



World Vision

# Building Secure Livelihoods (BSL)

Field Handbook

First Edition 2019

Cover photo: Simon Peter Esaku/World Vision Uganda

Lillian Byasiima, 9, breaking off maize cobs from plants in their garden in Kituntu village, 80 km east of Kampala. Her family received 10 kg of improved maize seeds and 7 kg of bean seeds through a livelihoods grant World Vision Hong Kong is funding in Ngogwe ADP.

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## Authors

- (1) Dr Joseph Toindepi  
**THRIVE Project Director and BSL Project Model Lead – WV US/GC Livelihoods**
- (2) Richard Rumsey  
**World Vision International - Global Sector Leader Livelihoods**
- (3) Lloyd Owen Banwart  
**Economist – TANGO International**
- (4) Bruce Ravesloot  
**Vice-President – TANGO International**

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## Acronyms

ADP	Area Development Programme
AP	Area Programme
BF	Business Facilitation
BSL	Building Secure Livelihoods
CBO	Community-Based Organisation
CBDRM	Community-Based Disaster Risk Management
CFRS	Community Feedback and Response System
COVACA	Community-Owned Vulnerability and Capacity Assessment
CSA	Climate Smart Agriculture
CVA	Community Voices in Action
CVCA	Community Vulnerability Capacity Assessment
CWB	Child Well-being
DIP	Detailed Implementation Plan
DME	Design, Monitoring, and Evaluation
DPA	Development Programme Area
DPO	Disabled Persons Organisation
EWV	Empowered World View
FSP	Financial Service Providers
FFSP	Formal Financial Service Providers
FMNR	Farmer Managed Natural Regeneration
GBV	Gender-Based Violence
GECAAR	Good Enough Context Analysis
GESI	Gender and Social Inclusion
GTRN	Global Technical Resource Network
HH	Household
HHS	Household Survey
LEAP	Learning, Evaluation, Accountability and Planning
LVCD	Local Value Chain Development
MIS	Management Information System
MFI	Microfinance Institutions
NRM	Natural Resource Management
NO	National Office
NGO	Non-Governmental Organisation
OVC	Orphans and Vulnerable Children
PLWHA	People Living with HIV and AIDS
PPI	Progress out of Poverty Index
PWD	Persons with Disabilities
RC	Registered Child
S4T	Savings for Transformation
SAFI	Sustainable Access to Financial Services for Investment

SAVIX	Savings Groups Information Exchange
SGB	Small and Growing Business
SMPS	Sponsorship Minimum Programme Standard
SDG	Sustainable Development Goal
TP	Technical Programme
ToT	Training of Trainers
UPG	Ultra Poor Graduation
VFI	Vision Fund International

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# CHAPTER I: INTRODUCTION & OVERVIEW

## INTRODUCTION

The Building Secure Livelihoods (BSL) field handbook provides an overview of practical operational guidance for implementing the BSL project model including key considerations, “dos and don’ts” planning steps, minimum programme quality standards, staffing, budgeting and monitoring & evaluation.

### Three main target audiences:

#### **1. Grant Acquisition staff leading the design and development of Grant proposals**

The field handbook provides a framework for integrated livelihoods programming to address complex and systemic barriers facing households and communities who depend on agriculture for their livelihoods and the well-being of their children. Grant Acquisition staff in both Field Offices and Support Offices can utilise the BSL design framework to develop a holistic and integrated grant proposal demonstrating scope for sustainable and maximum impact on communities and child well-being.

#### **2. Senior Livelihoods staff leading the design and implementation of BSL programmes**

The field handbook addresses the planning steps and key considerations needed by Livelihoods TP managers, Livelihoods programme managers (AP manager, Chief of Party/ programme manager) and Livelihoods/M&E specialists. They can utilize the field handbook during BSL design and start-up phase for developing programme for geographic targeting, beneficiary targeting, activity and value chain selection, M&E plan, staffing, and budgeting. For example, a programme manager can utilize the field handbook as a template to contextualise practical activities (such as those associated with the DIP). It will also assist with how BSL links with other World Vision project models.

#### **3. Frontline Livelihoods staff implementing BSL project activities**

The field handbook provides tools and guidance to Project coordinators and or Development facilitators for step- by- step processes of implementing BSL project activities with target participants and progress tracking for project monitoring.

### Five main chapters for easy user access:

- **Chapter 1** provides information on the purpose and application of the handbook plus an overview of the BSL programme logic. In addition it contains a comprehensive set of minimum standards for implementers to apply when designing and implementing a BSL programme
- **Chapter 2** outlines key approaches and decisions needed for assessment and design of a BSL Programme
- **Chapter 3** looks at operational planning requirements including staffing and budgeting needed prior to programme implementation
- **Chapter 4** provides detailed implementation guidance outlining a range of key implementation steps and methodologies

- **Chapter 5** outlines key monitoring, evaluation & learning methods to be applied during and after implementation.

The overall purpose of this handbook is to establish a **standardised way of implementing a BSL programme as an integrated whole** that delivers results for children and families at a household level rather than a combination of separate project models or interventions. The field handbook is intended to provide a common starting point for field managers, while presenting the minimum activities and standards for a programme to be considered a Building Secure Livelihoods programme.

It should be recognised that whilst the primary aim is to design and implement BSL as an integrated whole, some contexts may require a slightly different combination or sequence of interventions than those prescribed in this handbook. Some country programmes may also only be implementing one or two of the interventions under BSL<sup>1</sup>, in such circumstances the interventions are “Stand Alone,” and therefore, the prescribed layering and sequencing under the BSL Project Model do not apply. In these cases, this handbook should be seen as a guide to adapting existing programmes towards a more standardised sequenced and layered approach as outlined throughout the handbook and in the summary points below.

### Note regarding partnerships:

It should be noted that Building Secure Livelihoods (BSL) is a model that promotes economic sustainability of farming systems and as such should always be implemented in partnership with external service providers and key private sector stakeholders in the country of implementation. Wherever possible WV Field Offices (FOs) should consider outsourcing BSL services rather than building dependency on WV’s own involvement as a service provider in the long term.

This field handbook:

- Presents the foundations and decision points, to ensure the most appropriate interventions are programmed;
- Lays out a prescribed sequence of programming components to maximise efficiency and effectiveness;
- Prescribes combined interventions that ‘make sense’, are fit-for-purpose, and are packaged into a design that facilitates adaptive management;
- Provides a conceptual overview of how BSL links with World Vision’s other core livelihoods project models (e.g., Ultra-Poor Graduation and Savings for Transformation Groups and Microfinance);
- Provides guidance on programme targeting and target setting;
- Provides guidance on realistic achievements and progression of targeted populations;
- Functions as a reality check on what is reasonably achievable given available resources and the trade-off to reallocating resources across priorities;
- Is a tool for adaptive management to consider alternative combinations and sequences of activities – and their related minimum standards.

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<sup>1</sup> (e.g.) Savings 4 Transformation (S4T) and or Local Value Chain Development (LVCD)

## OVERVIEW OF THE MODEL AND RATIONALE

The Building Secure Livelihoods (BSL) project model aims to sustainably build secure livelihoods for the marginal poor. The BSL identifies the marginal poor as households outside extreme poverty but slightly below or above international poverty line. It addresses one of three 'building blocks' within World Vision's Livelihoods Sector Approach and focuses predominantly on working with the economically active rural households, ensuring productive and profitable livelihoods that go beyond mere subsistence. Ideal candidates for this project model are households with dependent children within the marginal poor category according to the livelihoods sector approach targeting.

The BSL project model promotes self-efficacy<sup>2</sup> through an empowered world view approach. This takes into account gender equality and social inclusion, as well as financial and economic inclusion. It also instills an understanding of risk, a culture of mitigation, adaptation and preparedness and future planning. The model also fosters increased productivity, profitability, and sustainable management of all resources (natural, social, economic capitals). Specific interventions include, but are not limited to, regular savings development, sustainable and profitable agriculture, natural resource management, Community-Based Disaster Risk Management (CBDRM), local value chain development, and access to and effective use of local financial services and markets.

BSL is a WV Core Project Model that encompasses approaches previously defined as 'approved project models' as well as other livelihoods interventions. In this context, the term "Core Project Model" refers to BSL only. Other Project Models under the GC Livelihoods Sector Approach (core or additional) such as Savings for Transformation (S4T), Microfinance, Local Value Chain Development (LVCD), Farmer Managed Natural Regeneration (FMNR) etc., will not be referred to as project models under BSL to avoid confusion.

Below is the clarification of terminology used in this field handbook:

### Box 1: BSL terminology and naming convention

Terminology	Contextual meaning under BSL programming
<b>Livelihood Sector Approach: Core Project Model (CPM)</b>	Refers to one of the four Livelihood Sector Approach approved Core Project Models: S4T - approved for scale up BSL - approved for further field testing UPG - approved for scale up MF - approved for further field testing

<sup>2</sup> Self-efficacy is the belief in our ability to succeed through own capabilities, specifically our ability to meet the challenges ahead of us and achieve goals (Akhtar, 2008).

<b>Livelihood Sector Approach: Additional Project Models (PM)</b>	Refers to one of five <b>additional project models</b> (approved practices that can be used for grant funding etc., as appropriate) Adolescent Livelihoods – <b>Model document under development</b> Community-Based Disaster Risk Management – <b>Model document available</b> Food and Cash Assistance – <b>Model document available</b> Farmer Managed Natural Regeneration - <b>Model document available</b> Local Value Chain Development - <b>Model document available</b>
<b>Core Project Model (CPM)</b>	Building Secure Livelihoods (BSL)
<b>WV approved approaches under BSL</b>	This refers to formally approved <b>components</b> of BSL project model as listed below: Natural Resource Management (FMNR +), Community-Based Disaster Risk Management, Market Development (LVCD), Financial inclusion (Microfinance & S4T), Empowered World View, etc. In the case of BSL these are considered approved approaches that make up the BSL Core project Model - although when implemented separately they comprise a mixture of core and additional project models.
<b>WV approved good practices</b>	These are recognised good development practices such as Climate Smart and Nutrition sensitive agriculture practices, Business skills development for project participants, establishing good partnerships, promoting skills transfer through lead farmer support and farmer schools, etc. These may not have a written handbook document in place but are acceptable in furthering the aims of BSL.
<b>Intervention</b>	This refers to the implementation of packaged <b>components</b> of the selected BSL approaches or practices. Please note that the implementation of BSL is based on <b>approaches or practices</b> approved under BSL.
<b>Packaging</b>	This refers to the selection of complementary <b>components</b> within an intervention as described above. For example, financial literacy education is a component of Microfinance approach, producer group promotion is a component of LVCD approach and DRR assessment is a component of CBDRM approach. When put together these become a <b>package</b> and when implemented they become an <b>intervention</b> .

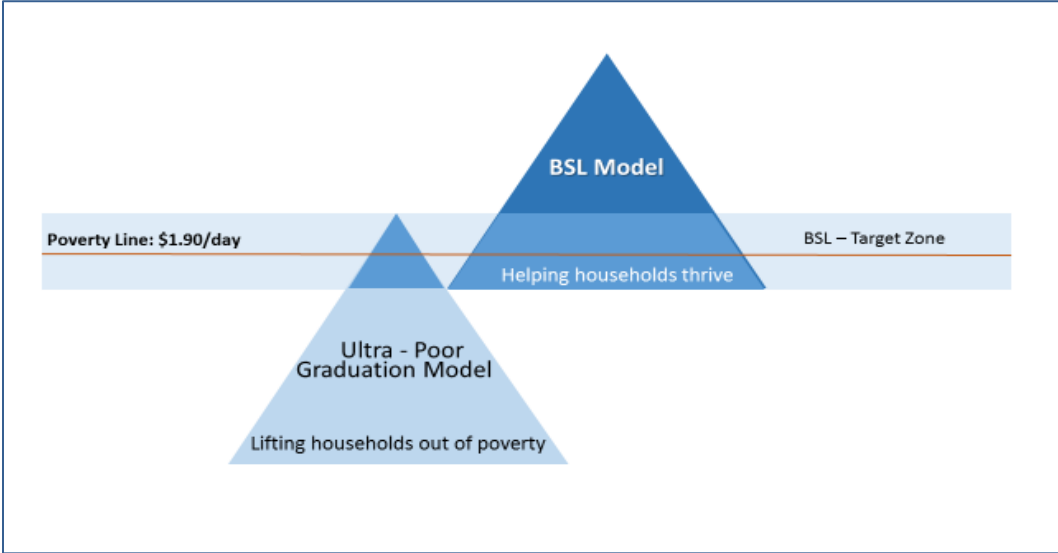
The BSL project model provides layered interventions at the household and community levels to build and strengthen sustainable livelihoods and resilience to shocks and stresses. The United States Agency for International Development (USAID) defines resilience as “the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.” The concept of resilience highlights the vulnerabilities from recurrent shocks, which adversely affect World Vision’s targeted communities, households, and children.

Figure 1 highlights the distinctions between World Vision’s Ultra-Poor Graduation (UPG) project model and the BSL project model in terms of the intended economic target groups. The UPG model targets the most vulnerable, economically excluded, asset poor and chronically food insecure families. This model provides temporary food and cash (safety net) assistance, promotes regular savings, develops technical and social skills and provides productive assets to graduate households out of extreme poverty and into economic self-reliance. The BSL project model targets rural and predominantly subsistence farming households and promotes self-efficacy through an empowered world view approach, regular savings, productive, profitable and sustainable agriculture, natural

resource management, resilience to shocks/stresses and access to credit / financial services and markets that work for the poor to strengthen both livelihoods and resilience.

The BSL project model targets households located in BSL targeting zone (the area just above and just below the poverty line) in Figure I below. Increasing and strengthening resilience of households and communities located in this zone has the greatest reward. Improving resilience here ensures gains made by the Ultra-Poor Graduation model are not lost and provides a solid foundation to build market-based agricultural capacities under BSL.

Figure I: The push and pull over the poverty line



The BSL project model rests on the idea that targeted households lie not far off the poverty line, either above or below as shown in Figure I. For many of these households, livelihoods and income are highly dependent on variable factors, including weather and market prices for staple crops. Therefore, household income will vary from year to year, so that in some years the household may be above the poverty line, and then dropping below it in subsequent years.

A critical assumption of the BSL project model is that households have sufficient or potential access to markets, land and water and financial services to reasonably support an increase in targeted value chain production and sales.

## MINIMUM STANDARDS

### GENERAL MINIMUM STANDARDS CHECKLIST

The following Minimum Standards aim to enhance BSL programming. All staff implementing BSL should use and promote these minimum standards to ensure quality BSL implementation. Three key quality dimensions based on design, implementation and scope defines BSL minimum standards as follows:

- a) Programme design must be informed by rigorous gender sensitive assessments to establish appropriate intervention packaging, sequencing and layering that ensures realistic and sustainable improvement in household food production and income growth.

- b) Programme implementation must target appropriately, establish participant household economic profile and define strategy to improve production, market access, access to agricultural extension services and finance at household level.
- c) Programme potential must be informed by a rigorous analysis of local agro ecological potential and environmental limitations

Below is a check list for projects to meet these quality dimensions.

1. **All assessments must be gender-sensitive** and must include environmental impact or risks, multi-sector market assessments, contextual analysis, financial services mapping, value chain assessments, dominant world views and social norms and disaster risks.
2. **Packaging of interventions must seek to address** the key barriers to increased food and income security at household level through mind-set and behaviour change, access to sustainable forms of savings and loans, promotion of equitable gender norms and practices, environmentally sustainable and improved agricultural practices, local market development, effective management of natural resources and disaster risk reduction.
3. **Layering and sequencing of interventions must follow the logic** outlined in the BSL layering and sequencing graphic Figure 12. Innovation should be disclosed and shared with the Project Model lead to promote standard approach while learning.
4. **Each household (HH) or participant must establish personal development goals** for the duration of the project and agree to regular tracking of progression attributes
5. **BSL project must address the under-five nutrition issues** (wasting and stunting) in the target participant HHs through planned direct activities under Parents Awareness Workshops (PAW)
6. **BSL project must promote school attendance** for all children in the target participant HHs through planned direct activities under Parents Awareness Workshops (PAW)
7. **BSL geographical and household targeting must meet the minimum** standards for income, access to essential productive assets and market infrastructure for growth potential
8. **All participants must understand the primary goal of the project as good child-well-being including health and education for children** and formally confirm commitment to prioritise that in HH expenditure planning
9. **A comprehensive HH or farmer's economic profile database** must be established and updated regularly to track output progress per household
10. **A strategy for farmers and producers to access profitable markets and financing solutions** must be clearly defined and relevant partnerships developed within the first 12 months of project start.
11. **All programme staff must undergo Empowered World View (EWV) training** as a foundation to all other interventions
12. **Programme staffing must include the following dedicated staff members:** 1 monitoring and evaluating (M & E) officer, 2 technical livelihoods specialists, 1 women's economic empowerment specialist, between 4-6 frontline staff and around 70 formal volunteers for an average of 10,000 direct programme participants.
13. **Programme implementation must be through small groups or Participant Implementing Units (PIU) of between 20-55 participants** led by a community's own volunteer to work with WV volunteers.
14. **Strong monitoring and evaluating system:** thorough selection of participants, implementation targeting intentionally selected participants, regular data collection from the target group and update of participants' database to allow the progression from one step to another.

15. **In order for BSL minimum programme quality and depth of impact** to be maintained, the recommended budget thresholds in Figure 12 must be observed.
16. **BSL project model design and implementation** should not be judged based on the ratio overhead/direct project cost since BSL Staff (especially frontline staff) are the greatest investment to the community (BSL Participants).
17. **Programme design and implementation must be fully intergrated** with existing complementary interventions in the target area to leverage resources
18. **Wherever possible BSL Projects should be designed and implemented with key external partner organisations** (financial service providers, input suppliers, marketing companies, etc.) to promote local economic sustainability.

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## TARGETING FOR SPECIFIC INTERVENTIONS

BSL participant are never at the same level at entry. Therefore, project participants do not start engaging in similar interventions all at the same time. Each intervention has minimum targeting as follows:

- i. EWV and S4T participants should be producing enough food for HH consumption and not in extreme or ultra-poor categories.
- ii. LVCD participants should be active members of S4T activities/groups, participating in self-efficacy training (EWV, etc.) and have completed at least four months regular participation in savings, but preferably one full cycle with share-out and have passed the group readiness and quality check.
- iii. Climate Smart Agriculture (CSA) activities should only be introduced to active participants in EWV, S4T and LVCD activities
- iv. Microfinance should only be introduced to active BSL participants in S4T and LVCD activities where participants have received financial literacy skills training and basic business skills and their financing needs for livelihood activities can no longer be met by S4T financing.
- v. DRR activities should only be carried out to certain BSL target participant HHs or community when appropriate assessments identified the relevant DRR activities for the target HH or community.
- vi. Natural Resource Management (NRM) activities like Farmer Managed Natural Regeneration FMNR should only be delivered to specific BSL target participant HHs or community when appropriate assessments identified the relevant NRM activities for the targeted HH or community.

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## MINIMUM LAYERING

Layering of interventions ensures that components of BSL are implemented seamlessly for maximum integration between main activity and other complementary activities.

- i. **EWV activities** must be continuously layered and embedded with all other BSL interventions throughout the project cycle
- ii. **S4T activities** are layered with other BSL interventions using the savings groups as messaging modality for self-efficacy education platform
- iii. **LVCD activities** are layered with the second S4T cycle and increased intensity of knowledge transfer on NRM, CBDRM and adaptation to develop resilient livelihoods.
- iv. CSA activities are layered with LVCD, CBDRM, FMNR, and EWV activities.



- v. **Microfinance activities** are layered with LVCD activities, business skills education and coaching.
- vi. **CBDRM activities** are layered with S4T/LVCD and EWV activities, which are the main platform for CBDRM community activities. Activities on LVCD must emphasize on strengthening livelihood resilience to disasters.
- vii. **NRM/FMNR activities** are layered with LVCD, CBDRM, and EWV activities, which are the main integration points for NRM/FMNR activities.

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## MINIMUM SEQUENCING

BSL begins with behaviour change intervention through Empowered World View and/or other locally acceptable WVV-recognised transformational development interventions. The activities include behaviour change around nutritional and educational needs of children through Parents Awareness Workshops (PAW) activities before introducing other intervention sequenced as follows:

- i. EWV starts before all other BSL interventions and should involve high intensity upfront, with low intensity support in final phase(s) of implementation.
- ii. S4T high intensity programming follows immediately, or in conjunction with the introduction of EWV and other PAW activities
- iii. LVCD programming begins as early as after four months of S4T introduction but preferably after one full S4T cycle has been completed, and group readiness and quality check is completed.
- iv. NRM/FMNR, CBDRM and CSA activities begin after the S4T groups have been established and the LVCD pilots initiated. High intensity programming starts after the LVCD Producer Groups have been established.
- v. Orientation to microfinance providers (initial linking) starts at the same time as business skills education following the establishment of producer groups.

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## MINIMUM ATTRIBUTES OF SUCCESS

BSL participants exposed to the full BSL interventions must exhibit the following attributes:

- i. Participants demonstrate confidence, motivation, aspiration and basic ability to assess and take reasonable risks after participating in EWV activities.
- ii. Participants have basic financial literacy and reasonable access to financial resources for active participation in BSL.
- iii. Participants are able to make a minimum investment (sufficient to remain at least passively engaged) in household and community level practices (e.g., NRM, DRR, adaptation) promoted by the BSL project.
- iv. Project participants' livelihood activities meet household consumption needs and provide a surplus for economic activity.
- v. Livelihood activities are secure/resilient to prevailing shocks and stresses.
- vi. Participants can meet household and business financing needs and manage financial risk, in line with increasing value chain aspiration.
- vii. Participants have good repayment for both S4T and MFI loans.
- viii. Participants demonstrate awareness and practice mitigation requirements for possible disasters and loss of livelihoods.
- ix. Participants adopted the use of relevant NRM techniques for their primary agricultural crops.

## MINIMUM PACKAGING OF INTERVENTIONS

# MENU OF INTERVENTIONS

## Building Secure Livelihoods A Three to Five-Year Programme

### Step 1: Foundational Package

**100% of targeted households**

Mind-set & behaviour change support\*

Establish & strengthen savings culture\*

Establish awareness and commitment to prioritise children's wellbeing\*

### Step 2: Core Package

**100% of targeted households**

Develop key partnerships (for Business skills + finance + markets)\*

Gender Equality and Social Inclusion & VC assessment/analysis and pilots\*

Climate Smart Agriculture training and support\*

Increasing agricultural production - PGs + extension services\*

Financial literacy education\*

NRM assessments + relevant NRM interventions

### Step 3: Extended Package

**70% of targeted households**

Developing local markets (facilities, information & linkages)\*

Business Skills (Education)

Business finance (working/and asset capital)

### Step 4: Aspirational Package

**30% of targeted households**

Increasing profitability - value + quality improvement

Market systems change (specialist support)

Business skills (coaching & mentorship)

## BSL PROGRAMME LOGIC MODEL

A programme theory explains how an intervention is understood to contribute to a chain of results that produce the intended or actual impacts. This section presents the underpinning theoretical reasoning and logic of how proposed interventions and activities leads to the desired child well-being outcomes under Building Secure Livelihoods (BSL) Project Model.

BSL Programme Logic (see Figure 3) is informed by evidence-based understanding of poverty, that it is not just a product of low income, but also of a wide range of social, economic and environmental constraints. The capacity of a society or individuals within it to provide well for their children, the most marginalised and vulnerable, and to care for their surrounding environment is driven by a myriad of factors. Resilience to shocks, socioeconomic circumstances, sociocultural norms, political settings, local economy, agroecology and changing climate are highly contextual to each location. The BSL programme logic is informed by systemic poverty issues affecting the majority of poor populations in the world and evidence has shown these are pre-dominantly small holder farmers in rural communities.

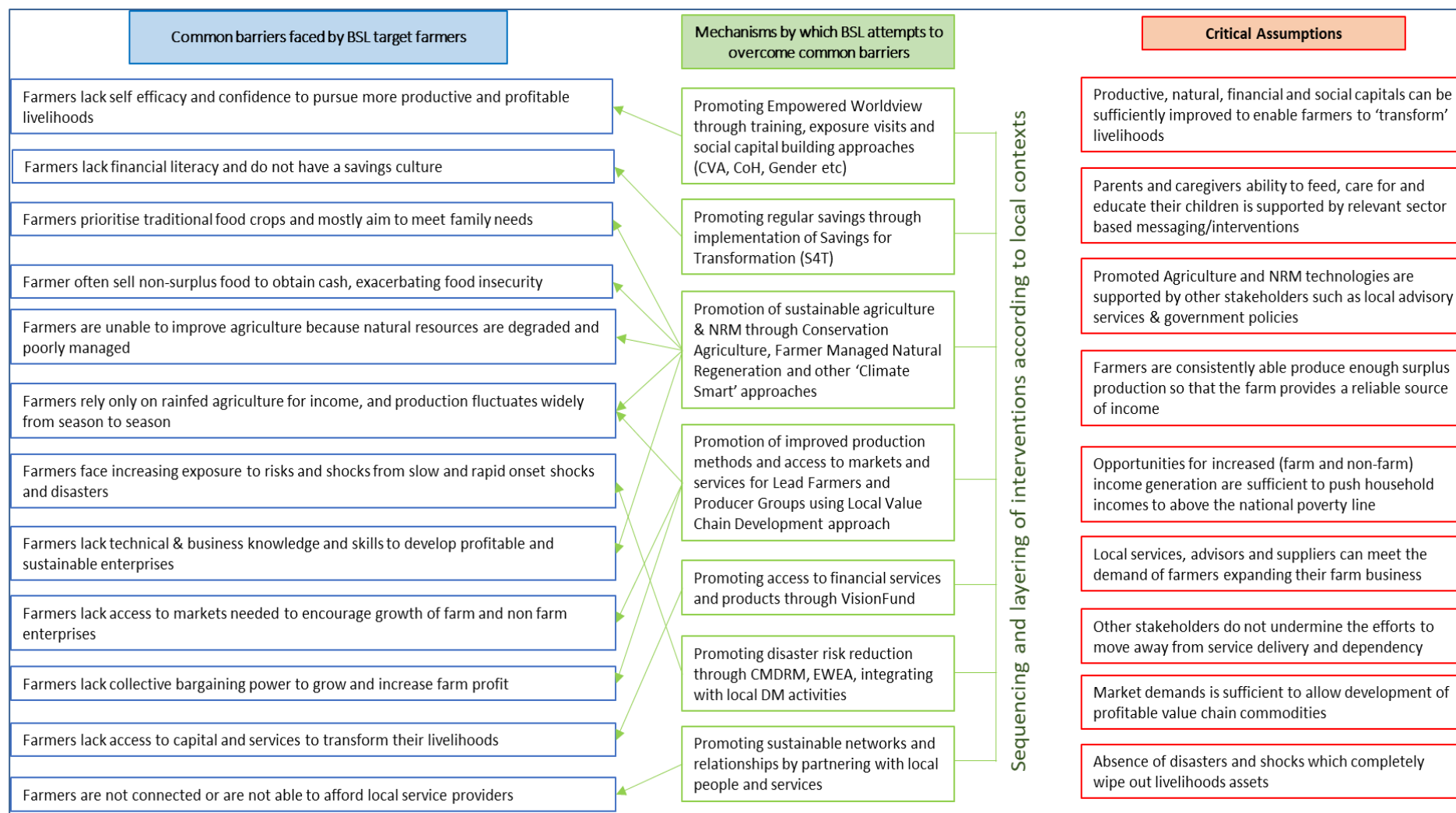
Integration of different approaches to contribute to the development of sustainable livelihoods is central to the BSL programme logic and the design is much more intentional about integrating and sequencing interventions to achieve synergy – where the whole is greater than the sum of its parts. This requires more attention to selecting the target groups, and more skills and resources invested in monitoring the impacts of this multidisciplinary approach. Claims about project contribution to measured changes at the impact level can be supported by a robust programme theory and evidence of inputs, outputs and outcomes along the results chain. BSL is currently supported by a programme of impact research in five WVUS funded programmes with research led by TANGO International<sup>3</sup> – leaders in resilience research and evaluation.

Figure 2 maps out perceived barriers and the mechanisms or interventions used within BSL to overcome common barriers. Critical assumptions are also listed – if these conditions cannot be met the programme logic will not remain valid and then the desired impacts will be reduced or not achieved at all. The interventions are based on our understanding of how a series of inputs and activities will produce predicted outputs within the project target group, which in turn are expected to lead to the desired outcomes necessary to create the impact - those sustainable high level changes we seek.

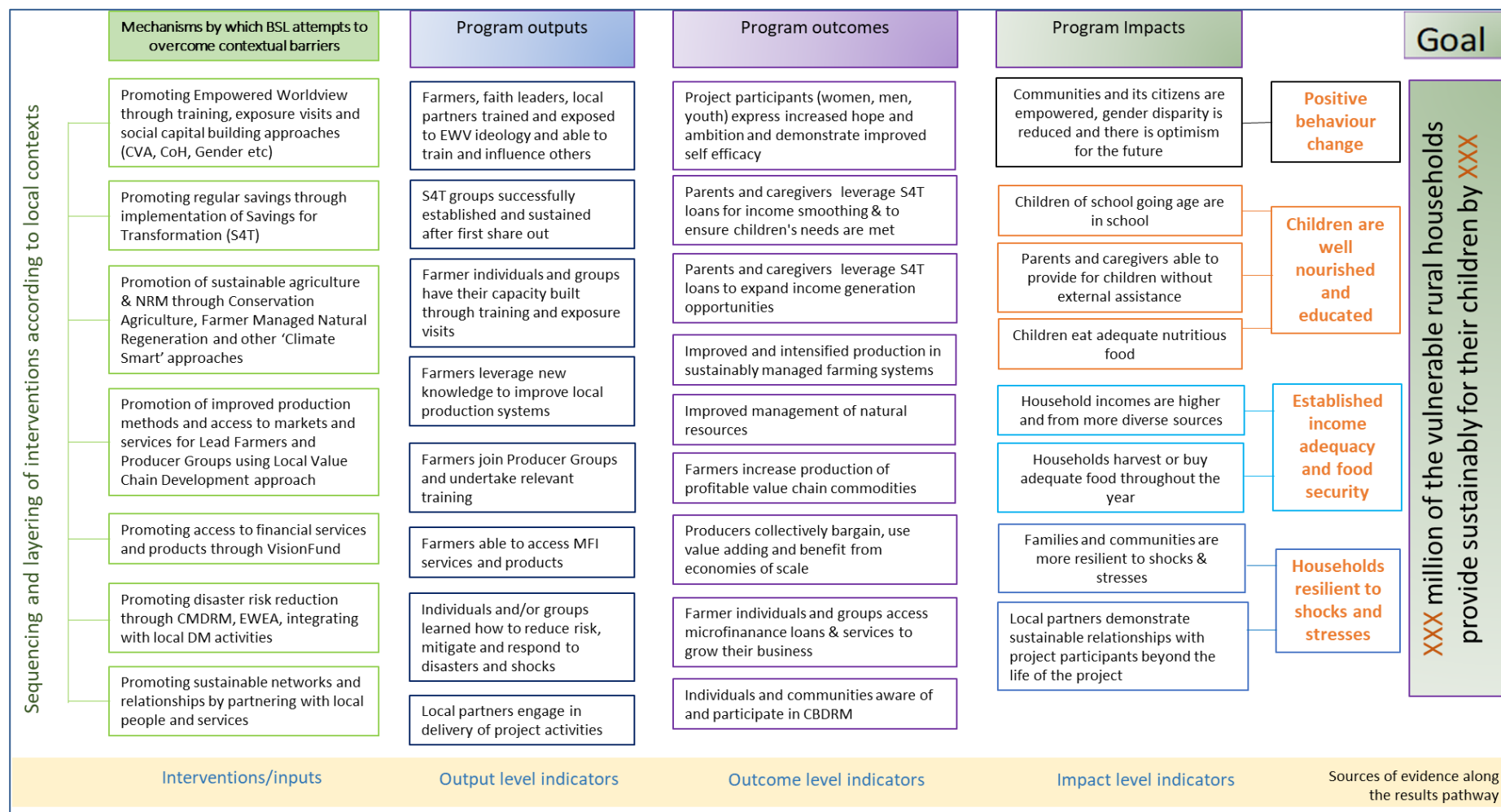
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<sup>3</sup> <http://www.tangointernational.com/> Further information on the research can be obtained from GC Livelihoods team

Figure 2: Barriers, interventions and assumptions in BSL



**Figure 3: Building Secure Livelihoods Logic Model**

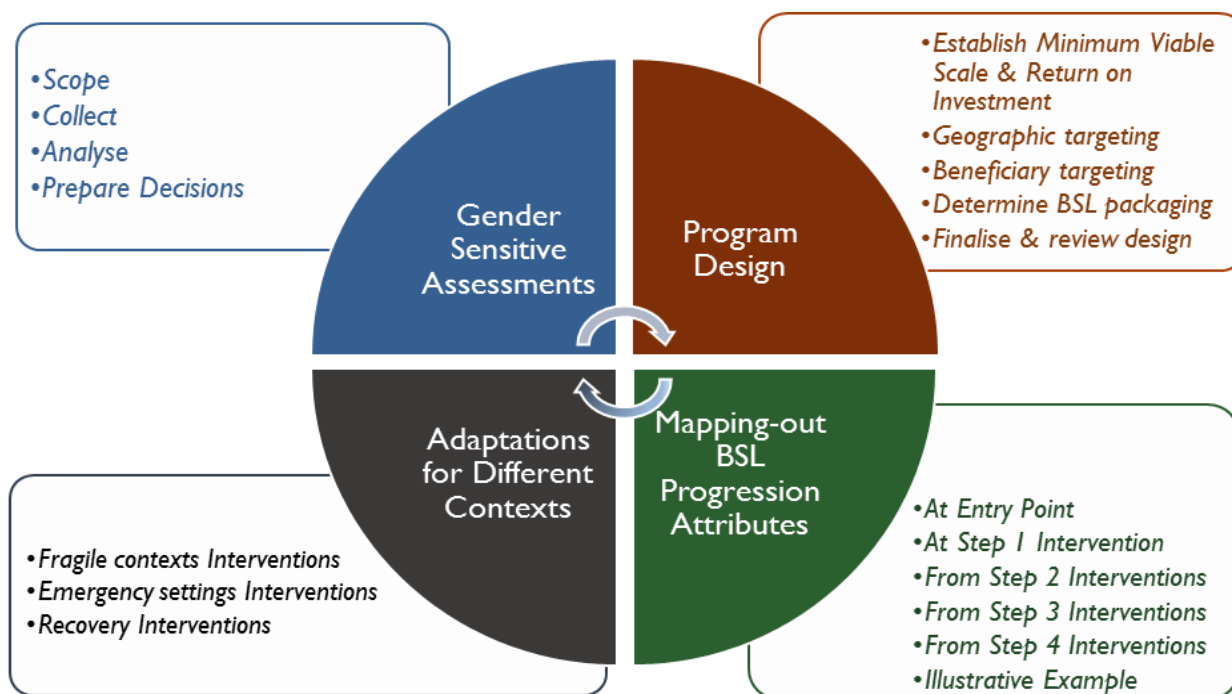


# CHAPTER 2: ASSESSMENT & DESIGN

## INTRODUCTION

This chapter covers essential assessment and design considerations for the BSL programme. The chapter is sub-divided into four major sections, (1) Gender Sensitive Assessments, (2) Programme Design, (3) BSL Progression Attributes and (4) Adaptations for Different Contexts (see Figure 4).

Figure 4: Assessment & Design Chapter Outline



Each section of the chapter guides the BSL practitioners with specific considerations for programme design as outlined below:

- i. **Gender Sensitive Assessments** section presents a sequential step by step process for conducting crucial assessments informing programme design. This begins with the process of mapping out the assessment scope, purpose and resources before moving on to data collection and analysis with the final step of this assessment phase being the utilisation of assessment results for planning.
- ii. **Programme design** section also takes the step by step approach to map out four stages of the design process starting with validation of geographical targeting for the BSL programme where the location is predetermined or establishing the location based on BSL targeting guidelines where location has not been set. This is followed by participant targeting and or establishment of participant profiles as stipulated in the BSL targeting guidelines. A consideration for appropriate BSL Intervention packaging then follows on with the programme target setting covering scope in terms of total participant numbers being part of the iterative review of the design.

- iii. **BSL Progression Attributes** section covers the tracking of BSL participant’s progress from insecure to secure livelihoods through four pre-determined progression steps based on qualitative attributes as proxy progress indicators. The section concludes with a presentation of an illustrative example of BSL participant progression journey to secure livelihoods.
- iv. **Adaptations for different contexts** section outlines programme needs for adapting to other contexts such as the (1) fragile context where the operating environment may significantly change without warning to impact on existing livelihoods options (2) emergency settings where the environment is already in need of emergency response to establish livelihoods and, (3) recovery settings where interventions to aid livelihoods recovery is key.

## GENDER SENSITIVE ASSESSMENT

The purpose of the assessment process is to provide information to allow for effective planning of BSL activities. While the general BSL menu is prescribed, each context needs to identify **who** will engage in the programme, **what** content will the programming activities consist of and **how** will programming be completed. Special attention should be given to the experiences of different genders and marginalised groups. Gender-inclusive assessments will help staff to have a better picture of the realities on the ground and create better targeted and effective implementation plans.

Best practice assessments follow a structured research process to answer a series of fundamental questions:<sup>4</sup>

1. What livelihoods or aspects of livelihoods are we trying to secure?
2. What well-being outcomes are we trying to achieve and sustain by building secure livelihoods?
3. Whose livelihoods are we trying to build? How do the needs of the target group differ based on their identity (age, sex, gender, religion, etc.) and social status (disability status, health, etc.)? What programme components (e.g. adjustments) are necessary to enable participation of different groups?
4. What shocks/stresses are we trying to secure livelihoods from?
5. What do we need to do to secure livelihoods from shocks and stresses?
6. What do we need to do to prevent and mitigate potential risks and harms related to the intervention? The required safeguarding may vary by group (e.g., sex, age, ethnicity, ability, etc.).

There are four assessment steps to address these questions:

1. Scope - Determine assessment scope, purpose and resources
2. Collect - Conduct data collection
3. Analyse - Conduct data analysis and sense making
4. Prepare decisions - Utilisation of assessment results for planning

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<sup>4</sup> Mercy Corps, 2017. STRESS: Strategic Resilience Assessment Handbook lines Document; USAID, 2018. Resilience Measurement Practical Guidance Note Series I: Risk and Resilience Assessments; Save the Children, 2018 *forthcoming*. Understanding HVCAs: a 5-step process handbook

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## STEP 1: SCOPE - DETERMINE ASSESSMENT SCOPE, PURPOSE AND RESOURCES

It is important to be clear on why you are undertaking this assessment. At this stage, focus on domains relevant to your assessment. Identify what is already known in general about the BSL assessment questions, and how the assessment purpose aligns with knowledge gaps and other planned assessments. Define the main users and stakeholders based on how results are intended to be used. Consider if assessment results will be used by external stakeholders (such as implementing partners or government bodies). Consider the target group(s) that the assessment is focused upon and how the findings will benefit these groups. Decide if target stakeholders or partner organisations need to participate in the assessment and at what stage.

Box 2 contains examples of assessment questions:

### Box 2: Example of Assessment Questions

- What livelihood needs to be more secure? (e.g., *Building Secure Livelihoods* of “what”?)
  - What are the current religious, social and cultural systems?
  - What are the current administrative systems, laws and policies?
  - What are the current ecological systems?
  - What are the current economic systems?
  - What are the differences in typical livelihoods options for men and women?
- Prospective value chains and how identity and social status relates with them [*Gender Sensitive VC Analysis*]
- What constraints/hazards/risk/shock/stresses that livelihoods need to be considered? How do these differ for men, women, boys and girls?
- What is the target geography?
  - What are the current laws, policies, administrative systems?
  - Do policies, laws and customs differ for men and women? If so, how?
  - What are the current ecological systems?
  - What are the current economic systems?

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## STEP 2: COLLECT - CONDUCT DATA COLLECTION

Collect information through mixed method approaches to fill information gaps and address information gaps identified from the Scope phase. This is *not* a baseline, endline, or academic research. Focus on good information from informed stakeholders. This *may* include quantitative methods if resources allow. However, asking the right groups of persons, and validating their responses with a second and third groups of individuals, will be very important. Box 3 presents an example process for data collection during an assessment.

### Box 3: Assessment data collection tips

- Full review of existing literature (internal and external to World Vision and Field Office).
- Interviews and Focus Group Discussions with both men and women of different ages
- Interview local technical program staff and potential service/provider partners
- Community data collection (if needed)
- Analysis



- Validate responses/findings with the potential participants

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### STEP 3: ANALYSE - CONDUCT DATA ANALYSIS AND SENSE MAKING

Analysis is an iterative process with data collection. The results from validation may require further assessments, which then in turn need to be analysed and validated. The findings must be validated and updated until the BSL leadership team feels ‘saturation’ against the assessment questions is achieved.

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### STEP 4: PREPARE DECISIONS - UTILISATION OF ASSESSMENT RESULTS FOR PLANNING

The output from the BSL assessment is not a ‘report’ documenting the assessment findings; the output is the BSL design and implementation plan, which is developed based on the answers to the assessment question.

## PROGRAMME DESIGN

This section contains an overview of the approved World Vision BSL interventions to be applied under a BSL programme. The relevant technical document is linked to each approach. Approaches designated with an asterisk (\*) are required to implement BSL. These must be met if the approach is applied under BSL. Per World Vision policy, all approaches should be gender-sensitive and consistently addresses the barriers of gender inequalities and injustice. While gender includes men, women, boys, and girls, in livelihoods interventions, special attention must often be given to ensure that women have not been excluded. We want to ensure that men and women have equitable access to skills, resources, and opportunities.

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### ESTABLISH MINIMUM VIABLE SCALE & RETURN ON INVESTMENT

BSL is a market-based intervention that provides smallholder farmers with a viable business solution to food production and marketing through producer groups. When looking at the question of scale you will need to seriously consider how the size and geographical location of your target group effects market access and pricing for agricultural inputs and for the sale of products. The recommended farmer producer unit size is between 20 -55. This is both for practical management purposes, but more importantly, for economies of scale when it comes to bulk input purchasing and attracting traders for marketing purposes. If the group size and/or number of groups is too small then it is unlikely to generate the kind of market access and preferential pricing desired to achieve a viable return on investment for farmers.

Key questions you need to ask when considering minimum viable scale:

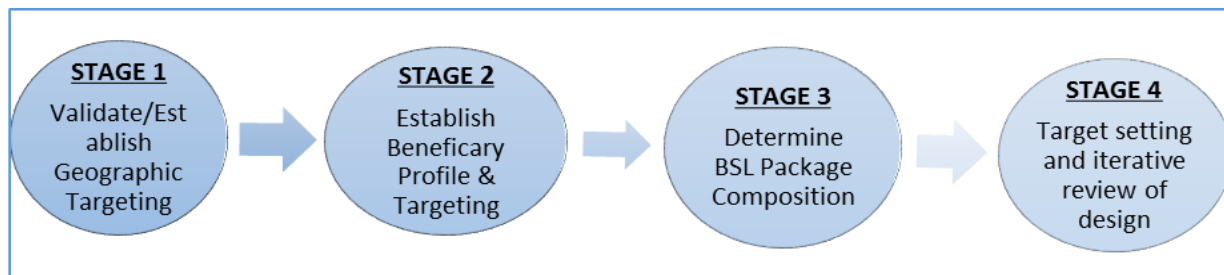
- How close are the farmers physically located?
- How many farmers want to work together in one geographical area?
- What is the total acreage of agricultural products being farmed?
- What is the anticipated scale of agricultural inputs required per group and for all groups?
- What is the anticipated yield in tonnage per group?

When asking all these questions you will need to decide:

- What scale of production is going to attract sufficient buyers?
- Whether the sale price for ag products is sufficient for farmers to make a profit
- What scale (quantity of inputs) is going to enable much cheaper input prices?

The information obtained from assessments is utilised to inform BSL design decisions in a sequential order as highlighted in Figure 5. The steps required to establish a BSL programme includes undertaking assessments, planning BSL activities and interventions and establish appropriate staffing.

**Figure 5: BSL design in four key stages**



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## STAGE 1: VALIDATE/ESTABLISH GEOGRAPHIC TARGETING

The first step in planning BSL is to complete the geographic targeting. Geographic targeting is critical, as once a community is selected, any household can participate in BSL if they meet poverty ranking criteria of living between USD\$1 and USD\$2.5 per person per day. Therefore, geographic targeting must look at general community characteristics and resource bases. Poor geographic targeting could result in poor relevance of design and a situation where the right thing is being done in the wrong place.

Considerations for geographic targeting are:

- Funding/donor priorities
- Economic profiling and poverty scoring
- Current land use and land potential
- Market potential and government priorities
- Microfinance institution (MFI) presence and accessibility
- Partnership opportunities
- Gender and Social Inclusion (GESI) analysis
- Check for saturation of BSL messaging (e.g., *doing good agricultural practices*).
- Religious cultural context, demographics and household composition (e.g., *youth interventions in areas where there are youth*)
- Presence of existing interventions (ability to layer or build upon)

- Ecological and climate consideration

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## STAGE 2: ESTABLISH BENEFICIARY PROFILE AND TARGETING

Beneficiary targeting, or profile development, is done during the BSL design and via project assessments. If the geographic targeting was done well, the majority of households should meet the basic beneficiary profile, and reflect the minimum targeting criteria under BSL assumptions.

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## STAGE 3: DETERMINE BSL PACKAGE COMPOSITION

To determine the BSL package composition the programme manager must ensure all essential BSL components are included, and the resources are sufficient to achieve the minimum standards presented under each intervention in Step 2. For Field Offices with existing projects under BSL already being implemented in AP areas, a decision must be made whether to continue implementation as “Stand Alone” or to align existing projects to BSL requirements.

The minimum packaging for BSL **MUST** include **(1)** Access to finance through **Savings for Transformation**, **(2)** behaviour change through **Empowered World View (EWV)**, **(3)** improved production and entrepreneurship through **Local Value Chain Development (LVCD)** and business skills training interventions. The table below shows different options for TP and AP managers to align projects to this BSL Handbook from minimum, moderate to full alignment. It also shows when projects can continue implementation as “standalone” components of BSL, having failed to meet the BSL minimum packaging.

**Table 1: BSL Handbook alignment recommendations for projects**

BSL Intervention options & composition	Recommended alignment to BSL	Alignment Status	X/√
S4T+EW+LVCD+CSA+NRM-(FMNR)+ CBDRM+MF + business skills training and strategic partnerships with technical service providers	Full application of all aspects of the Handbook required and document unique contextual adaptations necessary	Meets all BSL Design Requirements: * FULL alignment	√
S4T+EWV+ LVCD + CSA and business skills training interventions	Full application of BSL participant targeting, Intervention sequencing and HH based monitoring required	Meets BSL moderate Design Requirements: * Moderate alignment	√
S4T+EWV+LVCD and business skills training interventions	Full application of BSL participant targeting and HH based monitoring required	Meets BSL minimum design requirements * Minimum alignment	√
S4T+ any other TWO BSL interventions not including EWV and LVCD	Application of BSL Integrated programing principles	* Not aligned project	X
ONE or any TWO interventions under BSL implemented as standalone (S4T, LVCD, FMNR etc.)	No BSL alignment is required	* Non-BSL Project – Stand Alone	X

## STAGE 4: TARGET SETTING AND ITERATIVE REVIEW OF DESIGN

The BSL programme design team sets two-fold targets that include both the level of change (outcome) and the breadth of change (output). The total BSL programme impact is a function of project resources (programme duration and programme budget) and technical capacity (skills/expertise and experience). Programme quality to achieve acceptable child well-being is of paramount importance. Donor/funder priorities, preferences, and the strategic positioning of World Vision should not compromise programme quality and child well-being under any circumstances. The programme manager may be presented with an increased or decreased budget, or a change in programme duration. In these instances, the programme manager must consider the needed trade-offs required to maintain a minimum outcome (quality). For example, a reduction in budget may require a reduction in targeted project participants.

This step is likely the *most difficult* during the planning stage. The BSL programme manager must understand the trade-offs between reach and breadth and manage these expectations with the constraints (financial and time) that s/he has. The decision to focus more on outcome or output determines the minimum (or maximum) number of activities needed to reasonably achieve the outcome, while enabling the project an opportunity to reach the output. This stage must be iterative and reflect regularly on the information from assessments.

#### Box 4: Target setting criteria considerations

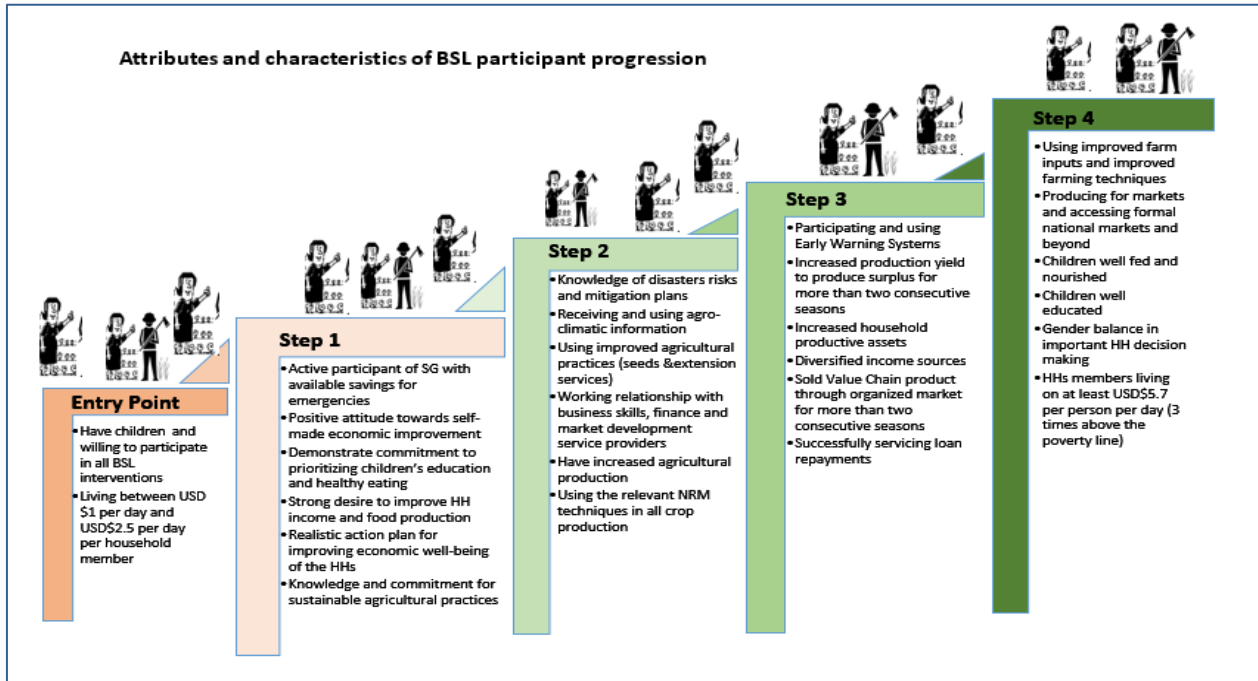
##### Target setting criteria considerations

- How many people can we realistically reach with the agreed minimum number of interactions required for the intervention
- What outcome results can we realistically expect for this level of engagement with the project participant? Numbers based on?
- What is the intended overlap for participants across BSL interventions (is this sufficient to achieve outcome goals?)
- Are there efficiencies due to overlap that can be capitalised on?
- If targets (outcome or output) are not achievable, reassess geographical spread to reduce costs (start over at assessment stage).

## BSL PROGRESSION ATTRIBUTES

Figure 6 below illustrates the BSL attributes expected to be attained by the project participants as they progress through steps of packaged interventions.

**Figure 6: Attributes and characteristics of BSL participant progression**



## ATTRIBUTES FOR BSL PARTICIPANT AT PROGRAMME ENTRY POINT

- ✓ Have children and be willing to participate in all BSL interventions
- ✓ Living between USD \$1 per day and USD \$2.5 per day per household member

## ATTRIBUTES FOR BSL PARTICIPANT FROM STEP 1 INTERVENTIONS

- ✓ Active participant of Savings Group with available savings for emergencies
- ✓ Positive attitude towards self-made economic improvement
- ✓ Demonstrate commitment to prioritising children's education and healthy eating
- ✓ Strong desire to improve HH income and food production
- ✓ Realistic action plan for improving economic well-being of the HHs
- ✓ Knowledge and commitment for sustainable agricultural practices
- ✓ Gender and social inclusion of all including those of other faiths and readiness to work together

## ATTRIBUTES FOR BSL PARTICIPANT FROM STEP 2 INTERVENTIONS

- ✓ Knowledge of disasters risks and mitigation plans
- ✓ Receiving and using agro-climatic information
- ✓ Using improved agricultural practices (seeds and extension services)
- ✓ Working relationship with business skills, finance and market development service providers
- ✓ Have increased agricultural production

- ✓ Using the relevant NRM techniques in all crop production

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### ATTRIBUTES FOR BSL PARTICIPANT FROM STEP 3 INTERVENTIONS

- ✓ Participating and using Early Warning Systems
- ✓ Increased production yield to produce surplus for more than two consecutive seasons
- ✓ Increased household productive assets
- ✓ Diversified income sources
- ✓ Sold Value Chain product through organised market for more than two consecutive seasons
- ✓ Successfully servicing loan repayments

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### ATTRIBUTES FOR BSL PARTICIPANT FROM STEP 4 INTERVENTIONS

- ✓ Using improved farm inputs and improved farming techniques
- ✓ Producing for markets and accessing formal national markets and beyond
- ✓ Children well fed and nourished
- ✓ Children well educated
- ✓ Couples' shared decision-making balance
- ✓ HHs members living on at least USD\$5.7 per person per day (three times above the poverty line)
- ✓ Absence of Gender-Based Violence (GBV)

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### ILLUSTRATIVE EXAMPLE OF BSL PARTICIPANT PROGRESSION TO SECURE LIVELIHOODS

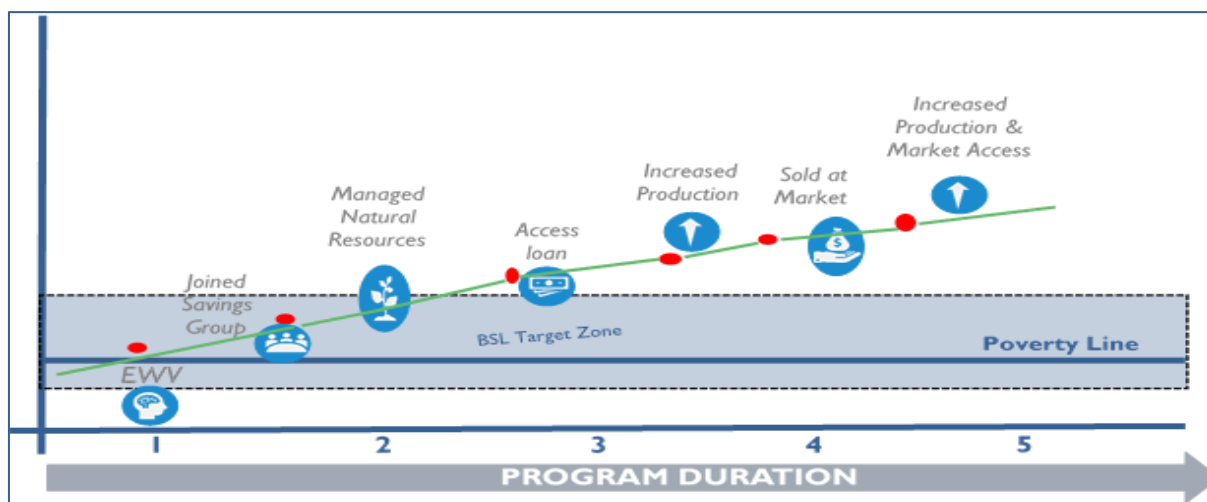
Figure 7 presents the life cycle of Josephina, a BSL participant who has recently ended five years of BSL programming activities. Josephina is currently located in a community within a World Vision Area Programme. Josephina's community is rural, and most of her neighbors participate in similar livelihood activities. This includes some small-scale gardens and growing of bananas and maize. Prior to engaging in BSL programming activities Josephina had not participated in World Vision activities, however her neighbours had been members of a Savings Group supported by the World Vision (via the Ultra-Poor Graduation model). At the start of BSL programming, World Vision staff came and spoke to the community about forming Savings Groups for people not engaged in any. Josephina's neighbours (the ones who were already in a savings group), created a Producer Group as well. Josephina decided to join a savings group with 14 neighbours, and she began regularly participating in the group activities.

The savings group enabled Josephina to access more vegetable seeds for her home garden, some of which she was able to sell at the local market. One of the first group trainings was on 'Empowered World View' which Josephina had not heard before. She felt her confidence in herself building. At the same time World Vision began providing trainings on group governance. Later in the year it provided financial literacy training. Some members from the group also participated with World Vision staff in community activities focused on managing the communities' two rivers and natural spring, see Figure 7

below. As a result, water access for her group increased – and Josephina began producing even more from her home garden. After three cycles in the group, World Vision asked if any of the group members would be interested in forming a producers group focused on banana and horticulture production.

Josephina decided to join this group. She was selected to be a ‘lead farmer’ and helped to train other members in good practices. She also became better at managing her money and even started keeping a log of her input costs and sales. It was then that a World Vision staff member introduced Josephina to a Vision Fund staff member. Josephina was able to get a loan that revolved around the banana production cycle. She increased her production even more and had a big sale at market.

**Figure 7: Example of an ‘average’ progression journey**



## ADAPTATION FOR DIFFERENT CONTEXTS

The need for programming to adapt to different contexts enables our work to meet the needs of the vulnerable communities in all contexts. Building Secure Livelihoods project model programming is a market-driven approach to poverty alleviation that discourages dependency syndrome and promotes mind-set transformation for self-efficacy. In this regard all forms of hand-outs or support perceivable as such by participants are strictly prohibited except in the context here described as necessary adaptations for relevant context. For the purposes of BSL programming, we define “different contexts” in terms of **fragile or unstable settings, emergency settings and recovery or post emergency settings**. These are the settings outside usual necessary programme adaptations for any good programming practice.

This section provides guidance on acceptable adaptations under these circumstances while maintaining the overall market-driven principles of BSL programming. The main interventions and their sequence are central to implementation of this approach. These interventions can be adapted in situations where the households are unable to produce or buy enough food for themselves due to seasonal shocks or any other disaster; in these cases, WV provides food assistance. Food assistance (cash, voucher and in-kind) aims at a hunger-free world through immediate life-saving food provision to the most vulnerable children and their families, anchored in approaches that stimulate long-term food and livelihood security. The



efforts for a hunger-free world could be achieved through asset protection by way of non-conditional cash or general food distribution in the early stages of an emergency response so that affected households do not strip their productive assets as a coping mechanism, or through productive asset creation using food or cash for assets, depending on context.

It is important to note that this BSL adaptation can be considered only for an **existing BSL project** whose impact gains are threatened by an emergency situation after the initial targeting was done appropriately following the minimum standards for targeting. Therefore, the market driven principles and poverty ranking targeting should always apply to all BSL programme designs. Programme managers should exercise extreme caution when considering new project designs in the above described contexts and should seek guidance and technical support from project model champion or TSO project model representative at GC Livelihoods Sector Team.

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## FRAGILE CONTEXTS INTERVENTIONS

In fragile contexts market-based approaches (LVCD) and microfinance services would need to be locally adapted given the insecurity for meaningful private sector investment in key value chains. Advocacy and policy influencing on issues that affect the population should be embedded in the programme design in order to have the highest impact. For example, in a refugee setting, the legal right to work and other opportunities which support refugee access to markets and productive resources is one of the critical issues that hinder refugees' participation in livelihood activities.

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## EMERGENCY SETTINGS INTERVENTIONS

In emergency settings, safety nets and the ability for them to commence in such food insecure context is important. Therefore, where context allows, development food assistance approaches can be used to address immediate hunger needs while supporting food insecure households to become food secure and resilient over the long term.

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## RECOVERY INTERVENTIONS

In post emergency settings such as a market-based economy that is periodically affected by major disasters, livelihood recovery interventions can emphasise early injection of cash/credit to affected populations to recapitalize households and value chains impacted by disaster. As WV strives to build and strengthen communities, it is critical to note the significant role played by authorities and government functions in protecting/safeguarding communities' livelihoods against external threats. An all-inclusive capacity development approach will be critical. As such, capacity building and strengthening core government functions should be considered in programme design and implementation modalities.

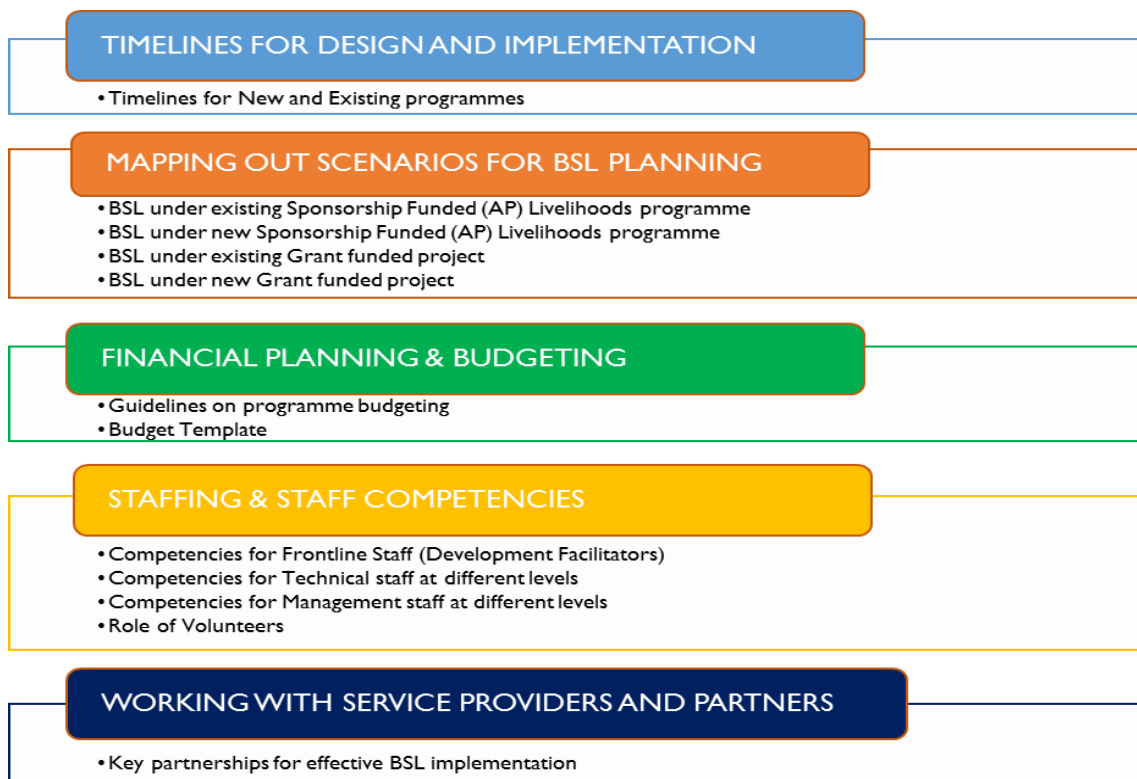
# CHAPTER 3: OPERATIONAL PLANNING

## INTRODUCTION

Following the design of BSL interventions, operational planning involves pre-implementation activities including financial planning, staff recruitment and training, community sensitisation, and setting up the monitoring framework. This chapter provides guidance to Area Programme Managers, BSL Specialists and BSL Programme Officers on how to conduct planning activities to facilitate the implementation of the programme.

The chapter is organised into five sections as shown on Figure 8 below. The first section covers an outline of the timelines for designing and implementing BSL project considering the implications of existing and new programme areas. The second section provides a range of operating scenarios including BSL alignment requirements for projects under existing or new Sponsorship Funded (AP) design and projects under existing or new grant-funded designs. The third section presents financial and budgeting considerations while the fourth section staffing and staff competency requirements covering frontline staff, technical staff and management staff as well as exploring the role of volunteers. The final section of the chapter presents the role of key partnerships and working with service providers.

Figure 8: Operational Planning Chapter Outline



## TIMELINES / EXISTING & NEW PROGRAMMES

Once the assessment and design are complete, the operational planning period determines the length of the implementation phase, typically between 3 ½ to 5 years after households have been registered and profiled. The overall timeline of a BSL programme, from assessment to the end of implementation, depends on the presence of an existing area programme.

1. **Existing Area Programme** – If BSL is implemented in an existing Technical Programme, the assessment period can take six months or less depending on the availability of rigorous and relevant assessments in the target area. In an existing area programme, key technical staff such as the Livelihoods Specialists are already in place and responsible for facilitating activities. In an existing area programme, the Livelihoods or BSL Technical Specialist should already be in place and responsible for facilitating activities related to the design and implementation of the BSL programme.
2. **New Area Programme** – A longer planning period is needed to hire core staff and set up a new area programme. Figure 9 shows a proposed timeline for the programme design, planning and pre-implementation activities in an area with no existing World Vision operations. Here, the planning period is longer to account for set up of offices and recruitment of staff.

**Figure 9: Timeline for BSL programme design and Implementation**

3 - 6 Months		3 - 6 Months		12 - 24 Months		12 - 18 Months		18 - 24 Months			
PREPARATION				IMPLEMENTATION PHASES							
ASSESSMENT		DESIGN		OPERATIONAL PLANNING		PHASE 1 IMPLEMENTATION		PHASE 2 IMPLEMENTATION		PHASE 3 IMPLEMENTATION	
Assessments in relation to BSL		Developing BSL design & plan		Operational logistics		Baseline study & Step 1		Step 2 & Mid-Term evaluation		Steps 3-4 & Impact Evaluation	
<ul style="list-style-type: none"> <li>• Contexts (political, social, etc)</li> <li>• Environmental assessments</li> <li>• Livelihoods and Market</li> <li>• Disasters and vulnerability</li> <li>• Key partnerships mapping</li> <li>• Major barriers analysis</li> </ul>		<ul style="list-style-type: none"> <li>• Validate and or establish geographic targeting</li> <li>• Establish beneficiary profile and targeting</li> <li>• Determine BSL package</li> <li>• Target setting</li> </ul>		<ul style="list-style-type: none"> <li>• Financial planning &amp; budgeting</li> <li>• Staffing &amp; training</li> <li>• Strategic partnerships</li> <li>• Participant registration</li> <li>• Community engagement</li> </ul>		<ul style="list-style-type: none"> <li>• Farmer Mobilisation and Registration</li> <li>• Organising Farmers into Participant Implementing Units (PIU)</li> <li>• Baseline study and In-depth Value Chain analysis</li> <li>• Foundational setting in transforming mind-sets for self-efficacy</li> </ul>		<ul style="list-style-type: none"> <li>• Establishing Sustainable Livelihoods options</li> <li>• Increase food production</li> <li>• Promote sustainable natural resource management</li> <li>• Promoting and establishing local market structures</li> </ul>		<ul style="list-style-type: none"> <li>• Business skills development</li> <li>• Scaling-up successful livelihoods options for increased income</li> <li>• Increased enterprising and access to improved markets</li> <li>• Scaling-up access to microfinance</li> <li>• End of Term/Impact Evaluation</li> </ul>	
Start				Year 2		Year 3		Year 4		Year 7	

During the planning phase, staff will develop a programme plan that outlines when to implement each intervention using a carefully sequenced approach, instead of launching them all at once. This allows BSL participants to slowly build their capacity and resilience. From an implementation perspective, a programme plan allows staff to build staff capacity and allocate their human and financial resources to ensure effective implementation of this intensive and complex approach.

Some important considerations for developing the overall BSL programme plan are listed below:

- Outline BSL programme activities, including recruiting and training staff, procurement of office equipment and vehicles, and engagement with local stakeholders.
- Ensure enough time is allocated for targeting, including verification to minimise erroneous selection of households.
- Review designed interventions to ensure that needs and vulnerabilities of men and women are appropriately addressed.
- Plan and review participant training content and group activities carefully, considering gender sensitivity of content, and consolidating different trainings where possible to minimise the amount of time that participants have to spend away from home or manage livelihood activities.
- Identify partners and ensure their availability for key activities such as input supplies, market development and microfinance.
- Consider actionable contingency plans that mitigate major risks such as natural disasters, asset loss due to illness, and death in the family, among others.
- The sequencing of interventions needs to follow a logical pathway as prescribed in on Figure 12 to develop the capacity of a household and build its resilience.
- Community sensitisation should be the first entry point before any implementation activities take place.

## SCENARIOS FOR BSL PLANNING

It is important to take note of the different planning contexts and scenarios that exist across various World Vision operating areas for planning purposes. The funding model, either sponsorship or private grants presents significantly different operating environments for BSL projects due to limitations in scope and donor related priorities. There are opportunities and constrains in each funding model as far as BSL implementation is concerned as discussed below:

- 1) Sponsorship funding has no restrictions on programme design as this is World Vision money. This means that alignment with the BSL minimum standards is a matter of technical decisions and staff capacity. However, quite often the AP budget allocation to Livelihoods or BSL in particular is likely to be so limited that a full BSL alignment will be difficult.
- 2) On the other hand private grants offers an opportunity for large allocation of funding to Livelihoods specific interventions and BSL programme in particular, but different donor requirements are not always tightly aligned to the BSL programme design.

The above points are also influenced by whether considerations for BSL programming are applied in an existing or new TP design. However, BSL programmes are designed to fit within the FO's Livelihoods Technical Programme. It is intended that all BSL projects, within Area Programmes that have sponsored children or in other locations, will implement all the key ingredients of BSL; allowing for slight adaptations in the local context.

National Offices should look to implement Private Non-Sponsorship (PNS) and grant-funded projects in Area Programmes to support unfunded aspects of BSL and target groups living in between US\$1 and US\$2.50 per day who are not otherwise funded through Child Sponsorship. For example, CSPON could be used to provide training on Empowered World View and establishment of Savings Groups. PNS and Grants can then be used to fund additional components such as agriculture, natural resource

management and LVCD activities as these tend to be more attractive to government and multilateral donors.

Field Offices engaging with this BSL Handbook will be at different phases of their National Level Livelihoods strategy implementation. Four common scenarios are identified to help practitioners align their BSL planning accordingly and these are explained in more details later.

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## **BSL UNDER EXISTING SPONSORSHIP FUNDED (AP) LIVELIHOODS PROGRAMME**

First scenario is where an existing sponsorship-funded livelihoods programme wishes to adopt the BSL project model. Typically the AP Livelihood projects under this scenario would have interventions designed under the Livelihoods TP design and implementing annual AP plans. The AP plans may include some components of the BSL project model but not aligned to the minimum standards. Considering that the AP plans are all based on TP designs, it is not expected that AP plans and activities be re-designed to meet BSL project model requirements but rather align to the BSL principles and minimum standards as much as possible. Table I provides an outline of different alignment options for existing AP programmes under sponsorship programming ranging from implementing standalone aspects of BSL package to full alignment. This handbook allows for flexibility in this regards.

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## **BSL UNDER NEW SPONSORSHIP-FUNDED (AP) LIVELIHOODS PROGRAMME**

The second scenario is where BSL is considered in a New Sponsorship funded AP Livelihoods programme. This handbook refers to 'new' in terms of New AP design and New AP plan regardless of whether in areas with existing World Vision work or completely new AP establishment. The focus is on the opportunity to shape the design based on BSL minimum standards. Once the Livelihoods TP manager has decided to adopt BSL project model under the Livelihoods TP strategy, all the minimum BSL standards must be adhered to where three or more interventions under the BSL project model are involved as shown on Table I.

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## **BSL UNDER EXISTING GRANT-FUNDED PROJECT**

The third scenario is where a Field Office decides to adopt BSL, but have existing grant-funded projects with agreed grant requirements based on the project design. The grant-funded project designs cannot be altered, but annual reviews and re-designs should be viewed as an opportunity to align the projects to BSL principles based on the outline on Table I. It is important to ascertain the level of BSL alignment possible and engage support office and relevant stakeholders on recommended alignment. The expectation is that the holistic nature of the BSL design and focus on verifiable HH progression to secure livelihoods should present as a robust and sustainable approach to addressing systemic poverty issues among poor households which most donors would be happy to support if well communicated alongside strategic engagement.

## BSL UNDER NEW GRANT-FUNDED PROJECT

The fourth scenario relates to new grant opportunities where BSL alignment can be achieved during project design phase, but recognises that the requirements of a donor may mean that it is more difficult for BSL projects to be designed and implemented using the full BSL Project Model. However, it is recommended that the core components are adhered to so as to ensure interventions and activities align with the National Technical Programme. It is recommended that grant-funded projects begin with sufficient high-quality assessments and research to be assured that the implementation activities will be most effective and in line with FO and donor desired outcomes. Similar to the other scenarios presented, Table I should help the practitioners to determine the appropriate level of alignment based on project limitations and donor requirements.

## FINANCIAL PLANNING & BUDGETING

This guidance on BSL budgeting is based on the testing projects under THRIVE funding (WV US PNS) projects with average annual budgets of USD 2.1 million and average participant target of 10 000 farmers. Therefore, small BSL projects under AP funding with an average of 500 registered participant farmers or in cases where only three or four components of BSL are being implemented (e.g., Empowered World View, Savings for Transformation, and Local Value Chain Development) then the budget percentages would need to be adjusted accordingly

The following table outlines guide percentages for each major component of the BSL programme:

Budget Category	Cost	% of Total Budget
Agricultural productivity, Market development, Microfinance and Business skills activities (LVCD, MF, etc.)	840 000	40%
NRM Activities (CSA, FMNR etc.)	420 000	20%
CBDRM activities	105 000	5%
Behaviour Change activities (EWW)	105 000	5%
DME	168 000	8%
Programme Management	462 000	22%
<b>TOTAL</b>	<b>2 100 000</b>	<b>100%</b>

### BSL Budget Template for 10,000 HH programme

ACTIVITES	Unit	# of Units	Unit Value \$\$	Total Cost
<b>Partnerships / AGREEMENTS</b>				
Research and Evaluation Partner				
Microfinance Partner – VFI preferred				
Market Development Partner				

Government Extension Services				
Farmer Capacity Building				
<b>HUMAN RESOURCE &amp; ASSETS</b>				
BSL Programme Manager (1)				
Project Accountant (1) and M&E Officer (1)				
Livelihoods & Agricultural Specialists (2)				
Women's Economic Empowerment Specialist (1)				
Frontline staff (5), Drivers (2), Vehicles (1)				
Internet fees, software licenses (GEMS, OURPEOPLE, etc.)				
<b>DME</b>				
Assessments				
Beneficiary selection				
Project management technical support				
Outcome monitoring and implementation tracking				
Baseline				
Midterm evaluation				
Final evaluation				
Learning events				
M&E system				

## STAFFING & STAFF COMPETENCIES

Ensuring that a BLS programme has sufficient staff to ensure high quality programming is required during the operational planning stage, and before implementation. Considerations when staffing all roles for BSL projects are presented in Box 5 below:

### Box 5: General staffing considerations

- Staff competencies require advanced skills with the intervention sectors (beyond community mobilisation)
- Competencies include basic familiarity with adult-learning and training, gender sensitive and inclusive approaches, knowledge management, and adaptive management.
- BSL has a strong focus on demonstrating evidence for results and associate pathways of change, and all staff should be comfortable with contributing to the BSL blueprint / process documentation on what works and what does not
  - Process documentation serves as a starting point for scaling out the BSL model within the organisation across a wide range of contexts.
- Scope of work should cover a whole Implementation Step as described in Figure 12.
- Staff needs the skills to facilitate intervention specific capacity strengthening, but also the transition between interventions.
- Duration of engagement should be for the complete cycle of the Implementation Step in Figure 12. Staff turnover is commonly stated as a threat to accompaniment models, which affects trust and technical consistence.

It is recommended that a BSL programme of the scale outlined in the financial planning and budgeting section would require the following staff types and numbers - Staff numbers would of course vary according to programme scale:

- Frontline staff (Development Facilitators)      Between 4 – 6 Development Facilitators
- Management staff at different levels              Typically 1 AP Programme Manager
- Technical staff at different levels                  Typically 2-4 Staff (Livelihoods Technical Specialists, Women's Economic Empowerment Specialists, DME Specialist)

Staff professional development and growth during a project is enabled by encouraging staff to progress from one Implementation Step to another (see Fig. 8) as the programme matures. Staff are thus exposed to EWV and S4T and expand their skills into other domains such as LVCD, NRM, and Market Facilitation. This contrasts with being hired for a single/static project position that does not change in professional or financial terms. This needs to be presented as an incentive to attracting experienced and committed staff. Learning pathways for technical staff development are outlined in Annex 1.

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## COMPETENCIES FOR FRONTLINE STAFF (DEVELOPMENT FACILITATORS)

Competencies required for Frontline Staff include the following, depending on the components of BSL that are being implemented in the local area:

- Facilitate Building Secure Livelihoods at the community level
- Promote and support Savings for Transformation in the community
- Facilitate Local Value Chain Development at community level
- Facilitate sustainable agriculture at community level



- Facilitate small business development
- Facilitate FMNR
- Contribute to evidence building for livelihoods (including PPI)
- Facilitate women’s economic empowerment and gender equality

Note that not all staff needs all the competencies listed above, but all the competencies above should be covered across a team to ensure effective performance of BSL activities.

Staff at this level will need additional general competencies, including:

- Facilitate local advocacy
- Use a smartphone for monitoring
- Facilitate monitoring processes with partners and communities
- Apply basic coaching skills including gender-sensitive and inclusive techniques
- Design and deliver training
- Facilitate community groups and meetings
- Build collaborations for child well-being
- Facilitate child sponsorship activities and processes

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## COMPETENCIES FOR TECHNICAL STAFF AT DIFFERENT LEVELS

For zonal livelihoods specialists, competencies are needed at two levels, but depending on the staffing structure in the FO. Specialists whose role it is to support the frontline staff would need the following technical competencies:

- Implement and support Building Secure Livelihoods across a cluster or zone
- Implement and support Savings for Transformation programming across a cluster or zone
- Implement and support LVCD programming across a cluster/zone
- Implement and support sustainable agriculture programming
- Implement and support sustainable agriculture programming across a cluster or zone
- Implement and support gender equality including women’s economic empowerment programming

For higher level specialists and/or a technical programme manager, the additional competencies of “providing technical leadership” and “ensuring quality programming” would also be required:

- Ensure the quality of BSL programming
- Design and oversee market assessments at local, regional and national levels
- Ensure quality livelihoods evidence building and /or provide oversight for livelihoods evidence building across the programme/cluster/zone
- Provide technical leadership in livelihoods programming

Additionally, technical specialists at all levels need generic competencies to support effective implementation of sectoral work:

- Coach staff
- Contribute to design process
- Design and deliver training
- Ensure team effectiveness

- Manage projects effectively
- Negotiate and manage multi-level partnerships
- Plan and undertake engagement with external stakeholders
- Promote gender equality and social inclusion
- Promote and support effective staff development
- Supervise monitoring in area and technical programmes
- Support area programme planning

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## COMPETENCIES FOR MANAGEMENT STAFF AT DIFFERENT LEVELS

Typically, the Area Programme Manager would need the following management competencies:

- Lead area programme planning
- Manage and develop staff
- Manage resources
- Manage monitoring processes in the area programme, support programme baselines and evaluations
- Manage sponsorship integration
- Ensure team effectiveness
- Promote and support effective staff development
- Coach staff
- Build collaborations for child well-being
- Advise on gender equality and social inclusion

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## ROLE OF VOLUNTEERS

In addition to staff, Community Volunteers are critical to the success of BSL programming as they play a lead farmer/unit leader role, and are trained up to coordinate and monitor all BSL interventions for a group (unit) of farmers. BSL frontline staff to volunteers ratio is critical to observe and to ensure key programme messages do not become diluted. A high ratio, many participants and too few staff, reduces the efficacy of programme messaging and interventions. This assumes that direct BSL activities reach direct beneficiaries through a combination of staff and volunteers. In many cases, basic transfer of knowledge and practice follows a cascade model whereby project staff train volunteers who in turn train direct beneficiaries (e.g., the lead farmer and farmer group model). Box 7 below highlights the minimum ratio of frontline staff to volunteers, and the ratio of volunteers to beneficiaries with the assumption that project staff are also available to troubleshoot/support direct beneficiaries on a selected basis.

This minimum standard insures there is only one level of volunteer between WV (or technical partner) staff and direct project participants.

Box 6: Frontline staff to volunteer and volunteer to beneficiary ratios		
Front Line Staff to Community Volunteer ratio	Community Volunteer to Unit Leader/Lead Farmer ratio	Unit Leader/Lead Farmer to participants ratio
1:14	1: 4	1: 20-55

Key Considerations when identifying volunteers for BSL projects are presented in Box 7:

#### Box 7: Volunteer recruitment considerations

- Engagement of unpaid community volunteers creates a tradeoff in terms of quality vs inclusiveness.
- Stringent criteria for selecting volunteers, rather than selection based on motivation level is a more inclusive approach to working with capacity as it emerges. It also minimises dependency. However, the inclusive approach results in common issues related to high volunteer turnover, low incentives to scale out knowledge and practices, and preferred treatment of some beneficiaries.
- An alternative option constitutes a more formal extension of project staff and enables a higher quality transfer of knowledge, practice, and accompaniment. Stricter criteria for selecting volunteers requires an incentive up front to attract volunteers with the targeted skills for the duration required.

## WORKING WITH SERVICE PROVIDERS AND PARTNERS

Service providers and partners play a key role in achieving greater and more sustained impact in the lives of children. No organisation can contribute effectively to the sustained well-being of children in isolation. Involving communities, businesses, government agencies and vulnerable households is fundamental to achieving World Vision's goal.<sup>5</sup> BSL is a partnership driven project model with strong emphasis on private sector engagement and market driven solutions. Wherever possible BSL projects should be designed and implemented with key external partner organisations (financial service providers, input suppliers, agro-marketing companies, etc.) to promote local economic sustainability.

An assessment should be conducted to determine competency and service gaps related to financial service providers, agricultural input suppliers, government/private sector agricultural extension services, and agricultural marketing companies. This will help identify the type of linkage for each type of service, (e.g., whether it will be a formal partnership or a one-off delivery of a service such as training, etc.).

Partners may include governments, non-governmental organisations (NGOs), private service providers, financial institutions, and market actors that participants link with.

## KEY PARTNERSHIPS FOR EFFECTIVE BSL IMPLEMENTATION

To establish a partnership, World Vision will develop a Memorandum of Understanding (MOU) based on guidelines in [World Vision's Partnering Handbook](#).<sup>6</sup> World Vision can also engage service providers to fill gaps in key interventions, for example with developing modules on livestock management or building capacity of staff in the absence of in-house capacity. All contracts with service providers must adhere to

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<sup>5</sup> Freeman, C. et al. (2016). Delivering on the promise: In-Country multi-stakeholder platforms to catalyse collaboration and partnerships for Agenda 2030. World Vision Policy Paper. World Vision International and The Partnering Initiative (TPI), 2016

<sup>6</sup> World Vision Partnering Handbook; <https://www.wvcentral.org/community/partnering/Pages/Resources.aspx>.

World Vision's procurement guidelines. This handbook recommends a minimum of at least four key partnerships to be established for effective BSL implementation.

The key partnerships include:

- 1) **Microfinance partner** for microfinance services under BSL. A strategic partnership between WV AP and VisionFund International (VFI) microfinance is preferred where the local VFI provider is able and willing to adapt products and services to meet the needs of BSL participants at competitive rates compared to other microfinance providers in the same area. Please note that any microfinance programming should be in the form of a partnership with Vision Fund International or another well-established and proven microfinance institution (MFI). In partnering with MFIs other than VFI, we would not provide World Vision funding to them and microfinance programming should never be implemented directly by World Vision ADPs or programmes.
- 2) **Business skills development partner** for successful entrepreneurship among small holder farmers. As much as access to finance is important for poor farmers to increase production, this alone without entrepreneurship skills will not make a small holder farmer successful. It is preferred that a microfinance partner also provide business skills development before, during and after extending loan services. Although business skills development is a separate service to lending, it is essential for effective loan utilisation by the borrower/farmer. Therefore business skills development should be a pre-requisite for any microfinance service provision outside savings for transformation.
- 3) **Input supplier and agronomic service partner** is essential for improved agricultural practices and improved yields for small holder farmers. Most programmes tend to rely on government services on agronomic services and input distribution. It is important to note that most government schemes tend to be oversubscribed causing delays in input distribution to farmers and also not necessarily focused on improved seed varieties. Therefore, a private sector supplier is preferred as a business not sub-grantee for World Vision. Service provision should be on market basis while WV facilitates the process, but a formal MOU is necessary.
- 4) **Market development partner** should be identified and engaged right at the beginning of the programme. This should look at the holistic market ecosystem, which include input supplies and agronomic service as the quality of products cannot be divorced from the market appeal. Therefore, these two functions can be provided by a single partner as long as there are clearly defined as separate functions with separate deliverables. Where different partners are engaged, close collaboration is highly recommended.

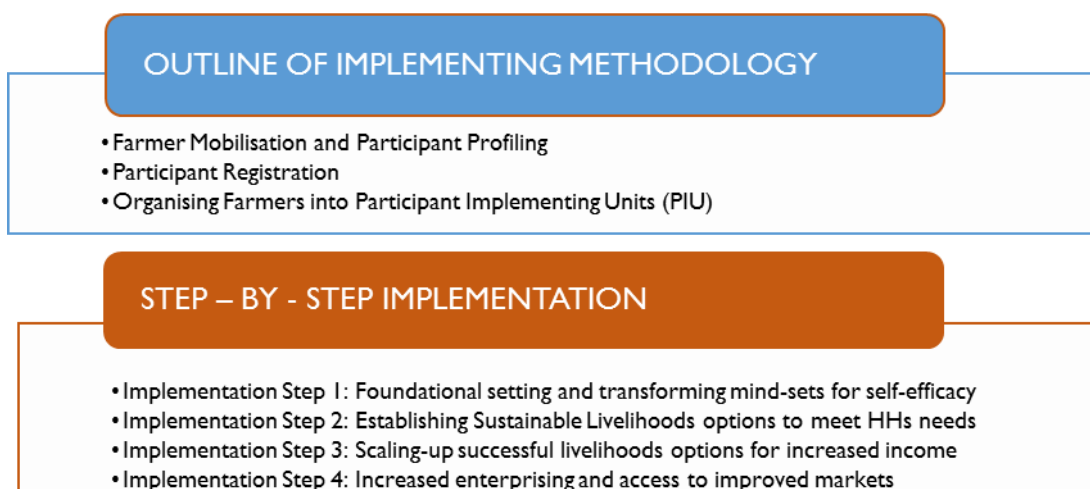
# CHAPTER 4: IMPLEMENTATION

## INTRODUCTION

The implementation Chapter provides an overview of interventions that can be implemented under a BSL programme and the whole implementation process. It highlights the minimum targeting criteria for households to engage in each intervention, the minimum sequencing and layering needs, and the minimum criteria for an intervention to be considered successful (at the household level).

The chapter is divided into two major sections methodology and step-by step implementation process as shown on Figure 10 below. The methodology section outlines the initial process of farmer mobilisation and profiling requirements to establish house hold targeting and selection of eligible farmers for enrolment into the BSL programme. This process is followed by the actual registration or enrolment of the successfully profiled farmers and organising them into Implementing Units. The second section begins with exploration of the setting up requirements from Step 1 interventions covering mind-set transformation through to Step 4, which deals with interventions for promoting increased enterprising and access to improved markets.

**Figure 10: Implementation Chapter Outline**



## IMPLEMENTING METHODOLOGY

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### FARMER MOBILISATION AND PARTICIPANT PROFILING

The mobilisation of farmers for the BSL programme involves local community structures and relevant authorities to organise communities and families for programme awareness. The local context determines the nature and scope of the process as necessary.

The local context determines parameters for selection of target BSL participants. Guidance on participant selection includes:

- Willingness to take part in the project with clear understanding of project goals and expectations for participants
- Willingness to accept and implement WV's development principles in family and well-being of children
- Someone already involved in some form of saving (SG member) or willing to start structural saving
- Already practicing some form of farming with readily available minimum start-up basic resources for enterprise development

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### PARTICIPANT REGISTRATION

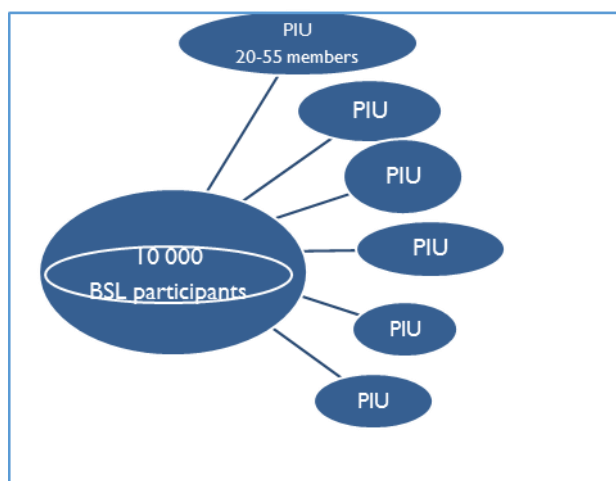
Enrolling project participants who meet all the basic requirements of BSL HH targeting requirements is one of the very important steps in meeting the BSL minimum standards. A context specific targeting criteria should be clearly defined outlining the socio-economic characteristics of the eligible participants. The criteria should in all cases include poverty threshold, whether the \$1.90 per day poverty line benchmark or the national level poverty benchmark. Consideration should be given to the participant target size and how data will be collected, stored and managed. An average of 10,000 data sets requires a proper system in place.

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### ORGANISING FARMERS INTO PARTICIPANT IMPLEMENTING UNITS (PIU)

In order to establish economies of scale and reduce support costs, farmers must be organised into manageable Participant Implementing Units (PIU) of 20-55 farmers. This serves as the very basic local structure for delivering all interventions under BSL. A PIU leader is appointed and trained to support unit members in all aspects of project interventions while capturing the participant progress against each on the BSL components progression parameters. Once farmers are organised into different implementing units and assigned to specific unit leaders (community volunteers), all activities will be delivered and monitored through direct collaboration with community unit leaders. This concludes the implementation preparatory requirements.

Figure 11: Example of BSL Participant Implementing Unit structure

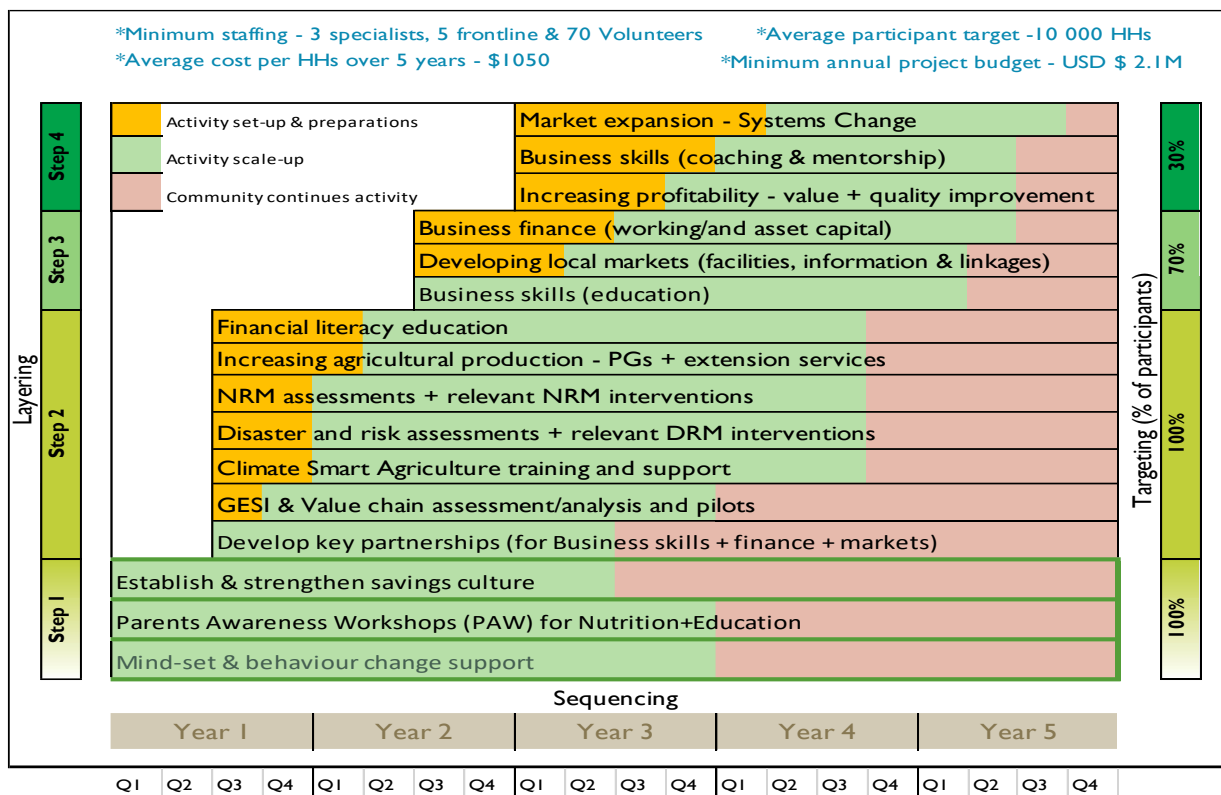


- PIU leaders are community volunteers appointed by project participants
- Project participants in a unit can belong to any project group of their choice
- PIU leader ensures members of their unit have access to all project support available
- A PIU leader is a group champion and not a World Vision project volunteer
- PIU leader ensures each unit member progresses well on the BSL progression steps for the good of the community
- Regular individual participant progression monitoring data is kept at unit level

## STEP – BY - STEP IMPLEMENTATION

As illustrated below, four key steps are necessary in effective BSL programme implementation. At this point the project should have completed the participant targeting, registration and profiling using specific BSL participant registration tools and profile database. Figure 12 below provides an overview of BSL layering and sequencing of interventions as well as a snapshot of typical scope in terms on budget size, number of participants and minimum staff needs.

Figure 12: The sequencing and layering of BSL activities



## IMPLEMENTATION STEP I: FOUNDATIONAL SETTING AND TRANSFORMING MIND-SETS FOR SELF-EFFICACY

BSL Step I begins with behaviour change intervention through Empowered World View (EWW) and/or other locally acceptable WV-recognised transformational development interventions. This is complemented by strengthening social capital through establishing and strengthening Savings for Transformation groups. All BSL registered households will partake in EWW training and messaging and participate in Savings Groups or Producer Groups. The underlying goal of Building Secure Livelihoods programming is to contribute to improved child well-being and this goal should be shared with each BSL project participant through embedded messaging and parents awareness workshops (PAW) on Education and Nutrition. The BSL project manager should integrate the relevant direct activities on PAW from the Education and Nutrition project models to embed with EWW or another WV-approved behaviour approach.

As illustrated on Figure 11 above, a BSL participant is first allocated a unit for project implementation led by a Unit Leader chosen by the group and trained by WV to act as the unit's own champion for all interventions under BSL. The unit leader keeps a record of his or her BSL participants and liaise with WV volunteers and other community stakeholders to ensure each BSL participant receives support and services in the recommended sequential and packaged order. The BSL participant having profiled in a specific unit joins any savings group of his or her choice. In some cases, a savings group transitions into a producer group if all members decide to do this but it is recommended that BSL participants have a choice to join any producer group of their choice without affecting their savings group membership. This means that a BSL participant can hold membership in several intervention-based groups (e.g., Savings



group, Microfinance group, FMNR group, different types of producer groups, etc.), but cannot be a member of more than one *Participant Implementation Unit*. A BSL participant will then report progress in all interventions and groups back to their PIU leader who will keep a unit progress record, which is the primary source of BSL participant progression attributes and output monitoring.

However, participation in BSL does not always begin with membership in savings groups. In practice, some registered households have been active participants in microfinance groups prior to BSL or may have an established savings account. For this reason, the BSL handbook states that registered project participant households should be active members of a savings or producer group, and an active saver. S4T and EWV have high intensity programming throughout year two and year three of the programme, respectively, via engagement with Savings and Producer Groups. At the end of year three, resources are reallocated towards Step 2 and Step 3 activities. Low intensity, maintenance programming, of S4T and EWV are maintained, primarily through support of existing groups and EWV messaging layered with other interventions.

Addressing inequitable social norms and transforming mind-set via an empowered worldview approach is foundational to support the change process to build secure livelihoods. EWV encourages strength of character and individual responsibility of smallholder farmers to move from a subsistence and dependency mind-set toward self-confidence in their ability to make a positive change in the world around them. EWV equips participants with a mind-set of “farming as a business,” with a focus on entrepreneurial wealth creation and constructive engagement with government structures for improved delivery of social services. Exposure to improved technologies and agricultural practices gain the attention and interest of communities, but a mind-set shift leads community members to insist upon adaptation of new technologies. EWV highlights a more compelling pull factor to sustainably adopt new and improved practices and technologies.<sup>7</sup>

EWV focuses on promoting child protection, family nurture and care, (through positive parenting/celebrating families), care of creation, participation and care for the most vulnerable groups (social welfare). EWV unleashes the creative freedom, strength of character and individual responsibility of small holder farmers, savings groups, and youth and faith communities. It equips them with a mind set of “farming as a business,” making them capable of entrepreneurial wealth creation and constructive engagement with government structures for improved delivery of social services that hinder the realization of child well-being and that of any community.

Two main interventions, EWV and S4T, are the pillars of BSL Step I activities. The outline below provides specific guidelines on **who does what, where, when and how** in the BSL implementing process for Step I.

### **Empowered World View (EWV) – transforming mind-sets for self-efficacy**

**On who** **BSL Start – up participants** - EWV is the key mobiliser for envisioning, identification, motivating, capacity building and enrolling participants during project start up and to facilitate transitions steps between BSL activities. EWV is the entry point for foundational issues such as gender, social inclusion, and disability. EWV activities in year one focus on

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<sup>7</sup> Breaking the chains of poverty with Empowered World View

entry and leverage points for cross-cutting issues. Programme staff are targeted and trained to be able to effectively facilitate EWW in their community interactions. Where EWW may not be appropriate, WV approved activities should deliver self-efficacy skills in line with BSL mandate

- What** **Training and Capacity Building** – EWW intervention should deliver training and training of trainers (ToT) for staff, local partners, lead farmers and community facilitators to reach out to each BSL participant with the same. Projects should integrate EWW principles in other programmatic activities such as LVCD and Microfinance.
- Where** EWW activities must be delivered at **Household and community level** reaching all registered BSL participants directly with progress tracking focusing on **attributes of each participating HH**.
- When** EWW should be delivered to all participants within the two to three years of implementing BSL with a significant focus on staff time and resources in years one and two.
- How** All programme staff will be trained on EWW principles and methodology. In turn, staff lead training and workshops for targeted farmers, households, groups (through EWW ToT training and facilitator and envisioning workshops) to address, the dependence mind-set and behaviors, negative cultural attitudes and practices such as gender discrimination and other forms of social exclusion that undermine change. EWW principles will be applied when forming the S4T groups, LVCD groups, Community based disaster risk management, Climate smart agriculture etc., all with an empowered world view mind set. As individuals and households become economically empowered and build equitable relationships, they insist on improved social services for their children and community.

### **Savings for Transformation (S4T) - Financial Inclusion through S4T Groups**

The Savings Groups Project Model was developed to address the root causes of a lack of capital, inability to save and exclusion from existing financial services, as well as dependence within communities on WV for the purchase of business and agricultural inputs and health and education costs. Savings Groups also serve as a mechanism for transitioning out of safety net programmes or for building resilience in times of emergencies or shocks.

- On who** The registered BSL participants should form S4T groups if not already members. Integration of S4T into BSL enables these groups with insecure livelihoods to build resilience by enhancing the productivity and profitability of sustainable agriculture, to improve market access and strengthen rural value chains as well as providing access to financial services.
- What** Along with Empowered World View (EWW), Savings for Transformation Groups are foundational. The groups established provide the social capital and basic capacities (risk management, financial literacy) that all other Building Secure Livelihoods interventions utilize. In short – Savings for Transformation Groups function as the vehicle for the rest of Building Secure Livelihoods. Savings for Transformation Groups will continue to exist throughout the five-year programme, however, **BSL registered members must go on to participate in all mandatory Step 2 Building Secure Livelihoods activities**.
- Where** S4T participation is at **Household level** with progress tracking focusing on Individual participant HH
- When** New S4T groups should be recruited first as BSL Participants, then self-select into S4T groups with clear understanding of other interventions to follow. Existing S4T groups can register for BSL as a group or members can join other groups operating as S4T groups under BSL. S4T Groups start in year one in conjunction with Empowered World View

activities and establishment of new groups stops at year two. However, support to existing savings groups continues throughout the programme life cycle.

**How** Timing of the integration of S4T with the BSL model is finalised at the programme design stage and the actual integration should happen at participant registration stage. All S4T members whose groups have been formed or integrated into BSL must participate in all BSL Step 2 interventions. This should be disclosed upfront in order to only enroll S4T members who are willing to take the BSL progression journey. S4T groups/members can go on to form a producer group or join different existing producer groups of their choice. It is mandatory for a BSL participant to be an active saver either as part of S4T group or with a local MFI where regular savings participation is verifiable. It is also mandatory for a BSL participant to belong to at least one of the key BSL Groups, either an S4T group or producer group.

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## IMPLEMENTATION STEP 2: ESTABLISHING SUSTAINABLE LIVELIHOODS OPTIONS TO MEET HHS NEEDS

The programme manager, based on contextual needs and assessments, identifies relevant activities to build household and community resilience to shocks and stresses. This is a combination of CBDRM, sustainable natural resource management (including FMNR), and Climate Smart Agriculture. Programming of these activities is closely linked with EWW and group (savings or producer) activities. For example, savings groups may be the modality of delivery for FMNR and Conservation Agriculture. When Savings Groups are mature enough, the BSL manager will transition activities to the formation and/or strengthening of producer groups. During this step the BSL manager starts establishment of LVCD assessments and pilot activities. This can be done with high performing S4T groups or existing, but mature, producer groups with savings components. This includes the establishment of financial literacy education at savings and producer group levels. All registered households (100 percent) are targeted to receive Step 2 interventions. Step 2 interventions do not begin until Step 1 interventions are established (likely year two). The outline below provides specific guidelines on **who does what, where, when and how** in the BSL implementing process for Step 2.

### Climate Smart Agricultural practice

Climate Smart Agriculture (CSA) is any agricultural activity that will improve the farmers' resilience to climate change, improve soil quality and increase farm productivity. CSA activities include agroforestry (including FMNR), conservation agriculture, water harvesting, crop diversification and intensification, climate information services and erosion control techniques (stone bunds and tie/contour ridges).

**On who** BSL participants who have achieved Step 1 progression attributes on Figure 6 and are ready to significantly increase their agricultural production.

**What** Climate Smart Agriculture (CSA) can be considered in any agricultural activity that will improve the farmers' resilience to climate change, improve soil quality and increase farm productivity. CSA activities are diverse and include agroforestry (including FMNR), conservation agriculture, water harvesting (use of Zai and half-moon pits and water pans), crop diversification and intensification, climate information services and erosion control techniques (stone bunds and tie/contour ridges).

**Where** Household and community

- When** CSA can be incorporated with producer groups and farmer groups, as well as with CBDRM activities beginning with light introductory activities towards the end of year and intensifying during years two through to year four when the project prepares to transition and encouraging communities to continue with ongoing activities through to the end of the project cycle and beyond.
- How** CSA is initially introduced by holding a community workshop and then identification of potential CSA trainees – targeted via LVCD producer groups. Training of trainers (ToT) is then carried out and then lead farmers identified after observing how the trainees adopt the practice and promote with other farmers. Farmer field schools should also be considered to test different CSA technologies to improve the chances of these technologies being acceptable over conventional methods practiced in the community.

### Local Value Chain and Market Systems Development

Local Value Chain Development (LVCD) uses the value chain approach in a participatory way, helping vulnerable producers and farmers to analyse markets, gain information, build relationships and act collectively to overcome market barriers and increase profits. BSL participants have their farm production capacity built through forming groups and participating in training to improve quality and productivity. As they build skills to produce more, further training and coaching in producer groups helps farmers and producer gain more understanding of market systems and forming relationships with buyers. World Vision will be further developing Market Systems Development approaches to help farmers and producers participate fully in their local, national and international markets.

- On who** LVCD interventions are introduced to BSL participants who have achieved the Step 1 progression attributes on Figure 6 and are actively learning or practicing CSA techniques to boost food production and surplus for sale. These BSL project participants forms themselves into producer groups or transition the S4T groups into producer groups where possible. Progression onto Step 2 of BSL may not happen at once for all BSL participants but Step 2 is mandatory for all project participants.
- What** The LVCD approach links farmers to suppliers, buyers and financial services providers. Producer groups focus on the transfer of good agricultural practices through demo plots, training, and accompaniment. Producer groups are linked to suppliers and buyers.
- Where** Household
- When** The LVCD approach is applied in year one after BSL participants have attained Step 1 progression attributes through to year four.
- How** A producer group’s formation and support begin as S4T groups begin to mature (complete one full cycle, have a pre-established group, or are four months into the S4T cycle). No new producer groups are formed after year four. In years three through five farmers with sufficient production, resources, and appetite for risk will form their own business associations with a focus on commercial farming. Behaviour change is key to individual farmers and groups to positively engage in increased production while maintaining a focus on the well-being of children. LVCD tailored EWW activities and support will be constantly provided to producer groups and farmers. This should promote intentional activities around growing and consuming nutritious foods at household as well as food preparation and value addition for household needs. See the annexes for the Nutrition Sensitive Checklist in the World Vision “Integrating Extremely Poor Producers into Markets Field Guide.”<sup>8</sup>

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<sup>8</sup> <http://wac.392c5.alphacdn.net/00392C5/media/2017/Field-Guide-IV-WV.pdf> page 19.

### MFI interventions - Financial Inclusion through Microfinance services

Microfinance intervention under BSL focus on providing a comprehensive range of financial services such as credit, savings accounts, insurance and other tailored innovative products and services that suit the needs of BSL participants

- On who** BSL participants whose financial needs can no longer be met in their S4T groups and are able to meet the financial readiness criteria of the MFI partner.
- What** The Microfinance intervention under BSL provides financial services that include credit, savings, insurance and financial education. Microfinance intervention is provided only through an MFI partner such as VisionFund. The MFI and FO together will identify appropriate products based on selected value chains.
- Where** Household
- When** Only a limited number of households will meet the financial readiness at the start of BSL project activities. Microfinance can first be introduced to mature S4T groups after one or two share-out cycles, and further supported after groups have demonstrated maturity and production capacity and meet partner MFI lending criteria. This is most likely to start in year two.
- How** World Vision will engage first with Vision Fund, and if not operational or able to offer appropriate services, then other MFIs to provide financial services and business skills development. Funding can be provided to the VisionFund MFI for loan capital, set up and operational costs, and product development (if needed). Transforming farmers into successful business owners requires competencies and skills for running a farming business. The microfinance intervention under BSL **must** come with delivery of business skills development training for subsistence farmers as they transition into commercial production. The BSL participants should be equipped with the necessary business skills before taking business loans. The partner MFI could deliver the skills development directly or partner a competent local service provider to deliver relevant business development.

### Community based disaster risk awareness, management and mitigation through CBDRM

Community-Based Disaster Risk Management (CBDRM) is a comprehensive community-driven process in which communities are actively engaged in identifying, analyzing, reducing, monitoring and evaluating disaster risks to reduce their vulnerabilities and enhance capacities to cope with shocks and stresses by anticipating, preparing for and mitigating the impact of hazards, while improving their ability to respond to and recover from disasters.

- On who** Communities where BSL targeted household reside, and BSL participant households progressing to Step 2 BSL interventions.
- What** Analyse the context, hazards, vulnerability and adaptive capacity of the target community to inform specific programme design, with relevant stakeholder groups. Specifically linked to the BSL supported livelihood activities (S4T and LVCD)
- Where** Household and Community
- When** CBDRM assessment activities **must** begin in year one as shown on Figure 12 with low intensity and intensify from year two through year four, then year five with a significant decrease in resource allocation. The primary effort will be applied in years two through four.

**How** Traditional approach builds local risk awareness and identifies solutions for priority hazards. It is important to link the CBDRM approach to other key BSL pathways that can strengthen relevance of, and provide momentum to, CBDRM activities. This includes blending training activities with EWW approach to influence behaviour change and raise awareness within the community about disaster risks, the impact of climate change, and natural resource management, and then to assist communities to conduct disaster risk mitigation activities. Equally, the EWW process is applied with CBDRM or other DRR processes, by working with communities to look at how they use their capacities and assets to prepare for and mitigate risks and build resilience to shocks and stresses. Ideally the CBDRM process should involve local government stakeholders in the assessment and analysis, and the results should feed into local government budgeting and planning processes, to support and strengthen community level activities.

### Sustainable Management of Natural Resources through NRM approaches

Farmer Managed Natural Regeneration (FMNR) is one example of Natural Resources Management (NRM) intervention with a rapid, low cost and easily replicated approach to restoring and improving agricultural, forested and pasture lands.

**On who** BSL participants who move on to Step 2 of the intervention package after attaining the progression attributes. All BSL participants should be encouraged to practice relevant NRM activities as part of their sustainable production techniques.

**What** FMNR can be considered in any agricultural or livelihoods activity where increased tree cover will contribute to an improvement in long term well-being. When trees are disappearing, the environment is degrading, and conditions are deteriorating, implementation of FMNR is highly recommended. This can be combined with CSA practices in producer groups.

**Where** Household and community

**When** NRM activities can be incorporated with producer groups and farmer and pastoralist groups and in refugee camps/settlements, as well as with CBDRM activities throughout the project cycle.

**How** NRM is initially introduced by holding a community workshop which identifies key problems and their links to natural degradation and deforestation. Depending on NRM techniques identified, Training of trainers (ToT) is carried out and lead farmers identified after observing how the trainees adopt the practice and promote with other farmers. Once enough farmers have adopted the practice, it can be introduced into producer and savings groups to further disseminate the practice. Over time a NRM network can be established that brings together farmers, producer and savings groups, local NGOs and CSOs, government agencies and the private sector to expand uptake, but to also provide a platform for knowledge sharing and lessons learned.

Step 2 interventions begin to phase out in year four, with a reallocation of resources to Step 3 and Step 4 activities. Maintaining basic support, low intensity programming, for Step 2 interventions is still required through programme close out. The Implementation of Steps 3 and 4 below are the continuation and intensification of Step 2 for the BSL participants whose livelihoods and progression attributes are ready for further recommended progression intervention activities. These focus on scaling up of livelihoods and expanding entrepreneurship respectively and can be merged into a single step as necessary depending on funding requirements.

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## IMPLEMENTATION STEP 3: SCALING-UP SUCCESSFUL LIVELIHOODS OPTIONS FOR INCREASED INCOME

The majority, 70 percent, of targeted household are targeted to achieve Step 3 interventions. This includes the increased production for household consumption and/or local sale of designated agricultural value chains. Upon establishment of sufficient production, project resources are reallocated to focus on LVCD value addition activities, access to microfinance, and business skills coaching. Households targeted for these activities are those that have sufficiently increased production and have demonstrated an increased understanding of, and willingness to accept, business risk. Producer group support and business skills education are phased out during year three, and these resources are reallocated towards microfinance services and support to Step 4 interventions. Maintaining support, low intensity programming, for producer groups is still required through programme close out.

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## IMPLEMENTATION STEP 4: INCREASED ENTERPRISING AND ACCESS TO IMPROVED MARKETS

Step 4 interventions are targeted at households which have increased their production to have sufficient levels to sell in local or regional markets and have demonstrated an understanding and appetite for business risk. This is expected to be about 30 percent of all registered BSL households. These registered participants are likely successful group participants from S4T and LVCD groups, and have taken leadership roles in CBDRM, NRM, and/or Climate Smart Agriculture interventions. The final year of BSL programme lifecycle is focused on supporting these BSL participants to engage in the value chain at a high level as possible, while having low intensity maintenance support of existing groups and activities.

# CHAPTER 5: MONITORING, LEARNING & EVALUATION

## INTRODUCTION

The **monitoring, evaluation and learning** practice helps practitioners apply knowledge gained from evidence gathering to inform decisions and improve development outcomes while ensuring accountability. World Vision's Design, Monitoring and Evaluation (DME) policy affirms LEAP (Learning, Evaluation, Accountability and Planning) as the common approach for design, monitoring and evaluation for all programmes in the World Vision Partnership. Adherence to this policy is one of the building blocks that enable effective programme management, learning, and accountability, to achieve our commitment to sustained child well-being outcomes using sound programming approaches. LEAP 3 documents support and handbook implementation of the BSL M&E framework and can be found via the Programme Quality and Leap 3 pages on WV Central.<sup>9</sup>

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<sup>9</sup> [WV central home](#) > [Community Home](#) > [Evidence and Learning](#) > [Programme Quality and LEAP 3](#)

### LEAP 3 M&E documents on WV Central

<i>Document title</i>	<i>Filename</i>
<i>LEAP 3rd Edition, Aligning Strategy and Programming</i>	<i>LEAP_3rd_Edition</i>
<i>Baselines, Monitoring and Evaluation of LEAP 3 Technical Programmes: An introduction</i>	<i>Overview of M and E in LEAP 3_FY16</i>
<i>Programme Monitoring Guidance for LEAP 3</i>	<i>Programme_Monitoring_Guidance_LEAP3_June2016</i>
<i>Folder LEAP 3 Baseline and Evaluation Sampling_FY16</i>	<i>LEAP 3 Guidance for Sample Size Calculations_FY16</i>

Indicators recommended for use in WV core project models can be found in World Vision’s compendium of indicators – these are in the form of downloadable spread sheets showing the indicator details for Outcome & Output indicators.

Where possible indicators included in the compendium are from reputable sources and are externally validated and accepted for use within sectors and by development institutions more broadly. However, within the livelihoods sector the ‘indicator landscape’ is less developed and still evolving. Because of the complexity of developing livelihoods and the many different approaches to doing so, there are few widely used, sector standard indicators. There are some exceptions, for example, like the UN’s Food and Agriculture Organization’s (FAO) Food Insecurity Experience Scale (FIES),<sup>10</sup> which is the preferred food security indicator under SDG 2 End Hunger. Similarly, the Poverty Probability Index (PPI)<sup>11</sup> is used by many development agencies to track poverty rates among programme communities.

In the cases where there are no externally validated standard indicators that suit our programme outputs or outcomes – we can chose from an array of indicators used by other organisations doing similar programming, or we can design our own indicators. The BSL indicator list is a mixture of externally validated standard indicators, indicators sourced from other organisations but not yet tested within WV, and indicators that have been tailored ‘in-house’. Testing and validation of new indicators will be part of the core project model validation research.

In addition to the compendium of indicators there is a ‘Caregiver Survey,’ which is a household survey template made up of multiple modules and this can be found online<sup>12</sup>. Many of the indicators that are in the compendium also have corresponding sets of questions within a module of the caregiver survey. The modules can be used ‘as is’ or questions for individual indicators can be copied and pasted from the caregiver tool into another survey tool.

This chapter of the field handbook aims to clarify the objectives for effective monitoring and evaluation of the BSL core project model and has three main sections as shown Figure 13 below.

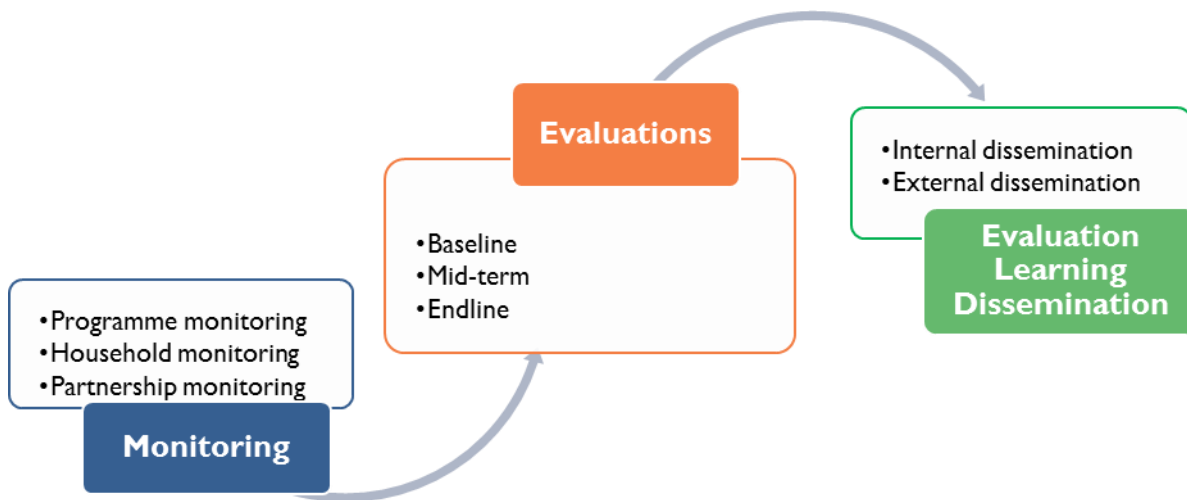
<sup>10</sup> <http://www.fao.org/in-action/voices-of-the-hungry/fies/en/>

<sup>11</sup> <https://www.povertyindex.org/about-ppi>

<sup>12</sup> [wvi.development.org](http://wvi.development.org) <https://www.wvi.org/development/dme-measuring-child-well-being>



Figure 13: Monitoring, Learning and Evaluation Chapter Outline



The chapter is composed of three main sections as follows:

1. **Monitoring** section which outlines guidelines for BSL programme monitoring, household monitoring, partnership monitoring and how to use this monitoring data for adaptive management and programme improvements.
2. **Evaluation** section explains the baseline and benchmarking requirements for BSL impact measurements, the Mid-term and process evaluations requirements to understand implementation progress towards desired results and expected standards for robust End of Term evaluation.
3. **Evaluation Learning Dissemination** section provides guidance on promoting and sharing evidence based learning internally and externally.

## MONITORING

Monitoring progress is a key success factor of Building Secure Livelihoods (BSL) project model programming. Two levels of monitoring at the programme and household are essential. Progress at programme level should also reflect progression of participant households towards desired results based BSL progression attributes (see Figure 1). Building the monitoring system during the planning phase will ensure that the programme and household plans can be kept on track, and that any issues are identified and addressed early.

Programme level monitoring involves tracking the quality and progress of activities outlined in the programme implementation plan. These activities may be carried out at the household, community, or at a wider level. In contrast, household level monitoring follows the participation of each registered BSL household in the minimum BSL intervention packages, tracking the sequencing and layering of those interventions and progress of same households towards building secure livelihoods based on established

BSL Progression Attributes. Collectively, the monitoring information allows staff to make critical iterations to adapt to challenges on the ground and ensure effective implementation of the programme.

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## PROGRAMME MONITORING

At the programme level monitoring, information is aggregated to track progress towards achieving the overall goals, contribute to LEAP Programme Management Reports, and is used for operational purposes such as financial management and tracking compliance. Programme specific issues to consider when planning monitoring include:

- BSL minimum standards at programme set up and during on-going implementation
- Staff competencies and capacity in relation to overall programme/project participant size and available budget
- Integration and leveraging of available resources (AP, Cluster and Other Sector projects)
- Programme wide improved production and market development mechanism established and maintained
- Strategic partnerships for (1) improving production services – input supplies and technical services, (2) business skills development and microfinance services, and (3) market development services
- Establishment of Implementing units of between 20-55 BSL participants for programme wide tracking of progress on intervention delivery
- Programme-wide, robust value chain assessments inform Value Chain products promoted
- Sequencing of interventions ensures food security before wide-scale market-driven production
- A central programme participant database is established to consolidate monitoring data across all interventions and track programme wide progress

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## HOUSEHOLD MONITORING

Household level monitoring allows field staff to track the progress of each BSL participant towards their progression attributes and social goals. Tracking participation in intervention packages according to the recommended sequence is key to understanding programme effectiveness. Each participant household should belong to a selected Participant Implementing Unit (PIU) coordinated by a Unit Leader whose responsibility is to liaise with WV volunteer to arrange implementation of all interventions in their Unit. The Unit Leader acts as a local BSL Champion to promote participation and keeping a record of the same in a specially designed PIU record book.

This helps the BSL Participants to track their own progress in a simple yet systematic manner designed to capture not only useful information for participants to inspire and challenge each other, but also organic and authentic implementation data for progress monitoring. World Vision volunteers make regular visits to BSL PIU meetings to support the Unit Leader and collect monthly update and consolidate into quarterly update for forwarding to the assigned Development Facilitator. This household data is consolidated by intervention per data point to inform household level progress against set output level indicators and BSL participant progression milestones. It also informs engagement and

support needs for individual households and helps uncover programme wide common challenges and barriers.

Key considerations for designing a household monitoring framework include:

- Sex-disaggregated indicators (male and female) where possible.
- Output indicators from BSL monitoring framework covering all interventions
- A digital management information system (MIS) is preferred for monitoring as it allows the transmission and analysis of real-time data. This helps to enable adaptive learning and programme iteration, as well as minimises errors that result from using a paper-based system.

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## PARTNERSHIP MONITORING

Partnership monitoring refers to regular review of the extent to which key partnership arrangements for BSL implementation are delivering on agreed deliverables and the level of expected collaboration. A healthy partnership for BSL implementation begins at programme design with participation of key partners in the development and prioritisation of activities under each intervention. A good level of sense of ownership not only of the desired objectives but also of the process to achieve those objectives must be shared between key partners (e.g., WV; input supplier and agronomic service partner; microfinance partner; business skills development partner and market development partner). Although separate memorandums of understanding are necessary between each partner and WV, an over-arching project level agreement outlining the relationship between all partners, collaboration requirements and progress reporting is highly recommended as good practice. The quality and health of the partnership must be monitored regularly using WV partnership Health Check tools.

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## USE OF MONITORING INFORMATION

Monitoring information helps staff and the programme to ascertain which BSL participants are ready for which set of intervention components according to the laid out implementation steps and progression attributes. Although the sequencing and layering of interventions on Figure 12 depicts a linear progression from Step 1 to Step 4 of the BSL participant journey, that story is not true for every BSL participants as the starting point in a typical BSL enrolment will be different for each participant. BSL participants are not homogeneous, so they fall into different places with each progression step category meaning while all participants may be at Step 1, they will not necessarily be receiving the same type of interventions at the same time. Some may begin serious involvement in producer groups earlier than others or begin engaging in markets quite sooner than others.

It is through the use of continuous, rigorous and participatory monitoring of data that appropriate support and interventions are prescribed to each participant household. Monitoring is used both to generate data and information needed for reporting and decision-making purposes, and is an important tool for learning by the household, programme staff, and by World Vision. Monitoring in BSL programmes involves two levels – the household and programmatic levels – and involves the households and field level staff in capturing and analysing this data. At a household level, up-to-date data on participants' progress towards BSL progression attributes is fundamental to ensuring success of the participant within the programme cycle. Facilitators should review the participant's progress across all monitoring data points and progression attributes.

## PROGRAMME EVALUATIONS

The BSL Logic begins with inputs (e.g., project interventions/activities/mechanisms) that should produce a series of outputs – provided that there is fidelity of implementation and that stated assumptions are met. The BSL project should address the underlying causes of poverty as the key driver of child vulnerability through improved and sustainable agricultural productivity, access to markets and finance all underpinned by equitable relations and positive behaviour change to support household consumption needs and improved child well-being (CWB).

This logic needs to be tested and or validated in any BSL project for further learning and demonstration of programme effectiveness. It is in this vein that impact evaluations are crucial in addition to regular programme and project monitoring. Evaluations can complement a robust internal programme monitoring framework, but should not replace or supersede household and programmatic level monitoring used to track participant progress, course correct, and refine programme operations. While monitoring data is collected on all households on a regular basis by programme staff, evaluations are collected on a sample of registered participant households; at baseline, mid-line, and endline. Please note the differences between a BSL evaluation and the usual programme evaluations where evaluation sampling is done at community level, BSL samples participants only.

Evaluations answer broader questions around the programme’s impact measured at discrete intervals typically at the outset, midpoint, and close of programme operations. These can play an important role at World Vision by:

- improving programme effectiveness;
- increasing accountability among key stakeholders;
- demonstrating presence or absence of near-term and long-term outcomes; and
- advocating for change using evidence-backed rationale for changes to policy and practice at local, national, and global levels.<sup>13</sup>

The most successful impact evaluations:

- integrate the evaluation from the onset of programme design;
- are conducted by a reputable independent third party evaluation firm to confirm accuracy of data and reduction of potential bias.

BSL project model is currently approved for field testing only and this Handbook provides guidance for implementation as well as evidence gathering for model validation through targeted impact evaluations where resources and technical expertise permits.

Figure 14 summarises the various quantitative impact evaluation methods for consideration. Where impact evaluation is desirable and applicable, this handbook recommends the “Difference in Difference” methodological approach, which is relatively low cost, but is robust enough to demonstrate impact.

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<sup>13</sup> World Vision. 2013. Leap 3<sup>rd</sup> Edition: Aligning Strategy and Programming. November 2013.

Figure 14: Quantitative impact evaluation methods

Methodology	Description	Cost	Advantages	Disadvantages
<b>Randomised Control Trial</b>	<ul style="list-style-type: none"> <li>Individuals in the target population are randomly assigned to treatment and control groups in this form of experimental design.</li> <li>Data is collected at baseline, end line and sometimes at the midline</li> <li>Randomisation of participants at individual, household or village level increases the probability that the two groups will be statistically similar, controlling for selection bias and producing the most rigorous estimate of the counterfactual in the absence of the programme.</li> </ul>	High	<ul style="list-style-type: none"> <li>High level of accuracy in approximating the impact of a programme by randomising participants at the individual, household or village level.</li> </ul>	<ul style="list-style-type: none"> <li>Highly costly, RCTs can be prohibitively expensive to employ particularly for smaller organisations or</li> <li>Presence of a control group not receiving assistance may create ethical considerations</li> <li>Must be designed before the intervention is to begin.</li> </ul>
<b>Regression Discontinuity</b>	<ul style="list-style-type: none"> <li>Individuals in the target population are selected based on a continuous eligibility index (such as monthly household income or dependency ratio) and a clearly defined cut-off score.</li> <li>Comparison group is selected from those just above or below the cut-off.</li> </ul>	Low	<ul style="list-style-type: none"> <li>This approach avoids some ethical implications by selecting a comparison group from among individuals who are technically not eligible for the programme but are similar to participants because they cluster just above or below cut-off.</li> <li>Relatively low cost to identify comparison group if a database of households is available to target from.</li> </ul>	<ul style="list-style-type: none"> <li>Comparison group technically does not qualify for the programme and might exhibit characteristics unlike the treatment group though this is unlikely if the cut-off line is drawn accurately where most individuals cluster above or below.</li> </ul>
<b>Difference in Differences</b>	<p>When randomisation is not possible, this approach estimates the change over time between a treatment group before and after intervention as well as a comparison group that did not receive treatment before and after the same period. These between group changes are then compared to estimate the impact of the programme.</p>	Medium	<ul style="list-style-type: none"> <li>This approach can be employed after an intervention has taken place using data about a participant group and a non-participant group before and after the programme took place.</li> <li>Macro level changes that take place over time affect both groups equally because both are measured before and after intervention.</li> </ul>	<ul style="list-style-type: none"> <li>Does not allow for the greater accuracy of randomisation.</li> <li>Requires the presence of baseline data on both groups.</li> </ul>
<b>Propensity Score Matching</b>	<p>When randomisation is not possible, another approach constructs a comparison group based on similar characteristics to the treatment group, for example using propensity score matching (a scorecard helps identify similar individuals to those in the treatment) or an ex-post matching (selecting a comparison group after treatment has taken place).</p>	Low	<ul style="list-style-type: none"> <li>This approach can create an artificial comparison group that is as identical to the treatment group as possible based on specific characteristics of importance.</li> </ul>	<ul style="list-style-type: none"> <li>This requires extensive datasets to have a large sample pool to draw specific individuals from to comprise a comparison group.</li> <li>This method is less robust than many other impact evaluation types.</li> <li>Greater accuracy when used with other methods such as difference in differences.</li> </ul>

In all cases, whether it's a programme evaluation or impact evaluation, BSL programmes should adopt a mixed methods approach where both quantitative and qualitative evidence is given equal weight in understanding programme impact. While quantitative evaluation methods reveal cause and effect between programme input and outcome, qualitative methods are helpful for understanding why input X leads to outcome Y.

They are also helpful in revealing connections that may not otherwise be clear in quantitative data, but are nonetheless revealing about why certain programme aspects are effective. Qualitative methods include key informant interviews, participatory rural appraisal, focus group discussions, and ethnography and observation. Qualitative evaluation is especially relevant to BSL programmes because it generates meaningful insight into why the programme inputs have affected the family in the way it has. It can also reveal the interconnectedness of the interventions across different components.

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## BASELINE STUDY AND BENCHMARKING CHANGE MEASUREMENTS

A baseline study provides a critical reference point for assessing changes and impact, as it establishes a basis for comparing the situation before and after an intervention, and for making inferences as to the effectiveness and improved child well-being. Baseline assessments should be conducted within the first of six months of implementation start to serve as a benchmark for examining what change is triggered by the intervention. Baseline information should be carried out in such a way that the same type of data can be collected after the intervention, in order to compare the results and assess the extent of change, or lack thereof.

A BSL baseline should capture data from a statistically representative sample of the BSL participant list. The sampling is done on registered BSL participants only and not the whole community. The baseline should include qualitative data on behaviour-change interventions capturing existing **K**nowledge, **A**ttitudes, social norms and **P**ractices (family, society and production, etc.). It should also confirm targeting criteria and entry point attributes. Baseline data on all indicators should be captured into the BSL M&E framework to benchmark the project starting point for each indicator. However, only impact data (outcome and goal indicators) is captured through baseline. Although in some cases output data can also be collected during baseline, the majority of output data should be collected with regular monitoring tools and under BSL output baseline data should be collected during participant enrolment and profiling at household level then aggregated at programme level.

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## MID-TERM EVALUATION

A mid-term evaluation provides programme level progress monitoring data to reveal whether there are patterns in how well the programme is being executed by staff, and what can be improved.

Programme monitoring data can be used to analyse:

- Whether most participants are on track for progression into next BSL implementation steps? Why or why not?
- Whether participants are weaker on certain indicators? Why or why not?
- Are there communities where progress is weaker than others? What key characteristics define those communities?
- Are there particular livelihoods that are taking longer to generate a sustainable income?
- Are there certain programme activities or responsibilities that are not being performed effectively? What is inhibiting execution by programme staff?

Programmatic monitoring that includes this type of performance or process evaluation also enables programmes to test iterations of programme designs to determine the best fit for long term programming and scale-up. Strong monitoring processes contribute to innovation by informing the design and piloting of new techniques and initiatives, and providing the mechanism to track their effectiveness. No programme design is ever final. As communities and the environments around them change, it is imperative that each BSL project cycle adjusts to changing dynamics in poverty, market access, connectivity, society and the natural environment.

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## ENDLINE EVALUATION

In order to demonstrate impact of programming under BSL, the evaluation must provide good evidence on the economic strengthening, resilient livelihoods and improved child well-being.

The impact evaluation should seek to determine the extent to which:

- a) BSL participants' economic status has been strengthened or not;
- b) children's well-being in all BSL participant households have improved or not;
- c) overall programme effectiveness based on the five OECD/DAC evaluation criteria of **R**elevance, **E**ffectiveness, **E**fficiency, **I**mpact and **S**ustainability (see Table 2).

**Table 2: DAC Criteria Impact evaluation framework**

<p><b>Relevance</b></p>	<p>In evaluating the relevance of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> <li>• Are we doing the right thing? How important is the relevance or significance of the intervention regarding local and national priorities and child well-being?</li> <li>• To what extent are the objectives of the programme still valid?</li> <li>• Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?</li> <li>• Are the activities and outputs of the programme consistent with the intended impacts and effects?</li> </ul>
<p><b>Effectiveness</b></p>	<p>In evaluating the effectiveness of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> <li>• Are the objectives of the BSL interventions being achieved?</li> <li>• How big is the effectiveness or impact of the project compared to the objectives planned (Comparison: result – planning)?</li> <li>• To what extent were the objectives achieved/are likely to be achieved?</li> <li>• What were the major factors influencing the achievement or non-achievement of the objectives?</li> </ul>
<p><b>Efficiency</b></p>	<p>Efficiency measures the outputs (qualitative and quantitative) in relation to the inputs. This generally requires comparing alternative approaches to achieving the same outputs.</p> <p>When evaluating the efficiency of a BSL programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> <li>• Are the objectives being achieved economically by the BSL intervention?</li> <li>• How big is the efficiency or utilisation ratio of the resources used (Comparison: resources applied – results)?</li> <li>• Were objectives achieved on time?</li> <li>• Was the programme or project implemented in the most efficient way compared to alternatives?</li> </ul>

<p><b>Impact</b></p>	<p>The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended results and must also include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions.</p> <p>When evaluating the impact of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> <li>• Does the BSL intervention contribute to reaching higher level development objectives (preferably, overall objective)?</li> <li>• What is the impact or effect of the intervention in proportion to the overall situation of the target group or those effected as compared to non-BSL participants?</li> <li>• What has happened as a result of the programme or project?</li> <li>• What real difference has the activity made to the beneficiaries?</li> <li>• How many people have been affected?</li> </ul>
<p><b>Sustainability</b></p>	<p>Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after project has ended. Projects need to be environmentally as well as financially sustainable.</p> <p>When evaluating the sustainability of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> <li>• Are the positive effects or impacts sustainable? How is the sustainability or permanence of the intervention and its effects to be assessed?</li> <li>• To what extent did the benefits of a programme or project continue after donor funding ceased?</li> <li>• What were the major factors which influenced the achievement or non-achievement of sustainability of the programme or project?</li> </ul>

## EVALUATION LEARNING DISSEMINATION

Programme evaluation is costly and time consuming. This investment can only be justified if findings from programme evaluation are disseminated to the proper audiences and subsequently utilized in a manner that will best improve quality of life and future programming. The findings can be disseminated in a number of the following ways: detailed reports, news releases, press conferences, seminars, or email-based list.

It is important to understand who will be using the evaluation findings and this information should be determined using stakeholder analysis. One strategy is to make evidence-based recommendations in an evaluation report. Recommendations are clear action items that clients and programme staff can apply directly to the programme under evaluation.



The BSL project should have a dissemination plan for evaluation findings and learning covering both Internal and External dissemination (see Table 3).

**Table 3: Evaluation results dissemination plan**

<b>Audience</b>	<b>Which results and why</b>	<b>How and when</b>
Community not directly involved in programme	Summary of results to create support for the programme	Meetings, discussions, mass media, pictures, newsletters (during and after)
Community directly involved in programme	Full results and recommendations to help put them into action	By participating in evaluation, meetings, study of results, mass media, pictures, newsletters (during and after)
Programme staff (WV, VFI & other Partners)	Full results and recommendations to help put them into action	Through participation in meetings, study or report (during and after)
District-level departments, agencies, organisations	Full results or summary only for analysis of lessons learned and policy decision-making	Full report or summary Discussions with evaluation co-ordinators (after)
National-level ministries, agencies, other stakeholders	Full results or summary analysis of lessons learned for policy-making	Full report plus summary discussions (after)
GC Livelihoods and Relevant SOs	Full results or summary analysis	Full report plus summary discussions.
External funding agencies	Full results for analysis of lessons learned and policy-making	Full report plus summary discussions. (after)
International agencies	Full results for lessons learned and policy- making	Summary through discussions, meetings, networking (after)

## INTERNAL DISSEMINATION

Internally, evaluation findings should be disseminated through workshops where communities and partners learn together. One of these major channels is through the [BSL monthly newsletter](#)<sup>14</sup> and webinar, and through other WV-approved channels such as [WV Livelihoods](#) on Slack<sup>15</sup>, used by the BSL User Group to engage regularly.

<sup>14</sup> Sign up for the BSL newsletter at: <https://wvcentral.us4.list-manage.com/subscribe?u=bbeb2d2c82f59f97f4a296943&id=3b7bb07e88>.

<sup>15</sup> Join WV Livelihoods on Slack at: [https://join.slack.com/t/wvlivelihoods/shared\\_invite/en](https://join.slack.com/t/wvlivelihoods/shared_invite/en)

It is not sufficient to share reports of findings or various communication materials to stakeholders and expect immediate application of information. Feedback and stakeholder discussions are important steps in the dissemination process that can improve both the chances and quality of utilisation. Facilitating conversation among stakeholders can also help avoid miscommunication of findings, brainstorm strategies for how to implement recommendations, and prevent misuse of the findings.

In the end, the measure of success will not be predicated on the number of BSL evaluations done, or stored within a database, or even solely upon the quality of the findings. Our success will depend on our ability to use evaluation findings to strengthen our BSL approach and sharpen our decision-making for the most effective ways of addressing child well-being matters.

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## EXTERNAL DISSEMINATION

External dissemination of good evaluation findings can help promote WV's profile with donors and other stakeholders outside WV and the project's operating area. This can be done through webinars, conferences or publications.

Without proper coordination in messaging and profiling of WV work, external dissemination can do more harm than good to the BSL work, and therefore, should only be considered with support from the GC Livelihoods Team (contact them via [WV Livelihoods](#) on Slack). External dissemination includes virtual sharing, conference presentations, network meetings, etc.

# ANNEXES

## ANNEX 1: BSL STAFF LEARNING PATHWAY

The BSL staff learning pathway provides a stepped solution to building staff capacity over time that leads to staff accreditation through the Global Technical Resource Network (GRTN). The learning pathway supports the capacity building needs of BSL Facilitators and Cluster/Zonal Livelihoods Specialists who lead the implementation of BSL in programme areas.

BSL staff can enter the learning pathway at different points depending on their level of experience, skills and knowledge. This will be determined by the competency self-assessment and individual development plan completed as part of the orientation process and/or as part of the performance review process.

The key components of the BSL learning pathway are outlined below:

- Component 1: Staff BSL Orientation and Initial Skills Training
- Component 2: Ongoing BSL Facilitator Competency Strengthening
- Component 3: Professional Development for Experienced BSL Implementers

<b>Component 1: Staff BSL Orientation and Initial Skills Training</b>		
Activity	Target group	Duration
<ul style="list-style-type: none"> <li>• Supervisor-led and online orientation</li> <li>• Field exposure visits</li> <li>• Mentoring with existing BSL Facilitator</li> <li>• BSL Online Orientation</li> <li>• E-Workshop: Facilitate BSL at the community level</li> <li>• Ongoing mentoring and supervision</li> <li>• Participation in a BSL practitioner learning event</li> </ul>	New BSL Facilitators	3-4 months
<b>Component 2: Ongoing BSL Facilitator Competency Strengthening</b>		
Activity	Target group	Duration
<ul style="list-style-type: none"> <li>• Ongoing mentoring and supervision</li> <li>• Additional BSL training based on competency assessment / programme needs</li> <li>• Co-facilitation of an BSL practitioner learning event</li> <li>• Accreditation</li> </ul>	Practising BSL Facilitators	Up to 18 months
<b>Component 3: Professional Development for Experienced BSL Implementers</b>		
Activity	Target group	Duration
<ul style="list-style-type: none"> <li>• Mentoring incoming BSL Facilitators</li> <li>• Facilitation or co-facilitation of an BSL Training of Facilitators</li> <li>• E-Workshop: Lead Livelihoods Programming</li> <li>• Leading BSL practitioner learning event</li> </ul>	Experienced and competent BSL Facilitators or Livelihoods Specialists	Various

### Component 1: Staff BSL orientation

The BSL orientation introduces staff members to the BSL project model and provides an overview of their roles and responsibilities.

It lays a foundation for BSL Facilitators to perform effectively in their roles. Staff BSL orientation is the responsibility of the Cluster/Zonal Livelihoods Specialist.

The BSL orientation programme includes: supervision meetings, mentoring, and exposure visits, as well as the initial BSL online orientation and BSL Facilitator skills training.

### **BSL supervision (1-4 months)**

Supervision of a BSL Facilitator begins the day they start in their role as BSL Facilitator and continues until that BSL Facilitator moves into a new position or leaves the organisation. Supervision of BSL Facilitators is the responsibility of the Cluster/Zonal Livelihoods Specialist.

During the initial supervision meetings, the supervisor should:

- Provide an overview of orientation and initial training activities
- Provide an overview of the history of BSL programming within the cluster or zone
- Explain how BSL programming sits within the broader livelihoods sector approach
- Review the BSL Facilitator role description with the BSL Facilitator
- Handbook the BSL Facilitator to complete competency self-assessment and discuss their development plan
- Provide access to BSL Field handbook and related resources
- Provide access to the BSL online orientation through WV's eCampus
- Set up a date for the new BSL Facilitator to participate in the initial skills training
- Set up regular meetings over the three-month duration of orientation

### **BSL mentoring (1-4 months)**

Mentoring is a key element of the BSL learning pathway for new and less experienced BSL Facilitators. BSL mentors support BSL Facilitators to perform effectively in their job. The role of the BSL mentor is to:

- Build BSL Facilitator's confidence/self-esteem
- Share understanding of the organisation and BSL
- Teach and develop specific skills (e.g., through coaching and feedback)
- Guide BSL Facilitators through challenging situations
- Challenge assumptions when appropriate

BSL mentors are experienced BSL Facilitators who consistently perform to a high standard in promoting and mobilising BSL Groups. Typically, mentors are looking for opportunities to further develop themselves within their current role and have a natural tendency towards building the capacity of others. Mentors are not supervisors but should work alongside supervisors to support the development of the BSL Facilitator. Mentors should be identified by Cluster/Zonal Livelihoods Specialists. It is recommended that the mentor and BSL Facilitator meet twice each month during orientation.

### **Immersion visits (within first 4 months)**

During the orientation period, BSL Facilitators should observe experienced BSL Facilitators (preferably their mentor) working in the community. The immersion visits should include exposure to all aspects of the BSL programme in the Area Programme.

To organise exposure visits we recommend:

- The BSL Facilitator (where possible) should accompany their mentor on field visits where they can observe their mentor facilitating community planning, coordinating and supporting BSL activities, and or monitoring BSL activities.
- The BSL Facilitator should write down learning after each exposure visit to reflect on these with their supervisor and/or mentor.

## **Initial BSL Facilitator skills training**

During the BSL orientation period, new and less experienced BSL Facilitators should participate in the initial BSL Facilitator training curriculum. This includes the BSL Online Orientation plus the BSL e-Workshop “Facilitate BSL at the community level” and/or a one-week face-to-face training.

By the end of the training, participants will be equipped to:

- Build community vision and plans for more secure livelihoods
- Coordinate and support BSL activities
- Monitor and report on BSL activities
- Use monitoring data to improve BSL delivery

## **BSL online orientation**

This is a self-paced online course on World Visions eCampus which is available to all WV staff, free of charge. This orientation provides an overview of the BSL Project Model, presenting case studies and learning quiz to check understanding. The BSL Online Orientation is a prerequisite for the e-Workshop and face-to-face training

## **Facilitate BSL at the community level: e-Workshop**

Participants complete the online course while working, allowing them to apply what they are learning and then reflect with the online learning group. The e-Workshop follow a standard schedule, but participants can choose when and how often they log on to complete required tasks within the allocated time. This approach allows for different time zones, travel commitments, and connectivity issues facing global participants whilst also ensuring they move through the activities at the same pace and benefit from being part of an online interactive community learning together.

## **Facilitate BSL at the community level: face-to-face training**

A face-to-face training course equivalent to the online training will also be available for staff who cannot access online learning. This training must be delivered by a recognised trainer. Timing of the training will depend on your project needs and trainer availability. Those wanting to run this training should contact the BSL project model champion for resources and advice.

## **Getting started in the community (4 months)**

The recommended BSL Facilitator orientation spans a three to four month period (including the initial BSL skills training) at the end of which the Cluster/Zonal Livelihoods Specialist assesses the BSL Facilitator’s ability to competently promote and facilitate BSL groups in the community. On completion of this assessment, the BSL Facilitator should be ready to begin the promotion of BSL in the local community with a thorough learning plan in place for ongoing development.

At this point, the supervisor should:

- Provide an overview of the communities in which the BSL Facilitator will be working and any important information that will help the BSL Facilitator plan, including important activity sequencing guidance, inclusion considerations, and any information about other agencies working in the area;
- Introduce the BSL Facilitator to local leaders, government representatives, and community-based organisations and help the facilitator to establish relationships with them;
- Provide opportunities for the BSL Facilitator to meet and observe existing BSLs and talk to the members about their experience.

## **Component 2: Ongoing BSL competency strengthening**

### **Ongoing supervision**

After the probation period, supervision should take place monthly. The purpose of these supervision meetings is to:

- Provide a safe space for BSL Facilitators to reflect on work done and improvements or changes to be made;
- Manage staff performance and plan ongoing staff development;
- Check how the mentoring relationship is working;
- Coach the BSL Facilitator through challenging encounters/situations in a way that increases their problem-solving abilities and builds confidence;
- Gather monitoring data;
- Help the BSL Facilitators prepare for upcoming training, milestones.

### **Ongoing BSL mentoring**

After the initial three-month orientation period, the mentor and BSL Facilitator meet monthly/as needed.

### **Additional training**

Dependant on the programme design and the skills of the BSL facilitator further training should be planned to continue to develop the skills of the BSL practitioner. The following courses can be found on WV eCampus (note: face-to-face training is also available on request):

- Local Value Chain Development
- Farmer Management Natural Regeneration
- Savings for Transformation
- Citizen Voice and Action
- Gender
- Local Partnering... and more

### **Annual learning events**

Annual learning events are an opportunity for BSL Facilitators and Cluster leads to come together to share learnings from the field. It is the responsibility of Cluster/Zonal Livelihoods Specialists to ensure these events take place, however, they can be facilitated by any staff member. This can be an excellent development opportunity with an agenda that includes (but is not limited to):

- Capturing and sharing learning from the field with a written report
- Furthering understanding of BSL programming knowledge needed
- Delving deeply into topics that are timely and relevant to all staff
- Developing skills that will enable BSL Facilitators to perform their role more effectively (e.g., facilitation skills, coaching skills, understanding group dynamics, etc.)

### **Component 3: Professional development for experienced BSL implementers**

FOs can continue to build BSL programme capability by providing ongoing opportunities for competent and experienced BSL Facilitators to consolidate and develop their skills and expertise. This can be done by expanding BSL Facilitators' scope of work, supporting them to take on new responsibilities to increase their span of control and decision-making authority, and to undertake stretch assignments, such as building the capacity of others. Stretch assignments could include:

- Mentoring incoming BSL Facilitators
- Facilitating or co-facilitating BSL trainings of facilitators
- Leading or facilitating BSL practitioner learning event
- Ongoing mentoring and supervision
- Short-term secondment to another Field Office with BSL programming for any of the above
- Membership of Global Centre BSL Learning Circle

Future training resources for experienced BSL implementers will include:

- Build capacity to deliver Livelihoods programming e-Workshop
- Lead Livelihoods programming e-Workshop

### **BSL Subject Matter Expert Accreditation**

BSL Facilitators have the opportunity to be recognised as Subject Matter Experts (SME) in their field after two years of implementation.

To receive accreditation facilitators must have undertaken the following:

- BSL Online Orientation and e-Workshop
- Undertaken supervision and mentoring over a two-year period (minimum)
- Co-facilitation of annual learning event
- Completed a BSL programme learning and reflection case studies

Upon accreditation BSL Facilitators will be recognised through the GTRN.

Updates on training opportunities will be announced regularly through the [BSL User Group Newsletter](#).

## ANNEX 2: BSL DETAILED INDICATOR LIST

Objectives or Measure	Indicator & code (if available)	Unit	Frequency
<b>BSL GOAL XXX million of the most vulnerable rural households provide sustainably for their children by XXX</b>			
<b>GOAL and IMPACT measurements</b>			
Parents and caregivers provide well for their children	Proportion parents or caregivers who provide well for their children (C4B.0044)	Household	Beginning and End of Project
	Proportion of parents/caregivers that were able to pay for children's basic education costs without external assistance (C2D.0298)	Household	Beginning and End of Project
	Proportion of parents or caregivers who are able to pay for their children's health costs without assistance (C1C.0154)	Household	Beginning and End of Project
Improved and established income adequacy, security and resilience	Proportion of households with sufficient diet diversity as measured by the Household Dietary Diversity Index (HDDI) (C4B.0060) <i>Global outcome indicator</i>	Household	Beginning and End of Project
	Proportion of households with insufficient access to food as measured by the Household Hunger Scale (HHS) (C4B.0063)	Household	Beginning and End of Project
	Proportion of households with one or more 'hungry months' in the previous 12 months as measured by the MAHFP (C4B.0062) <i>Global outcome indicator</i>	Household	Beginning and End of Project
	Proportion of households where one or more adults are earning an income (C4B.0045)	Household	Beginning and End of Project
	Proportion of households with a secondary source of Income (C4B.0070) <i>Global outcome indicator</i>	Household	Beginning and End of Project
	Proportion of parents or caregivers who report having access to sufficient credit (C4B.0068) <i>Global outcome indicator</i>	Household	Beginning and End of Project
	Proportion of households with the means to save money (C4B.0069)	Household	Beginning and End of Project
	Proportion of households dependent on food consumption coping strategies as measured by the Coping Strategy Index (CSI) (C4B.0066)	Household	Beginning and End of Project
Positive behaviour change	Average life satisfaction score for [specify: women/men/others] aged [specify age range]	Household/Registered farmers	Beginning and End of Project
	Percentage of men/women in union and earning cash who make decisions (adapted from FFP)	Household/Registered farmers	Beginning and End of Project
	Proportion of women who are empowered according to the WEIA Abbreviated tool and thresholds.	Household/Registered farmers	Beginning and End of Project
Children are well-nourished and educated for life	Prevalence of stunting in children under five years of age (C1A.0008)	Household	Beginning and end of project
	Prevalence of wasting in children under five years of age (C1A.0018)	Household	Beginning and end of project
	Proportion of children currently enrolled in and attending a structured learning institution (C2D.0295)	Household	Beginning and end of project
Households remain out of poverty	Proportion of households living below the national poverty line according to Poverty Probability Index. (Where PPI scorecard is available) (C4B.25047)	Household	Beginning and End of Project



Objectives or Measure	Indicator & code (if available)	Unit	Frequency
	Proportion of households living below the international poverty according to Poverty Probability Index (PPI) (C4B.25048)	Household	Beginning and End of Project
	Average household assets score (Where No PPI scorecard available)	Household	Beginning and End of Project
<b>Outcome Measurements</b>			
Positive behavior change	Proportion Project Participants with an increased 'Aspirations and confidence to adapt index score (TANGO) (disaggregated by sex)	Project Participant Household	Beginning and End of Project
	Proportion of households reporting good participation and self-efficacy in community child well-being activities (C4A.21419)	Project Participant Household	Beginning and End of Project
	Proportion of households with supportive attitudes towards women's economic participation	Project Participant Household	Beginning and End of Project
	Proportion of households reporting good social cohesion (C4A.21416)	Project Participant Household	Beginning and End of Project
Improved and established income adequacy, security and resilience	Average savings per savings group member in US\$ (C4B.22842)	SG Member	Annual
	Cumulative savings by the Savings Groups (SG) in US\$ (C4B.22841)	Savings Groups	Annual
	Proportion of SG members with active loans (disaggregated by sex)	SG Member	Annual
	Total value of loans outstanding	SG Member	Annual
	% of SGs members who used SGs funds to protect household from shock or stress, by location	SG Member	Annual
	Amount of loans to SGs members to protect the members' households from shock or stress, by location	SG Member	Annual
	Proportion of savings group members that report achievement of a financial goal (disaggregated by sex)	SG Member	Annual
	Proportion of savings group members with improved attitudes towards future financial prospects (disaggregated by sex)	SG Member	Annual
	Proportion of project participants who borrowed from their SG group to invest in income generation (disaggregated by sex)	Project Participant Household	Beginning and End of Project
Improved farming systems & natural resource management	Proportion Project Participants who use at least [a project defined minimum number of] sustainable crop, livestock and NRM practices (disaggregated by sex)	Project Participant Household	Beginning and End of Project
	Proportion of target area (% total hectares) with [a project defined minimum number of] sustainable crop, livestock and NRM practices (disaggregated by practice)	Project area	Beginning and End of Project
	Proportion trained farmers who apply improved and sustainable agricultural techniques (C4B.22747) (disaggregated by sex)	Project Participant Household	Beginning and End of Project
	Proportion Project Participants who belong to a Producer Group or Association (disaggregated by sex)	Project Household level	Beginning and End of Project, Annual
	Proportion Producer Groups with an increased annual net profit (C4B.21068)	Producer groups	Annual

Objectives or Measure	Indicator & code (if available)	Unit	Frequency
	Additional net profit of participating producer groups (C4B.21069)	Producer groups	Annual
Improved access to financial services	Proportion of participating producers who report utilising formal financial services (C4B.21071) (disaggregated by sex)	Producers	Annual
	Proportion of participating producers who report independently accessing technical services (C4B.21072) (disaggregated by sex)	Producers	Annually
	Proportion of producers groups who are collectively purchasing inputs (C4B.21074) (disaggregated by sex)	Producers	Annually
	Percentage change in yield of Value Chain product for participating producers	Value chain	Annual
	Proportion Project Participant MFI clients who have a savings account	Household	Annual
	Value of savings in accounts opened by Project Participant MFI clients	Project level	Annual
	Proportion of Project Participant MFI clients who have taken out Insurance		Annual
Families and communities are more resilient to shocks & stresses	Proportion of households who faced a disaster and were able to employ an effective disaster-risk reduction or positive coping strategy (C4B.0074). <i>Global outcome indicator</i>	Household	Beginning and End of Project
	Proportion households sensitized in disaster risk management	Household	Beginning and End of Project
	Proportion trained community members, including children, with knowledge of disaster risk reduction strategies (C4B.22754)	CBDRM trained individual	Beginning and End of Project
	Proportion Households and communities with contingency resources and links to early warning and early action systems	Household, Community	Beginning and End of Project
Partnerships support project outcomes	Proportion of 'healthy partnerships'	Partner	Annual
	Proportion of partners with appropriate capacity to make sustained contributions to child well-being	Partner	Annual
<b>Output Measurements</b>			
Empowered worldview and influence	# Individuals participating in behaviour change training (disaggregated by sex)	Project participant	Annual
Positive attitude to education	Proportion of parents participating in Parental Awareness Training (PAWS) (disaggregated by sex)[pending]	Project participant	Annual
Families increase their savings	# new Savings Groups (C4B.22833)	Savings Group	Mthly/qrtly/ Annual
	# of savings group members (disaggregated by age and sex) (C4B.22835) <i>Global output indicator</i>	SG Member	Mthly/qrtly/ Annual
	% group attendance rate	SG Member	Mthly/qrtly/ Annual
	% group drop-out rate	SG Member	Mthly/qrtly/ Annual
Savings groups are formed and sustained	# of functional savings groups (C4B.22834) <i>Global output indicator</i>	Savings Group	Mthly/qrtly/ Annual
	# and % of all SGs that are older than one cycle	Savings Group	Mthly/ qrtly/ Annual

Objectives or Measure	Indicator & code (if available)	Unit	Frequency
	# of cycles completed by each SG (age of group)	Savings Group	Mthly/ qrtly/ Annual
Children benefit from savings groups	# of children under 18 years old who are cared for by savings group members C4B.22838	SG Member	Mthly/ qrtly/ Annual
Savings Group have Social Funds	# of Savings Groups with active Social Funds C2C.23012	Savings Group	Mthly/ qrtly/ Annual
	# of members who benefitted from social fund	SG Member	Mthly/ qrtly/ Annual
Improved financial literacy skills	# of community members trained on household financial management (C4B.22765) <i>Global output indicator</i>	Project Participant Household	Annual
	# of community members that complete business related training (C4B.22763) <i>Global output indicator</i>	Project Participant Household	Annual
Improved sustainable agriculture and natural resource management skills	# of community members trained in improved and sustainable agricultural and NRM techniques (C4B.22746) <i>Global output indicator</i> (disaggregated by sex)	Project Participant Household	Annual
	# of community or local trainers who have trained others on improved and sustainable agricultural techniques (C4B.22749) (disaggregated by sex)	Project Participant Household	Annual
	# Farmer Field Schools (C4B.22753)	Farmer field school	Annual
	# farm demonstration sites established (C4B.22752)	Demonstration farm	Annual
	# of farmers who have accessed to agricultural extension services (C4B.22750) (disaggregated by sex)	Project Participant Household	Annual
	# of farmers (or individuals) receiving agricultural inputs and assets (C4B.22751) (disaggregated by sex)	Project Participant Household	Annual
Improve soil and water conservation practices	# Project participants applying soil and water conservation measures (planting pits, contour lines, etc.) (disaggregated by sex)	Project Participant Household	Annual
Improve vegetation management practices	# Project participants who use Farmer Managed Natural Regeneration on farm and/or grazing land (disaggregated by sex)	Project Participant Household	Annual
Improve conservation farming practices	# Project participants practicing conservation agriculture on cropland (minimal tillage, mulching, etc.) (disaggregated by sex)	Project Participant Household	Annual
Improve local crop production practices	# Project Participants using improved seeds (disaggregated by sex)	Project Participant Household	Annual
	# Project Participants using improved crop storage facility (disaggregated by sex)	Project Participant Household	Annual
	# Project Participants using water harvest techniques for irrigation (disaggregated by sex)	Project Participant Household	Annual

Objectives or Measure	Indicator & code (if available)	Unit	Frequency
	# Project Participants using agricultural mechanization (disaggregated by sex)	Project Participant Household	Annual
Producer groups formed and functioning	# Producer Group members C4B.21085 (disaggregated by sex)	PG member	Annual
Producer Groups develop value chain/s	# Producer Groups participating in LVCD project (C4B.21084)	PG	Annual
	# Producer Groups that are led by a woman (C4B.21086)	PG	Annual
	# Producer Groups with a constitution (C4B.21087)	PG	Annual
Producer Groups develop Action Plans	# Producer Groups that have implemented at least one activity from their Action Plan in the last six months (C4B.21089)	PG	Annual
	# Producer Groups who have sold a product collectively (C4B.21078)	PG	Annual
	# Producer Groups who have sold collectively a value-added product (C4B.21079)	PG	Annual
Producer groups linked to markets	Price (price per unit) of LVCD product sold collectively C4B.21075	PG	Annual
	Volume of LVCD product sold collectively by producer group C4B.21076	PG	Annual
	Price per unit of inputs purchased through collective action C4B.21077	PG	Annual
Producer groups trained on technical skills	# producers who have participated in technical trainings disaggregated by training type (disaggregated by sex)	Producers	Annual
Increased access to MFI services and products	# of microfinance clients (C4B.22762) <i>Global output indicator</i> (disaggregated by sex)	MFI client	Annual
	# project participant MFI clients who drop out (disaggregated by sex)	MFI Client	Annual
	# savings accounts opened by Project Participant MFI clients (disaggregated by sex)	MFI Client	Annual
	# loans disbursed to Project Participants (disaggregated by sex)	Loan portfolio	Annual
	Value of loans disbursed to Project Participants (disaggregated by sex)	Loan portfolio	Annual
	Value of MFI total loan portfolio at risk	Loan portfolio	Annual
	# of Savings Groups linked with an MFI	Savings Group	Annual
Farmers access MFI services and products	# of Project Participants w/ insurance for agriculture, health, or life benefits. (disaggregated by sex)	Project participant	Annual
	# of Project Participants who access financial products to directly support CWB (disaggregated by sex)	Project participant	Annual
Improved disaster risk reduction	# of functional disaster preparedness groups or committees (C4B.22756)	CBDRM group	Annual
	# CBDRM groups linked to local authorities, agencies & national EWEA systems	CBDRM group	Annual
	# of functional DRM/DRR system/processes in place	DM plans	Annual
	# of community members, including children, trained in disaster risk reduction (C4B.22755) (disaggregated by sex)	Project participant	Annual

## ANNEX 3: NUTRITION-SENSITIVE CHECKLIST



Use this checklist to identify areas that your project is working on or could work on to be more nutrition-sensitive.

Intervention	Are we currently doing this?	Could we consider doing this?
<b>ASSESSMENTS</b>		
<ul style="list-style-type: none"> <li>Analyse dietary habits and dietary needs for local and national consumers to identify relevant nutritional gaps</li> </ul>	Yes No	Yes No
<b>PRODUCTION and PROCESSING</b>		
<ul style="list-style-type: none"> <li>Targeting production of nutrient-rich commodities, ideally those with nutrients lacking in diet</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Diversify production and increase nutrient-dense crops and livestock when this makes economic sense</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Improve quality of processing, packaging, storage, transport, and preservation of food to maximize nutritional value</li> </ul>	Yes No	Yes No
<b>TARGET GROUP</b>		
<ul style="list-style-type: none"> <li>Target the nutritionally vulnerable and improve equity</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Expand market access to vulnerable groups</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Enhancing food usage in local markets through strategies to reach infants 6-12 months old</li> </ul>	Yes No	Yes No
<b>AVAILABILITY and ACCESS</b>		
<ul style="list-style-type: none"> <li>Expand markets for nutritious foods</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Extending availability of diversified variety of foods and food products in local markets</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Extending growing seasons (such as using tunnels)</li> </ul>	Yes No	Yes No
<b>REGULATIONS, CERTIFICATIONS and SPECIFICATIONS</b>		
<ul style="list-style-type: none"> <li>Supporting the implementation of nutritional specifications and certifications, or country-specific food products' nutritional requirements</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Applying regulations, standards, and capacity building on food quality, food regulations, food safety, and food controls</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Advocating for nutritional analysis and labelling of foods where appropriate</li> </ul>	Yes No	Yes No
<b>BEHAVIOR CHANGE</b>		

<ul style="list-style-type: none"> <li>Including social and behavior change components specifically aimed at consumption of targeted foods and food products within the context of a diversified diet, food safety, and other important nutrition behaviors</li> </ul>	Yes No	Yes No
<b>EDUCATION</b>		
<ul style="list-style-type: none"> <li>Supporting consumption education</li> </ul>	Yes No	Yes No
<ul style="list-style-type: none"> <li>Incorporate nutrition promotion and education</li> </ul>	Yes No	Yes No
<b>MONITORING and EVALUATION</b>		
<ul style="list-style-type: none"> <li>Measuring outcomes, including intermediate targets such as consumption and market availability</li> </ul>	Yes No	Yes No

From the World Vision "Integrating Extremely Poor Producers into Markets Field Guide," page 19. <http://wac.392c5.alphacdn.net/00392C5/media/2017/Field-Guide-IV-WV.pdf>