# Secure the Future

## A World Vision Tanzania initiative addressing food security and economic development in the context of emerging climate change

## DRAFT Assessment and Design Guidebook

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**Guidebook written for World Vision Tanzania**
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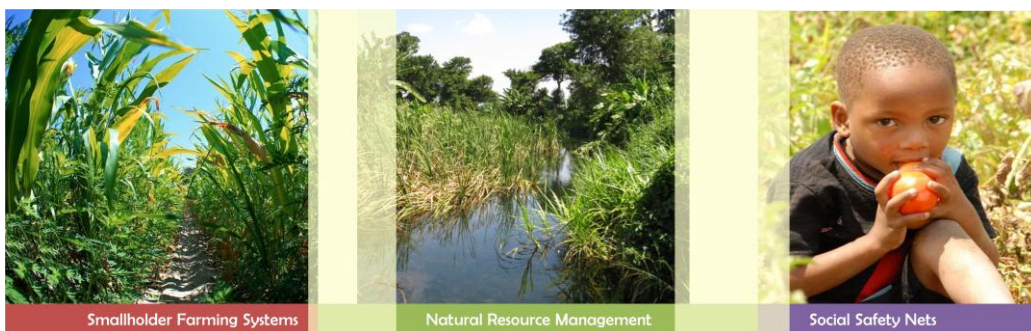**Laura Fontaine, World Vision International**

Smallholder Farming Systems          Natural Resource Management          Social Safety Nets

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# Forewords

World Vision Tanzania is launching a new initiative called Secure the Future (STF) to address food security in the context of emerging climate change based on a new Integrated Smallholder Farming Systems, Natural Resource Management and Social Safety Nets programming approach.

This Guidebook has been written to provide assistance to World Vision Tanzania staff in undertaking the Assessment and Design phase for the Initiative integrated cluster level programme.  As explained further in this Guidebook, STF represents a new programming approach for World Vision in the scope and scale of its programme and projects.

It is precisely because of the innovative nature of this approach that this Guidebook and the accompanying tools and templates have been prepared – to facilitate the process by which WV staff will carry out the programme and to explore how this initiative can be replicated successfully in other regions, countries and continents.

As a new initiative by the Partnership, it should be understood that this Guidebook and associate tools are in 'development mode' and will be tested during the pilot phase of the initiative. This draft version of the guidebook covers the Assessment phase of the programme. The Design phase of the guidebook will be developed and added over time, as resources allow for it.

As a learning organisation, we intend to refine and polish this document and tools as we test them in the field. We welcome any comments and feedback on this version of the guidebook to help us make this initiative a successful one for the benefits of the communities that we serve, specifically the most vulnerable children.

# List of Acronyms

| | |
|---|---|
| ADP | Area Development Program |
| AI | Appreciative Inquiry |
| CWBA | Child Well Being Aspirations |
| DME | Design Monitoring and Evaluation |
| GDP | Gross Domestic Product |
| GIS | Geographic Information System |
| GPS | Global Positioning System |
| IPM | Integrated Programming Model |
| LEAP | Learning through Evaluation with Accountability and Planning |
| NGO | Non Governmental Organisation |
| NO | National Office |
| RO | Regional Office |
| SO | Support Office |
| STF | Secure The Future |
| VACA | Vulnerability and Capacity Assessment |
| WV, WVT | World Vision, World Vision Tanzania |

# Definitions

**Biodiversity:** the variety of life on Earth. It refers to the wide variety of ecosystems and living organisms: animals, plants, their habitats and their genes. Biodiversity is the foundation of life on Earth. It is crucial for the functioning of ecosystems which provide us with products and services without which we couldn't live. Oxygen, food, fresh water, fertile soil, medicines, shelter, protection from storms and floods, stable climate and recreation - all have their source in nature and healthy ecosystems. But biodiversity gives us much more than this. We depend on it for our security and health; it strongly affects our social relations and gives us freedom and choice.

**Climate Change:** a long-term significant change in the climate over time, caused by nature or human activities

> Additional definitions
>
> . Climate change can simply be understood as being a cause and effect chain that begins from human activities and emissions of greenhouse gases and results in changes to the environment and the climate. These environmental changes have impacts upon our socio-economic infrastructures, securities and values, resulting in risks, vulnerabilities and costs to society.
>
> . Climate change in IPCC (Intergovernmental panel on Climate Change) usage refers to a change in the state of the climate that can be identified (e.g. using statistical tests) by changes in the mean and/or the variability of its properties, and that persists for an extended period, typically decades or longer. It refers to any change in climate over time, whether due to natural variability or as a result of human activity.
>
> . This usage differs from that in the United Nations Framework Convention on Climate Change (UNFCCC), where climate change refers to a change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods.

**Cluster:** in the context of the Secure the Future Initiative, a cluster is a geographical area spatially covering multiple ADPs and areas with special funding project.

**Ecosystem:** a community of plants, animals and smaller organisms that live, feed, reproduce and interact in the same area or environment.

**Environment:** physical and natural surroundings

**GIS:** system that integrates, stores, edits, analyzes, shares and displays geographic information to use for decision making.

**Resilience:** The capacity of a system, community or society potentially exposed to hazards to adapt, by resisting or changing in order to reach and maintain an acceptable level of functioning and structure.

**Smallholder farming:** The importance of smallholder farmers derives from their prevalence, their role in agricultural and economic development and the concentration of poverty in rural areas. The term 'smallholder' refers to their limited resource endowments relative to other farmers in the sector. Thus, the definition of smallholders differs between countries and between agro-ecological zones. In favourable areas with high population densities they often cultivate less than one ha of land, whereas they may cultivate 10 ha or more in semi-arid areas, or manage 10 head of livestock. Smallholders represent a large number of holdings in many developing countries. Most smallholders have diverse sources of livelihood including significant off-farm income, yet are still vulnerable to economic and climatic shocks. Their characteristics differ by country and farming system zone. For

example, not only does smallholder farm size vary (as indicated above), but also their allocation of resources to food, cash crops, livestock and off-farm activities, their use of external inputs and hired labour, the proportion of food crops which are sold, and in their household expenditure pattern. The actual farming system, household strategies and behaviour, and the livelihood pattern are determined by resource endowments and institutional factors (access to markets, organization of markets and information, finances, towns, public institutions and services etc). The extent of integration of different types of smallholders with outside markets, whether national or international, affects the way they are impacted by policy changes.

Small holder farming includes activities such as crop farming and livestock keeping which covers cattle, goats, poultry, sheeps, pigs, fish, bees, etc.

**Social Safety Net:** programs targeting the poor and vulnerable in order to reduce poverty and inequality, encourage more and better human capital investments, improve social risk management, and offer social protection. Safety net programs can be provided by the public sector (the state and aid donors) or by the private sector (NGOs, private firms, charities, and informal household transfers).

**Stakeholder:** individual or groups (internal or external to World Vision) that are concerned with (positively or negatively) or affected by the STF initiative.

**Sustainability:** the ability to meet present needs without compromising the ability of future generations to meet their needs.

**Vulnerability:** The conditions determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards.

**Watershed:** the area of land where all of the water that is under it or drains off of it goes into the same place.

# Introduction

This guidebook is divided into two major sections: the assessment and the design. These sections are preceded by a brief overview of the Secure the Future initiative and its context.

The assessment section of the guidebook follows the seven steps of the assessment, step 1 and 2 deal with the engagement of internal and external stakeholders, step 3 and 4 cover the collection of baseline data, both secondary and primary. The analysis of the data and prioritisation of critical issues is covered in step 5 followed by the reporting process in step 6. The last step of the assessment phase is addressing the activities of reflection and learning.

In the guidebook, each step is structured similarly with a description of the activity and its purpose followed by an estimation of the resources required to perform the required activity, in terms of time and skills. For each step a number of supporting documents are attached (as embedded objects). Typically, these documents include tools, meeting and workshop agenda templates, checklists, forms, tables, presentations and various other materials that will assist in the undertaking of the relevant activity.

Section 2 of the guidebook is dedicated to the design phase of the initiative. This section of the guidebook has not been written yet, it will be developed at a later stage as resources become available to do so. The design will comprise of five steps, step 1 will cover the identification and the review of alternative intervention options, leading to the selection of intervention options in step 2. Step 3 will enable the establishment of a long range plan and priority projects, while step 4 is focussed on securing buy-in from key stakeholders. As with the assessment phase, the design phase will close with a reflection and learning stage.

# Overview of Secure the Future

## Context

World Vision Tanzania is a Christian relief, development and advocacy Non Governmental Organization which started in 1981. It is a member of the World Vision International Partnership working in around 100 countries worldwide. WVT assists all people regardless of tribe, religion or ethnicity. The organisation impacts the lives of more than 4.5 million Tanzanians, including one million under 5 children. WVT has Area Development Programmes across the northern and western parts of the country and also operates under special funding projects. WVT operates in 36 districts, 12 regions (Amithay, please update if necessary). WVT interacts with 1.2 million crop production farmers and 0.5 million livestock production farmers.

Like most countries in East Africa, Tanzania is facing a converging set of challenges to its continued development with an economy which is heavily dependent on rain fed agriculture. There are a series of challenges resulting from decades of wide-spread eco-system degradation and mismanagement, including short perm oriented farming and grazing practices. Also, rapidly growing populations and reduced agricultural yields from rain-fed farming are creating unprecedented food security challenges. Finally, changing climate patterns pose a whole new kind of vulnerability to households living on the margin in rural communities. The most vulnerable are falling further behind and require special attention.

> **The economy of Tanzania**
> . Agriculture provides 85% of exports, and employs 80% of the work force.
> . Livestock production accounts for 30% of agricultural GDP.
> . Industry, which is mainly limited to processing agricultural products and light consumer goods, accounts for 17.2% of the GDP.

## STF initiative outline

The STF initiative applies a new methodology for analysis, planning and fund-raising for geographic areas covering multiple ADPs. The approach generates new projects that combine interventions which increase the profitability and resilience of farming systems, assures basic food access to the most vulnerable communities, households, and children, and improves the natural environment upon which rural communities are based. It enhances the capabilities of families, local institutions and faith communities to support the well being of children and care for the environment in their communities.

> **Initiative Goal**
> The well being of children – especially the most vulnerable – is sustained within families and communities in the context of climate change and its threats to agriculture and natural resource systems

The Secure the Future Initiative provides an umbrella framework for a new programming approach. The **STF Strategy** has five primary elements:

1. A Cluster-level analysis and planning framework;

2. A narrow but integrated scope addressing the 3 pillars of rural livelihoods—Smallholder Farming Systems, Natural Resource Management and Social Safety Nets;

3. Cluster-level STF Programme Assessment and Design Methodology compatible with World Vision tools and approaches;

4. A phased roll out of STF Programmes to each of the 16 WVT Clusters;

5. A new proactive fund-raising approach.
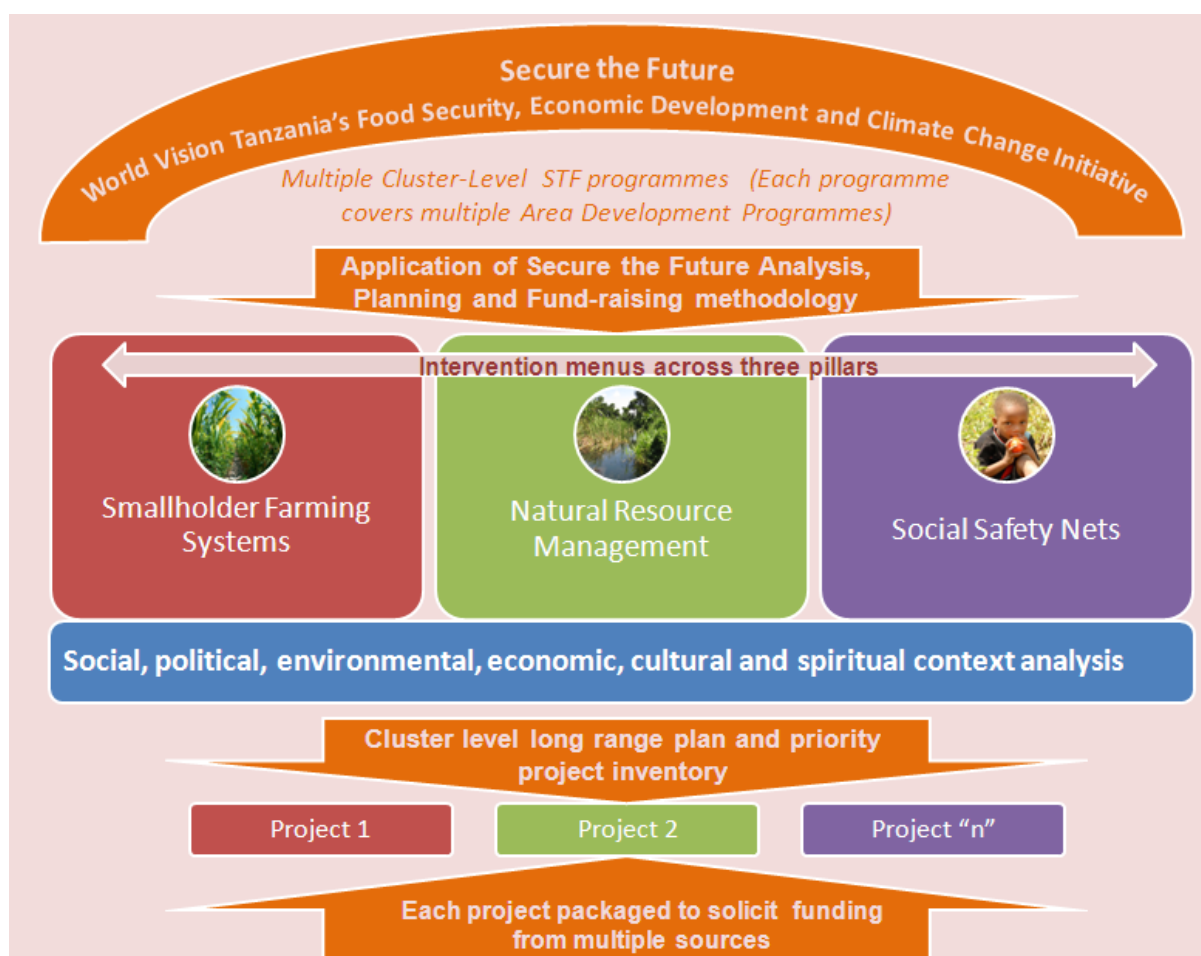


**Expected outcomes**

- Increased agricultural productivity, profitability and resilience through economies of scale in farming system planning, collaboration and financing
- Improved food security and access to food for vulnerable households
- Improved natural resource management and natural environmental resilience providing long-term benefits to rural communities, households and children
- Enhanced capabilities of families, local institutions and faith communities to support the well being of children and care for the environment in their communities

## External and Internal alignment

- STF aligns with the Government of Tanzania's KilimoKwanza Initiative that calls for mainstreaming environmental issues and building farmer capacity to produce strategic food commodities.
- STF provides a vehicle to meet WV's Child Well-Being Aspirations. Particularly important to this ministry are the aspirations for Children to be well nourished and for parents or caregivers to provide well for their children.
- STF draws upon and integrates all of the sectors included in the World Vision Global Centre's Food Security & Livelihoods Ministry Cluster: Food programming, Economic development, Microfinance, Disaster risk reduction and community resilience, Natural environment and climate issues, Agriculture and food security.
- STF methodology is inspired from World Vision programming tools and approach: STF is LEAP aligned and IMP compatible.
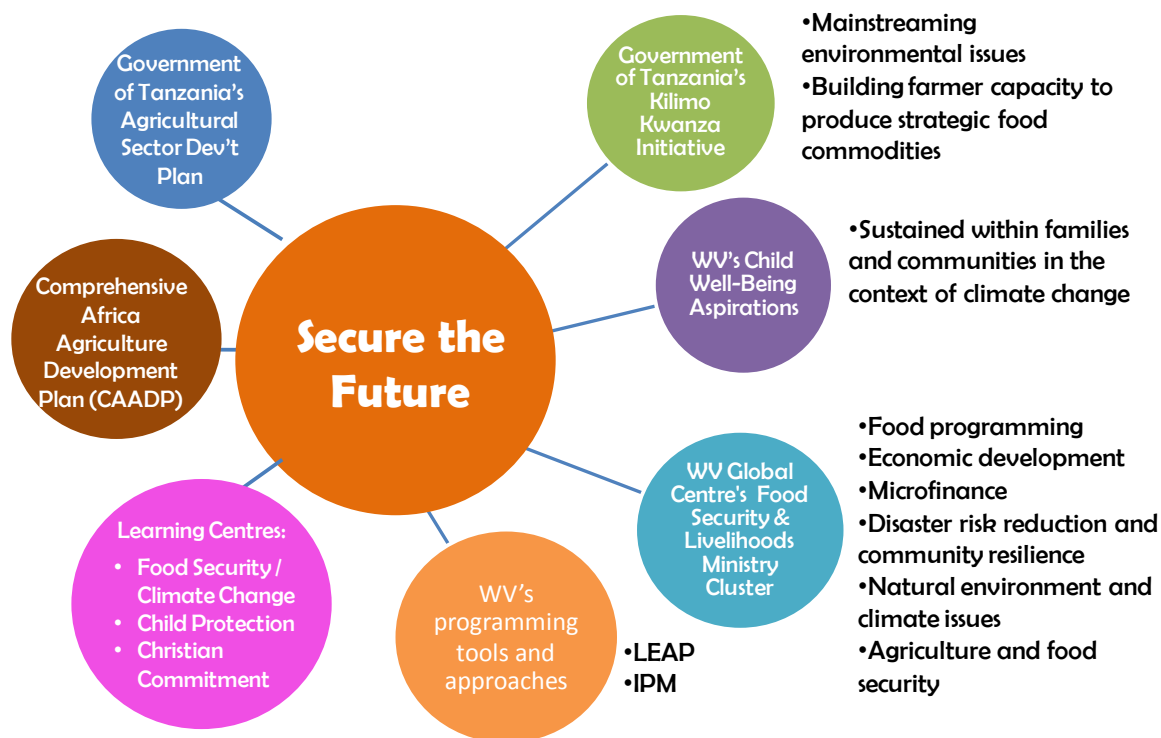


The above diagram illustrates how the Secure the Future initiative aligns with the key internal and external activities, strategies and approaches.

## Interventions

Some projects have already been identified as potential interventions of the initiatives across the three pillars scope.

| Smallholder Farming Systems | Natural Resource Management | Social Safety Nets |
|---|---|---|
| •Facilitate the work of farmer's groups and organizations<br>•Capacity building for eco-agriculture approaches<br>•Enhancing access to appropriate agricultural inputs<br>•Appropriate irrigation systems<br>•Rainwater harvesting<br>•Improving access to markets and financial services<br>•Agricultural infrastructure and value chain enhancement (storage, processing transportation)<br>• Resilience technologies to weather events and climate change<br>• Networking and information access and management. i.e. early warning<br>• Risk transfer mechanisms /insurance | •Help communities to address challenges related to management of crops and livestock by different groups in the same landscape<br>•Grazing management<br>•Watershed protection and rehabilitation<br>•Soil protection and enhancement, erosion control<br>•Water sources and flows<br>•Forestry and reforestation/farmer-managed natural regeneration<br>•Grasslands and wetlands management<br>•Biodiversity and wildlife management<br>•Range land management<br>•Energy saving cookstove and charcoaling technology<br>•Renewable energy technologies | • Food for Vulnerable Group feeding – VGF<br>• Food for Work – FFW/Food for Assets creation – FFA<br>• Nutritional supplements<br>• Resilience planning, mitigation and response activities<br>• Child protection activities<br>• Institutional strengthening of cultural and religious organizations<br>• Advocacy models for children<br>• Inter-faith engagement<br>• Networking and partnering for impact<br>• Faith engagement in program interventions<br>• Protective environment<br>• Local capacity for protective environment<br>• Positive parenting module<br>• Economic/Life skills empowerment for youth and children<br>• Financial Literacy<br>• Research and document in some of the above areas |

# Section 1 Programme Assessment

## Overview and alignment with IPM and LEAP

### How compatible is STF with IPM?

World Vision Integrated Programming Model (IPM) has been developed through a process of co-creation involving staff across World Vision, with special emphasis on local-level staff. The model is based on research on good practices within WV and many other organisations. The model allows World Vision to put its national, regional, and global strategies into action at the local level. It enables the integration of many parts of WV's ministry, including lines of ministry, sectors, themes, and resources.[1]

> **The model can be summarised in a single sentence:**
> The integrated programming model equips World Vision local-level staff to work effectively with partners toward the sustained well-being of children within families and communities – especially the most vulnerable.

The model has four main aspects presented below in a table which reviews the compatibility of the STF approach with the standards set by the model. The below table also brings to light how STF goes beyond the requirements of IPM and traditional ADP level programming.

| Key aspects of IMP | Relevant IPM Standard | Compatibility of STF approach |
|---|---|---|
| 1. Contributing to the sustained well-being of children within families and communities, especially the most vulnerable.<br><br>This is the impact to which World Vision seeks to contribute in all programmes through a child focus that emphasises children's rights and participation. Project models are packages of globally recognised good practices in contributing to one or more child well-being aspirations. These are options that WV and partners can consider to address community priorities. Indicators for Child Well-being | The programme contributes towards a vision of and priorities for sustained child wellbeing, with special emphasis on the most vulnerable. The vision and priorities are developed jointly with and fully owned by communities and local stakeholders. | The goal of the STF initiative as expressed in the overview section of this report emphasizes the need for children – especially the most vulnerable – to be well nourished and well provided for.<br><br>The program is proposing that there will be community and local stakeholders working group sessions organised to undertake 'visioning' and vulnerability root causes analysis activities in order to jointly identify priority areas for action, through project interventions and other interventions. |
| | The programme enables context-appropriate integration of WV's lines of ministry, sectors and themes in alignment with the national strategy to support optimal contribution to the local vision and priorities for child well-being. | Internally, STF draws upon and integrates all of the sectors included in the World Vision Global Centre's Food Security & Livelihoods Ministry Cluster: Food programming, Economic development, Microfinance, Disaster risk reduction and community resilience, Natural environment and climate issues, Agriculture and food security. In relation to alignment with the national strategy, WVT single goal is the 'Sustained well-being of children within families and communities, especially the most vulnerable'. The STF initiative is a response to the priority needs identified by WVT in its recent strategic review. The livelihood challenges faced by the rural communities served by WVT in its ADPs are centred on small-holder farmer productivity, profitability and resilience. One of WVT's Strategic objectives is Livelihood, specifically the improvement of food security for Children, families and their communities. |

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[1] World Vision, The Handbook for Integrated Programming, Part 1, The Big Picture: Overview of Integrated Programming, Version 1 for field testing, World Vision International, 2010

| | | |
|---|---|---|
| **Aspirations are used to measure WV's contribution to child well-being. The special focus on most vulnerable children means that intentional consideration and inclusion will be a consistent aspect of community engagement and partnership building, as well as project and Programme design, monitoring, and evaluation.** | In sponsorship supported programmes: The programme ensures that registered children (RCs) are among the primary beneficiaries and are participating actively in the programme. Registered Children are able to articulate and communicate the positive changes in their lives and community to sponsors. | The STF initiative involves a paradigm shift in terms of the way it is expected to be funded[2]. The STF initiative intends to build on the community-based footprint created through the long-term sponsorship model by securing new sources of funding where Support Offices become a partner in securing funding. In any case, the basic components of this proposed proactive fundraising process includes a commitment to be accountable to and encourage participation of both beneficiaries and funding partners. |
| | Programme DME reflects World Vision's and partners' contribution to the well-being of children. Indicators in programme designs demonstrate a logical link to the WV child wellbeing aspirations. | The assessment and phase of the STF program will result in the identification of a number of projects which will implemented together with a typical DME component, reflecting and aligning with WV Child wellbeing aspirations. Some of the Child Wellbeing aspirations that the STF initiatives and associated projects are expected to contribute to include: - In the case of projects in relation to farming systems and natural resource management: Children are well nourished, Children protected from infection, disease, and injury, Children value and care for others and their environment |
| | The programme reports on WV's contribution to the well-being of children through regular monitoring and evaluation. | - In the case of projects in relation to social safety nets: Children make good judgments, can protect themselves, manage emotions, and communicate ideas, Children grow in their awareness and experience of God's love in an environment that recognises their freedom, Children enjoy positive relationships with peers, family, and community members, Children have hope and vision for the future, Children cared for in a loving, safe, family and community environment with safe places to play, Parents and caregivers provide well for their children, Children are respected participants in decisions that affect their lives. |
| **2. Working effectively with local partners.** **World Vision chooses to partner with existing groups, organisations, and institutions in communities so that more children can be reached more effectively and sustainably. We base this on a strong** | The primary role of WV's programme staff is to serve as a catalyst and builder of capacity of local partners and partnerships toward improving and sustaining the well-being of children within families and communities, especially the most vulnerable. | In alignment with the critical path and the LEAP tool, partnering will be an essential component of the initiative. As seen later in this guidebook, internal and external stakeholder mapping and engagement processes are key steps of the program assessment and design phase of STF. What STF brings in addition to traditional ADP level programming is the engagement with external partners at cluster level (broader geographical area). This means that partners from several ADPs will be engaged so that existing interactions and influences can be considered when programming at cluster level. |
| | Programme staff work towards child well-being in partnership with a wide | An external stakeholder mapping matrix has been developed to assist staff in identifying and assessing opportunities of partnership with a wide range of |

[2] FROM sponsorship dependence TO being priority driven. FROM SO's being provider of funds TO being priority driven. FROM small, short-term grants TO large, long-term grants. FROM limited grant funding TO unlimited investment funding. FROM philanthropic-giver orientation TO strategic-investor orientation. FROM limited resources for program development TO dedicated resources to program development. Source: World Vision Tanzania Overview Presentation 15th July 2011.
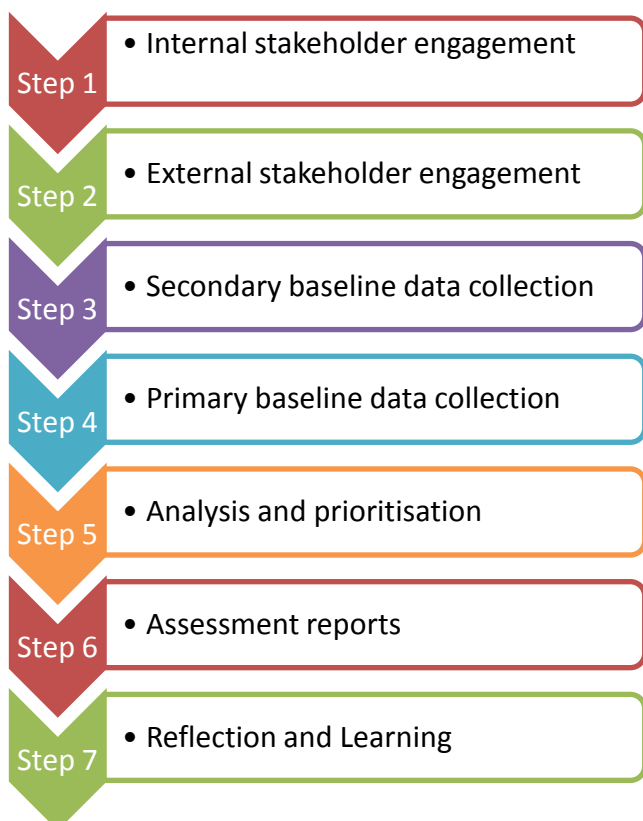
| | | |
|---|---|---|
| **understanding of partnering and types of partners, following the Critical Path for engagement with local partners and communities. Programming tools support WV staff at each step of the Critical Path.** | range of partners across civil society, including churches, government, and the private sector as appropriate to the context. | partners including other NGOs, faith-based organisations, government actors and commercial enterprises. This mapping and engagement process will be conducted beyond the traditional ADP level program, but at a cluster level, with also some stakeholders outside the cluster. |
| | Programme staff support communities and local partners in advocacy with government and other authorities. | Advocacy has been identified as one of the possible interventions under the Social Safety Nets pillar of the STF programme, but might also apply to the other pillars. It is through engagement, relationship building, networking and partnering that programme staff will support advocacy activities. |
| **3. Equipping World Vision local level staff.**<br><br>**WV defines roles of local level staff clearly and equips them with the competencies, management support, and useful tools that enable them to work effectively with local partners and communities.** | Programme staff, including the team leader, are committed to an incarnational approach, living among people in the communities they serve. | World Vision Tanzania has been operating and serving communities for over 30 years. Programme staff, including team leaders, have a long standing commitment to the communities they serve. |
| | Programme staff have the core competencies required to fulfil their roles effectively. | In relation to STF, Programme staff have the core competencies required to fulfil their roles effectively. WVT organisational effectiveness strategy also includes a commitment to organisational and staff capacity building. |
| | Programme staff are adequately supported by technical resources from all required disciplines. | STF programme staff is currently supported by technical specialists (local and international) in the areas of logistics, natural environment and climate issues, social safety, farming systems, economic development and other relevant areas of expertise. |
| | Programme staff engage in regular, intentional reflection and learning that leads to improved practice. | WVT programme staff has been historically engaged in regular learning and reflection activities. Although the specific projects pertaining to STF will have their own Design, Monitoring and Evaluation component, the innovative nature of the Initiative is such that it requires an overarching monitoring, evaluation, learning and reporting approach. Ensuring that we capture the Initiative-level successes, challenges and lessons along the way, is essential in demonstrating accountability to our stakeholders including our partners and donors and to improve practices. A variety of approaches will be used including: initiative high-level monitoring and evaluation and facilitation of learning events. Reflection and learning will also be supported by the Food Security and Climate Change Learning Centre. |
| **4. Basic programme parameters World Vision recommends basic guidance for a programme's geographic size, target populations, life span and cycle, resourcing, governance, and disaster management, as well as sponsorship programming where applicable.** | The geographic size of the programme is manageable and corresponds to existing local government boundaries. | An innovative element of the STF initiative is that it differs from traditional programming in terms the geographic size of the programme area. In comparison to an ADP area, the programme intends to operate on a larger but manageable area containing several ADP (cluster). The programme area is expected to correspond as much as possible to key geographical characteristics including natural and administrative boundaries. |
| | The programme has adequate resources to fulfil its commitments for contributing to child well-being. | STF has adequate resources to undertake the assessment phase of the programme. A proactive fundraising approach is being developed to ensure STF has the resources to continue through the design and implementation phase and meet its commitments to contributing to child well-being. |

## How does LEAP feed into the STF Assessment process?

As one of the key tools of IPM, LEAP provides a framework for building quality programs that align with strategies and that generate good practices as they are implemented. As shown on the figure below, LEAP describes a program management cycle which includes six components: assessment, design, monitoring, evaluation, reflection and transition. In this guidebook, we cover the first two components of the program cycle: assessment and design which both incorporate a reflection component.
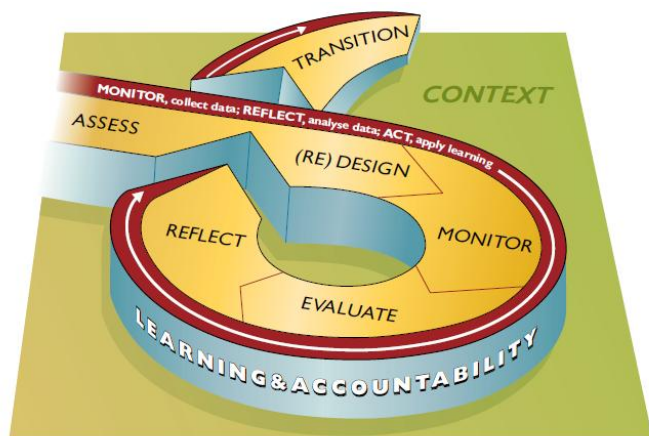


Overview of STF Assessment process

Overview of LEAP Assessment framework

| STF Assessment process | LEAP Assessment framework |
|---|---|
| Step 1 • Internal stakeholder engagement | Step 1 •Check alignment with national strategy |
| Step 2 • External stakeholder engagement | Step 2 •Hold initial discussions with major partners |
| Step 3 • Secondary baseline data collection | Step 3 •Agree to secure funding for assessment |
| Step 4 • Primary baseline data collection | Step 4 •Preliminary partner (or stakeholder) and power analysis |
| Step 5 • Analysis and prioritisation | Step 5 •Collect and review information |
| Step 6 • Assessment reports | Step 6 •Analyse the data so far and write assessment report |
| Step 7 • Reflection and Learning | Step 7 •Reach agreement to go ahead with a design |

The key differentiators of the assessment under the Secure the Future initiative in comparison to the LEAP assessment framework are as follows:

- A more in-depth baseline data collection is conducted within a predetermined limited 3 pillars scope, namely 1) Smallholder farming system 2) Natural Resource Management 3) Social Safety Nets.

- The assessment and overall initiative covers a broader geographical area (which includes multiple ADPs).

- The assessment is conducted with the support of a GIS tool (geographic information system) which is used from data collection to analysis and selection of interventions.

**Reflection and Learning:**
Reflection is about planning and putting time aside to bring partners together to analyse program information. Reflection ensures decisions and recommendations about changes in the program are informed by careful thought and discussion. Reflection can benefit each component of the programme management cycle, and is not simply a component that happens after an evaluation.[3]

As Secure the future is a new initiative for World Vision, it is critical that reflection and learning occur at each stage of the program life cycle, at least in the piloting phase of the initiative, so that the program guidebook and tools can be refined as these are being tested.

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[3] Adapted from World Vision LEAP V2 Learning through Evaluation with Accountability & Planning

# Step 1 Internal stakeholder engagement

## 1.1 Select Team Leader

The selection of the team leader is undertaken at the discretion of the leader of the relevant National Office and the associated executive team. The leader who is selected for the assessment phase should have the relevant coordination and analytical skills as well as some level of knowledge around key issues across the 3 pillars scope of the programme.

## 1.2 Develop assessment phase plan and secure budget

### Description and purpose of activity

The purpose of planning and securing a budget is to ensure overall success of the assessment phase. It is good management practice to ensure that all resources are in place before starting a project. Planning will include developing a schedule of activities showing the details how work will be done through the steps of the assessment cycle. The plan will need to show clearly the chronology of events and their implication to the cost of the exercise. This cost will give an indicative budget needed to accomplish the task.

The assessment team leader should be able to share the budget and get appropriate approvals before the assessment exercise begins. The tools needed for planning and budgeting are a budget planner and budget template which are generated from the list of activities. However, the actual time and cost would depend on location and context of the cluster.

### Estimated resources required (time and skills)

Planning and securing a budget for an assessment requires input from both accounting and operations departments. It may take a day of dedicated hours for this exercise and costs would relate to the time spent to do this work in a day.

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Planner | STF assessment planner | The planner has a list of activities generated in a sequence of timing when and how long the activity is done | STF AG section 1.2 Planner.docx |
| Budget checklist | STF assessment budget template | The tool is in excel format to help computation of costs and consolidation of assessment cost | STF AG section 1.2 Assessment Bugdet t |

## 1.3 Select and brief programme team

### Description and purpose of activity

The program team has the ultimate responsibility to conduct the assessment in the field. It is responsible for collection of secondary data and doing in-depth consultation processes with the community to generate primary data which may still be missing in the initial data collection process. A set of credentials and skills is required to guide selection of the team. These would include:

a) **Spiritual** – a team member should demonstrate spiritual maturity and able to respectfully engage with people of other faiths. He/she could be drawn from WV staff preferably with the support of churches/church bodies, CBOs, government, local NGOs,

b) **Technical** - a member should be a holder of a higher diploma or bachelor degree in natural or social sciences/humanities. He/she should have basic development knowledge and field experience in conducting surveys for baseline or evaluation. Knowledge of LEAP and IPM could be useful in STF assessment processes. Other technical skills include basic computer literacy and group facilitation skills.

c) **Relational** - program team member should respect the security, dignity and self-worth of respondents, programme participants, clients, and other partners with whom he/she interacts (refer LEAP v. 2)

d) **Passion of WV Ministry –** as God's agents of change, a team member should demonstrate passion and commitment to the ministry of the poor

**The assessment process** would suggest that a 4-5 team members per would be required in an ADP (depending on the number of days available), therefore, 12 – 15 team members per cluster of ADPs is required.

### Estimated resources required (time and skills)

Selection of a team would require commitment of one programming expert in a day during the planning process. The selected team would require a briefing as individuals and also during the assessment kick-off workshop.

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Checklist | Assessment team selection guidance | This is a matrix document which helps to assess suitability of a person to belong in an assessment team |  STF AG section 1.3 STF Team selection ch |

## 1.4 Identify key internal stakeholders and key internal strategies at Partnership, Regional, National and local ADPs level

### Description and purpose of activity

This part of the assessment phase is to ensure that the team has assessed the alignment of the initiative with:

- World Vision Mission
- World Vision Vision
- World Vision Core Values
- Relevant World Vision strategic objectives at all levels – National, Regional and International.

Individual internal stakeholders also need to be identified and engaged with.

As per World Vision LEAP guidebook: "The programme is consistent with World Vision International's Covenant of Partnership, the organisation's mission, vision and core values and strategy. Programmes demonstrate integration with national strategy and linkages to regional and global strategy." It is particularly important to check alignment with the National Strategy.

> **National strategy** describes the context, including relevant definitions of poverty and injustice experienced in that country. The strategy also defines World Vision's specific contribution to change in the country – the combination of development, advocacy and disaster management – and how this contribution aims to meet the organisation's strategic choices of addressing root causes of poverty with empowerment. Before beginning assessment for any new programme/project, whether issue- or geographically-focused, alignment with national strategy is checked. Assessment should not proceed until this has been carried out.

### Estimated resources required (time and skills)

It is estimated that it should take two days for the team to complete this assessment and document the following tools.

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Matrix | Internal stakeholder engagement matrix template | This tool is used for assessing alignment with strategic objectives and engagement with internal stakeholders | STF AG section 1.4 STF Internal Stakehol |
| Plan | Internal stakeholder Engagement plan | This tool is used to have clear plan of engagement for each stakeholders that has been identified as key to the initiative. | STF Internal Stakeholder engagem |

## 1.5 Conduct Assessment phase Kick-off workshop

### Description and purpose of activity

The purpose of this workshop is to build understanding among internal staff of the various steps of the assessment, to secure technical resources and to coordinate the STF assessment phase by allocated clear roles and responsibilities, specifically for the secondary baseline data collection process. The workshop will also include preliminary collection of information regarding external stakeholders and refinement of tools in view of carrying out the assessment.

### Estimated resources required (time and skills)

It is estimated that the event will be conducted over one and a half days with an additional one day required to prepare the workshop.

Materials:

1 Flip chart
Marker pens
Masking tape (1 roll)

Sticky notes

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Agenda | Assessment phase Kick-off workshop agenda template | The agenda is a detailed plan for the running of each session of the workshop | STF AG section 1.5 STF Assessment phas |
| Presentation | Assessment phase presentation | This presentation will be used during the workshop to present the sequences and the structure of the assessment guidebook | STF AG section 1.5 World Vision Tanzania |
| Form | Assessment tools feedback form | This form is used for the assessment team to provide feedback on the tools as the methodology gets refined | STF AG section 1.5 Assessment tool feed |

## Step 2 External stakeholder engagement

### 2.1 Conduct external stakeholders mapping

Description and purpose of activity

Mapping external stakeholder is a key component of the assessment phase of a program, it enables World Vision to identify individuals and groups that are concerned with (positively or negatively) or affected by the STF initiative.

A preliminary mapping and assessment of external stakeholders helps to identify the role that each stakeholder will play in the initiative in terms of supporting or opposing the program for example. The mapping and preliminary assessment guide the decision making around the need to develop a more detailed external stakeholder engagement plan.

Estimated resources required (time and skills)

It is estimated that one week will be required to complete the mapping and document the stakeholder engagement matrix. The external stakeholder engagement plans can be developed in parallel to the mapping and preliminary assessment.

Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Matrix | External stakeholder engagement matrix template | This tool is used to document the mapping of the various external stakeholders in relation to STF and to undertake a preliminary assessment of their existing and potential role in the initiative. | STF AG section 2.1 STF External Stakeho |
| Plan | External stakeholder engagement plan template | This tool is used to have clear plan of engagement for each stakeholders that has been identified as key to the initiative. | STF External Stakeholder engagem |

## 2.2 Conduct preliminary dialogue with major stakeholders

Description and purpose of activity

A very important component of this initiative that changes the way we work is to engage, assess and plan with key stakeholders. We often work with communities and community based organisation not recognising that there are larger forces at play that have control over land and resources that impact the communities we work with. There is a need to build on these institutions both the formal (i.e. constitutional, rules, entities) and informal (i.e. groups that have a common way of working or managing resources together but not necessarily based on formal rules) ones. By working with these various institutions we can help build networks, and share learning's across various scales.

This activity has the purpose of engaging in a preliminary dialogue with stakeholders. By presenting the STF initiative and getting feedback from stakeholders, it is hoped that the assessment team will be able to gauge their interest in the initiative. This activity can help refine the external stakeholders' engagement plans from section 2.1 of this guidebook which identifies a WV focal point / contact for each major stakeholders. This activity follows the mapping of potential stakeholders conducted in step 2.1. This activity will lead to the review and update of the external stakeholder matrix, if new stakeholders have been identified as part of the interview process. The conduct of the initial stakeholder workshop will follow.

Estimated resources required (time and skills)

It is estimated that one week will be required to complete the interview process, but this exercise might not be done during a continuous week of work.

Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Presentation | STF external stakeholder presentation | This presentation is a brief overview of STF designed to introduce the initiative to external stakeholders | STF AG section 2.2 World Vision Tanzania |
| Interview and feedback guide | STF external stakeholder interview guide and questionnaire for feedback | This form is designed to frame the interview and allow for the stakeholders to give feedback and comment on the initiative | STF AG section 2.2 STF External stakeho |

## 2.3 Conduct initial external stakeholder workshop

### Description and purpose of activity

This activity is to conduct an initial workshop with external stakeholders identified under previous steps to present the STF initiative and engagement them in the assessment process by conducting a preliminary landscape review.

It is expected that the stakeholder will range from representatives of the private sector, NGOs, faith-based organisations, research institutions, foundations, governments and other interested parties. These stakeholders might be attached to cluster or outside the cluster boundaries.

### Estimated resources required (time and skills)

It is estimated that the event will be conducted over one day with an additional one day required to prepare the workshop.

Materials:

1 Flip chart
Marker pens
Masking tape (1 roll)

Sticky notes

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Agenda | Initial external stakeholder workshop agenda template | The agenda is a detailed plan for the running of each session of the workshop | STF AG section 2.3 STF Initial external st |
| Questionnaire | Landscape overview questionnaire | This questionnaire is used to capture views from stakeholders on the 3 dimensions of the pillars that STF is working on. The responses provided will inform the data collection and prioritisation of intervention processes | STF AG section 2.3 STF External stakeho |
| Presentation | STF external stakeholder presentation | This presentation is a brief overview of STF designed to introduce the initiative to external stakeholders | STF AG section 2.2 World Vision Tanzania |

| Feedback form | STF initial external stakeholder workshop feedback from | This feedback form is used to get feedback on the workshop itself and also to understand stakeholders' level of commitment to the initiative |  STF AG section 2.3 STF Initial external st |
|---|---|---|---|

## Step 3 Secondary baseline data collection

### 3.1 Collect secondary baseline data

Description and purpose of activity

This step in the assessment process related to the compilation of existing information available in relation to the cluster and the pillar scope.

The information collected will help guide the process of understanding 'the state of the cluster' from an institutional, environmental and social context.

It is important to ensure that the data collected is as recent as possible and reliable. It should preferably be sourced from reputable organisations (governments, universities, other NGOs, etc.), if possible the data should be have been audited or validated by a government agency or an accredited auditing organisation.

The data will be triangulated with information gathered from community and stakeholders consultation to ensure decisions are made on the basis of a solid analysis of information.

Estimated resources required (time and skills)

It is estimated that around two weeks would be necessary to collect the relevant data, depending on availability and willingness to share information from external stakeholders.

Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Data sheet | STF Data collection planner | This tool is designed to help frame the data collection process. The tool describes what information should be collected | STF AG section 3.1 STF Secondary data c |
| Data Base | A comprehensive data base is being developed to capture the data collected. It will include guidance on how to find the information and how relevant data should be able to be included into GIS. | | |

## Step 4 Primary baseline data collection

### 4.1 Collect primary baseline data including quantitative and qualitative information

Description and purpose of activity

This assessment process utilizes two separate processes in order to not only capture a better understanding of vulnerability but the complexity of the different factors that affect these vulnerabilities. The tools in this framework are built on Appreciative Inquiry and Vulnerability and Capacity Assessment processes. Appreciative Inquiry focuses on understanding and building up the positive aspects that may occur. Vulnerability and Capacity Assessments tend to focus on the vulnerabilities, how they are impacted and the resulting mechanisms people use to cope to these.

The end goal of integrating these two tools is that we will generate a body of qualitative data that identifies the main vulnerabilities people face but also the many factors that may positively or negatively contribute to these vulnerabilities. In essence at the centre we have identified vulnerabilities and all the external factors that may have an impact on these vulnerabilities.
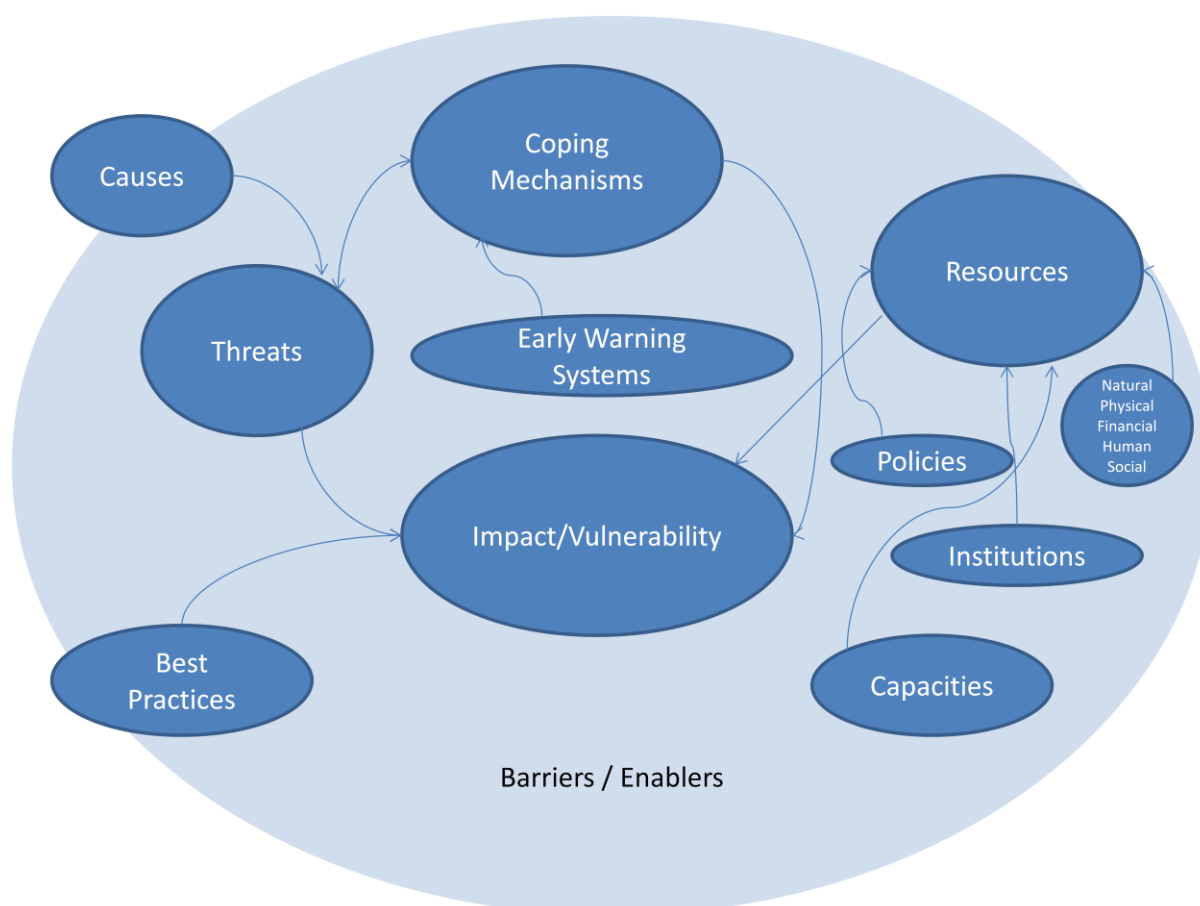


In order to proceed with this step you need to have gone through the process of working with external

Estimated resources required (time and skills)

The time is dependent upon the number of sub regions within the district that are chosen through the analysis of secondary data patterns.  However, each sub region needs no more than a full day of meeting and discussing with various community members. It is possible that this could be completed within two weeks should meetings be able to organised and have the highest quality of participation involved.

The necessary materials for each workshop would be as follows;

1 Flip chart
Marker pens
A4 paper (1 ream)
Masking tape (1 roll)
Sticky circles


## Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Agenda Template | VACA-AI Agenda | This is an idea of how the daily agenda should look for such an event | VACA-AI Agenda |
| Tool | VACA-AI tool | This tool brings together the necessary steps needed for engaging with members of the community at large | STF AG section 4.1 VACA AI tool.doc |
| Form | VACA-AI Forms | These forms are designed to be printed and used by the groups during the workshop | STF AG section 4.1 VACA AI forms.doc |

## Step 5 Analysis and prioritisation

This step is for being more intentional about analysing beyond superficial interventions. Rather, it is intended to help develop an understanding of the underlying factors that contribute to extreme vulnerability, facilitate analysis of alternate scenarios and the identification of potential options for interventions. It makes use of systems-based approaches to help think through complex problems to facilitate a process which helps community members define appropriate solutions.

### 5.1 Compile findings from step 3 and 4

Description and purpose of activity

The purpose of this activity is to consolidate the secondary baseline data in step three and the information obtained from community consultation meetings.  This is done in preparation for reengaging with the coordination group to begin analysing all the data and defining interventions.

This will also feed into the final assessment report in step six below.

Estimated resources required (time and skills)

The process of just writing up the report should take no more than one and a half weeks.

Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Template | Template Report – Consolidation of Step 3 & 4 | The purpose of this template is to compile all the data into a report so that it is available for analysis with the coordination group. | Template Report - Consolidation of Step |

## 5.2 Conduct stakeholder workshop leading to prioritization of critical issues

### Description and purpose of activity

This exercise is intended to analyse the data collected to date and define what the appropriate interventions are. The process will use system based analytical processes to help understand what the underlying critical issues that need to be addressed are.

### Estimated resources required (time and skills)

It is estimated that this workshop will be one day long.

Materials:

1 Flip chart
Marker pens
Masking tape (1 roll)
Sticky notes

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Agenda | Agenda for Analysis and Identification | This document outlines the agenda and timeframe for completing the workshop | Agenda for Analysis and Identification |
| Tool | Analysis and Identification of Interventions | This document is a step by step process for conducting the analysis and defining potential intervention options | STF AG section 5.2 Analysis and identifica |

# Step 6 Assessment reports

## 6.1 Complete external report compiling findings and critical issues

### Description and purpose of activity

This report is designed to provide an overview of the findings for the coordination group. This assessment report should be a broad overview of the findings of the results of initial external stakeholder engagement (i.e. primary areas of concern within economic, environment and social sectors), key findings from collection and analysing of secondary baseline data, and finally potential areas of intervention.

### Estimated resources required (time and skills)

It is estimated that drafting of this report should take a week and a half.

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Template | Assessment Report Template | To draft the report on the findings of the process to date and potential areas of intervention | Assessment Report Template |

## 6.2 Complete internal LEAP Assessment report

### Description and purpose of activity

This assessment and design report template is used for internal analysis of the external template report which is used specifically for making internal decisions on which interventions to focus on.  Not all the potential interventions that result from going through this process will be within World Vision priorities areas of capacity and focus.  This report pulls out the pieces that are relevant and helps prepare for the design phase.

### Estimated resources required (time and skills)

It is estimated that one and a half weeks will be required to complete the internal assessment report.

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Template | Assessment Report and Design ToR Review Template | This is the LEAP assessment report template which utilises data from the external assessment report for internal decision making purposes. |  Assessment and Design ToR Report Re |

# Step 7 Reflection and Learning

## 7.1 Conduct lessons Learned Workshop

### Description and purpose of activity

A learning event will be conducted at the end of the assessment phase to help reflect on this important phase of the programme and to assist in refining this guidebook and the methodology used during the assessment.

### Estimated resources required (time and skills)

It is estimated that the event will be conducted over two days with an additional two days required to prepare the workshop and write the report.

Materials:

1 Flip chart
Marker pens
Masking tape (1 roll)

Sticky notes

### Supporting documentation

| Type of document (tool, agenda template, form, checklist, matrix, presentations) | Name of document | Description (what is it use for) | Link to tool / Location |
|---|---|---|---|
| Agenda | Lessons Learned Workshop agenda template and sessions facilitation guidelines | The agenda is a detailed plan for the running of each session of the workshop | STF AG section 7.1 STF Assessment phase |
| Questionnaire | Learning event preparation participants questionnaire | The questionnaire help frame and refine the above agenda according to participants expectations | STF Assessment learning event survey |
| Report | Learning event report template | The template will be used to report on learnings from workshop and to guide the methodology refining process | STF Assessment phase learning event |
| Form | Learning event feedback form | This form is for participants to give feedback on the format and content of the workshop | STF Assessment learning event feedba |

## 7.2 Amend and refine STF methodology

### Description and purpose of activity

In light of the report above mentioned this guidebook and associated tools will be amended and refined to reflect the learning from the workshop.

### Estimated resources required (time and skills)

One week should be required to make the relevant changes to this section of the guidebook and to the associated tools.

# Section 2 Programme Design

**Overview and alignment with IPM and LEAP**
**Step 1 Identify and review alternative intervention options**
**Step 2 Select alternative intervention options**
**Step 3 Establish long range plan and priority projects**
**Step 4 Secure buy-in from key stakeholders**
**Step 5 Reflection and learning**

Section 2 of this guidebook will be developed at a later stage, as resources and funding will allow.

**Section 2 Programme Design**