

Audit report

2009

Post-intervention in FDP

*Audit of field practices and perspectives
for change*

Audit report



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This audit report has been prepared by the technical support team of Pune, under the general coordination of **Uma PANSE** (Family Development Project Coordinator, Swabhimaan) and the valuable contribution of **Neha GHANEKAR** (Child Development Project Coordinator, Swabhimaan).

Mrs. PANSE and GHANEKAR were assisted by **Aparna GHODAKE** (Administration, data management and reporting officer, Swabhimaan) and also present their acknowledgements to **NGOs** field **staff**, coordinators and managers, who have shown their availability and cooperation throughout the preparation and implementation of this audit.

July 2009

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2 INTRODUCTION

Since April 2008, the procedure of FDP is being reviewed step by step to revise and align the practices, methods and procedures with the core ambitions and main goals of the project. At each stage, particular efforts also taken to reinforce the participation and involvement of the stake holders and beneficiaries.

Until April 2009, continuous discussions with NGOs management and coordinators, as well as simultaneous training of field staff, have allowed the implementation of revised procedures, methods and tools for the period of intervention. The “post-intervention” procedure, hereafter called “phase-out procedure” (as per current guidelines), was the last step to be reviewed.

Incidentally, in the last 2 years the priority in monitoring and evaluation could not be given to this stage of the FDP procedure. Absorbed by other project developments, both the NGOs and the technical support team have kept aside the necessary observation and upgrading of the phase-out procedure. By a common understanding, Sneh Deep Janakalyan Foundation (SJF), Vikas Yuva Sanstha (VYS), Swabhimaan and Inter Aide agreed to conduct an audit of the current practices, working methods, procedure, processes and tools, and envisage accordingly the perspectives for improvement and change. All partners intended, by this audit, to find avenues for a better efficiency of the project and an enhanced significance of the post-intervention procedure in FDP.

Assuming that the needs and current situations would be comparable in both NGOs, it was decided to have a procedural audit at Pune level instead of NGO-specific audits and audit reports.

The detailed audit plan was finalised by the auditors considering the requirements discussed with the NGO COs and PMs. The audit was based on one-day observation and interviews intentionally done with all levels of staff (from field worker¹ to project manager) to collect the broadest spectrum of opinions possible and a more accurate quality of observation.

An important expectation set for this audit was also to assess the accuracy of current evaluation tools and practices. The pre-assumption was that the levels of sustainability currently reported are unevenly assessed from branch to branch and NGO to NGO.

3 OBJECTIVES

- Understand the implementation of FDP procedures related to Phase out [evaluation] period
- Assess relevance of each of the five phase out home visits
- Understand the usability of the different tools available
- Understand the current gaps and needs, in order to develop comprehensive and user-friendly tools
- To evaluate the accuracy of current practices / tools in grading “sustainability levels”
- Consider options to maximise family’s participation in the process and in the evaluation, in accordance with the developments already implemented at previous stages of the procedure

¹ Considering the expansion of the project in 2008 and the turn over of staff, the priority for interviews was given to experienced field workers.

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4 METHODOLOGY

Primary data collection:

- Interviews of the Project Managers, Coordinators, the Social Workers and the Field Workers
- Observing PO home visits in each branch, according to the following schedule:

Branch	Date of visits (observation)	Supervisor	FW	Auditors
Vishrantwadi (SJF)	16 th April 2009	Khan	1] Sujata	Neha
			2] Chhaya	Uma
Private Road (SJF)	15 th April 2009	Apte	3] Shahida	Neha
			4] Rekha	Uma
Janata Vasahat (VYS)	20 th April 2009	Lochana	5] Sandhya	Neha
			6] Jaya	Uma
Ram Tekdi	21 st April 2009	Varsha	7] Vandana	Uma
			8] Jyoti	Neha
Upper Indira Nagar	22 nd April 2009	Archana	9] Sonali	Uma
			10] Prabha	Neha
Dandekar Bridge(VYS)	5 th & 7 th May 2009	Rohini	11] Chanda	Uma
			12] Sunita	Uma

Secondary data collection:

- Verification of registers/ records
- Reviewing existing documents defining procedures and tools of the project from Swabhimaan and implementing NGOs
- Consulting documentation related to FDP project in other urban contexts (Philippines, Madagascar, Mumbai)

5 TERMINOLOGY

General terms	
PO	Phase out visit / procedure
FDP	Family Development Project
FW	Field worker
SW	Social worker / supervisor
CO	Coordinator
PM	Project manager
SJF	Snehdeep Janakalyan Foundation
VYS	Vikas Yuva Sanstha

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6 OUTCOME OF THE AUDIT

Currently the PO visits are paid to the family on the 1st, 2nd, 3rd, 6th and 12th months after actual Phase out Assessment [Deletion] of the family. The aim (currently) of these visits is to assess whether the regular intervention has made any difference in the family’s confidence, motivation, understanding, etc and/or whether the family has capacities to manage the things by itself. It also helps to assess how the reduced frequency of home visits by the SW (after Phase Out assessment till Evaluation Visit) has an effect on the family’s actions.

In the audit, the opinions on the current PO procedure and suggestions to bring in improvement was sought from the SWs, COs and PMs. They were asked questions related to the objectives behind the phase out, relevance of 5 visits, benefits of these visits to the families, difficulties in implementation at field and monitoring level and in grading system. Similarly they were invited to provide suggestions to make the intervention more effective. 11 such responses were collected from interviews of 2 PMs, 3 COs, 6 SWs.

6.1 Rationale behind the PO intervention

	Responses and findings	Conclusions and Recommendations	Management response
Objectives behind the phase out	<p>Answers spontaneously given by NGO staff regarding the objectives of PO procedure and visits:</p> <ul style="list-style-type: none"> ▪ Follow up of the achieved and unachieved objectives ▪ To assess ‘Sustainability’ of the family [mentioned by all the respondents] ▪ To find out the change in family/ in thinking of family after working together for 4-6 months ▪ To observe the way family is solving their own problems ▪ If necessary, to guide, to help family in solving unexpected problems ▪ To find out whether the family started thinking about the future 	<p>The project staffs show a fair understanding of purposes and rationale for PO visits and procedures. In particular, it is important to observe that assessment of sustainability and future planning is identified as key element for post-intervention follow-up.</p> <p>The aim of the PO visits is clearly stated as follows: to assess the consequence of the intervention on the family’s understanding, thinking process, and to know whether the family has developed capacities to manage the situations by itself.</p> <p>This also aims at helping the family to be aware about their increased capacities to make them more confident and motivated to look at the future positively by which the family will lead a more sustainable life ahead.</p> <p>In short, the rationale behind a post-intervention follow-up in FDP is to assess and evaluate:</p> <ul style="list-style-type: none"> ▪ The family situation (current) and coping up mechanisms 	

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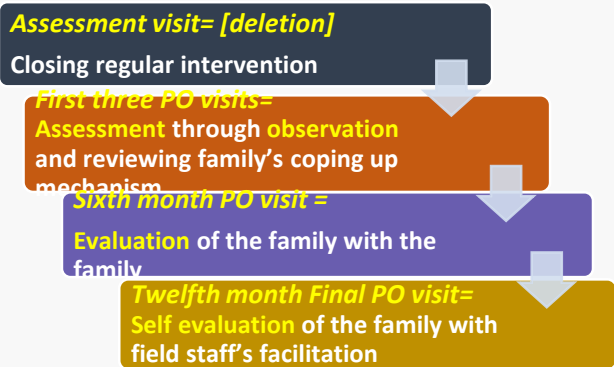
		<ul style="list-style-type: none"> ▪ Thinking process- whether positive solution seeking behaviour [Here the objectives will be reviewed]. ▪ Action oriented attitude [whether the family has taken action towards fulfilling the need/ achieving the objective...] ▪ Maintaining achieved level of confidence, progress [including capacity to support neighbours of other relatives facing similar difficulties] ▪ Harmony between the family members ▪ Anticipating future needs and drawing an action plan for the same 	
<p>Specific findings</p>	<p>Even when identifying “family sustainability” as a key element to observe during PO visits, all respondents shared their confusion about the exact meaning of “sustainability”.</p> <p>It was noticed that the current procedure manual does not contain any guideline or definition of the key concepts for assessment at 6th and 12th month.</p>	<p>There is an urgent need to clarify and detail out the concept of “family sustainability”. It is essential that supervisory, coordination and management staff is comfortable with this concept, as they are guiding the field workers on the same. This clarification could be done in 2 steps:</p> <p>Tool development</p> <ul style="list-style-type: none"> ▪ Upgrade and amend the current procedure manual on PO procedure ▪ Develop a simple but comprehensive assessment tool to facilitate discussions at field level. This shall explicitly mention and define “family sustainability”. The technical support team shall coordinate this revision <p>Training</p> <ul style="list-style-type: none"> ▪ Organise workshops or training for project staff to review PO procedure and clarify concepts. On priority basis, this shall take place before the last trimester of 2009. 	

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6.2 Home visits

	Responses and findings	Conclusions and Recommendations	Management response
Relevance of 5 visits	<p>▪ Out of 11 respondents, just one [inexperienced] SW said that there could be only 6th and 12th months visits. The other 10 responded that all 5 visits are necessary and justified their opinion with the following points:</p> <ul style="list-style-type: none"> ○ On-going intervention period [4 to 7 months] is too short to build and assess family's sustainability. A longer observation is required, particularly to assess the capacity of the family to accept changes ○ keeping a specific time when the focus is not on guidance is also “home work time” for the family where they implement/ use the guidance provided in ongoing period ○ PO visits give a chance to assess family's sustainability without the active support and presence of FWs ○ Phasing out progressively is very important, as suddenly stopping visits may be hard on the families after several months of frequent home visits ○ PO visits also keep open the possibility of further guidance if necessary [guidance on unachieved objectives or new needs identified by the family] <p>For all these reasons, a sequence of 5 visits is seemed as very useful. However, there seemed to be and confusion regarding the specificity of each visit.</p>	<p>Considering that the staff has clearly justified the need to keep the same sequence, the sequence [5 visits, at 1st, 2nd, 3rd, 6th and 12th months] can remain unchanged. The explanations given were clear and thought-through. Nobody justified the relevance of the current sequence by only the fear of making changed in the procedure on field.</p> <p>The need identified is a clarification on the purpose of each visit:</p> <ul style="list-style-type: none"> ▪ The first 3 visits will be for <u>stabilisation [i.e. observation]</u> in which the FW actually may follow the pattern of the ‘Observation Period’, no further guidance is systematically offered (barring a few exceptional cases). Just taking review of ‘what’ and ‘how’ the family is managing the situations and taking a follow-up in the pending / unachieved objectives ▪ The 6th month visit is the <u>evaluation</u> with the tool adapted from ‘Assessment tool’ (used at “deletion”), where the participation of the family will be encouraged more than in the earlier three visits. ▪ The 12th month visit will be ‘<u>self evaluation</u>’ for the family and the field staff just facilitates the visit. 	

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		<p>This way, there is a link in the assessment process.</p> 	
<p>Benefits for the families</p>	<p>While specifically asked about the benefits that a family can take from the PO visits, the respondents mentioned:</p> <ul style="list-style-type: none"> ▪ Family gets psychological support and further encouragement to maintain progress ▪ family gets a chance to verify that the decisions taken independently are appropriate and this leads to developing confidence ▪ Family gets reassured that if any guidance required in future, they have options ▪ Realization of the current needs and previous achievement [increase in awareness level and self-satisfaction with the progress made] ▪ Can receive guidance on current needs ▪ Extended contact with FW, smoother withdrawal <p>These points were not necessarily observed in the actual home visits observed by the auditors.</p>	<p>The main benefits for the family are clearly understood by SWs, COs, PMs. However, this approach / clarity was lacking in the visits actually audited. This may be due to a lower level of understanding to the concepts of participation, etc, which were introduced since 2008.</p> <p>Training</p> <ul style="list-style-type: none"> ▪ Clarify for the FWs simple sequence and guidelines to encourage a more interactive approach of the visits [i.e. clarify the monitoring purpose but also the benefits taken by the family and enhance this understanding] ▪ This may come by reducing the role of the FW in PO to a supporter, a motivator and an observer rather than a guide 	

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6.3 Implementation and Monitoring

The auditors accompanied 2 FWs from each of 6 branches. Total such visits paid were 2 each for first & second months' follow up, 7 each for third & sixth months' follow up, and 3 visits for the yearly phase out follow up. The same FWs were interviewed also. The home visits observed by the auditors followed the planning decided at the branch level: no specific arrangement was made. The SWs and management staff were also invited to share their comments on the implementation of the procedure. The main purpose of this section is to assess the efficiency of the PO visits. The skills of home visits were not specifically studied, as they are not specific to this stage of the procedure (furthermore, an audit on FDP home visits was conducted in 2007).

	Responses and findings	Conclusions and Recommendations	Management response
Planning of visits	<ul style="list-style-type: none"> ▪ In almost all the branches (both NGOs), the SW prepares the list of families to be visited in the month, and shares it with the respective FWs. This list is taken out from the MASTER REGISTER. ▪ Planning system is available, but is not uniform in all the branches or the NGOs ▪ Generally, no family is missed through this system but for the families which could not be met which might not get recorded in the family file. ▪ Completing the PO intervention in case of the concerned FW not being available after assessment to do the PO visits. This may happen typically when a FW resigns/discontinues working with the NGO. Also where there are not enough experienced FWs to take over/share the workload of such FW, at times the management, in consent with the technical support team, requires taking a decision to stop visiting families in PO period. Sometimes finding families also could be an issue and altogether seeking response from the families as well as assessment for a new worker becomes very difficult. ▪ There is a particular difficulty and inconsistency in planning PO visits in areas where there is no further on-going intervention [only PO visits continue for 1 more year] 	<ul style="list-style-type: none"> ▪ The MASTER REGISTER can be the key register for all the visits' monitoring, to ensure an easy and systematic checking of the planning of visits ▪ If the family could not be met, then, while updating the MASTER REGISTER, the SW need to note 'CNM' and the date of visit, so that the following month the family comes again in the list. ▪ When a FW is transferred from the branch, the same FW shall follow the families in PO by adjusting her monthly planning with the concerned SWs and the CO ▪ If the FW is relieved from the current project, then decision about the PO intervention of the concerned families will be taken along with the NGO PM. The technical support team will closely enquire about the solutions proposed and consistency in the follow up. ▪ Clarification in roles and responsibilities: it should be the responsibility of the CO to make sure that when PO visits are the only ongoing activity in an area; these visits are planned and monitored consistently. The CO can check that SWs include this in the FWs monthly planning and workload systematically 	

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<p>Preparation of the visits</p>	<p><u>Clarity on priorities and action plan</u></p> <ul style="list-style-type: none"> ▪ The priorities were identified in the action plan and written only in 25% of the case visits observed by the auditors <p><u>Studying / reading files</u></p> <ul style="list-style-type: none"> ▪ The “study” and preparation is mostly focused on the objectives identified and worked on with the family. Key elements in family constellation and family dynamics are sometimes neglected. ▪ There is no specific time for preparation. Almost all the respondents [FWs] said that they just browse/ shuffle through the files before going for the PO visits. ▪ The file is <i>studied</i> [read in details] only if the FW was not involved in the ongoing intervention of that family [i.e. FW in charge of the case has been transferred to another branch or has left the project] ▪ Only two FWs [out of 12] said that they never go through the case files because they remember the case by the name of the family only. <p><u>Perception of importance of preparation</u></p> <ul style="list-style-type: none"> ▪ Mainly for the 12th month visits, [9 out of 12] FWs said they need to read some of the recordings from the files. ▪ Out of these, 7 FWs said they read the file for 6th month visit too. Only 3 FWs said they also see the file for 3rd month visit. 	<ul style="list-style-type: none"> ▪ At the time of ‘Assessment meeting’ [deletion meeting], a definite action plan needs to be designed and recorded in the case file. This action plan should focus on the observations to be done, and not only on the remaining guidance to be given. The SW shall guide each FW on how to do so. ▪ This is important in order to support the FW and make sure that each visit ²has a specific purpose. This is a condition of efficiency. At present, the preparation time is insufficient and lacks in efficiency. ▪ The first three visits shall be done according to the ‘action plan’ recorded, except if there are changes in the family situation. ▪ The FWs must study the plan of action and the file before all the visits ▪ The SW/ other FW visiting along shall read the case and study the action plan before the home visit ▪ The two will discuss and decide the strategy of conducting the visit 	
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² [These actions will narrate in the language of observations to be done and not as the guidance to be provided. The SW may also specify ‘how’ the FW can do it. (e.g. asking the family how far they have gone in achieving the ‘objective’, what did they do, was there any difficulties, what was the solution they came up with, what was the outcome, what is the next step, ...)]

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<p>Difficulties in implementation</p>	<p>The difficulties mentioned by the FWs were:</p> <ul style="list-style-type: none"> ▪ Difficulties in understanding and following the guideline form [introductory part of the form has lost its relevance, particularly with skilled and/or experienced staff] ▪ There are limitations in discussing many things due to lack of privacy, if relation between the couple/ family members is inharmonious, hence could have to rely only on observation from body language ▪ For one FW, it was difficult to understand how to observe the change in the family 	<p>Tool development</p> <ul style="list-style-type: none"> ▪ The guideline form needs to be updated and replaced by guidelines for PO home visits. 	
<p>Home visits skills</p>	<ul style="list-style-type: none"> ▪ The family is not necessarily given a clear idea about the phase out period and visits/ frequency. The field staff also suggested being more consistent on this point. ▪ Due to lack of clarity for some FWs on concepts and specific expectations in PO visits, the visits are not conducted with the same ease as in the regular visits during the guidance / intervention ▪ Some FWs find it difficult that the efficacy of the PO visits depends on the response of the family ▪ The message is not systematically given to the family that for any further guidance required, guidance centre timing is available at branch office. It is a missed chance to motivate the family in visiting the centre ▪ The discussions are usually focused on the achievement of certain objectives, less frequently on observing and acknowledging the confidence gained by the family 	<ul style="list-style-type: none"> ▪ The clear idea about phasing out shall be given to the family in the 'Assessment visit' by the SW or the FW. This process can start even before the 'Assessment visit', when the FW introduces the visit of SW for Assessment, explaining the purpose behind the visit etc. <p>In the Procedure Manual, in "assessment visit", the point of informing the family clearly about PO period and frequency etc shall be clarified.</p>	
<p>Home visit tool (guideline form)</p>	<p>Usage of the tool</p> <ul style="list-style-type: none"> ▪ A very few FWs [very experienced] discuss openly with the families and actually use the guidelines as a check list to structure the discussions / the visits. In such cases, the FWs had the capacity to conduct a global review (=global situation of the whole family), and do the 	<ul style="list-style-type: none"> ▪ It is a positive indicator that most of the field staff does not require to introduce themselves or to remind the family about the earlier intervention [this is the first part of the guideline form]. <p>Tool development</p>	

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reporting similarly. Here assessing sustainability of the family becomes easier

- Overall, the field staff does not understand how to use the *guidelines* and none can cover all the (critical) points mentioned in the guidelines completely [only one respondent said that she could cover all the points from the guidelines]. Observations regarding family handling the situations, coping up mechanism, or difficulties in facing/ solving the issue were some of the examples where the field staff was uncertain how or hesitant to ask.

Monitoring

- There is no sign of monitoring or checking of the guideline form by supervisory staff

Difficulties shared by field staff

- One FW said that it was difficult for her to follow the guidelines. A FW found it difficult to ask about good or negative incidences happened in that family
- Most of the respondents are of the opinion that the introduction of self and the NGO and reminding about the earlier intervention to the family are not required in the guideline and is not used most of the times. Families always recognize the FW.
- Most of the field staff suggested that what would be more useful for them is a checklist (“points to be covered in the visit) rather than the current format (presented as “target” of each PO visit)
- Many FWs were not trained about PO guideline form, which can explain the confusion and limited usage of the tool

- As per the suggestion and the findings, the guidelines could be converted in a [checklist](#) format, deleting the above mentioned points and adding a few.

Training and capacity building

- The field staff needs to be trained on PO tools with the same consistency as for regular intervention tool
- A proper training on implementation of the checklist will be part of the training on PO period, which could be organised (at the end of July or beginning of August) for both the NGOs.
- As there will not be a guideline form, while checking of the records from the CASE FILE, the SW needs to note whether all the points from the checklist have been covered in the visits.

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6.4 Reporting and record keeping

	Responses and findings	Conclusions and Recommendations	Management response
Reporting of visits	<ul style="list-style-type: none"> ▪ The reporting on the 5 PO visits is sometimes neglected and incomplete. The monitoring of the same is not found in family file ▪ The worker following up the family handled by other FW in regular intervention then in the phase out period way of reporting & home visit is not very clear or smooth for her. 	<ul style="list-style-type: none"> ▪ The consistency of monitoring usually observed during the regular intervention is not as systematic in the PO period. The family files are not complete; there should be a monitoring of it by the SW. ▪ The FW taking over the case, should always study and may discuss the case with the SW before any further intervention/ visits. 	
Record-keeping	<ul style="list-style-type: none"> ▪ The SW does not make systematic use of the MASTER REGISTER ▪ The guidelines given by the coordinators in reporting and record-keeping are not always understood on field, there seems to be confusion about how much to write in the family file after deletion of the case 	<p>Ensuring smooth implementation of the PO intervention, proper record keeping of the visits is essential. For this,</p> <p>Clarification in roles and responsibilities</p> <ul style="list-style-type: none"> ▪ The SW needs to maintain the MASTER REGISTER updated with the concerned FW and dates of all the visits should be mentioned in it along with any specific comments. Wherever necessary, the grades (re-assessment of family progress and sustainability during PO) will also be mentioned. ▪ It is the responsibility of the SW to systematically check the files to see whether the recordings of the visits is properly done ▪ Similarly, the CASE FILE will be updated by the FW by recording the visit as any other home visit [especially the observation visits]. <p>The observations done need to be highlighted while recording these visits. Those would be regarding the</p> <ul style="list-style-type: none"> → self sustainability, → self confidence, 	

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		<ul style="list-style-type: none">→ positive attitude,→ action oriented behaviour and→ progress <p>Tool development</p> <ul style="list-style-type: none">▪ the PO home visit guidelines, describing the purpose of each visit and their sequence shall also give expectations on essential points to be mentioned in reporting	
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6.5 Assessment and evaluation: Grading system

Currently the concept of ‘sustainability’ is limited to taking review of the status of the objectives from regular intervention period, as well as of the new objectives arose and the output with some consideration to family’s efforts and capacity of the family to handle the situation. The sustainability is thus decided on the basis of existence of needs/ objectives and the confidence of the FW in the family’s capacity to handle the situation.

To facilitate the field staff to grade the family, a form noting ‘Guidelines’ had been prepared which covered points like reminding about the earlier intervention, taking review of the objectives of the family, any new incidence/s, current difficulties, and family’s coping up mechanism, difficulties faced in solving the issue, plans regarding solution, other longer future plans and whether the family has made use of the experience/ information gained from the intervention in helping/ guiding the friends/ neighbours. The assumption was that the field staff would be able to evaluate the family situation in a better way and can decide about the grades. No specific written guidelines were provided to clarify criteria for each grade.

These [‘Total’, ‘Partial’, ‘Nil’] grades were given at the third, sixth and of PO follow up. Later, to simplify reporting, only twelfth month’s visit report was continued; though the field was suppose to continue assessing families for the 3rd and especially 6th month’s grading at branch level.

The questions regarding the grading were asked to all the respondents. For the FWs, these were more elaborate and multiple questions to know the comfort level in grading, understanding and difficulties if any. The following table represent responses from all the different level staff.

	Responses and findings	Conclusions and Recommendations	Management response		
Rationale and general understanding	<p>Methods used on field</p> <ul style="list-style-type: none"> Overall, negligible number of field staff has clarity in the grading system. There are no tools or guidelines available to assist the field staff to grade family’s sustainability (no clear mentions or details in procedure manual or any other tool) Currently the grading is mostly given on the points considered at the time of ‘Assessment/ deletion’ i.e., by default and in absence of specific guidelines, the staff is taking into consideration criteria that are similar to deletion criteria That too, only the status of objectives [achieved/ unachieved] and the current situation of the family [with or without new ‘problems’] are considered while giving the grades. 	<p>Tool development</p> <ul style="list-style-type: none"> A specific tool and guidelines need to be developed, as not available at present This Evaluation system (grading) may be developed on the basis of the ‘Assessment Tool’ [this was suggested by many of the interviewed staff] 			
		<table border="1"> <tr> <td>When to use the tool:</td> <td>The Evaluation tool will be used only in the 6th month PO visit.</td> </tr> </table>		When to use the tool:	The Evaluation tool will be used only in the 6th month PO visit.
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	<p>(Some actually apply the symbols of ‘Deletion criteria’ like ‘++’, ‘+’ is also used in one or two branches).</p> <ul style="list-style-type: none"> There was a response from a FW conducting the 6th monthly visits for the first time that she did not know how to grade. <p><u>Moment of grading</u></p> <ul style="list-style-type: none"> Most of the respondents grade the families on the same day of the PO visit or within the same week. This is a safe practice. However, this is not systematically or thoroughly discussed in group / team / with SW Only one respondent said that it is done at the time of preparation of monthly report 	<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;"></td> <td style="width: 50%;">ask the questions on the issues in which she was a part]</td> </tr> </table> <ul style="list-style-type: none"> For the ‘Self Evaluation’ ³at the 12th month visit, the grading may be done during the visit by the family. With the amendments in the PO period procedure (new guidelines, increased expectations for assessment, etc), there could be a systematic meeting organised between the concerned FW/s and the SW for Evaluating and grading the cases (similar to observation and deletion meeting) It is advisable that, similarly to deletion meeting, such discussions on grading take place within a week of the 6th and 12th month PO visit. 		ask the questions on the issues in which she was a part]	
	ask the questions on the issues in which she was a part]				
<p>Labelling and grading “Total” sustainability</p>	<p>According to respondents, a family showing a TOTAL SUSTAINABILITY AFTER 1 YEAR should have the following characteristics:</p> <ul style="list-style-type: none"> Confidence in finding solutions and confidence in working on new objectives independently [suggested by 6 respondents] Achievement of all objectives [6 respondents] Positive thinking process [3 respondents] Future plans made [3 respondents] overall good awareness level in the family [2 respondents] 	<p>The compiled responses give almost all of the points to be considered while deciding the grade. This is a positive sign. To ensure that all the staff and at every family’s evaluation these points come into consideration, a new tool/s for assessment & evaluation will be developed.</p> <p>The new PO period procedure will also propose different grading pattern.</p> <ul style="list-style-type: none"> Efforts will be made towards avoiding all the difficulties and ambiguity faced at the moment in grading the level of sustain- 			

³ this tool will be worked out with more discussions and suggestions from all the partners during the following CO-PM meetings and will be finalised before end of 2009

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	<ul style="list-style-type: none"> ▪ Positive response to the field staff ▪ Achievement of further progress ▪ Efforts done towards solving problems ▪ maintaining sustainability ▪ Independence/ independent decision making ▪ positive interpersonal relationship within the family ▪ Participation of all family members ▪ able to help/ guide others 	<p>ability and to establish the link between the previous assessments and the assessments/ evaluations from the final stages of phase out.</p>	
<p>Labelling and grading “partial” sustainability</p>	<p>According to the respondents, a PARTIAL SUSTAINABILITY AFTER 1 YEAR means:</p> <ul style="list-style-type: none"> ▪ achievement of objectives- partial ▪ achievement of objectives- only with help from others ▪ Lack of confidence in taking action to achieve the objectives or in finding solutions ▪ No independent action taken by the family ▪ Need of FWs intervention continues ▪ cordial relationship between family and Field staff ▪ lack of clarity in deciding Future plans ▪ lack of willingness of family to bring in positive change (status co) ▪ Uncertain current situation/ Unstable family situation ▪ limited decision making capacity ▪ consider assessment criteria similar to '+', '=+' 		
<p>Labelling and grading “nil” sustainability</p>	<p>According to the respondents, a NIL SUSTAINABILITY AFTER 1 YEAR means:</p> <ul style="list-style-type: none"> ▪ Total lack of initiative/ lack of willingness, initiative in working on the objectives ▪ Lack of response from the beginning ▪ Lack of confidence in finding solutions 		

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	<ul style="list-style-type: none"> ▪ More difficult situation has emerged ▪ Unsatisfactory interpersonal relationship within the family ▪ No progress ▪ No action taken ▪ achievement of objectives – No significant result ▪ consider assessment criteria similar to ‘ = ’ of deletion 		
<p>Labelling “Migrated”</p>	<ul style="list-style-type: none"> ▪ Mostly the FWs report it as ‘Migrated’ only after definite news from a relevant person that the family will not come back as have migrated ▪ Or if the family had migrated during the PO period ▪ Or after visiting the family twice or thrice in the month with some supportive information from the neighbours ▪ One FW had not yet given such label and was therefore not able to explain what is “migrated” in PO procedure 	<p><u>Reporting as ‘Migrated’</u></p> <ul style="list-style-type: none"> ▪ When is a family considered as “migrated”: the family will be considered as ‘Migrated’ only if the family has migrated AFTER the assessment / deletion visit. [If the family was deleted ‘NA’, which means the family had already migrated. Then this family will not be considered for PO visits, and thus no report of such families will be entered.] ▪ Precautions before reporting a case as “migrated”: before reporting that the family has migrated, the field staff shall make sure by visiting the family three times and acquiring information from the ‘reliable’ source. Reliable source could be the neighbours or relatives with whom the family was known to have cordial relationship and who would confirm the news with confidence. Field staff shall try to collect information on whereabouts and the reasons behind migration if known to the source. If the FW had been told by the family of their migration, and the reasons behind it, then these shall be recorded in the same visit’s reporting. ▪ Migration before 6th month PO visits: If the family migrates in the first, second, third or sixth month, then the report will be produced with the 6th month PO follow up. ▪ If the family migrates before sixth month, then it shall be recorded in the MASTER REGISTER at the particular month’s visit. But the report shall be produced only at the sixth month from ‘assessment.’ Recording of this information shall come in the 	

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		<p>same month's visit report in detail as to how the FW confirmed about the family's migration.</p> <ul style="list-style-type: none"> ▪ Migration before 12th month PO visit: if the family is found migrated at the 12th month PO visit, then it will be reported in the 12th month report. 	
<p>Labelling "Could not meet"</p>	<ul style="list-style-type: none"> ▪ Mostly the FWs report it as 'Could not meet' only after visiting the family twice or thrice in the month ▪ Or after definite news from a relevant person that the family will not be available in the month for the visit ▪ One FW had not yet given such label 	<ul style="list-style-type: none"> ▪ If the communication between the family and the FW is open, and if the prior intimation of the next visit is given, there is a possibility that the family will inform about their unavailability at the time. The FW always needs to mention/ intimate the next visit and tentative week/ day to the family. ▪ Report as 'Could not meet' only after visiting the family twice or thrice in the month [as is] Or after definite news from a relevant person that the family will not be available in the month for the visit ▪ If a FW meets within a few weeks a family that had already been reported as "CNM", there will be no expectation to change the reporting or to complete the evaluation visit. ▪ There should be a clear understanding of the difference between "CNM" [temporary absence of the family] and "migrated" [definitive absence] 	
<p>Recording</p>	<p>The grades are at present recorded:</p> <ul style="list-style-type: none"> ▪ On the GUIDELINE FORM for 6th and 12th month visits ▪ In the MASTER REGISTER, mostly / only for the 12th month grade. ▪ 3rd month grading system has become extremely erratic since the monthly quantitative report has stopped asking for this data. A few branches only continue this 3rd month evaluation 	<p>The recording of the grade shall be in the</p> <ul style="list-style-type: none"> ▪ CASE FILE and ▪ MASTER REGISTER ▪ Grading will be only at 6th and 12th month. 3rd month grading and recording is not necessary. This period (first 3 visits) shall be dedicated to stabilisation / observation and not for assessment. 	

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6.6 Trainings and capacity building

	Responses and findings	Conclusions and Recommendations	Management response
Training needs	<p>The weaknesses identified or suggested by audit and the staff themselves are:</p> <ul style="list-style-type: none"> ▪ Capacity to observe and assess the confidence and sustainability of the family ▪ General recap on PO period : rationale, methods, time-line, tools, reporting, continuity with the rest of the procedure ▪ Capacity to conduct and record efficiently PO visits and (writing skills, home visit skills) 	<p>Training on the PO period</p> <p>A training session or workshop should be arranged (preferably in September 2008) about PO period. This training / workshop could be facilitated by Swabhimaan and shall include:</p> <ul style="list-style-type: none"> ▪ Rationale behind and importance of the PO procedure ▪ Linkage with the earlier procedure ▪ PO follow up Procedure: <ul style="list-style-type: none"> ○ Number and schedule of visits ○ Objective behind each visit ○ Contents of each visit ○ Tools ○ Grading system 	
Support and capacity building	<ul style="list-style-type: none"> ▪ Changed family situation may create new issues for which the family may need support. Need to discuss this between the FW & SW at some point in the PO period. At present, there is no formal meeting about PO ▪ Review of the case during phase out period along with Supervisor and CO (before 6th month visit in particular, if it is expected that a 2nd observer attends this evaluation) 	<ul style="list-style-type: none"> ▪ As the sixth and the twelfth month visits will be conducted along the SW or a Co-FW, the case shall be reviewed as a preparation prior to the home visits. This way the staff can draw an action plan and decide the strategy for the visit. ▪ For the earlier visits [first, second and third], the action plan shall be specified in the 'Assessment meeting'. If any change in the situation, which needs immediate attention or change in action plan, the FW may discuss it at the same time with the SW. This does not need a specific action/ step in the procedure. The SW should be available for such support and guidance all the time, so should the CO if required. 	

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7 CONCLUSIONS AND RECOMMENDATIONS

7.1 General conclusions

As summarised below, this is how the audit has answered to the objectives set initially and proposed recommendations accordingly:

- **Implementation of procedures**

The first objective of the audit, as explained previously, was to bring to light the practices and procedures currently followed on field for the phase-out period. In this regard, the audit could summarise accurately the elements of field implementation and field monitoring.

In particular, the current distribution of roles and responsibilities between FWs and SWs has been documented through this audit. It is positively noticed that the planning and implementation of the PO visits, as well as the reporting on these, is consistently and systematically happening on field. This is a major advantage to discuss further with the teams about improvements.

It is also important at this stage to note that practices and methods, despite a weaker monitoring from NGOs as well as technical support team in the past 2 years, is homogenous between all branches and both VYS and SJF. This is a solid ground for the implementation of further developments and recommendations, as it means that both NGOs and all field staff already have common understanding and methods for this step of the FDP procedure.

Conclusions: the PO procedure (planning of visits, actual visits, reporting) is at present consistently and systematically implemented on field, with a similar level of understanding in all branches of both NGOs. This is a positive finding of the audit, and shall facilitate the implementation of recommendations towards improvement on methods and tools. A major weakness is however identified in the monitoring and record-keeping in PO period.

- **Relevance of current visits and sequence**

An implicit question for the audit was to assess the need to maintain, in the PO period, 5 visit with the following sequence: in the 1st, 2nd, 3rd, 6th and 12th month after the closing of the case (=deletion). The rationale behind a post-intervention procedure in FDP being clearly stated and integrated by the supervisory and management staff (see section 6.2), the relevance of the 5 visits has been validated. Moreover, a long-term PO period (12 months in Pune) is really understood as a possibility to accompany further the progress of each family and in due time assess their sustainability.

However, though the number and sequence of the visits is currently validated, the purpose and specificity of each visit shall be discussed further.

Conclusions: a sequence of 5 visits at intervals of 1st, 2nd, 3rd, 6th and 12th month is still relevant in the FDP procedure. However, the confusion regarding the specificity of each visit could be avoided with a clear definition of the purpose and method for each of the visits according to the following pattern: stabilisation of intervention (up to 3 months after deletion), evaluation of sustainability (6th month), self-evaluation of intervention by the family (12th month).

- **Availability and usability of tools**

The main tool currently used on field for the PO procedure (the “guideline form”) has lost its relevance today, as shown by this audit. With the skills developed by the FWs throughout the intervention, the need is no more for basic guidelines centred around skills and methods, but more on the development of a checklist of points to support the FWs in structuring their discussions with the families.

A major gap in the current procedure, highlighted by the present audit, is the absence of guidelines or tool on the grading system applicable in the PO procedure.

Conclusions: the current home visits guideline form shall be converted into a checklist focusing specifically on the global review of the case, the elements showing progress or evolution in the family, the elements comforting the assessment of the sustainability of the family. Similarly, a tool shall be developed to systematize the practices in the grading of sustainability after 1 year.

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- **Current gaps and needs on field**

As summarised in other sections of this report, the main gaps and needs were identified as follows:

- Clarification of concepts and methods (sustainability)
- Development of tools (home visit guidelines, evaluation guidelines)
- Clarification of roles and responsibilities (consistency in monitoring, impact of turn over of staff on PO visits)
- Development of systematic training and capacity building

Conclusions: *although a systematic quantitative implementation of PO visit has been noticed, and despite a good understanding of the rationale behind a long-term post-intervention model, major gaps and needs have been identified in the methods and approach, monitoring, tool development by the technical support team and support to field staff.*

- **Understanding and practices in grading sustainability**

According to the present audit, the implementation of the grading system (total - partial – nil – migrated – could not meet) is one of the key weaknesses of the procedure and its implementation on field. Indeed, there is a high degree of inconsistency between branches (rather than between NGOs) and different levels of understanding. More significantly, only few members of the field teams have a clear understanding of the concept of family sustainability, which explains the confusion and discomfort currently observed in the grading of cases 1 year after the ‘deletion’.

The absence of guidelines and definitions in the procedure manual contributes to maintaining this confusion and discrepancies in implementation.

Conclusions: *in absence of a clear understanding of “sustainability” and the availability of guidelines for grading family sustainability, it was logically observed that the understanding and practices in grading sustainability vary considerably from branch to branch and staff to staff on field. Furthermore, the current assessment categories (total – partial – nil in particular), have lost their relevance due to the revision of the criteria for assessment at the time of deletion.*

- **Family participation in PO procedure**

Till date, no specific guideline or focus has been given to the family participation or self-determination in the PO period. Logically, a low level of achievement has been observed on this point during the audit. Only experienced and very skilled FWs are in capacity to accompany the families to do their own review of the intervention and progress made.

Conclusions: *In order to put the PO period in line with the developments introduced since March 2008 in all the previous steps of the intervention, further discussions will be necessary. These could, for example, anticipate and design the possibility of self-evaluation by the family during the 12th month visit.*

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7.2 Summary of observations

1. **Concept clarity / Rationale** behind the procedure and the **benefits to the family**
 - Project staff have a fair understanding of purposes and rationale for PO visits and procedures
 - No consistent and systematic training of field staff on PO procedure and related tools
 - Distinction in purpose of each PO visit needs revision and clarification
 - Strong demand from staff to clarify the concept of and meaning of “sustainability”
 - Limited vision on the benefits of the PO visits to the families
2. **Procedure and sequence of home visits**
 - **Proved relevance of all 5 visits** in the PO period
 - No need for revision of visits schedule / sequence (1 month, 2 months, 3 months, 6 months, 1 year)
3. **Implementation and monitoring**
 - Systematic planning and implementation of all five PO visits by field staff. Most of the families have been visited with the expected intervals.
 - Disparity and lack of uniformity between branches regarding the responsibility in the **planning of PO visits**
 - **Lack of consistency in the preparation before the PO visit (need for specifications and guidelines)**
 - Weaknesses in the monitoring
4. **Reporting and record-keeping**
 - Incompleteness and inconsistency in the reporting on each PO visit
 - Weaknesses in monitoring
 - Need for guidelines on writing skills necessary to report on PO visit in particular
5. **Tools**
 - Guideline form not used comfortably by field staff and could be more user-friendly if simplified
 - Doubts and discomforts in purpose and usage of tools mainly due to lack of training
 - Absence of tool to guide discussions and decisions on levels of sustainability , need urgent recommendations and developments by the technical support team
 - Need to review and clarify the grading system for levels of sustainability (meaning, procedure, expectations)
 - Current grading system does not allow comparison between levels of deletion and levels of sustainability (no common vocabulary, no link, inconsistency in the guidelines given), thus disconnecting the 2 stages of the procedure (when they should actually converge)
6. **Participation of the family** in evaluation process
 - Limited consideration is given to maximise family’s participation in the process, such efforts depend on own initiative and capacity of field staff

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7.3 Main recommendations⁴

Procedure

- The **PO Procedure will be revised** considering the outputs and suggestions from the audit and with due consideration given to maximise family's participation in the process.
- Related tools will be developed, proposed and finalised with the consent of the NGO PMs and COs.
- **The procedure document shall include**
 - Rationale behind and importance of the PO procedure
 - Link and continuity with the earlier procedure
 - Number and schedule of visits
 - Objective behind each visit
 - Contents of each visit and roles
 - Record keeping and monitoring
 - Tools

Tools

- Guidelines for each PO visit
- Check list: the guideline form will be converted in to a checklist
- Evaluation tool [Grading system] to facilitate the staff to take a decision on the level of family's sustainability
- 'Self Evaluation Tool' to be implemented at the twelfth month visit. This tool will be developed by the end of 2009

Trainings

- Systematic training series on the PO follow up procedure shall be conducted in both the NGOs for all FDP staff.

⁴ Timeline to be developed in coordination with SJF and VYS

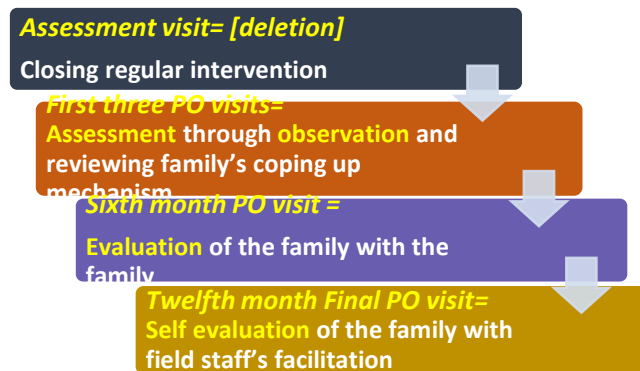
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8 ANNEXURE

8.1 Tools for PO period

8.1.1 Guidelines for each PO visit

In the phase out period, there will be five visits spread over 12 months. The occurrence/ frequency will be as per the existing procedure.⁵



First three visits: stabilisation of intervention and observations

The first three visits will **primarily** focus on observation and to review the family's coping up mechanism and not for providing guidance. This means, focusing mainly on how the family settles down with the guidance provided before, observing how the achieved objectives are evolving and observing how the pending objectives are evolving.

This can be implied as **post intervention observation period**. The field staff can observe things with clearer and better understanding of the family and the family situations. Thus, the reporting will be done with reference to this understanding and of intervention done.

The **contents** for these three visits will be based on the **action plan designed** and recorded at the time of assessment in the case file, except if there are changes in the family situation. This action plan also should focus on the observations to be done, and not only on the remaining guidance to be given.

Preparation:

Preparation before the PO visits is even crucial as the number of visits is very limited and hence every visit needs to be utilised with extreme efficiency.

- The FWs must study the plan of action and the file before all the visits
- The **SW shall guide** each FW on how to do so and may also specify 'how' the FW can do it. (e.g. asking the family how far they have gone in achieving the 'objective', what did they do, was there any difficulty, what was the solution they came up with, what was the outcome, what is the next step, etc...)

⁵ 1st visit in the following month of assessment [deletion] (e. g. if a case has be assessed/ deleted in Dec 08, then Jan 09)

2nd visit will be in the second month from assessment (Feb 09)

3rd visit will be in the third month from assessment (Mar 09)

4th visit will be in the sixth month from assessment (Jun 09)

5th visit will be in the 12th month from the assessment (Dec 09)

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Sixth month PO visit: evaluation visit

This visit shall be used for the 'Evaluation' of the family situation and sustainability. Evaluation shall be done as per the specific tools developed⁶ based on the 'assessment tool'.

Preparation:

- The SW/ other FW visiting along shall read the case and study the action plan before the home visit
- The two will discuss and decide the strategy of conducting the visit
- At the time of deciding the Evaluation grading of the family, the co-worker will have a major responsibility in sharing the observations and assessment.

Twelfth month PO visit: self-evaluation visit

This is the last & final visit to the family, not only for the PO but for the entire intervention with the family. This visit will be utilised for facilitating 'self evaluation' by the family.

The details of the same will be finalised with the participation of the NGOs by the end of 2009.

⁶ Pl refer to the annex 8.1.2

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8.1.2 Evaluation tool

Objectives of the evaluation tool [Grading system]

- Ensuring more rational, uniform system with minimised subjectivity
- Encouraging holistic evaluation of the case
- Supporting the field staff in reaching comprehensive decision
- Maintaining consistency with the other steps of the procedure

Implementation of the evaluation tool

When to use:

- The Evaluation tool will be used only in the 6th month PO visit.

Who will implement the tool:

- The visit shall be accompanied by the SW or a co-FW and the tool will be used by the co-staff.

Why the co-worker:

- This will facilitate unbiased evaluation
- concerned FW is a witness to most of the evolutions, thus asking questions on the same may become uncomfortable at times for her

The proposed grading system is as follows

Evaluation tool has been built on the ‘Assessment Tool’ to facilitate and establish the relationship between the situations at the time of assessment and evaluation.

The following structure, based on the assessment structure, is proposed for evaluating the family situation after phase out.

	achievement of objectives	Progress	Sustainability	Total
Score				Points
Observation / comment				Grade

Score will be given from 1 to 4 for the above three heads i.e. achieved objectives, progress and sustainability. In last column the sum of the points will be taken and depending on that sum the grade will be given to that case [Family].

Following table shows the grades and the range of total score

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<i>'Equivalence table'</i>	
Level	Score
++	11-12
+	8-10
+=	5-7
=	3-4
NA	--

The new structure demands that

Every field staff reviews/ **evaluates** the self sufficiency [Confidence and awareness], Positive attitude and action oriented behaviour more systematically of each family through following heading

- Achievement of objectives
- Progress of the family
- Self sustainability

Then the **scores** will be recorded for that specific family. In case of reporting, only the grade given to the family shall be considered. Evaluating 'rapport' will not be necessary at this stage of the intervention as the phase out period is based on observing the sustainability of the family and not intense guidance.

Interlink-age between the 'Assessment' and the 'Evaluation':

The level of self sufficiency/ independence and progress could be linked with the level of Assessment at the time of phase out [Deletion]. This way, the progress in the family could be analysed and counted as shown below in the '*Grading comparative summary*'

<i>'Grading comparative summary'</i> ⁷						
Assessment grade of the family [=deletion level]	Levels of evaluation [=at 6 th month PO visit]	Improved	Retained	Reduced	Migrated	CNM
<i>From the family case file as per assessment tool</i>	<i>As per the evaluation tool</i>	<i>Tick mark '✓' whichever column is applicable</i>				

⁷ e.g. If the 'assessment grade' (deletion level) of a family 'xyz' was '=+', and the grading for the evaluation for the family comes as '+', then the result of the family will be counted as 'Improved'.

Assessment grade of the family [=deletion]	Levels of evaluation [=at 6 th month PO visit]	Improved	Retained	Reduced	Migrated	CNM
=+	+	✓				

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Definitions:

Each head has been defined and the criteria have been updated to facilitate the evaluation in the 'Grading comparative summary'.

ACHIEVEMENT OF OBJECTIVES

Completeness of the objectives identified with the family during the intervention as well as attitude to take ACTION on any newly emerged objectives (+ timely action and + level of motivation)

Points to consider:

1. **Objectives:** whether the achievement of previous objectives has been **retained** or **completed**
2. **New needs:** Whether any new objectives emerged and how did the family face it
 - **Confidence**-to go out, to ask, to speak out..., seeking solutions...
 - **Initiative and independence** in taking required actions [with or without support from others]
3. **Intervention of the Field staff:** requirement of support from and intervention of the field staff to guide and/or motivate the family to take actions
4. **Time:** required/ taken by the family to achieve a particular objective

PROGRESS

Capacity of the family to move forward, to recognise needs, improve their conditions and their general information level / awareness level with proactive attitude.

The progress of the family therefore means =a gradual and positive development of capacities, with promise of stability of the progress made since the beginning of the phase out period and confidence with autonomy towards further development.

Points to consider:

1. **Positive attitude** – willingness/ motivation to bring in positive changes in 'my' life and in 'my family', being proactive and efforts to bring change
2. **Comparing then and now** – situation of the family at the time of assessment, and comparison with the current situation (during six months of phase out period) (whether improved, retained or deteriorated)⁸. This means: capacity to review the achievements done during intervention, distance, capacity to spot and analyse change
3. **Utilisation of knowledge:** acquired from the regular intervention

SUSTAINABILITY

Capacity to maintain the progress or achievements seen during the phase out period

The sustainability of a family therefore implies: a stabilised socio-economic condition of the family (economic situation, relationships between family members) and capacity of the family to prepare for future, and support others.

Points to consider:

1. Family possessing **capacity to maintain and sustain the progress**
2. **stabilised economic situation**
3. **harmonious relationships** between family members
4. **Capacity** of the family **to prepare for future** with a plan of action taken towards it
5. **Sharing knowledge/** information with other, guiding/ helping...

⁸ Here the nature of difficulty emerged will not be taken into consideration. This is plainly and objectively comparing the situations at the time of assessment [deletion] and after six months of phase out intervention

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'Family evaluation tool – PO 6th month'

ACHIEVEMENT OF OBJECTIVES

<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
<p><u>Unsatisfactory</u></p> <ul style="list-style-type: none"> ▪ Status of most of the objectives achieved in the regular intervention period have been deteriorated ▪ Lack of confidence and initiative to identify new difficulties and find solutions for these [or Very passive attitude. Total lack of initiative] ▪ No action taken. If action taken on any need satisfaction, that was only with constant motivation by FW though with extremely inconsistent behaviour 	<p><u>Average</u></p> <ul style="list-style-type: none"> ▪ Could retain status of most (not all) of the major achieved objectives. ▪ Still require close guidance and intense support from field staff [in completing pending objectives...] ▪ Identification of the exact need missing 	<p><u>Good</u></p> <ul style="list-style-type: none"> ▪ Could retain status of most of the major achieved objectives, or complete the pending objectives ▪ initiated action on the newly emerged needs with confidence ▪ needed limited reassurance and support in preparing the action plan to continue efforts 	<p><u>Complete</u></p> <ul style="list-style-type: none"> ▪ Could retain all previous results and even progressed in status of the major achieved objectives. ▪ Family was proactive on the emerged needs and independently could initiate action and confidently handled the situation ▪ Could confidently approach and used the available resources to achieve the objective/s ▪ Results are achieved without prior guidance or support from field staff

PROGRESS

<p><u>Insignificant</u></p> <ul style="list-style-type: none"> ▪ External risk factors or internal major difficulties impede the family to progress (attention completely focused on day-to-day difficulties) ▪ Could not make use of very basic knowledge gathered in the intervention period ▪ Apathy towards the needs of the family ▪ No major change noticed since the beginning of post intervention 	<p><u>Noticeable</u></p> <ul style="list-style-type: none"> ▪ The situation of the family has started to evolve positively, but due to constant motivation by field staff ▪ Limited capacities to understand the difficulties ▪ Lacking in decision making as well as in taking actions independently ▪ family not capable to look back at previous situation, and is not <u>autonomous</u> to plan for the future 	<p><u>Good</u></p> <ul style="list-style-type: none"> ▪ The family is aware of and informed about needs / solutions [could identify the need independently but needed external support in order to think of solutions] <p>AND</p> <ul style="list-style-type: none"> ▪ The family needed information / referrals, but limited motivation from FW (i.e. family was responsible and acted on their own) <p>AND</p> <ul style="list-style-type: none"> ▪ Level of confidence of the family appears to have increased since the beginning of post intervention period ▪ Could utilise knowledge acquired in regular intervention 	<p><u>Excellent</u></p> <ul style="list-style-type: none"> ▪ The family has shown highly positive attitude in accepting and working on identified needs ▪ The family does not face major risk factors <p>AND</p> <ul style="list-style-type: none"> ▪ A clear positive evolution can be seen for all family members between the end of the regular intervention and six months of follow up period (communication is more open, etc) <p>AND</p> <ul style="list-style-type: none"> ▪ The family has started taking own initiatives, building autonomy and taking proactive decisions independently <p>AND</p> <ul style="list-style-type: none"> ▪ The family has developed a sense of anticipation about the future
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		<ul style="list-style-type: none"> Family has started to see some changes while comparing current and past situation 	<p>(planning, preventing difficulties...)</p> <ul style="list-style-type: none"> The family is capable to see changes, and is confident to maintain these
SUSTAINABILITY			
<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>
<p><u>Shaky / Very uncertain</u></p> <ul style="list-style-type: none"> The economic situations is still very fragile and vulnerable, preventing the family to envisage future situations /needs <p><u>AND</u></p> <ul style="list-style-type: none"> The family is not in capacity to look confidently at the future due to complex current situation [Family does not possess capacity to look beyond today] <p><u>AND</u></p> <ul style="list-style-type: none"> The relationships within the family are not harmonious, stranded interpersonal relationship between the family members which endangers future stability Very uncertain future due to major risk factors 	<p style="text-align: center;"><u>Uncertain</u></p> <ul style="list-style-type: none"> The family shows limited capacity to anticipate future needs and also overlooks current needs and situation The family has low confidence level about seeking help / guidance <p><u>AND</u></p> <ul style="list-style-type: none"> The interactions among family members may be minimal or conflicting at times The income is unstable 	<p style="text-align: center;"><u>Positive</u></p> <ul style="list-style-type: none"> The family can be seen as confident and dependable enough to identify future needs / difficulties <p><u>AND</u></p> <ul style="list-style-type: none"> The family would be ready to address these needs by looking for adequate sources of information, etc <p><u>AND</u></p> <ul style="list-style-type: none"> The family maintains amicable rapport on major issues <p><u>AND</u></p> <ul style="list-style-type: none"> The family has steady source/s of income 	<p style="text-align: center;"><u>Very positive</u></p> <ul style="list-style-type: none"> The family can be seen as confident and dependable enough to identify future needs / difficulties <p><u>AND</u></p> <ul style="list-style-type: none"> The family would be ready to address these needs by looking for adequate sources of information, etc <p><u>AND</u></p> <ul style="list-style-type: none"> There is an harmonious environment / overall healthy atmosphere among family members <p><u>AND</u></p> <ul style="list-style-type: none"> Family is experiencing stable socio-economic situation and does not face any major risk factors <p><u>AND</u></p> <ul style="list-style-type: none"> The family would have the capacity to support close friends / neighbours/ relatives facing similar needs

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8.1.3 Check list

Check list for evaluation of sustainability of a family in the sixth month of follow up visit

Date of Deletion:		Date of visit:	
Name of the Family:	Name of the Field Worker:	Name of the co-staff:	

1] Objectives/ Needs:

A] Major objectives identified in the intervention period	Status at assessment stage ✓=achieved/ 'x' = not ach	Status at evaluation stage '✓'=Retained or completed 'x' = Deteriorated			
1					
2					
3					
4					
5					
B] Newly emerged objectives:	Identified by the family/ field staff	Confident, Initiation / independent actions	Guidance/ motivation from Field staff	Adequate time taken	Lack capacities
List	Write 'Family' or 'Field staff'	Tick mark '✓'= Yes 'x' = No			
1					
2					
3					

2] Progress:

Positive attitude/ thinking	
Comparing then and now	
Utilisation of knowledge	
Any other comments:	

3] Sustainability:

capacity to sustain progress	
Stabilised economic situation	
harmonious relationships	
Capacity to look at future	
Sharing knowledge with others	
Any other comments:	

Audit report

PI use the reversed side for further comments if any

8.2 Audit tools

8.2.1 PO Audit tool for the FWs

Interview schedule for the FWs

Name of the FW:

Branch:

Years of experience in FDP:

A] Preparation:

1) **Note the process of collection of information (how and from where is the list acquired)**

2) **Does the FW study the case before the visits?**

Always sometimes rarely never

3) **Which are the PO visits for which the FW studies the case? (Multiple answers)**

- i. 1st
- ii. 2nd
- iii. 3rd
- iv. None
- v. 6th
- vi. 12th
- vii. All

B] Use of tool:

4) **Is the 'guideline form' used in the 6th /12th month visits?**

- i. only for 12th month
- ii. only for 6th month
- iii. all
- iv. none

5) **When does the FW fill the PO guideline form?**

- i. During the home visit
- ii. Immediately after the home visit- in the office
- iii. Before discussing the level with the SW (PI specify)
- iv. Any other (PI specify)
- v. NA

6) **Who reads/ checks the forms?**

- i. SW
- ii. CO
- iii. Any other (pl Specify)

7) **Are all the points from the form covered during the visits?**

Always sometimes rarely never

8) **If not, which points are not covered? Why?**

Introduction of self and the NGO	
Reminding about the earlier intervention	
Taking review of the objectives of the family	
New incidence/s in the family	

Audit report

Current difficulties	
Family's handling the situation/ coping up mechanism	
Difficulties faced in facing/ solving the issue	
Family's plans regarding solution	
Family's future plans	
Use of the experience/ information gained from the intervention in helping/ guiding the friends/ neighbours etc	

9) Which are the points always discussed in these visits but are not available in the guidelines and need to be incorporated?

10) Did the FW undergo a training to fill the form?

Yes no

11) If yes, when? (PI mention method of training)

- i. At the time of induction
- ii. At the time of first 6th monthly PO visit
- iii. Any other (PI specify)

12) Who was the trainer? (pl mention name: _____)

- i. Co-FW
- ii. Peer Educator
- iii. SW
- iv. CO
- v. Any other (PI Specify)

c] Grading system

13) When is the family's sustainability graded?

- i. At the time of monthly report
- ii. In the week of PO visit
- iii. Immediately after the PO visit
- iv. Any other

14) Who all are involved in the grading system and what are their roles?

	Role
FW	
SW	
Any other (PI Specify)	

15) Are there any guidelines for the field staff to facilitate decision to grade?

Yes no

16) Was the guideline available in the branch? (If yes, PI note to take a copy)

Yes no

17) Which are the points considered while deciding the grades?

18) Did the FW undergo a training to grade family's sustainability?

Yes no

Audit report

19) If yes, when? (PI mention method of training)

- i. At the time of induction
- ii. At the time of first grading to PO family
- iii. Any other (PI specify)

20) Who was the trainer? (pl mention name:_____)

- i. Co-FW
- ii. Peer Educator
- iii. SW
- iv. CO
- v. Any other (PI Specify)

21) Where is the decision recorded?

22) If the usual contact person from the family is not available at the time of PO visit, what is done?

- i. The visit is conducted with the available family member
- ii. The family will be visited again in the same month (how many more visits?)
- iii. The visit is considered as CNM
- iv. Any other (PI specify)

23) When do the field staff comment that the family be reported as ‘CNM’ (could not meet)?

- i. After one effort to meet the family in PO home visit
- ii. After visiting the family twice
- iii. After definite news from a relevant person
- iv. Any other (PI specify)

24) When does the field staff comment that the family is ‘migrated’?

- i. After one effort to meet the family in PO home visit
- ii. After visiting the family twice
- iii. After definite news from a relevant person
- iv. If the family had migrated during the PO period
- v. Any other (PI specify)

D] QUANTITATIVE DATA

25) Expected number of families to be visited for the phase out for the month of March 2009

(If the auditors can see that from the form, or just checking for one month from wherever possible)

PO visit	Month	Expected # of families to be visited	Actual # of families visited	# of Forms filled	# of visits in which SW accompanied
12 th Month	Mar				
	Feb				
	Jan				
6 th Month	Mar				
	Feb				
	Jan				

Audit report

26) How is the # of visits monitored? (Any entry in the register...)

- i. Entry in the master register
- ii. Any other (Pl specify)
- iii. None

27) Which are the visits accompanied by the SW?

- i. None
- ii. All
- iii. 6th month
- iv. 12th month
- v. 6th and 12th month

28) How frequently does the SW accompany the FW for these visits?

Always Sometimes rarely never

29) Pl specify the reasons, if not always accompanied the visits by the SW

- i. Too high workload
- ii. As per the instructions given by the CO/ PM
- iii. Absenteeism/leaves of the FW / SW
- iv. Any other (pl specify)

30) What is the role of the SW in these visits?

E] HOME VISIT OBSERVATIONS

31) Are the priorities identified in the action plan & written (on the form or in the case file/ register)?

Yes No

32) Which part of the visit is difficult to discuss with the family? Why?

33) Did the FW introduce herself? no partially

Did she ask permission by asking whether it's suitable and they have sufficient time to give for the visit? Yes no

34) Did she remind earlier intervention? no

35) How?

36) Did she express the objective/ purpose of the visit?

37) Did she pay attention to all the present members in the house? no

38) Did she ask permission to fill the form? no NA

39) Did she use the tool as a questionnaire or a guideline?

Questionnaire Guideline

40) Did she cover all the main points planned to discussed/ observe in the visit?

41) How was the rapport between the FW and the family?

- i. Very good
- ii. Good
- iii. Average
- iv. Lacking

Audit report

8.2.2 PO Audit tool for the SW, CO & PM

Interview schedule for the SW/COs/ PMs

- 1) What, according to you, is the purpose behind the PO visits?
- 2) Do you think that all 5 visits, with the given duration, are efficient and required? Pl explain why in any case?
- 3) What according to you is the benefit of these visits to the families?
- 4) What according to you should be done to make the visits more effective?
- 5) What modifications are required in the phase out guideline form? Pl give details
- 6) Are there any difficulties in implementing the phase out procedure, at any level

Field level: at the time of visit

Monitoring:

Grading:

Any suggestions or recommendations