processes to understand prior to the transition planning process include:
  - Budgeting process and timing – costing, budget submission, budget approval, etc.
  - Human resourcing process and timing – recruitment procedure, approvals, financing etc.
  - Financing process and timing– funding sources, funding decisions, resource allocation mechanisms, etc.
  - MOU and agreement processes- templates, different Ministries and departments required to sign off, etc.
## Transition Plan Worksheet

Use this worksheet during the Transition Planning meeting to help facilitate the discussion. Use inputs from this worksheet to develop your Transition Plan.

<table>
<thead>
<tr>
<th>Transition Readiness Assessment Category</th>
<th>Step</th>
<th>Individuals Responsible</th>
<th>Timeline</th>
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<tbody>
<tr>
<td><strong>Instructions:</strong></td>
<td>Based on the TRC score (fully in place, partially in place, not in place), develop the key steps that are needed to bring the ranking up to “fully in place.” Note the step dependencies required to achieve a “fully in place score.” For example, conducting a costing study before submitting a budget request.</td>
<td>For each step identify a minimum of two individuals who are responsible for completing the step. There should be at least one individual from VR and one from the government/partner. Note: It helps to have more than one government/partner due to turnover.</td>
<td>Select the due date of each step. Ensure that the due dates take into account any government/processes that may impact your deadline (e.g., government budget cycles).</td>
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<th>Solution Design</th>
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<td>Organization</td>
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Transition Roadmap template

Use this template during the Transition Planning meeting to help build your Transition Roadmap. The Roadmap will provide key inputs into your Transition Plan.

<table>
<thead>
<tr>
<th>PHASE 1 (x months)</th>
<th>PHASE 2 (x year)</th>
<th>PHASE 3 (x years)</th>
<th>PHASE 4 (x year)</th>
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<td><strong>Goal (Target state at end of Phase)</strong></td>
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<td><strong>Key Activities/Interventions:</strong></td>
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3. Document the phase “end state” in terms of major capabilities and taking into starting point from #2

4. Document the key outputs of the phase that support the target phase end state

5. List the key activities needed to achieve the key outputs

1. Decide how many phases you will have and the duration of each phase by first defining major groupings of significant outcomes that are (a) logical groupings in a phase and (b) that ensure each phase builds on the previous one

2. Document the key assumptions about the receiving organization at phase start that will shape the transition. Typical categories are (a) Organization staffing, (b) Infrastructure implementation and (c) level of Govt. funding

- **Key assumptions on receiving organization at start of each Phase** -
### Transition Plan Template

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<td><strong>6.0 Organization</strong></td>
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</tbody>
</table>

1. Write each step under the TRC dimension.
2. Assign at least two individuals per step.
3. Show the timeline for each step. Each step is represented by a bar; the position and length of the bar reflects the start date, duration and end date.
4. A diamond shape denotes by when the key milestone should be accomplished.
Example(s)

- LMSC Mozambique
- CCPF Malawi
## Transition Roadmap

<table>
<thead>
<tr>
<th>PHASE 1 (6 months)</th>
<th>PHASE 2 (1 year)</th>
<th>PHASE 3 (2 years)</th>
<th>PHASE 4 (1 year)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CMAM context:</strong> CMAM operating under the current Organization Structure and Warehouse Network</td>
<td><strong>CMAM context:</strong> CMAM operating under fully staffed and functioning teams for Transport Mgt, M&amp;E, and Verification with a more advanced Hybrid Warehouse Network but no Cross-docking facilities</td>
<td><strong>CMAM context:</strong> CMAM operating under fully staffed and functioning teams with a more advanced Hybrid Warehouse Network, including cross-docking facilities</td>
<td><strong>CMAM context:</strong> CMAM operating under full single command implementation (org structure and warehouse network)</td>
</tr>
</tbody>
</table>

### Key Activities/Interventions:
- **PHASE 1:**
  1. Define and start implementation of a Transition Plan that includes Skill Assessment, Capacity Building, and Technical assistance for CMAM. Support defining job descriptions and performance objectives.
  2. Provide coaching so staff adapts to new roles and responsibilities and work is aligned to the needs of the organization.

### Key Outputs (1)
1. CMAM capable of conducting Transport Route Optimization
2. CMAM capable of Coordination of the distribution cycle at the operational level and ensuring compliance to SLA
3. CMAM capable of Supervision & Collecting inventory and cold chain data.

### Example: LMSC Mozambique

<table>
<thead>
<tr>
<th>CMAM Organic</th>
<th>CMAM Technical Working Group established on 24th July meeting</th>
<th>Fully staffed teams for Transport Mgt, M&amp;E and Verification.</th>
<th>Fully implemented CMAM organization structure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Govt. OT Funding</td>
<td>Getting Cost from CHEGAR and support CMAM on cost analysis</td>
<td>Define a cost structure and engage Key CMAM Functions on the Advocacy strategy</td>
<td>CMAM leadership engaging at Higher Level on budget allocation advocacy processes</td>
</tr>
</tbody>
</table>

### Key Outputs (2)+(1)
1. CMAM capable of conducting 4PL/3PL service definition
2. CMAM can conduct a Supply Analysis and Strategy
3. CMAM capable to conduct 4PL/3PL Tendering, Selection and Contracting
4. CMAM capable to do Performance Verification

### Key Activities/Intervention:
- **PHASE 2:**
  1. Conduct capacity building, and technical support to improve CMAM capability to Source, and evaluate 4PL/3PL performance added to management skills acquired in Phase 1.
  2. Integration of Last Mile distribution solution model into upstream transport.
  3. Support CMAM Management with essential information to advocate for the allocation of 30% of funding within the Government budget toward Outsourced Distribution.

### Key Outputs (3) + (2)+(1)
1. CMAM Transport & Distribution Function capable to manage 4PL/3PL and conduct Logistics Cost Management
2. CMAM M&E function able to perform M&E functions, capable of validating invoices and ensuring payments on time.
3. CMAM Transport and M&E Functions able to conduct SLA performance.

### Key Activities/Intervention:
- **PHASE 3:**
  1. Full transition of management of outsourcing distribution management to CMAM, including management of the Outsourced Transport Toolkit.

### Key Outputs (1)+(2)+(3)
1. CMAM fully implements and manages the defined outsourced distribution model both for upstream and last mile.
2. All teams are functioning per defined SOPs, with an integrated set of capabilities and clear coordination across teams at all levels.

- **Key assumptions on CMAM situation at start of each phase:**

---

Transitional Well Integrated Guidelines November 2023

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Transition Plan

Example: CCPF Malawi

<table>
<thead>
<tr>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>July</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
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<tbody>
<tr>
<td>1.0 OVERALL</td>
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<td>2.0 BUDGETING</td>
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<td>3.0 SOLUTION TOOLKIT</td>
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<td>Toolkit handed over</td>
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<tr>
<td>4.0 SKILLS DEVELOPMENT PLANNING</td>
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<td>Assessment done and skills development plan validated</td>
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<td>4.1 Conduct MOH readiness assessment</td>
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<td>4.2 Roll-out MOH skills development activities (included in Handover Execution)</td>
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<td>5.0 HANDOVER EXECUTION</td>
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<tr>
<td>5.1 Step 1: Operational &amp; Managerial elements</td>
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<td>5.2 Step 2: Enabling elements</td>
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<td>5.3 Govt. performance monitoring</td>
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<td>5.4 Post handover technical support</td>
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</tbody>
</table>

- CCPF Budget incorporated
- MOH Skills Dev. done
- HR Positions established
- Handover done including skills development by department
- Govt. performance monitoring done
- Post handover supervision done
## Transition Plan

### Key Milestones and Deliverables by Month (1st December 2018 – 30th September 2019)

<table>
<thead>
<tr>
<th>Area</th>
<th>Date</th>
<th>Key Milestones</th>
<th>Deliverables</th>
</tr>
</thead>
</table>
| **1.0 Overall**                                    | 7 Jan 30 March 31 July 31 Oct 31 Oct | ▪ Handover plan validated  
▪ CCPF budget approved by treasury  
▪ Airtel, Viamo, MOH FY19 MOU developed  
▪ HR positions established  
▪ MOH Skills Development done  
▪ Complete handover       | ▪ Transfer to govt. plan  
▪ CCPF budget incorporated  
▪ MOU document signed  
▪ CCPF HR positions incorporated in MOH budget  
▪ Skills development report  
▪ Handover documented |
| **2.0 Budgeting and Information Systems Skills Development** | 28 Feb 31 Oct 31 Oct | ▪ CCPF costing training completed  
▪ CCPF Info. System backstop training completed  
▪ MOH contract management plan defined       | ▪ CCPF budget costed  
▪ Information system management plan  
▪ MOH contract management plan |
| **3.0 Solution Toolkit**                           | 18 Jan 22 Jan 30 March | ▪ Toolkit content defined  
▪ Toolkit validated  
▪ Toolkit handed over       | ▪ SOPs, methods, tools, FAQs documented  
▪ Toolkit document  
▪ Proof of delivery to the MOH |
### Key Milestones and Deliverables by Month (1st December 2018 – 31st October 2019)

<table>
<thead>
<tr>
<th>Area</th>
<th>Date</th>
<th>Key Milestones</th>
<th>Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>4.0 Skills Development Planning</strong></td>
<td>31 May</td>
<td>• Readiness assessment completed</td>
<td>• Assessment report</td>
</tr>
<tr>
<td></td>
<td>31 May</td>
<td>• Skills development plan by department validated</td>
<td>• Skills transfer plan</td>
</tr>
<tr>
<td><strong>5.0 Handover Execution including skills development</strong></td>
<td>1 Oct</td>
<td>• Step 1 Operational and managerial elements handover done, including skills development activities by MOH dept.</td>
<td>• Step 1 performance monitoring report and corrective action plan</td>
</tr>
<tr>
<td></td>
<td>15 Oct</td>
<td>• Step 2 Enabling elements handover done, including skills development by MOH dept.</td>
<td>• Step 2 performance monitoring report and corrective action plan</td>
</tr>
<tr>
<td></td>
<td>31 Oct</td>
<td>• Govt. performance monitoring done</td>
<td>• Govt. performance assessment and recommendation report</td>
</tr>
<tr>
<td></td>
<td>31 Oct</td>
<td>• Post handover supportive supervision completed</td>
<td>• Final handover report</td>
</tr>
</tbody>
</table>
7. Skills Development Plan guideline
7.0 Skills Development Plan overview
   • Background on this guideline
   • What is a Skills Development Plan?
   • Skills Development Plan glossary
   • Needs addressed by the Skills Development Plan

7.1 Developing a Skills Development Plan
   • Overall guidance on how to develop the plan
   • Process description standards
   • Process for developing a Skills Development Plan
   • Skills Development Plan step descriptions
   • Skills Development Plan Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)
   • Skills Development Plan templates

7.2 Example(s)
Background on this guideline 1

Why is it important to have a Skills Development Plan (SDP)?
An SDP helps our organization and the government/partner agree on the need and approach for developing an individual’s knowledge and skills so that they can effectively manage and operate solution being transferred.

What question(s) does this guideline answer?
• How does the team and government/partner identify the needed knowledge and skills?
• What are the key questions that need to be asked and steps that should be followed to identify and address gaps in knowledge and skills and ensure that receiving individuals and teams can effectively manage and operate the solution?
Who is responsible? (See link to the Terms of Reference for further details on the roles)

- The Transition Lead is responsible for producing the SDP with the government/partner and program teams.
- The Transition Coach is responsible for guiding the Transition Lead through the SDP process, including helping by preparing facilitation techniques and nuanced guidance on how to work with the government/partner.
- The Program Manager/Solution Owner is accountable for the SDP and should ensure a Transition Lead is appointed prior to the SDP development process.
- Functional managers who understand current skills levels of affected teams/positions/individuals are critical to the effort
- The Transition Lead, Solution Owner, National Government Champion(s), Sub-National Government (as applicable) Champion, or partner lead(s), and relevant program team members are responsible for developing, finalizing and signing Skills Transfer agreements

When do you do a Skills Development Plan?

An SDP should be done following the Transition Readiness Assessment, post Transition Strategy, in conjunction with the overall Transition Plan. It can be done earlier, if needed, to provide inputs into MoH HR headcount planning and budgeting. The plan should be adjusted by the Transition Lead and Government/Partner Focal Point over the course of the transition based on what skills transfer techniques are working.
What is a Skills Development Plan?

The Skills Development Plan identifies the skills that government or partner individuals need to master to manage and/or operate the solution being transferred from the program team.

It helps to align the program team and receiving partner/government on which skills are needed and on what form of skills development is preferred or most effective for the government or partner.

It should contain start and end dates for the skills building activities and these should be aligned with the key dates defined in the Transition Plan.

The Skills Development Plan is typically based on the solution elements contained in the Solution Description but may also be based on a SOP associated with a given solution element, if these SOPs have been defined.
Skills Development Plan glossary

**Job/Position holders** – the individuals doing the work needed to manage or operate the solution.

**Skills** – learned abilities that are needed to successfully execute assigned responsibilities.

**Skill theme or Skill topic** – specific skills that can be associated with on solution element.

**Functional Managers** – the individuals overseeing or managing the work of a given job/position holder. These individuals typically have management authority over department or team.
The Skills Development Plan has a narrower focus than a Workforce capacity development plan

**Skills Development Plan**

- A specific solution
- Actions needed to develop specific skills for named positions/job holders that have a role for a solution or a step/activity in a SOP related to the solution being transferred
- Focuses on staffing and skills

**Workforce Capacity Development Plan**

- Overall supply chain function (e.g., procurement, warehousing, transport, inventory mgmt., etc.)
- Actions needed to develop specific skills by role/position
- Focuses on staffing, skills, working conditions and motivations
Overview of Skills Development Plan content
To develop a Skills Development Plan, questions need to be answered for three areas: Skill Description, Skill Development, and Staffing Status

For each Solution Element (or Standard Operating Procedure associated with a solution element, if exists)

<table>
<thead>
<tr>
<th>SKILLS DESCRIPTION</th>
<th>What are the different topics by Solution Element for which competencies and skills are needed?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>What are the specific skills to be demonstrated by topic?</td>
</tr>
<tr>
<td>SKILLS DEVELOPMENT</td>
<td>How will each skill be developed by target position/job holder and by when is it needed?</td>
</tr>
<tr>
<td></td>
<td>Who will develop the needed materials and who will provide the coaching/training?</td>
</tr>
<tr>
<td></td>
<td>How will skill acquisition be demonstrated/proven?</td>
</tr>
<tr>
<td>STAFFING STATUS</td>
<td>Are the position/job holders in place today? If so, how many will need skills development?</td>
</tr>
<tr>
<td>(for positions/jobs that already exist)</td>
<td>Are there missing position/job holders? If so, how will they be appointed?</td>
</tr>
</tbody>
</table>
Developing a Skills Development Plan
Overall guidance on how to develop the plan

Who needs to be involved?

• To develop a Skills Development Plan you will need to have deep understanding of the solution as well as of the receiving organization's positions/jobs and HR structure. More detail is outlined in the following slides.

When should I start a Skills Development Plan?

• Once your Solution Description and Solution Toolkit is developed, the solution has been proven impactful and a Transition Strategy has been developed, you should work with your program team, transition coach and target receiving government/partner to start developing the SDP. While having the Transition Readiness Checklist and Transition Plan completed are needed to confirm dates in the SDP, they are not required to start developing the plan. You can start before the Transition Strategy, but you should carefully consider the risks in developing competencies and skills that may ultimately not be needed in the future vs the advantages of starting earlier.

How do you develop the SDP and conduct a SDP workshop or series of meetings?

• This is up to each program team, their partners and coach – but you should develop the plan with the receiving government/partner, ideally in a meeting or workshop format. The time required or approach can vary. The most important thing is that everyone understands the solution, the associated skills, the most effective learning approaches, and the target dates for skills acquisition, so that the right people are targeted for skills development and the right approach for skills development is chosen.
Process description standards

Definitions

Start or End of a process: Each process flow will begin and end with this symbol

Process Step: Description of application/system step or manual step within the process will be described in this symbol

Document: This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step

Incoming Link: Symbol will be used if the process is a continuation of another process

Outgoing Link: Symbol will be used if the process continues to an additional processes or sub-processes

Decision: Symbol will be used if alternative flows exist depending on a decision
Process for developing a Skills Development Plan

1. Identify skill topics for all solution elements
2. Initiate SDP development
3. Conduct workshop to develop SDP
4. Develop Skills transfer agreement
5. Track and assess skills acquisition
6. Update SDP

Validated?

Yes

Skills Transfer Agreement

No

Skills Development Plan (SDP)

END

Solution Toolkit
Transition Strategy
Transition Readiness Checklist
Transition Plan
Solution content
Roles by organiz.
Missing positions and/or headcount
Need by dates
Changes to solution content
Changes to Transition dates

See RACI for Roles & Responsibilities

Solution Toolkit, Transition Strategy, Transition Plan, and TRC done

Solution Toolkit
Transition Strategy
Transition Readiness Checklist
Transition Plan
Solution content
Roles by organiz.
Missing positions and/or headcount
Need by dates
Changes to solution content
Changes to Transition dates

Skills Development Plan implemented

Transitioning Well Integrated Guidelines_November 2023
### Skills Development Plan step descriptions 1

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| **1.1 Identify skills topics for all solution elements** | • Together with your government/partner liaison, brief affected functional managers on the solution and the transition strategy, so they fully understand the potential impact on their teams/departments/employees. Provide them with the opportunity to give input and provide feedback.  
• Work with the HR and functional managers to identify the distinct competencies and skills needed to execute each solution element.  
Tip: Use the Competencies and Skills Identifier worksheet to do this activity. This worksheet provides the content for section 1 of the SDP. Tip: To avoid unnecessary work, start by looking at the Transition Strategy as it will indicate which functions government will be managing or operating vs partners.  
**Time estimate:** Can take several weeks and iterations and largely depend on availability of each functional manager |
| **1.2 Initiate SDP (Skills Development Plan) development** | • Work with your government/partner to gather inputs regarding a) the receiving organization’s existing structure, job/position descriptions, roles & responsibilities and functional managers/supervisors for all positions/employees in scope  
• Work with your government/partner to document lessons learned on what has worked/not worked for Skills Development (classroom, on-the-job training, etc.) and c) available resources for training and skills development including existing institutions and courses  
• Identify all key stakeholders that need to be involved in SDP development, including HR and functional managers who know the actual skills of the positions/employees in scope  
Tip: What is written in job/position descriptions may not reflect what people are doing so interviews may be needed  
**Time estimate:** Can take over a month |
| **1.3 Conduct workshop to develop SDP** | • Together with your government partner/liaison, conduct a workshop with the affected functional managers to complete the SDP  
Tip: Start the workshop by presenting the overall solution as some participants may only know some aspects of the solution  
• 1.3.1 Complete section 1 of the SDP to agree the list of competencies and skills. Do this by reviewing and discussing the draft Skills Identifier worksheets completed in Step 1.2.  
• 1.3.2 Identify the affected jobs/positions/teams and complete section 3.1 of the SDP  
• 1.3.3 Assess skills gaps. Discuss whether a gap exists between current and needed competencies and skills. For areas where competencies and skills are already in place, document that fact.  
• 1.3.4 For areas requiring skills development, complete sections 2a-2f of the Skills Development Plan template.  
Tip: This assessment can be (but does not need to be) for a named individual. It can stay at the position or job title level.  
**Time estimate:** Can take a half-day to a full day given the number of Solution Elements being covered at one time. |
### Skills Development Plan step descriptions 2

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| **1.4 Develop Skills Transfer agreement** | Once the first Transition Readiness Checklist is completed and the first draft of the Transition Plan is done, staffing gaps may be formally identified and key dates by which skills are needed will be defined. This is the best time to start work with your government partner/liaison to develop an agreement on how competencies and skills will be transferred to the target positions/individuals.  
  - Document the Staffing gaps in section 3.2 of the **SDP**  
  - If the Transition is to happen within the next 12 months: for each position/job listed in section 3.1 of the **SDP**, work with functional managers to identify the target named individuals who will need to acquire competencies and skills. For key positions, ensure there is a least one backup person trained. For all positions, appoint someone who would train a replacement resource.  
  - Set the dates by which competencies and skills will need to be acquired for each position/job and/or individual and complete section 2c of the **SDP**  
  - Develop a Skills Transfer Agreement with the appropriate level of management. The agreement should outline the skill to be acquired, how it will be acquired, the target positions/jobs and/or individuals and the target date for skills acquisition. Most of the content will come directly from the **SDP**.  
  **Tip:** Consult the Transition Plan to identify the dates by which the competencies and skills must be transferred  
  **Tip:** Decide whether the Skills Transfer Agreement will be part of a broader transition-related MoU.  
  **Tip:** Consider whether a partnership with a learning institution could provide for a more sustainable long-term approach  
  **Time estimate:** Can take 1-3 months depending on levels of approvals required |
| **1.5 Track and assess skills acquisition** |  
  - Track progress by individual/team and solution element as part of overall Transition Plan management  
  - Conduct Quarterly or Monthly reviews to check progress on skills transfer and agree any needed corrective actions or changes to the plan  
  **Tip:** These meetings can be part of an overall Transition Plan progress reviews  
  **Time estimate:** Will take as long as is indicated in the Transition Plan and the Skills Transfer Agreement |
| **1.6 Update Skills Development Plan** |  
  - Depending on the success of skills transfer actions as identified in Step 1.4, additional actions or a revised plan may be required.  
  - Determine whether an addendum is needed to the Skills Transfer Agreement to reflect the change in dates or actions  
  **Tip:** A revised plan is needed when the schedule slip is expected to be significant, typically greater than one month later for any given skill transfer.  
  In this case, update the Skills Development Plan and Skills Development Tracker.  
  **Tip:** Consider the need to update the Skills Transfer Agreement. In case of a significant slip, an Addendum will be needed.  
  **Time estimate:** On-going until end of transition |
# Skills Development Plan RACI

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program Manager/ Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Program Team</th>
<th>National Government Champion or Partner Lead</th>
<th>M&amp;E or REL Team</th>
<th>Government Leaders and Employees or Partner Employees</th>
<th>Sub-National Government Champion</th>
<th>Private Sector or Other Partners</th>
<th>Donor/Funder</th>
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<tbody>
<tr>
<td>1.1 Identify skills topics for all solution elements</td>
<td>A/R</td>
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<td>C</td>
<td>C</td>
<td>A*/R</td>
<td>C</td>
<td>C</td>
<td>A*/R</td>
<td>C</td>
<td>I</td>
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<tr>
<td>1.2 Initiate Skills Development Plan</td>
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<td>1.3 Conduct workshop to develop Skills Development Plan</td>
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<td>C</td>
<td>A*/R</td>
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<td>I</td>
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<tr>
<td>1.4 Develop Skills Transfer agreement</td>
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<td>C</td>
<td>C</td>
<td>A*/R</td>
<td>C</td>
<td>C</td>
<td>A*/R</td>
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<td>I</td>
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<tr>
<td>1.5 Track and Assess Skills acquisition</td>
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<td>I</td>
<td>C</td>
<td>A*/R</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.6 Update Skills Development Plan</td>
<td>A/R</td>
<td>R</td>
<td>C</td>
<td>C</td>
<td>A*/R</td>
<td>C</td>
<td>C</td>
<td>A*/R</td>
<td>I</td>
<td>I</td>
</tr>
</tbody>
</table>

*Who is accountable from the government/partner side (whether National or Sub-National will depend on the solution so it is double listed under both)*

**Responsible** – identifies the function(s) that is assigned to *execute* a particular activity. The degree of responsibility is determined by the **Accountable** person. R’s can be shared.

**Accountable** – designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

**Consulted** – identifies the function(s) that must be ”consulted” before a decision or activity is finalized. This is a two-way communication.

**Informed** – identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
# Skills Development Plan Template

**SKILLS DEVELOPMENT PLAN FOR <add solution name>**

<table>
<thead>
<tr>
<th>SOLUTION ELEMENT</th>
<th>1. SKILLS DESCRIPTION</th>
<th>2. SKILL DEVELOPMENT</th>
<th>3. STAFFING STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>a. Skill Area</td>
<td>b. Skill to develop</td>
<td>3.1 Headcount in place today</td>
</tr>
<tr>
<td></td>
<td></td>
<td>a. Approach to develop Skill (classroom...)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Skill acquisition validation criteria</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>c. Needed by (date)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>d. Who does coaching or training?</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>e. Who develops materials?</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>f. Status (Started, On-schedule, At risk)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3.2 Headcount not Inplace today</td>
<td></td>
</tr>
</tbody>
</table>

### 3.1 Headcount in place today
- **a. Position/Job, Department**
- **b. Number of people affected**

### 3.2 Headcount not Inplace today
- **a. Position/Job, Department**
- **b. Number of people needed**
# Skills Description worksheet – section 1 of the Skills Development Plan

**SOLUTION NAME:** xxx

<table>
<thead>
<tr>
<th>Section 1a. Skill Area</th>
<th>Section 1b. Skill to develop</th>
</tr>
</thead>
<tbody>
<tr>
<td>List the topics for which distinct skills will be needed</td>
<td>Describe the skill to be developed by topic</td>
</tr>
</tbody>
</table>

To carry out the activities of this solution element, the following skills topics are needed...

For this topic, the specific skill(s) that will need to be acquired are....

<table>
<thead>
<tr>
<th>Solution Element name: xxxx</th>
<th>Topic 1: xxx</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Topic 2: xxx</td>
</tr>
<tr>
<td></td>
<td>Topic 3: xxx</td>
</tr>
</tbody>
</table>

xxxxxxxxxx
**SOLUTION ELEMENT NAME: xxxxx**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The following approach:</td>
<td>We will know that this Skill has been acquired when the position/job holder can....</td>
<td>The position/job holder needs to have acquired the Skills by this date</td>
<td>Indicate which organization will conduct this work</td>
<td>Indicate which organization will develop the needed materials</td>
<td>The current status of skills acquisition is....</td>
</tr>
</tbody>
</table>

Note: If skills are already in place, complete each cell with a NA (Non-Applicable)
Example(s)

- M-Vaccin Ivory Coast
- DLS Mozambique
- TSS Mozambique
Skills Development Plan examples

For the initial plans, it is recommended to use the M-Vaccin template which uses jobs/position titles and does not require actual individual names.

Example: M-Vaccin Ivory Coast

https://www.dropbox.com/s/e7es6b18uv35on8/M-Vaccin_Plan%20de%20Transfert%20de%20comp%C3%A9tences%20VR.xlsx?dl=0
For the programs closer to transition, it is recommended to use the Dedicated Logistics System template, which requires individual names.

https://www.dropbox.com/s/o2ng2n0hr4fcsq2/DLS_CD%20and%20Skills%20Transfer%20Plan_9%20Octobe r%202019%20v2.xlsx?dl=0
Skills Development Plan Template

**SKILLS DEVELOPMENT PLAN FOR M-VACCIN**

<table>
<thead>
<tr>
<th>SOLUTION ELEMENT</th>
<th>1. SKILLS DESCRIPTION</th>
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<th>3. STAFFING STATUS</th>
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<tr>
<td></td>
<td></td>
<td>e. Who develops materials ?</td>
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<tr>
<td></td>
<td>a. Position/Job, Department</td>
<td>b. Number of people affected</td>
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</tr>
<tr>
<td></td>
<td>b. Number of people needed</td>
<td></td>
<td>b. Number of people needed</td>
</tr>
</tbody>
</table>

**Personal Data Management**

Understand the existing national data security regulations

The Data Protection Officer and the Data Manager must be able to follow the practices described in the national Data Protection Checklist”

On-the-job training with coaching from our organization

Satisfactorily complete a compliance review using the national checklist without support

August 2022

Village-Reach

Village-Reach

Not Started

M-Vaccin Project Manager

1

NA

NA
**M-VACCIN**

**SOLUTION ELEMENT: Personal Data Management**

<table>
<thead>
<tr>
<th>Section 1a. Skill Area</th>
<th>Section 1b. Skill to develop</th>
</tr>
</thead>
<tbody>
<tr>
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<td>Describe the skill to be developed by topic</td>
</tr>
</tbody>
</table>

To carry out the activities of this solution element, the following skills topics are needed...

For this topic, the specific skill(s) that will need to be acquired are....

<table>
<thead>
<tr>
<th>EXAMPLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Solution: M-Vaccin</td>
</tr>
<tr>
<td>Solution Element: Personal Data Management</td>
</tr>
</tbody>
</table>

For Personal Data Management, the following topics are important:

- **Topic 1:** Understand data security practices
- **Topic 2:** Be able to process personal data using the M-Vaccin application
- **Topic 3:** Understand the existing national data security regulations

For Topic 3: *Understand the Existing National Data Security Regulations:* “The Data Protection Officer and the Data Manager must be able to follow the practices described in the national Data Protection Checklist”
## SOLUTION ELEMENT: Personal Data Management

<table>
<thead>
<tr>
<th></th>
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<td>Indicate which organization will develop the needed materials</td>
<td>The current status of skills acquisition is....</td>
</tr>
</tbody>
</table>

### EXAMPLE

Solution: M-Vaccin Ivory Coast

**Topic 3:** Understand the existing national data security regulations

For Topic 3: “The Data Protection Officer and the Data Manager must be able to follow the practices described in the national Data Protection Checklist”

On-the-job training with coaching from our organization

Satisfactorily complete a compliance review using the national checklist without support

August 2022

our organization

our organization

Not Started

**Note:** If skills are already in place, complete each cell with a NA (Non-Applicable)
TSS Tete Skills Development Plan

This is an agreement between VillageReach and the Tete Province DPS to transfer specific skills to named individuals including the method for transfer.

A tabela abaixo ilustra as várias categorias e as respectivas habilidades a serem transferidas, a proposta de quem as deve possuir e o período para o efeito.

<table>
<thead>
<tr>
<th>Processo TST-Categorias</th>
<th>Habilidade e quem deve possuir</th>
<th>Quando a habilidade deve ser implementada</th>
<th>Como verificar se a habilidade foi dominada</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Habilidade a possuir</td>
<td>Pessoa que deve possuir</td>
<td>Formação em sala</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Formação em serviço</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>1 2 1 2 1 2 3 0 / 2 7 2 7 2 0 / 8 1 1 0 1 0 9 1 9</td>
</tr>
<tr>
<td>1. Processo de Gestão -</td>
<td>1.1 Produzir orçamentos para as</td>
<td>Dr. Hassane Raul (DPM); Dr. Fidelio</td>
<td>A DPS com habilidades de produzir os</td>
</tr>
<tr>
<td>Desenvolver orçamentos</td>
<td>supervisões e treinamentos</td>
<td>Mupeze (PAV).</td>
<td>orçamentos dos treinamentos e supervisiones</td>
</tr>
<tr>
<td>de terceirização e</td>
<td></td>
<td></td>
<td>a tempo para a aprovação e desembolso de fundos</td>
</tr>
<tr>
<td>implementação das</td>
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<tr>
<td>atividades</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Implementar as</td>
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<tr>
<td>supervisões</td>
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</tr>
</tbody>
</table>

Example: TSS Mozambique

Transitioning Well Integrated Guidelines_November 2023
8. Post-Transition Evaluation Plan guideline
Contents

8.0 Post-Transition Evaluation Plan Overview
   • Background on this guideline
   • Underlying Assumptions
   • Two Phases of Post-Transition Evaluation Plan
   • Evaluation and Adaption glossary
   • Evaluation questions and key objectives
   • Timeline of activities related to the Post-Transition Evaluation Plan

8.1 Developing a Post-Transition Evaluation Plan
   • Process for developing a Post-Transition Evaluation Plan
   • Post-Transition Evaluation Plan step descriptions
   • Post-Transition Evaluation Plan Roles and Responsibilities: Responsible, Accountable, Consulted, Informed (RACI)

8.2 Proposed Guidance Post-Transition Evaluation Plan
   • Worksheet – Priority setting for the Post-Transition Evaluation Plan
   • Worksheet - Transition and Post-Transition KPIs worksheet
   • Developing the Post-Transition Evaluation Plan
   • Worksheet - Adaptation

8.3 Example(s)
User notice

Disclaimer:
• VillageReach developed this guideline to apply to its solutions, based on its experience and review of existing tools and literature. VillageReach has made the guideline publicly available without warranty of any kind, either expressed or implied, and assumes no liability or responsibility arising from or related to its use.

Suggested Citation:

Guideline development was funded by the Skoll Foundation
Why is it important to have an Post-Transition Evaluation Plan?
This guideline provides users with direction on how to monitor solution key performance indicators throughout a transition, as well as how to evaluate solution impact, fidelity and institutionalization of processes post transition. It also evaluates the transition process itself, highlighting challenges and lessons learned for future solution transitions to government.

What question(s) does this guideline answer?

- How do I work with the government/partner to set KPIs to measure solution outcomes pre/post transition and to guide decisions on solution adaptation post-transition?
- How do I improve institutionalization to increase the likelihood of successful government/partner adoption?
- How do I evaluate fidelity during and post transition?
- How do I identify facilitators and barriers to sustained outcomes during and post transition and document them?
Who is responsible? (See link to the Terms of Reference folder for further details on the roles)

- The M&E focal points for both the government/partner and our organization program team transitioning the solution are responsible for producing a tailored Post-Transition Evaluation Plan for the solution with the support of the Research, Evidence, & Learning (REL) team member, Transition Lead, and the Transition Coach.

- The Transition Coach helps guide the respective M&E focal points through this process.

When do you develop a Post-Transition Evaluation Plan?

- The M&E Focal points from our organization and government/partner should develop a 1-2-page Post-Transition Evaluation Plan at the same time as the Transition Strategy so that there is early agreement on data to be routinely collected and to allow sufficient time to set-up appropriate systems if additional indicators are required. A data sharing agreement between our organization and government/partner should also be requested at this stage.
Underlying Assumptions

Application of this guideline is based on the following assumptions:

1. The Post-Transition Evaluation Plan will align with the program’s existing Monitoring and Evaluation (M&E) Plan in order to reduce the burden of additional work.

2. Post-Transition: these indicators will continue to be monitored under the leadership of the government/partner M&E lead and shared with our organization in accordance with an agreed Memorandum of Understanding (MOU).

3. This guideline assumes that government and partners have similar interests as outlined in this guideline. However, flexibility will be permitted during the plan development process. Agreed upon indicators will continue to be monitored under the leadership of the government/partner M&E focal point and shared with our organization in accordance with the MOU or according to the governments wishes. If government objectives/evaluation questions differ from the questions outlined here, our organization staff should prioritize their evaluation needs and work with them to best support them.

4. The evaluation will be led by either the government/partner and VR or by an external evaluator.
The pre-transition period is used to engage key stakeholders and develop the Post-Transition Evaluation Plan. During this period, our team and government/partner should meet at least quarterly to review agreed upon KPIs and adapt the solution to ensure optimal performance throughout transition (Objective 1).

The post-transition period is used to evaluate sustained solution performance and identify facilitators and barriers to sustained outcomes.
Post-Transition Evaluation Plan glossary

**Adaptation** – adjusting the solution based on new needs or an assessment that reveals insufficient impact. Adaptation can range from small tweaks that reflect a local context to real changes in the solution that affect the solution impact. Any changes that affect impact should be formally agreed and informed by evidence.

**Evaluation** – Systematic collection, analysis and interpretation of data that helps us understand what we have set out to do, what we have accomplished & how we accomplished it.

**Evaluation team** – a person or team (internal or external) responsible for advising and/or participating in the evaluation.

**Fidelity** – the degree to which the solution is delivered as intended to yield the expected solution outcomes. The level of granularity at which fidelity is measured will depend on the specific solution and the degree of adherence to solution components, key activities or SOPs are needed to ensure sustained solution outcomes and ultimately maintain impact.

**Institutionalization** – also referred as adoption, refers to a decision (by government or a partner like our organization) to make use of an innovation to help address a specific public sector problem. This decision is backed up by the support of essential processes and human action including but not limited to regulatory and policy frameworks, incorporation of solution requirements into relevant plans and budgets.

**M&E focal point** – the person responsible for coordinating collection of data, and in some instances analyzing and sharing routine data from both our organization and government/partner sides.

**Monitoring** – Ongoing collection of information about program implementation and performance measured by agreed key performance indicators to help understand what is and what is not working post transition.

**Quality** – The degree to which health services increase the likelihood of desired health outcomes and are consistent with current professional knowledge. The WHO Framework on Integrated People-Centered Health Services describes quality care as being safe, effective, people-centered, timely, efficient, equitable and integrated.

**Solution impact** – Solution outcomes are the expected effects/changes in the short, intermediate, and long term. The longest-term/most distant outcome is the Solution Impact. We are interested in these results pre- and post-transition for comparison and learning.
Post-Transition Evaluation Plan Questions & Key Objectives (1)

The following questions and objectives are recommended. However, the M&E Focal points must adapt to reflect the specific solution and its circumstances, feasibility included.

**Overarching Objective:**
Assess solution performance post transition and identify the facilitators and barriers to optimum performance.

**Specific Objectives:**

1. **Measure solution performance post transition by assessing the following domains:**
   a) Consistency - pre-agreed outcomes for the solution are consistently reached.
   b) Quality – agreed quality measurements e.g., safety and timeliness (in the case of health commodities), efficiency, equity and quality of service (in the case of CCPF). For the purposes of this plan, we will select quality indicators that are relevant for each solution.
   c) Institutionalization- solution-related processes are integrated into key government/partner processes.
   d) Fidelity – agreed implementation processes are followed per the solution toolkit or similar guidance.

1. **Assess adaptation** – demonstrated ability to modify the solution to match the operating context. Modifications can range from small tweaks to complex changes. Depending on the nature of the adaptation, they are expected to occur when there is a trigger in the system affecting outcomes, institutionalization, quality and fidelity. Likely these decisions will be made at the quarterly meetings or following an evaluation. Or in unique cases, for example when there is a crisis that causes the solution to adapt to meet urgent needs.
Post-Transition Evaluation Plan Questions & Key Objectives (2)

The following questions and objectives are recommended. However, the M&E Focal points must adapt to reflect the specific solution and its circumstances, feasibility included.

Key Objectives cont.:

3. **Identify facilitators and barriers to sustained outcomes by assessing multiple factors including:**
   a) Type of solution and associated transition model (e.g., transition to government or another partner).
   b) Identifying the role of anticipated and unforeseen factors and how they influenced (or not) the transition process and/or outcomes.
   c) Influence of the operating environment, e.g., interaction of the solution with the external environment (political, economic etc.).
The process of developing the Post-Transition Evaluation Plan should begin at the same time as the development of the Transition Strategy. At this time, the government/partner should agree upon what key measures they need to measure over time (slide 17) and how and when those indicators will be collected, analyzed and shared. Just before the actual transition begins, ‘baseline’ data will be collected and again preferably around the 1-year mark, at the earliest.

The government/partner and our organization will have shared responsibility of the Post-Transition Evaluation Plan in the first-year post-transition and will agree on specific roles at the time of the development of the plan.
Timeline of activities related to the Post-Transition Evaluation Plan cont.

Objective 1: Measure solution performance during and post-transition

Objective 2: Identify facilitators and barriers to sustained outcomes

Program Design & Start-Up

Implementation

Support for integration into Gov’t Systems

Pre transition

Post-transition

Routine solution monitoring and evaluation of the solution
(out of scope for Post-Transition Evaluation Plan)

Conduct impact evaluation/go-no-go on if solution impactful and worth transitioning
*this is not a part of the Post-Transition Evaluation Plan

Official Transition

Start Implementation

Start Transition Program Design & Start-Up

Support for integration into Gov’t Systems
Developing a Post-Transition Evaluation Plan
User notice

There are two step descriptions for this guideline, one for Pre-Transition steps and the other for Post-Transition steps.
Process description standards

Definitions

- **Start or End of a process**: Each process flow will begin and end with this symbol.

- **Process Step**: Description of application/system step or manual step within the process will be described in this symbol.

- **Document**: This symbol will be used if the process results in document creation or if a document is needed to make a decision or to do the work in a following step.

- **Incoming Link**: Symbol will be used if the process is a continuation of another process.

- **Outgoing Link**: Symbol will be used if the process continues to additional processes or sub-processes.

- **Decision**: Symbol will be used if alternative flows exist depending on a decision.
Process for developing/executing a Post-Transition Evaluation Plan: Pre-Transition

Key dates for Transition

1.1 Initiate Post-Transition Evaluation Plan
   - 1.1.a Confirm evaluation questions and objectives
   - 1.1.b Confirm Key Performance Indicators
   - 1.1.c Confirm data collection process methods

1.2 Complete Post-Transition Evaluation Plan

1.3 Conduct analysis of KPIs (quarterly)

1.4 Conduct review of KPIs (quarterly)

1.5 Prepare pre-transition (baseline) KPIs to feed into post-transition evaluation

Draft data sharing & Evaluation MOU between government & VR

Note: There are multiple activities with related outputs. Each output attached to an activity on this diagram will be informed by the specific activity.

*TRC results can provide context for why you may be seeing dips/gains in performance

See RACI for Roles & Responsibilities

Transitioning Well Integrated Guidelines_November 2023
<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
</table>
| 1.1 Initiate Post-Transition Evaluation Plan | • Prepare by gathering key inputs from government and/or partners (approx. 1-2 months).  
  *Tip: Use the Priority setting for the Post-Transition Evaluation Plan to guide this process*  
  • Initiate conversations on data sharing agreements (approx. 1-2 months)  
  • Determine roles for both our organization and government/partner post-transition |
| 1.2 Complete Post-Transition Evaluation Plan | • Consolidate feedback from stakeholders on the points explored in step 1.1 and finalize the plan (approx. 2-3 weeks)  
  • Design a reporting template that will be used to capture key information required for government and partner quarterly review meetings, action plans and follow-up reviews e.g., Steering Committee meetings for CCIF (approx. 1 day)  
  *Tip: Refer to the “KPI worksheet” “Evaluation and Adaptation Work Plan template and Outputs to develop specific the specific indicators, methods and timeline by question.*  
  *Tip: Use the M&E Community of Practice M&E Plan Template to guide the development of the Post-Transition Evaluation Plan (linked in annex)* |
| 1.3 Conduct analysis of KPIs (quarterly) | • Populate the reporting template (approx. 1-2 hours, quarterly)  
  • Review reporting template and identify issues (Consistency, Fidelity, Institutionalization, Adaptation) needing decisions during the quarterly review  
  *Tip: Use the Adaptation discussion guide to facilitate these conversations to understand what changes or adaptations need be made based on quarterly analysis* |
| 1.4 Conduct review of KPIs (quarterly) | • Bring key stakeholders together to review results of the Quarterly Analysis (approx. 1-2 hours, quarterly)  
  • If necessary, develop an adaptation action plan  
  • Report on progress from previous quarterly review meeting, including on solution adaptation (approx. 1-2 hours, quarterly)  
  • Document results in an Evaluation and Adaptation Report and share with key stakeholders (approx. 1-2 hours, quarterly)  
  *Tip: Consider revising the Transition Strategy and Transition Plan based on quarterly review of KPIs* |
| 1.5 Prepare post-transition evaluation | • Finalize agreements with government regarding post-transition evaluation activities (approx. 1-6 months, depending on stakeholder availability and bureaucratic processes)  
  • Secure needed resources, including funding, for the post-transition evaluation activities (approx. 2-6 months)  
  • Assist government/partner to recruit the partner that will take over responsibility for evaluation post transition if outsourced (approx. 2-6 months)  
  • Review results to date of the Post-Transition Evaluation Plan quarterly reviews  
  • Conduct the handover to the partner taking responsibility for evaluation (timing depends on the complexity of the evaluating) |
Post-Transition Evaluation Plan RACI: Pre-Transition

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Program manager/ Solution Owner</th>
<th>Transition Lead</th>
<th>Transition Coach</th>
<th>Implementer M&amp;E or REL team</th>
<th>Government/ Partner M&amp;E Focal Point</th>
<th>National Government Champion or partner lead</th>
<th>Sub-National Government Champion</th>
<th>Government leaders and employees or partner employees</th>
<th>Other partners (if relevant)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Initiate Post-Transition Evaluation Plan</td>
<td>A</td>
<td>C</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.2 Complete Post-Transition Evaluation Plan</td>
<td>A</td>
<td>I</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>C</td>
<td>C</td>
<td>I</td>
</tr>
<tr>
<td>1.3 Conduct analysis of KPIs (quarterly)</td>
<td>A</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>A</td>
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<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.4 Conduct review of KPIs (quarterly)</td>
<td>A</td>
<td>C</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>I</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>1.5 Prepare post-transition evaluation</td>
<td>A</td>
<td>I</td>
<td>I</td>
<td>R</td>
<td>R</td>
<td>A</td>
<td>C</td>
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**Consulted** — identifies the function(s) that must be “consulted” before a decision or activity is finalized. This is a two-way communication.

**Informed** — identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Process for executing a Post-Transition Evaluation Plan: Post-Transition

START

MoU on Evaluation & Data Sharing

Understand solution performance pre-and post-transition
2.1 Collect data to understand pre-transition solution performance post-transition
2.2 Collect/analyze data to understand barriers and facilitators
2.3 Conduct analysis and produce report

Understand solution fidelity, degree of institutionalization and quality
3.1 Collect data to understand pre-transition solution fidelity and institutionalization
3.2 Collect/analyze data to understand barriers and facilitators
3.3 Conduct analysis and produce report

Evaluation Report

END

During the post-transition period, quarterly reviews or an alternative process will continue per agreement pre-transition as routine monitoring. In addition, an evaluation is recommended. Each of these processes may lead to minor or major adaptations of the solution. The approach for evaluation should be defined during the Pre-Transition phase for Step 1.5 Prepare post-transition evaluation.
## Post-Transition Evaluation Plan step descriptions: Post Transition

<table>
<thead>
<tr>
<th>STEP NAME</th>
<th>STEP DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Collect data to understand pre-transition solution performance post-transition</td>
<td>Will depend on what is agreed during the Pre-Transition phase for Step 1.5 Prepare post-transition evaluation</td>
</tr>
<tr>
<td>2.2 Collect/analyze data to understand barriers and facilitators</td>
<td></td>
</tr>
<tr>
<td>2.3 Conduct analysis and produce report</td>
<td></td>
</tr>
<tr>
<td>3.1 Collect data to understand pre-transition solution fidelity and institutionalization</td>
<td></td>
</tr>
<tr>
<td>3.2 Collect/analyze data to understand barriers and facilitators</td>
<td></td>
</tr>
<tr>
<td>3.3 Conduct analysis and produce report</td>
<td></td>
</tr>
</tbody>
</table>
### Evaluation Plan RACI: Post Transition

<table>
<thead>
<tr>
<th>PROCESS STEP</th>
<th>Responsible</th>
<th>Accountable</th>
<th>Consulted</th>
<th>Informed</th>
</tr>
</thead>
</table>

Will depend on what is agreed during the Pre-Transition phase for Step 1.5 Prepare post-transition evaluation

---

**Responsible**—identifies the function(s) that is assigned to execute a particular activity. The degree of responsibility is determined by the Accountable person. R’s can be shared.

**Accountable**—designates the function that is ultimately ‘accountable’ for the completion of the activity, and who has the ability to say “yes” or “no.” There can be only one “A” for a decision or activity and accountability cannot be delegated.

**Consulted**—identifies the function(s) that must be ‘consulted’ before a decision or activity is finalized. This is a two-way communication.

**Informed**—identifies the function(s) that must be notified about the completion or output of the decision or activity. This is a one-way communication.
Proposed Guidance
Post-Transition Evaluation Plan
Worksheet – Priority setting for the Post-Transition Evaluation Plan

Sit down with your program team and government or partner to define and build consensus on the following. Whatever format works best for you and your team is fine as long as it is transparent and collaborative. Once the group has come to consensus on these decisions work together to fill out the Transition and Post-Transition KPIs, Evaluation and Adaptation Work Plan and Outputs template and Transition Post-Transition Evaluation Plan.

1. How relevant is a Post-Transition Evaluation Plan to your team and government/partner?
2. Are there existing evaluation systems within government that can be leveraged instead of developing a new plan?
3. What would the government/partner want to know the most about?
4. Who will be best placed to lead evaluation activities both pre-transition and post-transition e.g., an academic partner, another NGO focused on research?
5. What resources are required for government/partners to repeat evaluation activities both pre-transition and post-transition e.g., how will activities be funded?
6. What agreements need to be in place for our organization to receive data and reports pre-transition and post-transition?
7. Which KPIs will be important to track after transition and what are the targets for each?
8. How will KPIs be captured, analyzed and shared?
9. What process should be followed for adaptation?
10. What is required for the solution to be institutionalized and to maintain impact?
11. For the Transition Post-Transition Evaluation Plan (a) how relevant is it to your team and government/partner? (b) Practicality (c) what is required for government/partners to repeat evaluation activities post-transition? (d) what else do the stakeholders want to know?
Worksheet - Transition and Post-Transition KPIs

Our organization’s M&E/REL Team member, Government/partner M&E focal point (with input from their respective teams) should select KPIs for each indicator category listed below to assess quality, institutionalization and solution outcomes during and after transition. They should do this by using the following template to list the selected KPI per indicator category, the target per indicator, frequency of data collection and method for collecting the data.

<table>
<thead>
<tr>
<th>Indicator category</th>
<th>Solution specific KPI (M&amp;E teams, solution lead and government/partner decide)</th>
<th>Target</th>
<th>Frequency of measure (M&amp;E team, solution lead and government partner decide)</th>
<th>Data Collection Method (M&amp;E team selects an appropriate/feasible data collection method)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality</td>
<td>E.g., Timely delivery of service OR Where product is involved for example in vaccines, consider wastage rates</td>
<td>E.g., Define a target metric that our organization and the government/partner agree to</td>
<td>e.g., monthly, one time, quarterly</td>
<td>e.g., in-depth interviews, observation, survey etc.</td>
</tr>
<tr>
<td>Adoption &amp; Institutionalization</td>
<td>Integration of key practices of the solution into the organizational procedures and behaviours of receiving agencies. (e.g., government pays solution staff monthly)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Outcomes</td>
<td>Related to specific solution measurements (e.g., improved stock availability)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fidelity</td>
<td>Solution is being implemented as planned</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Objective 1.

**To measure solution performance by assessing the following domains:**
- Consistency in reaching outcomes
- Quality
- Institutionalization
- Fidelity

<table>
<thead>
<tr>
<th>Methodology</th>
<th>Data source(s)</th>
<th>Responsible</th>
<th>Timeline</th>
<th>Outputs</th>
<th>Action required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analyse routine data</td>
<td>M&amp;E data</td>
<td>M&amp;E focal points</td>
<td>Immediate</td>
<td>Baseline and post transition performance analysis</td>
<td>our organization’s M&amp;E focal persons for each solution to provide a trend analysis of performance over an agreed time-period.</td>
</tr>
<tr>
<td>Analyse routine data</td>
<td>MOU between our organization, government/partner &amp; other stakeholders</td>
<td>M&amp;E focal points</td>
<td>6,12, 18 months after transition</td>
<td>Internal report at 6,12,18,24... months</td>
<td>Program Managers to submit MOUs pertaining to transition activities including data related plans and the team’s plan to obtain data</td>
</tr>
<tr>
<td>Analyse routine data</td>
<td>Minutes of data review meetings, data reviewed, decisions taken, follow-up action taken &amp; results</td>
<td>M&amp;E focal points</td>
<td>Immediate</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Example from CCPF**

Sub-folder 5- all the data in the Evaluation and Adaption folder for CCPF.

### Objective 2.

**Assess adaptation**

<table>
<thead>
<tr>
<th>Methodology</th>
<th>Data source(s)</th>
<th>Responsible</th>
<th>Timeline</th>
<th>Outputs</th>
<th>Action required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Qualitative enquiry</td>
<td>Quarterly meeting reports</td>
<td>Implementati on team</td>
<td>12 months</td>
<td>Internal report</td>
<td>Analysis of meeting reports over time.</td>
</tr>
</tbody>
</table>

**Example from CCPF**

Steering Committee meetings (potentially going to be embedded within existing TWGs) --- monthly/quarterly

Weekly progress meetings ---

Ministry also has internal meetings once a month to discuss the transition and institutionalization and possible integration with other programs. VR used to get minutes through our TA, CCPF Transition Lead will check if we can get them still.
Developing the Post-Transition Evaluation Plan

We recommend you use our organization’s standard M&E template when developing the solution specific Post-Transition Evaluation Plan. Be sure to incorporate the work you’ve done on the previous worksheets (Transition and Post-Transition KPIs and Evaluation and Adaptation Work Plan and Outputs template into the overarching plan) into the overarching plan.

The standard M&E plan template developed by the VillageReach Community of Practice can be accessed here: Dropbox (VillageReach)\0 - M&E Practice Area\VillageReach ME&L Training\1. Module 1_M&E Design\Class 4_M&E Plans\03. Resources\Templates\VR templates
Suggested questions to discuss with the government/partner at the quarterly review meetings:

<table>
<thead>
<tr>
<th>Discussion Question</th>
<th>Discussion notes</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. How do the actual results compare to what was planned/expected?</td>
<td>e.g., describe how quarterly KPI results compare to last quarter? Are the results expected/unexpected? Why? What could be driving any changes in KPI performance?</td>
<td>e.g., List any actions that will be taken based off quarterly KPI results</td>
</tr>
<tr>
<td>2. What worked well in the past quarter? What didn’t work well</td>
<td>e.g., Discuss what went well and didn’t and why. How does that feed into what the team may want to do in the future?</td>
<td>e.g., Document what worked well and didn’t and why. List the challenges faced in the last quarter and how, if at all you overcame them.</td>
</tr>
<tr>
<td>3. What needs to remain unchanged?</td>
<td>e.g., are there components of the solution and/or transition approach that are working really well and need to remain consistent/unchanged to ensure continued/improved performance</td>
<td>e.g., List any specific action items What are your targets for the coming month? What is your plan for achieving these targets? 2. Are there specific changes you plan to make to mobilization, service delivery or the space?</td>
</tr>
<tr>
<td>4. What needs to change? If something will change, what are the implications for the solution elements and/or transition process and stakeholders?</td>
<td>e.g., are there components of the solution and/or transition approach that need to be adjusted to improve performance? If so list them and justification for why those changes are being made.</td>
<td>e.g., List any specific action items to improve solution outcomes or the transition process.</td>
</tr>
<tr>
<td>5. What difference in outcomes do you expect to see from these changes?</td>
<td>e.g., What outcomes do you anticipate will improve as a result of these changes</td>
<td>e.g., List targets for the coming month and how you will ensure these actions or changes happen &amp; who will be responsible for making them happen</td>
</tr>
</tbody>
</table>
Example(s)

- CCPF Malawi Post-Transition Evaluation
Post-Transition Evaluation

REPORT CHIPATALA CHA PA FONI (Health Centre by phone) transition from NGO to Government

Dissemination Meeting

Dr Tambudzai Rashidi & Ms Nitta Kalonga

6 December 2021

1.0 CCPF IMPLEMENTATION POST TRANSITION
1.1. Level of Involvement in CCPF Implementation
1.2. Utilization of CCPF SOPs/Guidelines
1.3. Demand for CCPF
1.4. Monitoring and utilization of data
1.5. Hotline Call Center Operation
1.6. Sustainability

2.0 TECHNICAL AND FINANCIAL MANAGEMENT FOR CCPF POST TRANSITION
2.1. Support from government
2.2. Support from VillageReach
2.3. Support from other Partners
2.4. Monitoring and utilization of data

3.0 TECHNICAL AND FINANCIAL MANAGEMENT FOR CCPF POST TRANSITION
3.1. Best practices
3.2. Lessons learned
Thank you