World Vision
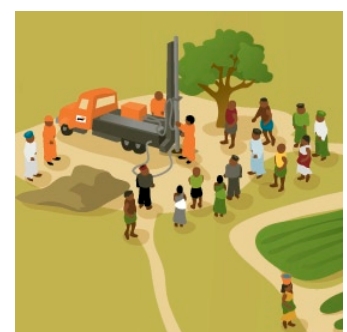
LEAP

SECOND EDITION

Learning through Evaluation with Accountability & Planning

World Vision's approach to Design, Monitoring and Evaluation

LEAP

Second Edition

Learning through Evaluation with Accountability & Planning

**World Vision's approach to
Design, Monitoring and Evaluation**

World Vision

Important Updates

LEAP AND CHILD WELL-BEING

Introduction

World Vision introduced LEAP as a common approach to design, monitoring and evaluation (DME) in 2005. This has led to some real improvements in the effectiveness of programme planning and implementation. As World Vision continues to improve programme effectiveness, this brief update summarises how a number of key developments will affect LEAP in the near future. It contains three sections:

i. **The journey so far:** A brief overview of key recent developments in WV.

ii. **Next steps:** An explanation of key implications of these developments for LEAP, TDI (Transformational Development Indicators) 2.0, sponsorship and FedNet (Federated Network).

iii. **Integrating the initiatives:** An update on how these initiatives will be integrated to improve programming effectiveness.

The journey so far

At World Vision we constantly strive to improve the effectiveness of our work with vulnerable communities. Great progress has been made in recent years with the refining of global strategy and also in improving programme quality.

Strategy

Two of the most significant developments in WV global strategy have been the adoption of the **Integrated Focus**[1] and the **Principle Level Choices**[2] by the World Vision International (WVI) Board in 2005. Through these, children have been put firmly at the centre of global strategy.

Ministry Framework

The WV Ministry Framework was developed as a bridge between strategy and programming. This framework confirms that the primary goal of WV programmes is **the sustained well-being of children within families and communities, especially the most vulnerable.**

Child Well-being Outcomes

To ensure this commitment becomes standard practice, WV developed a set of Child Well-being Outcomes[3] (CWBO) based on extensive research and wide consultation within WV and with other organisations. The CWBO provide a practical, operational explanation of the results we seek, expressed in plain language for staff, children, parents, donors and partners. The CWBO are holistic and address children within the context of their families and communities. They are based upon Christian principles and are supported by human rights conventions. The CWBO were adopted by the WVI Board in April 2009 and were commended as a reflection of **'our holistic, biblical understanding of fullness of life for all children.'**

The CWBO identify specific factors that can help establish a strong common foundation in working with partners and communities, and for cross-sector collaboration. They can be used as a starting point for dialogue with partners and communities, leading to a shared understanding of child well-being in each context, and a shared plan for achieving this.

Integrated Programming Model

In 2007, a Partnership-wide project was launched to facilitate co-creation of a model for the next generation of WV's local-level programming. This began with a review of approaches being used in WV area development programmes (ADPs) and other

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1 The Integrated Focus states that WV is built on the foundational elements of being Christian, child focused and community based in our ministries of advocacy, relief and development.

2 The four Principle Level Choices are intended as a guide for all WV decision making, shaping what we want to become and what we want to achieve: (1) tackling the **root causes** of poverty; (2) **empowerment** – building social capital, ensuring joint decision making, working in reciprocal relationships; (3) **multiple ministry** emphasis – integrating the ministry streams of advocacy, relief and development; and (4) **ministry priority** – marketing mechanisms supporting ministry priorities and capacities.

3 Child Well-being Outcomes on page viii.

programmes, as well as research into other organisations' best practices. The research highlighted promising practices and successes of some of our most innovative, child-focused and empowering programmes. Through a collaborative, action-learning process, a programming model emerged. This model can be summarised in a single sentence:

> The Integrated Programming Model (IPM) equips local-level staff to work effectively with partners towards the sustained well-being of children within families and communities, especially the most vulnerable.

An important part of IPM is a set of project models that reflects the 'Do' and 'Assure' segments of WV's sector and theme strategies. These are optional, adaptable packages of global best practices that can be sectoral or intersectoral. Each project model is designed to contribute to one or more Child Well-being Outcomes prioritised through dialogue with communities and partners.

IPM was endorsed by the WVI Board in April 2009 as WV's way of contributing to the well-being of children at local levels. It is anticipated that IPM will be ready for gradual adoption across the WV Partnership on an opt-in basis from the beginning of FY10. Programming tools, guidance and capacity-building resources are currently being developed to support this adoption, based on learning from pilot field tests under way in all regions.

Next steps

To develop high-quality and effective programming with partners that consistently contribute towards child well-being, it is necessary to update the DME standards and tools that we use. This section explains how LEAP and Transformational Development Indicators (TDI) are being refined to reflect changes summarised above. This section also explains how FedNet is helping to improve the effectiveness of LEAP by facilitating adjustment of programming relationships throughout the WV Partnership.

How will these changes affect LEAP?

DME will become more child-focused

LEAP is the WV approach to DME, and good DME will always be critical to successful programming. LEAP is an integral part of IPM, and LEAP will continue to provide the framework and resources for all DME within IPM. However, many of the LEAP resources were written before the CWBO were adopted, and there is now a need to update some of the tools to reflect the greater emphasis on child well-being.

Firstly, we need to make sure that all our DME activities plan for and measure WV's contribution to child well-being, with a special focus on the well-being of the most vulnerable children in communities. The CWBO provide a comprehensive framework for collecting and analysing programme information, and enable the DME processes described in LEAP to focus on positive change for children, their families and their communities.

Secondly, we need to make sure that our DME processes encourage the active and meaningful participation of children at all stages. Changes to LEAP tools will reflect this in the near future.

LEAP Red Tools will be improved

Feedback regarding LEAP tools from all parts of the organisation shows that while these tools have tremendously advanced the quality of programme planning and management, they have also increased the workload of programme staff across the Partnership. Some tools are seen as cumbersome and time consuming, and they can be difficult to understand and use. During FY09 and FY10, the LEAP Red Tools (required tools) will be refined to increase ease of use, to streamline DME processes and to reduce the workload associated with the tools. The first of these revised tools will be available in October 2009. Meanwhile, a number of other LEAP resources are being developed in FY09:

- A series of 'Good Enough Examples' is being compiled to show what completed Red Tools can look like.

- A tool for integrating all programme design document appendices into one Excel sheet has been produced and is now available.

- Revised guidelines for programme transition and sustainability have been developed and will be available in October 2009.

All tools will be available on the Transformational Development website and on the LEAP Resources Library on PMIS.

LEAP will focus on DME

When LEAP was first written, it covered much more than just DME. Partnership needs at the time meant that the LEAP manual had to include many aspects of programme approach and philosophy. Now that the programme approach is being described more fully through IPM, LEAP can become more focused on DME. During FY10, work will begin on a third edition of LEAP that will focus specifically on DME standards and practices, and will be fully aligned with all other WV programming initiatives. This third edition of LEAP will be published in FY11.

How will these changes affect TDI?

TDI have been in use by the Partnership since 2003 as a means of reporting on the status of the children, families and communities in the areas where WVI works. So far, about 60 per cent of all ADPs (948 of 1,594 ADPs) have measured TDI at least once, and some programmes are beginning to produce their second round of measurements. A recent evaluation of TDI highlights strengths and weaknesses. This evaluation shows that TDI data have been useful in increasing programme and national office (NO) awareness regarding the status of the communities with whom they work, but that data do not adequately show the impact of WV programmes on those communities. One reason is a very weak link between changes in TDI measurement results and outcomes of the programmes. Even though TDI results show changes over time, current data do not indicate the value of WVI's contribution to this change. TDI were also seen as very labour intensive and requiring high technical competency. This prevented many programmes from completing TDI studies.

The recent TDI evaluation, together with a critical need for more meaningful impact measurement and the increased focus on child well-being, has highlighted demand for the TDI process to be significantly improved. In FY10 an improved 'TDI2.0 – Indicators for CWBO' will be available. This improved TDI2.0 will:

- be fully integrated with LEAP logframes and with normal programme baseline, monitoring and evaluation processes

- provide a menu or compendium of indicators that measure CWBO for use at a programme level

- allow for credible reporting of WVI programme contributions to the well-being of children (that is, impact measurement)

- allow for programme reports to be summarised at national, regional and global levels

- provide information that will help WV offices to make confident, evidence-based, strategic decisions.

What will happen with child sponsorship?

Tools for child-sponsorship programming have been developed in IPM to better serve the strategic focus on CWBO. This focus has been further strengthened through the introduction of Sponsorship Minimum Programming Standards, monitoring indicators and associated tools. These tools will be fully integrated into the Guidance for Integrated Programming, Integrated Capacity Building (ICB) and the LEAP tools.

To achieve this, child sponsorship will no longer be managed separately from programmes. Sponsorship staff and programme staff will require better understanding of their respective roles and will need to develop practical ways of working together to achieve the common aim of improved child well-being. Sponsorship Basic Training (SBT) is already covering fundamentals and is being provided to all staff, not just sponsorship staff. Sponsorship programming tools that support this approach are now being developed and will be available for use in FY10.

Implications for organisational roles and accountability

Greater focus on child well-being and empowerment implies significant adjustments in how we work as a global organisation to support our programmes in the field. FedNet makes clear how different entities (NOs, support offices [SOs], regional offices [ROs], global centre [GC]) work together to contribute to effective programming. FedNet defines key roles and accountabilities of each entity, and places a stronger focus on NO empowerment. This should result in greater equity in relationships, as well as strengthening accountability to communities, supporters and donors. FedNet will help ensure consistent quality and effectiveness in all WV programming activity and efficient use of resources.[4]

FedNet retains bilateral programming relationships (that is, between NOs and SOs) but it does so within a strengthened, more strategic global and regional context. The nature of bilateral relationships will vary, based on clear demonstration of the capabilities of each entity. These will be determined using a standardised capability assessment. Levels of accountability and responsibility between an NO and an SO throughout the LEAP cycle will then reflect capabilities of the two offices. Different expectations will be made clear through FedNet documentation and the streamlined LEAP.

FedNet implementation is commencing in WV's Asia-Pacific region (APR) during FY09-10 before a global roll out. Each SO and NO will be supported to participate in relevant processes and will receive communication directly from the implementation team. It is anticipated that the first cluster of SOs and APR NOs will engage in a capability assessment in the first quarter of FY10.

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4 See details in 'FedNet Final Design and Implementation Report, December 2008' available at www.wvglobalcentre.org/FedNet.

Integrating the initiatives

Since FY08, leaders involved with WVI programming initiatives (LEAP, TDI, IPM, PMIS [Programme Management Information System], Sponsorship, FedNet) have been working to find practical ways to integrate these initiatives in order to improve programme quality and effectiveness. Each initiative is valuable in its own right, but the large number of different initiatives being introduced at the same time and their lack of integration has caused confusion for staff. Two working groups established in FY09 address this issue directly. One is producing the Guidance for Integrated Programming (GIP), and the other is focusing on Integrated Capacity Building (ICB).

Guidance for Integrated Programming

The GIP will harmonise all guidance produced by each initiative into one unified suite. GIP will also integrate field-focused resource materials from all three lines of ministry, sectors, themes, and Christian Commitments, including project models. Production of a handbook (both paper and virtual), designed to be used by field-level programme staff, will facilitate a unified approach to programming. The handbook will provide a step-by-step guide to carrying out World Vision's development work at the local level. The handbook will also act as a portal through which programme staff can access tools, templates and training materials, including project models and related guidance. GIP will be made available through both PMIS and CDs distributed to the field.

Integrated Capacity Building

The ICB group will produce a single strategy for programme-level capacity building, together with a competency framework, core curriculum and key resource materials, all based on the content of the GIP. ICB strategy and resources will focus on needs of programme staff.

Both GIP and ICB will be ready for field testing in January 2010.

Child Well-being Outcomes

Goal: Sustained well-being of children and fulfilment of their rights within families and communities[1]			
Luke 2:40, 52 'And Jesus grew in wisdom and stature, and in favour with God and people.'			
Girls & Boys:			
Enjoy good health	**Are educated for life**	**Love God and their neighbours**	**Are cared for, protected and participating**
Children are well nourished	Children read, write and use numeracy skills	Children become aware of and experience God's love	Children are cared for in a loving, safe, family and community environment with safe places to play
Children are protected from infection, disease and injury	Children are empowered to make good judgments, protect themselves, manage emotions and communicate ideas	Children enjoy positive relationships with peers, family and community members	Parents or caregivers provide well for their children
Children and caregivers access essential health services	Adolescents are prepared for economic opportunity	Children value and care for others and their environment	Children are celebrated and registered at birth
	Children access and complete basic education	Children have hope and vision for the future	Children are respected participants in decisions that affect their lives
Foundational Principles			
Children are citizens, and their rights and dignity are upheld (including girls and boys of all religions and ethnicities, any HIV status, and those with disabilities)			

1 Child Focus prioritises children, especially the poorest and most vulnerable, and empowers them together with their families and communities to improve their well-being. (Integrated Focus document, 2007)

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice. Motivated by our Christian faith, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

Any Questions?

We hope this has helped you better understand some of the improvements taking place within WVI. If you have any further comments or questions, positive or negative, please contact:

Seamus Anderson (seamus_anderson@wvi.org) or

Jonathan Flower (jonathan_flower@wvi.org)

on the LEAP Team.

You can also provide feedback using the form on the TD website:

www.transformational-development.org

The TD website contains links to all documents mentioned in this paper.

LEAP Team

September 2009

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Preface

Welcome to the 2nd edition of LEAP, or Learning through Evaluation with Accountability and Planning, as World Vision's approach to design, monitoring and evaluation (DME) has come to be known.
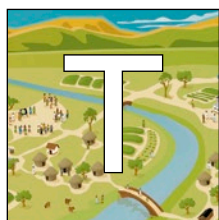
HE FIRST EDITION was published in 2005 after the World Vision International Council resolved to develop and adopt "common global standards for project design, monitoring and performance measurement for National and Regional Offices, to enable World Vision both to achieve best practice and also to meet the expectations of its constituencies." (World Vision International. 2004)

LEAP's development was initially guided by a DME steering committee, with the mandate to develop a common framework for programme design, implementation, monitoring, and evaluation.

An extensive literature review in 2002 was followed by worldwide programming consultations throughout 2003-2004, including exhaustive reviews of early LEAP drafts. Technical issues addressed included sponsorship, cross-cutting themes, budgeting and reporting. Finally the 1st edition of LEAP was prepared, reviewed and ratified by the steering committee in October 2004, concluding the committee's responsibilities.

Since 2005, National Offices across the world have been introducing LEAP, mainly in new programmes and those being re-designed. Lessons have been gathered from National Offices regarding LEAP, while at the same time research into design, monitoring and evaluation has continued. All this has been incorporated into LEAP's revised 2nd edition, providing more detail where necessary and clarity on a number of areas of concern (see Introduction).

Also in that time, other important changes occurred in our organisation. An Office of Strategy Management and an evolving strategy now better enable programmers to understand and describe World Vision's contribution to global poverty alleviation.

Change continues throughout the organisation and our knowledge of programming continues to develop. So it was decided to publish this 2nd edition now, modelling our commitment to learning by action.

A LEAP Strategy and Working Group exists as of July 2006 with the purpose of leading effective, ongoing research and development that supports implementation of the LEAP project.

Six components of programme and project cycle management are defined in LEAP: assessment, design, monitoring, evaluation, reflection, and transition. These components are built upon core principles that help improve programme quality. The framework clarifies programming decision rights, by defining relevant roles and responsibilities of different partners. LEAP is focused at the programme and project levels of National Offices. It does not speak directly to strategy development at national, regional and international levels, but does show how programmes must be linked with strategy.

This document is for any staff with programming responsibilities. Eventually, re-writing will take place, so the document can be effectively adapted and contextualised by our community partners to sustain their own disaster management, advocacy and development, to address the poverty and injustices they face day to day.

LEAP Strategy and Working Group, May 2007

Acknowledgements
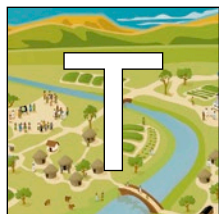
HE ORIGINAL DME STEERING COMMITTEE'S literature review and their own experiences in DME informed the first drafts of LEAP in 2003. Committee members provided input and insights throughout the development of LEAP, gathering lessons on DME from many World Vision programmes as well as other partner organisations including ActionAid, CARE International, the European Union, IFAD, Oxfam, United Nations Development Program and UNFPA.

We thank the hundreds of people who contributed to the development of LEAP, including more than 250 colleagues from 64 World Vision offices who participated in consultations between 2002 and 2004 leading up to the first edition. Thanks also to the people and communities whom these colleagues represent. World Vision's partners and those we serve alongside provided the context, lessons and insight that helped to ground the work, making it meaningful and significant for all involved in tackling poverty and injustice.

Numerous other colleagues, representing World Vision programmes worldwide, ensured that LEAP is useful for broad application across the spectrum of World Vision programme models. Still more provided technical guidance and encouragement. Many attended one of three Global LEAP Learning Events in Bangkok during 2005-2006. Others contributed their knowledge through regional programme quality networks. The LEAP Strategy and Working Group now provides overall direction and oversight for the LEAP project and includes technical specialists representing all regions, the three pillars of World Vision's ministry (Policy and Advocacy, Transformational Development, and Humanitarian and Emergency Affairs), global themes, as well as International Programmes Groups.

While it is impossible to thank everyone by name here, we would like to acknowledge our debt to all who contributed and continue to contribute to this evolving framework, which is used to improve the quality of our programmes for the people with whom we live and work.

List of Acronyms and Abbreviations

ADP	Area development programme
AIDS	Acquired immunodeficiency syndrome
CBO	Community-based organisations
DM	Disaster management
DME	Design, monitoring and evaluation
HIV	Human immunodeficiency virus
HEA	Humanitarian and Emergency Affairs
LEAP	Learning through evaluation with accountability and planning
MED	Micro-economic development
MFI	Micro-finance institution
OVI	Objectively verifiable indicator
SMC	Strategic management costs
SMP	Sponsorship management project
TD	Transformational Development, see Appendix V
TDI	Transformational Development Indicators
TI	Transformational Indicators
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WV	World Vision

Introduction – what's in this 2nd edition and what's new?

This book describes why LEAP exists and what it is. Its chapters serve as a field guide, accompanied by programming resources describing how to implement LEAP. If you are only interested in a LEAP overview, then read the summaries at the beginning of each chapter.
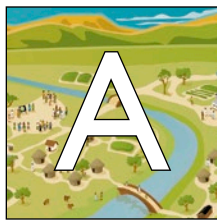
A S A WHOLE, this book is for all staff who have programming responsibilities. By that we mean any responsibilities for facilitating or participating in assessment, design, monitoring, implementation and evaluation of programmes. If you are such a practitioner, we recommend reading the whole document. All World Vision programmes use LEAP, irrespective of focus, sector or resource base.

We've also facilitated use of this document for quick reference by secondary audiences – notably resource acquisition staff (such as Support Office donor engagement staff, grant officers, and so forth) and also national directors, operations directors and other senior management.

- For resource acquisition staff, text highlighted in green applies to grant funding or grant-related processes; marketing-related processes; and other fundraising processes.

- For senior management including National Directors and Operations Directors, text highlighted in blue refers to information that may apply to National Office strategy; references to Partnership strategy; staffing or budget implications for DME processes, and other relevant material.

Differences between the 1st and 2nd editions of LEAP reflect growth and change across World Vision as an organisation, not least of which is complete re-organisation of DME Management Policy (more fully outlined in Appendix 1).

The entire LEAP framework has been aligned with the World Vision Partnership's most updated strategy. Language has been simplified so that concepts are clearer. Some processes

have been condensed, by reducing steps to remove redundant overlaps. Where necessary, LEAP has been bought in line with significant recent literature.

Changes in language throughout this edition reflect ongoing organisational transformation taking place in World Vision. LEAP now talks mostly about partners, rather than stakeholders, and agreements between partners rather than decisions. Small changes perhaps – some may say just semantics – but words recognise and symbolise shifting power and relationships in our work.

Chapter 1 covers fundamentals of LEAP, but also answers bigger "why" questions. Why do we need to learn and transform as an organisation? What models and themes point towards the intersections between organisational strategy, programmes and projects? Notes on sponsorship originally included in this chapter have now been expanded and included as Appendix II – Sponsorship Management Project.

Specifically new in this chapter:

- Principles and standards for LEAP have been clarified and the DME Management Policy re-drafted to reflect the changes.

- Greater emphasis is given to integration across Policy and Advocacy, Transformational Development, and Humanitarian and Emergency Affairs, sectors, cross-cutting themes and initiatives, and the need to treat programmes as complex systems that tackle issues and causes of poverty.

The chapter also covers:

- The difference between a programme and project, and

- Components of LEAP.

Chapters 2-7 still cover the LEAP components of assessment, design, monitoring, evaluation, reflection and transition. In each chapter, summaries at the beginning provide a quick overview. Sections follow covering changes to the components, current status, most-asked why questions, applicable guidelines and standards, and the processes to be followed for each component.

As noted, some process steps have been simplified or combined, so that processes are better organised and repetitions removed. Specifically:

- **Design**: New steps outline the development of a programme description or theory, and communication of this, using logical frameworks. Additional notes address programmes and different types of funding sources.

- **Monitoring**: Discussion of implementation is integrated in the text on monitoring. A couple of steps in the process were dropped, to eliminate repetition with design.

- **Evaluation**: Quite a few changes to this chapter aim to simplify and clarify evaluation:

  - A new table about types of evaluation shows formal names, common names, descriptions, along with outlines of what and when.

- Discussion of *impact chain* and an evaluation staircase describe a need to build up a picture of evaluation over time, if possible.
- A new table shows a sample evaluation schedule for development programmes and rapid onset emergencies.

- **Reflection**: Prospective learning and reflection steps are now included in the other components of programme cycle management. However, to highlight the importance of prospective learning, reflection is still considered as a separate LEAP component. Learning is the goal, and reflection techniques or methods assist in learning.

- **Transition**: Evolving strategy and planning for transition is handled in process steps throughout the entire programme management cycle, starting as early as assessment and continuing through design, monitoring and evaluation. However, this edition of LEAP highlights the need to focus transition planning, by pulling together all transition notes into one component. This highlights the importance of transition planning as a discrete part of programming, even though transition planning is embedded through-out programme cycle management.

Chapter 8 explains how strategy links to programming.

Appendices have been significantly revised in this edition:

- **Appendix I**: The DME Management Policy has been completely reorganised. All original standards have been retained, and standards have been added.

- **Appendix II**: Discussion of the sponsorship management project is expanded, based on the past two years' experience, and now covers more information about establishment of the project.

- **Appendix III**: Summary process maps for development programmes and for rapid onset emergency programmes can be found here.

- **Appendices IV and V**: These notes on reporting and details of an operations audit originally appeared in the LEAP 1st edition.

- **Appendix VI**: This new appendix provides a brief look at three programming frames.

1 Essentials of LEAP

"LEAP is the result of a comprehensive Partnership process to realise a vision for a common DME approach for quality programming and stands for learning through evaluation with accountability and planning.

LEAP is a living framework for systematic learning that promotes quality, accountability and professionalism in programming with communities. Its implementation builds competence and confidence and models prospective learning.

We, the Partnership DME Steering Committee, enthusiastically endorse the framework and commit to widely communicate its principles and directions and support its full implementation."

DME Steering Committee, Ratification Statement, Nairobi, 22 October 2004

Design, monitoring and evaluation are not new programming functions. What is new is the consistency and accountability LEAP attempts to bring to these key functions, building on historical knowledge and recognising World Vision staff's wealth of experience and practice.

For some programmes and projects, implementing LEAP requires small, gradual changes. For others, LEAP will demand a fundamental shift in programming understanding and approaches to tackling poverty.

For all programmes, LEAP now links programmes with National Office strategy, which in turn is aligned with regional and global strategy – a significant move forward in achieving programme quality and our higher objectives (see chapter 8 – Beyond LEAP).

So why is learning so important?

The world's quantity of data doubles every three to five years, which means new knowledge, new ways of doing things, and new technologies. Knowledge is power, a saying goes. Yet too much information doesn't help us and begins to add to our stress. Too much informa-

tion threatens our ability to teach ourselves, and most people find it disempowering. (Shenk 1997)

We need to leverage the power of data and information. What information do we need? What do we want to learn from it? How can information be turned into knowledge?

Research shows that to build learning organisations, basic changes in thinking and behaviour must occur. A learning organisation continuously adapts. People shift from being fragmented, competitive and reactive, to become systemic, co-operative and creative. This goes beyond individual change to include commitment to societal changes within the organisation. Incidentally, this very change is a fundamental goal of World Vision's transformational programming model that seeks to link people together in co-operative endeavours to address poverty and injustice.

To keep learning, great organisations combine self-confidence with reasonable doubt. We should never be afraid to ask "why", and we should never make assumptions if "why" questions remained unanswered. This scepticism prompts a further question, which in turn promotes learning.

The very fact that the amount of data and information multiplies so rapidly means that in an organisation like World Vision, staff need capacity and tools to stay ahead of the learning curve. LEAP provides one such collection of tools.

But exactly how does *learning* link with evaluation, accountability and planning?

Learning is not a passive process, but requires planning and action. Have you ever heard of action learning? Perhaps you've heard the term action research or operational research? This type of study can be described as a cycle of planning, action and reviewing the action. The cycle is iterative, continuing over and over again. This is like the programme management cycle – where programmes go through cycles of assessment and design, monitoring and evaluation, and then re-design based upon lessons learnt through reflection on experience.

Successfully managed programmes are action research, characterised by planned cycles of action and reflection. During an action research cycle, experience is continually recycled. Earlier experiences and data are revisited in the light of new data; new action is planned in light of what went on before; and all experiences are systematically reviewed and evaluated. One outcome of doing action research is *learning to learn*. This is the very essence of facilitating change and is the essence of LEAP.

Table 1. Defining LEAP

Learning	Change in thinking and action through reflection on sound information about present and past experience.
Evaluation	Systematically and objectively assessing the relevance, performance and success, or lack thereof, of ongoing and completed programmes and projects. This is done by comparing available data, monitoring implementation and conducting planned periodic evaluations.
Accountability	Demonstrating responsibility to provide evidence to all partners that a programme or project has been carried out according to the agreed design.
Planning	Identifying and scheduling adequate resources for activities that logically lead to outputs, outcomes and goals; working with management to link programme and project plans to national and regional strategies.

The essence of LEAP

In summary, LEAP provides a framework for building quality programmes that align with strategy and that generate good practices as they are implemented.

Key points to remember:

i. LEAP will improve quality and effectiveness of programmes and projects.

ii. A steep learning curve will require time for staff to build their LEAP competency.

iii. Give yourself permission to take time to learn. Management must create learning space and time within working schedules.

iv. LEAP is a learning framework with a set of learning tools.

v. Link with expert networks in countries and regions, and ensure that you are aware of any learning events held. Contribute the experience and knowledge gained through using LEAP to the body of knowledge that develops within the Partnership. This also requires time, and budget, for thinking, documenting, communicating, and so on.

vi. Use advocacy work alongside disaster mitigation and development to build more sustainable programmes that address causes as well as symptoms of poverty and injustice.

vii. Take time to contextualise components to the local environment and communities in which you work. Appropriate evaluation models and skills need to be developed. All this will contribute to successful mainstreaming of LEAP within World Vision over time.

viii. The Partnership, through the International Board and senior leaders, has mandated implementation of standards for programme and project design, monitoring and evaluation.

LEAP replaces all design, monitoring and evaluation frameworks and standards previously developed and used by various Regional and National Offices, including funding or Support Offices:

- All **new programmes and projects** apply LEAP from the assessment stage onwards.

- **Existing programmes** not currently using LEAP are recommended to adopt LEAP at the beginning of the next management cycle. This means following LEAP from evaluation and when re-designing.

- **Existing design, monitoring and evaluation frameworks and standards** may be used until all programmes have moved to LEAP. It is recognised that implementation of LEAP will only be complete in all programmes and projects when current programme cycles are completed and when Partnership financial and information management systems are also fully aligned with LEAP.

Strategies for LEAP capacity building, and LEAP and Finance, have been developed. Information on both strategies and the latest resources can be obtained on the Transformational Development website.

LEAP resources

The following programming resources to guide implementation of LEAP are in various stages of development and can also be found on the Transformational Development website.

1. The LEAP Companion Tools provide guidelines, templates and review tools for applying the LEAP framework to all programming scenarios, except for rapid onset emergencies.

2. The LEAP Toolkit for Rapid Onset Emergencies addresses the particular programming context of rapid onset emergencies with relief-specific LEAP time frame and tools.

3. The Global Advocacy Toolkit, when it becomes available, will address the special needs of advocates working at national, regional and international levels. (Local advocacy will be addressed in the LEAP Companion Tools).

4. A "LEAPification" Toolkit provides guidelines and checklists against which existing toolkits and those in development can be tested and "LEAPified."

Support for financial management aspects of LEAP is available from the LEAP Team in the Global Centre. LEAP is applicable to all projects in LEAP-aligned programmes (in other words, those with an agreed-upon LEAP-aligned design document), including those wholly or partly funded through institutional and government grants (although application may require some adaptability due to external donor contractual requirements). Throughout this document, notes on institutional and government grants are provided to guide programming staff through common differences likely to be encountered while using LEAP in the context of institutional and government grants. For questions concerning specific donors, contact

the appropriate Support Office for additional clarification. National Offices and Support Offices need to agree on specific roles and responsibilities to adequately address donor requirements.

Please read this document and use LEAP in the spirit in which is has been developed. While LEAP articulates a standard approach, it is clear that one model does not fit all. LEAP is the frame around which staff must now build their programmes and projects, using LEAP principles and standards, and reflecting at each stage to ensure quality and sustainability as World Vision works with partners to address issues of poverty and injustice.

LEAP's principles

Five principles inform, guide and foster professional approaches to programming practice in World Vision, adapted from those of the American Evaluation Association. These five principles logically lead to a set of *required standards* for design, monitoring and evaluation. In this document, a standard describes *expected behaviour*. Within the organisation, failure to act in the expected way seriously hinders the organisation in achieving its mission. Therefore, people are held accountable for meeting standards. The standards are the organisation's DME Management Policy.

Following from the standards are a set of guidelines, which programmes are advised to follow.

Figure 1. Principles, standards, guidelines

Principles Things foundational to LEAP	→	**Standards** A management policy that makes LEAP work	→	**Guidelines** Will help with implementing LEAP

LEAP's foundational principles are:

1. **Systematic inquiry**

   Good programme management (design, monitoring and evaluation) reduces the risk that a programme will not succeed. The programme's manager is ultimately responsible for ensuring that accurate and credible information is the basis for programme management findings, recommendations and actions.

   Systematic, data-based inquiry seeks to produce accurate and credible evidence enabling partners to explore, understand, interpret and critique all aspects of the programme management process and products.

2. **Competence**

   Competency and capability of staff and partners involved in design, monitoring and evaluation are considered during programme design, and regularly assessed during implementation.

Competent programming staff possess knowledge, abilities, skills and experience appropriate to complete design, monitoring and evaluation tasks assigned. This means that National Offices and partners need to carefully examine the issue of competence in determining the number and range of sectoral interventions in a particular programme or project.

Capable staff continually strive to extend and develop their competencies. This means that the organisation provides an appropriate range of resources for ongoing professional development of staff in design, monitoring and evaluation competency. Simple, practical tools and methods are appropriately developed to allow any programme partner to participate in design, monitoring and evaluation activities.

3. **Integrity and honesty**

All people involved with programme management ensure the honesty and integrity of the entire management process. They shall negotiate honestly and thoroughly with partners regarding tasks, limitations, scope, costs, and uses of products. They shall keep partners informed of all changes in agreed-upon plans.

All participants must determine and disclose their own interests and those of other partners, in the conduct and outcomes of programme management. People involved with programme management do not misrepresent procedures, data or findings. They shall seek feedback on the accuracy of data and findings from partners. They correct or refute substantial misuses of design, monitoring and evaluation work by other people.

4. **Participation**

Design, monitoring and evaluation explicitly include participation by all partners. Partners include, but are not limited to, children and their families, local communities and their organisations, local and national governments, local faith-based organisations, businesses, National Office staff (field and support), and donors (including private sponsors, corporations and foundations, bilateral and multilateral agencies).

Design, monitoring and evaluation activities are an opportunity to build capacity among programme partners. Programming staff (including non-WV evaluators) respect confidentiality of personal information disclosed by respondents. They obtain informed consent from respondents for the uses to which data will be put.

Programming staff seek to maximise the benefits and reduce unnecessary harms to people as a consequence of reporting negative findings, provided this does not compromise the integrity of the findings.

Programming staff communicate evaluation findings in ways that clearly respect partners' dignity and security.

5. **Respecting the interests of partners and the public**

Programming staff articulate and take into account diversity of interests and values, and consider broad assumptions, implications and potential side effects of whatever is being evaluated.

Programme managers allow all relevant partners to access evaluative information. They maintain a balance in meeting different evaluation needs of partner groups, and negotiate conflicts among them. They serve the public interest by considering society as a whole in planning and implementing an evaluation, not just partner interests.

What is a programme and what is a project?

LEAP uses the terms "projects" and "programmes". In the simplest sense, a programme is made up of a number of projects. Put differently, projects are the pieces that fit together in a logical way to achieve programme goals. Projects describe short-term objectives of field-work, while a programme describes the long-term effects of a group of related projects.

A reasonable expectation for projects is that the goal will be achieved on time and in budget if the project design is followed. In the context of LEAP, the maximum duration for a project is five years. By contrast, although the overall programme goal should be one that is attainable, the steps, time and budget required to get there is unlikely to be totally clear at the outset.

These are common terms within the international humanitarian lexicon. Different partners, however, use these words differently, and often interchangeably. The two terms are defined below as they are used in LEAP. It is important to understand these concepts and use the terms appropriately when talking about fieldwork and programme cycle management.

Please note that the definitions of programme and project fit the description of the majority of programmes and projects. As with all things, there are exceptions. Some exceptions are addressed here, but not all exceptions have been studied and so there may still be programmes and projects which do not fit these definitions. In such cases, innovation is encouraged in how the work is defined.

LEAP Lexicon definitions:

Project: a time-bound intervention carried out to meet established objectives within cost and schedule, and a collection of one or more activities usually involving a single sector, theme or issue. It may involve multiple partners [and institutions] and may be supported by several different funding sources, but often is supported by a single donor.

Programme: a time-bound intervention, consisting of one or more projects that co-ordinate to achieve a desired programme goal. A programme cuts across sectors or themes, uses a multi-disciplinary approach, involves multiple partners [and institutions], and may be supported by several different funding sources. (World Vision Development Resources Team 2005).

The majority of programmes and projects across World Vision's three ministry tracks (Transformational Development, Policy & Advocacy, and Humanitarian and Emergency Affairs) share similar characteristics, summarised here:

Table 2. Comparison of project and programme characteristics

	Project	Programme
Scope	Usually one sector, short time frame, more focused, usually one country	More than one sector, longer time frame, usually one country, but possibly multi-country or global
Common programming frameworks	• Global, Regional and National Office Strategies • Policy and Advocacy • Transformational Development • Disaster management cycle • Accountability agreements, e.g. Sphere • Emergency response policy and standards • Donor and local partner defined • Programming themes	• Global, Regional and National Office Strategies • Policy and Advocacy, including Human rights and other UN Conventions, regional instruments, and national legal and policy frameworks • Transformational Development • Disaster management cycle • Accountability agreements, e.g., Sphere • Emergency response policy and standards • Programming themes
Targeted population	Specific individuals and groups who directly participate in project activities to tackle specific issues of poverty/injustice	All people affected by outcomes of various projects that make up the programme, which may include people both directly involved and not directly involved with project activities
Funding	Normally one funding source	Normally multiple funding sources
Objectives	Activities (and inputs), outputs, outcomes tackling immediate problems, underlying issues or root causes of poverty (or all three)	Project goal and programme goal tackling immediate problems, underlying issues or root causes of poverty (or all three)
Management	• WV staff or local project partners • Directly responsible and accountable for delivering activities and outputs – attribution	• WV staff, local and non-local partners, e.g. Support Office staff, international advocacy partners • Responsible for co-ordinating projects making up the programme

General guidelines determine whether something is a programme or a project:

- When a manager is appointed and held responsible for delivering activities and outputs, then that manager is managing a *project*. That manager needs documents which describe the logic of inputs, activities and outputs, with a budget to manage these deliverables. These documents include a design, an M&E plan, indicator tracking tables, and a budget.

- A project is part of a programme. Programme information systems and financial systems require all projects to be linked with a programme.

- A programme must have at least one project. The number of projects is limited, to allow competent programme cycle management, as defined by the DME Management

Policy. The number of projects varies, depending on the capacity of programme and project managers and available resources. Experience suggests that the number of concurrent projects should be kept to a minimum (for example, no more than five), until the resource base and competence of partners have been established.

- Project objectives need only contribute to the objectives of its programme. However, programme objectives often contribute to higher objectives (including National Office strategy) – resulting, in other words, in several layers of programme. See also the examples below.

How projects fit into programmes

Figure 2 shows a typical project/programme arrangement for an area development programme (ADP):

- one country and one geographical area;
- five projects, contributing to a common programme goal;
- three separate funding sources: sponsorship funding (source 1) provides funds for a sponsorship management project, as well as health and water projects; a grant (source 2) funds only the food security project, even though there is overlap with health and water projects; the MED project with private funding (source 3) targets a different population within the programme area and also a population outside of the programme area;
- overlap between targeted populations for the health, water, and food security projects, which share some common indicators logically linking them together in a programme;

Figure 2. Area development programme (ADP)
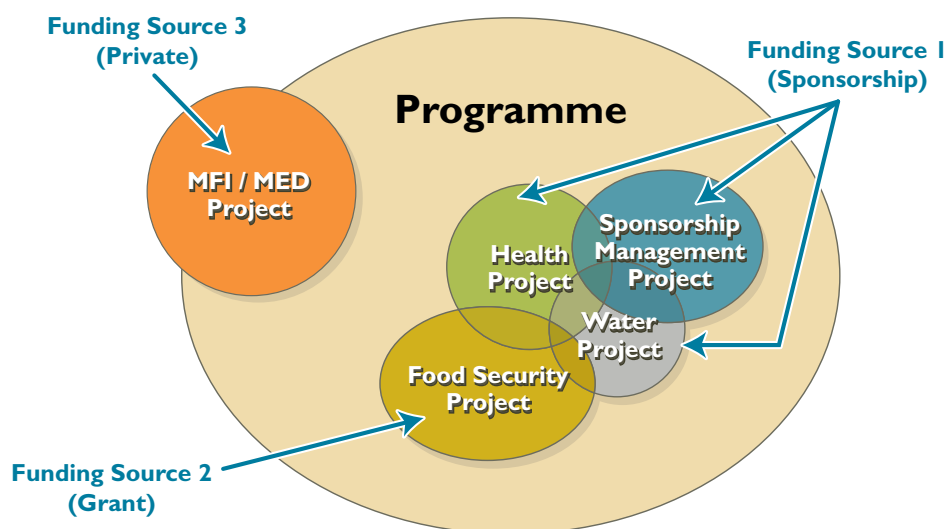
Many programmes do not fit this typical profile. What is termed a programme and what is termed a project is guided by a combination of design, management and business processes. Innovation is required to learn how to best apply these concepts appropriately to different situations, while still adhering to the DME Management Policy and business processes.

Some different examples:

1. The West Africa Water Initiative is defined as a programme, with multiple donors and partners. However this programme has multiple projects at a national level within three different countries: Ghana, Niger and Mali. Another complication in this example is that some projects are managed by other partners, not World Vision.

2. In Ethiopia, World Vision is partnering with Save the Children and other agencies on an HIV & AIDS Orphans and Vulnerable Children programme. In this example, a World Vision project is part of a programme managed by another organisation.

3. The Asia Tsunami Response Programme was a complex multi-level programme managed across four countries. Each country – Indonesia, Thailand, India and Sri Lanka – had its own Tsunami Response Programme managed at the national level. All four programmes rolled up into the Asia Tsunami Response Programme, supported from Singapore. Within each country, there were geographical programmes (similar to ADPs) with individual sector projects. So the Tsunami response features three levels of programme: local, national, international.

   This is often the case with emergency response programmes, where there are programmes in specific geographical locations within a country, each with sector projects. These programmes roll up into a national emergency response programme, often managed separately within the National Office.

4. Global advocacy initiatives are usually defined as a programme. One example is a programme that seeks to eradicate violence against children by securing increased funding commitments to child protection interventions and by enactment of protective laws and policies. One project that contributes to this programme's goal aims to increase action by the United Nations Security Council, other UN bodies, member states, and the World Bank concerning violence prevention and protection interventions for children.

5. World Vision in Jerusalem/West Bank/Gaza has a project called Participatory Research and Advocacy with Palestinian Youth, which aims to expand child participation in advocacy and increase capacity to support a number of rights-based programme planning and policy-making initiatives. This project contributes to WV Jerusalem's national strategy, which acts as the programme in this case.

LEAP's 6 components

LEAP describes programme and project cycle management through six basic components: assessment, design, monitoring, evaluation, reflection and transition. Details of each com-

ponent – including purpose, standards, methods, process, and products – are covered in subsequent chapters of this field guide.

Figure 3. Programme and project management cycle
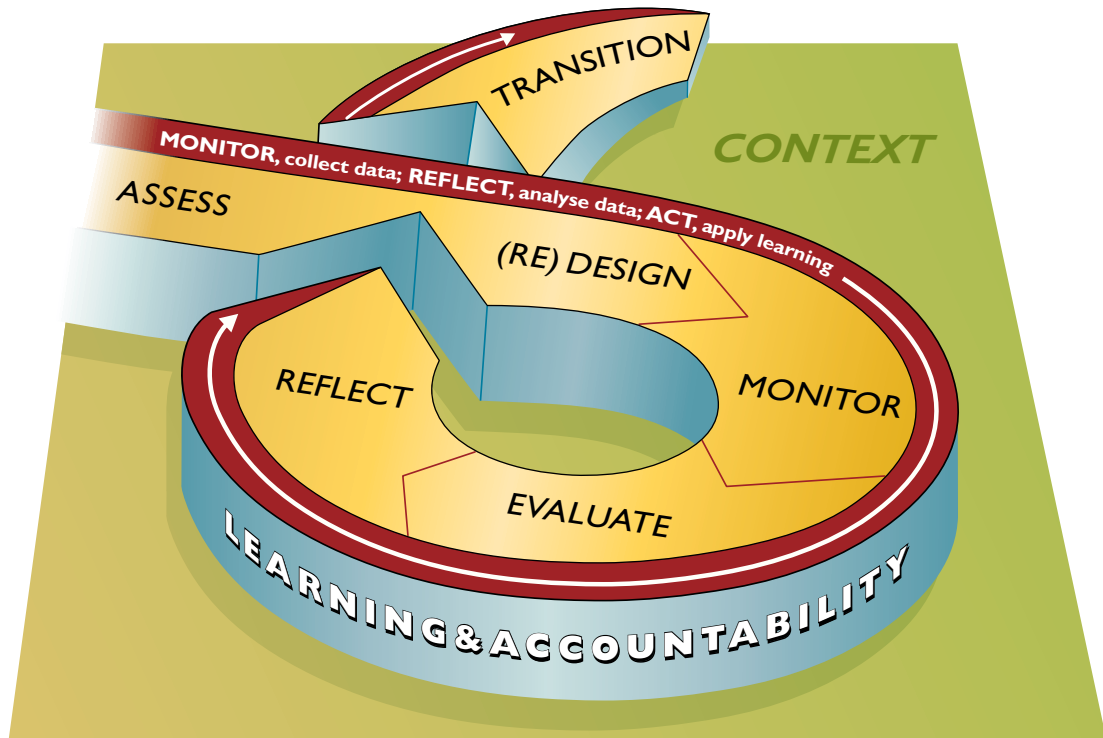
Components of a programme management cycle are represented in Figure 3. The entire cycle is built upon the assumption that all processes which are planned and implemented can result in sustainable learning with accountability. This is the theory behind LEAP itself. Figure 3 suggests these processes occur in a linear fashion. In reality, components can occur simultaneously. Thus the design process may require further assessment, and regular monitoring may require adjustments to a project's design *before* an end-of-phase evaluation is completed.

All programme and project cycles include these six components. The timing and duration of each component changes, depending upon the context, including specific partner requirements, particularly ones subject to a contract with an external donor. For example, one project's design component may take six months, while another project's design component may take only one month. Often disaster management programmes are designed and implemented in shorter time frames than development programmes.

Different projects will begin at different times, in relation to a programme's cycle. For example, within an ADP, one year a water project may be started and two years later a maternal/child health project may begin. These projects will run on different management cycles. This presents opportunities for the organisation to study how different projects can be integrated with each other and within the overall programme cycle, particularly regarding stewardship of resources required for programme and project cycle management. Advocacy within com-

munities and with local government might help in making some linkages – and help in encouraging lasting change for the better within communities. Figure 4 shows how projects within a programme may start and finish at different points, but how they still go though each of the components of the programme cycle. Pause and reflect on this diagram before reading on.

Figure 4. Projects within a programme
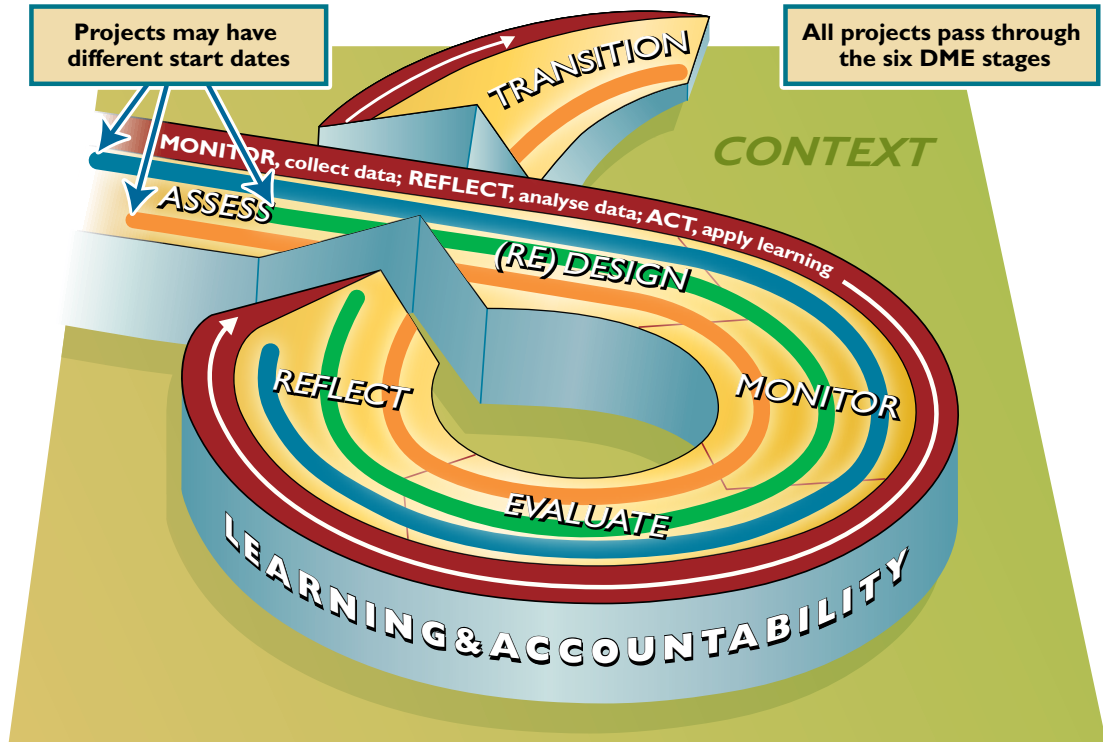
Integrated programming models

Experience has shown that if a programme deals with only a single sector or issue, or if a programme does not take into account the different dimensions of poverty (including social, policy and biophysical/environmental) in an area, outcomes are unlikely to affect root causes of poverty.

This is where programme models or theoretical frameworks are useful, to form the basis for a common approach to assessment and design, which then means that different programmes can be compared and contrasted.

World Vision's challenge is to find the most appropriate frameworks to integrate advocacy and disaster management with development, after studying the contexts, so that together we can have the greatest impact on poverty and injustice.

World Vision's strategy work may identify a preferred theoretical framework, or models, for development and poverty alleviation – but in the meantime all WV staff can share lessons and experiences in applying those we find most useful.

Two approaches need to be integrated into all programmes: disaster risk reduction and advocacy.

Disaster management theory contributes an important dimension to discussions on integrated programming. Poorer communities within particular societies are often most vulnerable to the impact of disaster because of where they live, their livelihoods, and their more limited capacity to recover. Vulnerability is multilayered and multidimensional, defined by political, economic and institutional capabilities of people, in specific places at specific times. (Bohle, Downing and Watts 1994) A vulnerability and capacity assessment can provide significant information for programme design.

Addressing vulnerability requires:

- reducing impact of the hazard through mitigation, early warning and preparedness;
- building capacities that help reduce people's vulnerability;
- reducing effects of poor governance and other social or cultural systems and structures; and
- tackling root causes that lead to vulnerability in the first place.

    Please refer to the Appendix V on programme frameworks for more information regarding vulnerabilities and capacities.

Likewise, advocacy is a vital part of local strategy and foundational for the design of all programmes. Advocacy is an approach to our work that tackles structural and systemic causes of poverty, by seeking to change and influence policies, systems, practices and attitudes that perpetuate inequality and deny justice and human rights. All programmes can influence poverty by using persuasion, dialogue and reason to obtain change. To be successful, advocacy needs to be applied at two complementary levels: policy influence and citizen empowerment.

What is at the root of the problem?

Symptoms – People living in poverty; what you can see /actual needs of people. For example: people going hungry.

Underlying issues – Some of which you can see in communities, such as lack of opportunity or knowledge. For example: inability to earn a fair wage. Can be tackled by citizen empowerment.

Causes – Justice/governance systems and structures; links you can't often see, For example: government economic policy doesn't support poor people. Can be tackled by policy influence work.

World Vision should understand justice issues right to their causes so we can work with communities to find solutions and not just tackle the symptoms of poverty.

Advocacy provides a practical framework for constructing programmes, as shown in Figure 5 above, by looking deeper than the symptoms of poverty we see in communities. Sustainability can be improved by addressing four key areas:

Policy Influence

1. **Affecting policy change** – Engaging with those in power to persuade them to formulate a new law/policy or make needed policy or legal change, through a wide range of approaches: lobbying, campaigning, presentation of research, etc.

2. **Policy implementation** – Ensuring that laws and policies are implemented as promised. Communities respond effectively, in co-ordination and partnership with local justice mechanisms, to monitor and defend violations, to ensure funding is committed as promised, and to help victims use the legal system to obtain justice.

Citizen Empowerment

3. **Awareness** – Enabling individuals and groups to understand their rights and responsibilities, to understand who has power to bring about change where injustice exists, and to navigate systems/structures to tackle poverty and injustice.

4. **Mobilisation** – Encouraging communities or groups to engage with policy makers (formal or informal), by building confidence and capacity through provision of skills and linkages with other groups.

Advocacy can be carried out with those affected by poverty/injustice, for those affected, or by those affected, and can be used to address poverty at any level – community, national, regional or global. For each context or issue or sector, solutions may be different in actually bringing about influence for sustainable development within the communities.

Frameworks for integration

Two frameworks worth reflecting on as you develop integrated approaches to programming are World Vision's Transformational Development (TD) Frame and the Sustainable Livelihoods Framework. (Please refer to Appendix V for more details regarding these frameworks.)

World Vision's TD Frame is built upon a description of poverty as disempowerment. This model describes five domains of change as the keys to mitigate poverty and lack of development. These five domains interact to promote sustainable transformation in social, biophysical, political, economic, spiritual and ecclesiastical systems. The five domains of change are: well-being of children and families, empowering children as agents of change, transformed relationships, interdependent and empowered communities, and transformed systems and structures.

The Sustainable Livelihoods Framework is another way of thinking about how to tackle poverty. The framework shares similarities with the TD Frame. Sustainable Livelihoods puts people and their livelihood at the centre of development, building upon their strengths, rather than their needs. The approach emphasises the importance of understanding links between policy decisions and household level activities, drawing in all partners, whether state, civil or private, local, national, regional or international. The framework is intended to provoke discussion and thinking about the livelihoods of the poor, during all aspects of programme cycle management. The model aligns with rights-based approaches to development, which also focus on community and individual entitlements and responsibilities and the role played by public institutions and civil society, including accountability of public institutions to all citizens.

LEAP relies on World Vision staff's ability to see our work through a number of different lenses, helping us to understand the complexity of transformation.

Organising frameworks and shared language which makes sense to programmers and managers responsible for a programme can help us together construct and communicate linkages between social, policy, legal, economic, and biophysical dimensions of poverty or lack of development. The eventual aim is to develop a programme design in which local programme partners are always active participants and not observers.

Understanding all these themes represents a departure from more traditionally understood needs-based approaches to programming.

Current thinking emphasises increasing resources and capacities of partners, changing programming from direct service provision to capacity building and empowerment approaches. This includes advocacy and risk reduction approaches that increase the likelihood of sustainable programme outcomes.

Empowerment approaches to programming require that context analysis also moves from simple needs analysis to a deeper social and political analysis: describing issues behind needs, as well as social structures that govern the way people behave, and worldview assumptions that validate people's behaviour and justify social structures. World Vision programmes must extend to every level, addressing needs and issues, and changing social structures.

Table 3. Policies, standards and treaties important to programming

Programme type	Policies and standards, treaties and conventions
All programmes	• World Vision's Gender Policy • World Vision's Disability Policy • World Vision's Ministry Policy on Promotion of Justice (advocacy protocol) • United Nations conventions • National and local policy/law • International standards: international humanitarian law, Sphere Standards, Humanitarian Accountability Project, NGO and Red Cross Codes of Conduct • Do No Harm – Local Capacities for Peace
Development programmes only	• World Vision's Transformational Development Policy • World Vision's ADP start-up guidelines • World Vision's Cat I & II disaster management standards • World Vision's Gift-in-kind Policy Sponsorship-funded development: • World Vision's Child Sponsorship standards • World Vision's Child Sponsorship programming guidelines
Disaster management programmes only	• World Vision's Level 0, I, II, III & P standards • World Vision's Operational Imperatives • Impact and Accountability Measurement Manual – Good Enough Guide

Six strategic cross-cutting themes

Six *cross-cutting* programme themes are identified in the organisation's strategy and prioritised as important to all World Vision's programmes and projects. These themes represent organisational values and priorities, but are not necessarily shared by communities. The six themes are:

1. **Gender**

   Sustainable development practice and impact cannot be achieved without explicit recognition that every policy, programme and project affects women and men dif-

ferently. Addressing gender as a cross-cutting issue requires that women's views, interests and needs shape the development agenda as much as men's, and that programme strategies support progress towards more equal relations between women and men, girls and boys.

2. Environment

Critical to addressing poverty is efficient use of environment-related resources so that sustainability of vital ecosystems is not compromised and, where necessary, ecosystem health and biodiversity is restored. This means finding a balance between short-term needs for social and economic development and protection of the natural resource base for the longer term. All programmes include an environmental impact assessment. If adverse environmental impact is identified, activities to minimise that impact are implemented or the risks described.

Climate change is increasing poverty and levels of vulnerability. Poor people are at greater risk, due to limited capacity to cope with existing climate variability and future change. Programmes should attempt to integrate climate adaptation priorities and manage risks by contextually understanding impacts of climate change and working with others to address climate risks locally, nationally and internationally.

3. Protection

Humanitarian protection is about respect for the fundamental rights of people, for their safety, dignity and integrity as human beings. Protection should be invoked when these rights are endangered, in favour of the poor and oppressed who are exposed and most vulnerable to injustice and violence. World Vision has a humanitarian protection framework which sets out in more detail the organisation's commitment on this issue. (World Vision Humanitarian and Emergency Affairs 2007)

4. Peace building and conflict resolution

Peace building refers to the process of restoring broken relationships between people engaged in destructive social conflict, as well as preventing escalation of conflict. Peace building is also an integral aspect of World Vision's core programmes, as social conflict both fuels complex humanitarian emergencies and hampers sustainability of transformational development efforts. World Vision supports sustained processes of peace building that steadily rebuild or restore networks of interpersonal relationships and contribute to just systems and structures.

Knowing the context in which we are working among communities highlights the need for a cross-cutting approach incorporating conflict sensitivity into World Vision projects. Programmes focus on addressing root causes of brokenness and examining economic, political and cultural structures of conflict, to bring about long-term change and reconciliation.

5. **Disability**

   World Vision's core values affirm all people without discrimination, and commit us to act in ways that respect the dignity, uniqueness and intrinsic worth of every person. Discrimination often excludes disabled people from development: 82% of disabled people live in poverty (Raijmakers 2005) and 98% of disabled children do not receive education. (UNESCO website) World Vision is committed to the intentional inclusion and the full and equal participation of disabled people in society and development. This needs to be reflected in programme cycle management processes.

6. **Christian**

   The integrated focus of the Partnership's strategy is the intersection of being Christian, child-focused and community-based. This is the lens through which we examine everything we do at any level of the organisation. Being Christian is considered in the process of national strategy development, and that strategy informs specific national programming frameworks. Please refer to the national strategy development process and tools for treatment of this issue.

As with advocacy, and understanding of vulnerability and capacities, cross-cutting themes are used to bring focus to programming in several ways:

- Cross-cutting themes are included within the scope of assessments and designs of all programmes and projects.

- If other relevant and appropriate themes are identified as cross-cutting for specific national and local contexts, these are also included in contextualised programming frameworks.

- Specific monitoring and evaluation indicators are included in designs of programmes that track how cross-cutting themes are considered and affected. Consider how monitoring and evaluation data can be disaggregated according to relevant and specific themes, such as gender or disability.

Review of all programming themes, including the six strategic cross-cutting themes, is ongoing through Partnership strategy development. This ongoing study, including collecting lessons from the field and literature review, expands our understanding of programming themes. Future organisational strategy will define which themes are cross-cutting to all programmes.

Programme resources for general DME

A general DME resource list can be found on the TD website

2Assessment

Summary of assessment

Purpose	The purpose of assessment is to: • Understand the current situation in context. • *Identify and understand issues causing poverty in the local area and who is tackling these at present.* • Identify opportunities, vulnerabilities, capacities and resources. • Understand how the agency could best support efforts being made to tackle poverty. • Decide upon feasibility and set priorities.
Definition	*Assessment is the process of defining the "why" of a proposed programme/project by collecting and analysing information on the community, the agency and other partners.*
Standards (required) **The standards opposite come from the DME Management Policy, see Appendix 1.** **Compliance will be investigated as part of operations audit.**	• The programme is consistent with World Vision International's Covenant of Partnership, the organisation's mission, vision and core values and strategy. Programmes demonstrate integration with national strategy and linkages to regional and global strategy. (Standard 1 in the DME Management Policy) • Data and information is always explained in relation to local context. Comparisons of data are made with reliable secondary data, and with similar data collected previously in the same programme. (Extract from standard 18) • Quantitative data is always reported with 95% confidence intervals or other appropriate measures of confidence. (Extract from standard 19) • Qualitative data is always reported in conjunction with use of appropriate text, quotes, examples, scores, and visual representations. (Extract from standard 20) • Competent programming staff possess knowledge, abilities, skills and experience appropriate to complete design, monitoring and evaluation tasks assigned. (Extract from standard 22) • Programming staff (including non-WV evaluators) respect the security, dignity and self-worth of respondents, programme participants, clients, and other partners with whom they interact. (Standard 25) • Partners who have made commitments to support a programme financially or with other resources participate in design, monitoring and evaluation processes. Partners provide timely feedback, *using appropriate review tools* on assessment documents within four weeks of receiving them. (Extract from standard 28) (See also standards 17, 26, 27 in the DME Management Policy)

Guidelines (advisory)	• Undertake assessment where there is reasonable certainty that World Vision will be able to work with the local partners.
	• Assessment builds on results of country context and strategy.
	• Project assessment builds on programme assessment, where it has already taken place.
	• Contextualise assessment methods.
	• Use secondary data wherever possible.
	• Primary quantitative data should be collected only when no secondary data is available – this is especially important before a decision on feasibility has been made, to avoid wasting time and resources collecting information that may not be relevant, or raising expectations of the agency's role.
Products	*The main product of assessment is an assessment report documenting:*
	• Process,
	• Findings,
	• Analysis and recommendations,
	• Lessons learned from the process, and
	• Plan and budget to be able to complete a programme or project design.

What is assessment?

Assessment is the process of defining the "why" of a proposed programme/project by collecting and analysing information on the community, the agency and other partners to identify and understand issues causing poverty in the local area, and what is already being done to tackle poverty.

Assessment is an essential first step in development of a programme or project. Assessment can also be used when expanding or changing the scope of an existing programme, or when starting work with a new partner. LEAP recommends an assessment approach consistent with Partnership strategy, national context, current literature and experience, which focuses on understanding roles and perceptions, resources and needs of partners facing barriers to development, struggling to secure their human rights, or vulnerable to disaster.
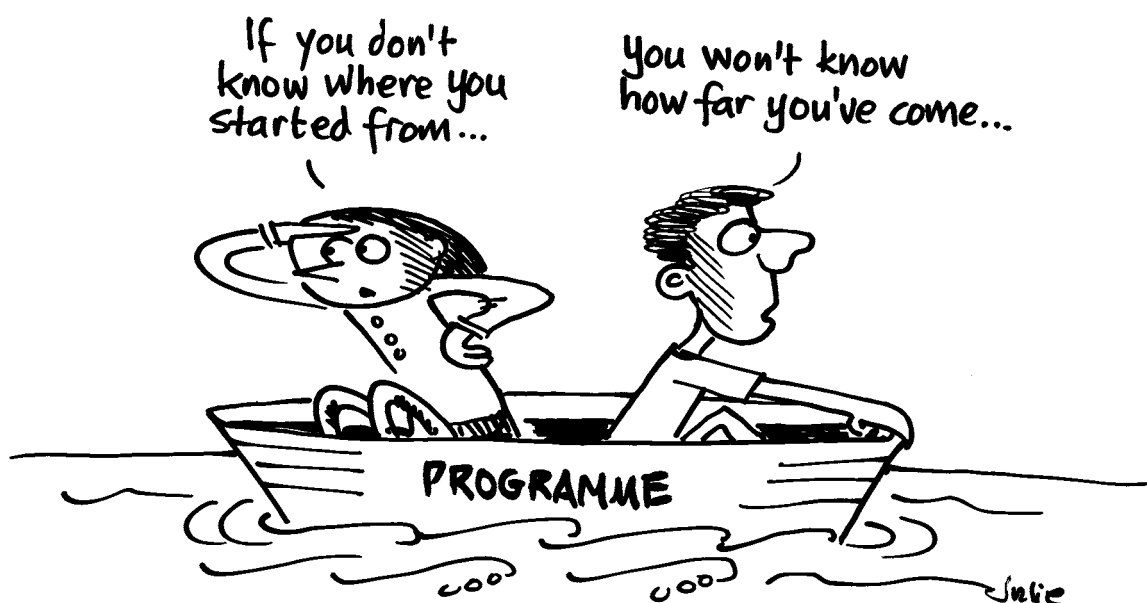
Why do assessment?

Gathering and analysis of community and organisational information helps in decision making to identify whether a programme is needed, along with potential programme/project activities and objectives. While assessment is conducted in preparation of a programme/project design, it should also enable communities to better understand their own reality and possibilities they can explore with local government and other CBOs/NGOs. The process of assessment can be a development activity itself, if conducted as per LEAP principles.

Well-focused and thorough assessment provides partners with information to make a decision regarding the feasibility and strategic value of implementing a programme or project. Another benefit of assessment is to begin building relationships with members of the communities, their leaders and institutions, as well as with other partners. Relationships help in achieving a more accurate and thorough assessment, as well as laying the foundation for effective programme and project implementation.

Following an agreement between partners to proceed, information gathered during assessment is used to design projects that are practical, feasible and appropriate.

Process

Seven steps are outlined below for conducting assessments. Actual assessment process and methodology may vary somewhat, depending on specific contexts and tools selected for the process. All seven steps are relevant to every context; however, the order and timing might be different, depending on the situation and funding source. See the LEAP components process summary map regarding which steps to take when.

| Step 1 | **Check alignment with national strategy** |

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

| Step 2 | **Hold initial discussions with major partners** |

Discussions provide a high-level overview of issues and causes of poverty in an area, and describe current roles groups are undertaking to tackle poverty and injustice.

Care is taken in this step to outline World Vision's role as one of research and understanding about how partners are tackling root causes of poverty, so as to indicate interest in com-

munity and governance processes, but not to raise false expectations of future roles World Vision might play.

Important partners include:

- government at local and national levels,
- community leaders,
- community-based organisations,
- non-government organisations,
- faith-based organisations (including churches, if present),
- appropriate institutions of higher learning (for example, universities), and
- World Vision partners (National, Support and Regional Offices).

Partners basically include individuals or groups who have an interest in, or a responsibility for, addressing identified poverty issues. Discussions can begin to identify local policies, practices and structures affecting poverty or supporting positive change – and even to identify what needs to change. Be aware of leadership styles within partners and their groups. Dynamics of culture, power and gender relations impact programming from the first encounter.

Following discussions with major partners and basic analysis of issues arising, partners (including community leaders, local government, National and Support Offices) will need to agree whether World Vision should facilitate the next steps in the assessment process. If there is agreement, funding to complete assessment is sought from Partnership Support Offices before proceeding further.

| *Step 3* | **Agree to secure funding for assessment** |

If programme or project concepts align with national strategy, and discussion with major partners suggests proceeding with assessment, then begin a dialogue with a World Vision Support Office to secure funding for this assessment. An assessment plan is prepared so that discussions can proceed in a timely manner. This plan includes rationale, terms of reference for the assessment, and budget.

Budget for assessment of a development programme or project will vary, depending on whether the concept is area- or issue-based. Timing and length of assessment considers budgeting cycles, as well as community, National Office and Support Office calendars and commitments. Variations for grant- or privately-funded programmes will likely require National Office SMC or further negotiation with a Support Office.

Time frames are significantly tighter to complete assessment for emergency relief disaster management programmes or projects. Disaster management is not contingent upon calendars and previous commitments, but rather on the scale of the emergency. Refer to disaster management programming imperatives and the LEAP Toolkit for Rapid Onset Emergency for additional details.

Once assessment planning and budgets are prepared and submitted, partners agree on the plans and budgets, make funding commitments, and then assessment proceeds.

| *Step 4* | **Preliminary partner (or stakeholder) and power analysis** |

Main steps in partner and power analysis are:

- Identify partners at various levels – government, NGOs, mobilised community and CBO or civil society groups, major businesses/employers in the area, community leaders, faith-based organisations.

- Investigate their roles, interests, and capacity to address poverty.

- Identify who has power at the local and national levels to make change happen in the community, especially for issues already highlighted in Steps 1 and 2. What power does each partner possess? For example, authority (social or legal power), money (economic power) or force (coercive power).

- Identify the extent of co-operation or conflict in relationships between partners.

- Interpret analysis findings and define how this should be incorporated into programme or project approaches.

Preliminary power analysis is especially useful at this stage to understand who is in a position to address poverty and injustice. What is the government's role as duty bearer? How far are communities empowered to demand their rights already? Preliminary analysis begins to help us understand how change can be influenced and what kinds of activity will have greatest impact when designing programmes.

Distinguish between the target segment or group and the broader group of partners. Target groups are those directly affected by issues in question, who might gain from a proposed programme or project solution. People will be affected differently, and it is important to understand the different justice, development and disaster management issues of various groups and partners.

At this early stage of data collection, think about sustainability in relation to systems and structures, including roles of government as primary duty bearer, commercial enterprise, community groups, NGOs, and faith-based organisations (see Chapter 7 – Transition).

Partner and power analysis are part of the iterative process of assessment. As issues and objectives are studied in more detail during assessment, the partner and power analysis is reviewed and updated to account for new information. Refer to the LEAP Companion for guidelines on preparing a partner and power analysis.

| *Step 5* | **Collect and review information** |

Historically, large survey exercises collecting primary data on a range of issues have been conducted as part of assessment and design work for programmes and projects. These exer-

cises typically produce large volumes of data that is often minimally used. Such exercises are poor stewardship of assessment resources and can be an intrusion in the lives of new partners with whom relationships are still to be built. This goes against the principles of LEAP. Some information, however, is needed to help the decision making process.

Using appropriate tools, collect information on social, policy, and geographic/biophysical dimensions of the local context (see Figure 6). Included in this should be an outline of particular vulnerabilities and their causes (specific injustices/rights violations, hazards, or poor governance). Information on the macro context should have been collected as part of national strategy development; however, themes need to be contextualised for each programme setting, including local cultural norms and governance structures, language, or conflict issues.

Figure 6. Three dimensions of the local context

Social dimension relates to people and their well-being. By the very nature of social, cultural and micro-economic contexts some groups of people are systematically disadvantaged from participating in their own development. An important component of programming is understanding peoples' capacities to access their human rights and manage their own disadvantages and vulnerabilities.

Environmental (or bio-physical) dimension relates mostly to the environment, ecosystems, biodiversity, and natural resources. Programmers study and assess many elements affecting the bio-physical condition of a programme area, including water, climate, geography, flora and deforestation, farming techniques, demographics, and impacts of urbanisation and population density.

Public or policy dimension relates mostly to citizenship and governance (roles of government, human rights, and civil society). Working within social and environmental dimensions will not result in sustainability unless systems and structures are transformed. This means that women, men, girls and boys engage effectively in decision making that affects their lives. Government policy and legislation may disadvantage some people, or policy may simply not be implemented because of a range of constraints, such as available resources.

At the end of this exercise, information must have been collected and interpreted concerning the programme context, from both macro and local community perspectives, and also concerning implementing partners (including World Vision) and their capability. See Table 4: Information to be assessed.

Table 4. Information to be assessed

Assessment focus	Issues to be assessed
Macro and local community context	A high-level overview of symptoms and causes of poverty in an area (social, policy, and geographic/biophysical dimensions). Identify which local issues have roots in national issues. Particular areas to review will include: • government policy implementation and the impact of governance on people's lives and human rights, public and private structures, and civil society empowerment; • vulnerability – trends, shocks, seasonality; • linkages of issues arising in assessment to cross-cutting themes of disability, environment, peacebuilding, gender, protection.
Implementing partner organisations	• organisational capacity, including the implementing World Vision National Office, relevant World Vision Support Office(s), government agencies, other non-government organisations, churches and faith-based organisations • strategic importance of a proposed programme/project • management capacity of the NO • ability of the SO to partner, provide resources, and access appropriate funding opportunities • opportunities for collaboration with other agencies, and analysis of their capacity • capacity to recruit and develop adequate staffing

Data should be collected and used to understand issues affecting local populations. Three types of data may be used, but focus should be on secondary data collection in the assessment process, remembering that good analysis of data collected is more important than collecting a lot of data.

Three types of data:

1. Secondary data and information through literature review

2. Primary quantitative data as needed

3. Qualitative data

1. Literature review of secondary data and information

It is standard practice to begin collecting information by researching published and unpublished literature for relevant secondary data and information. Use of secondary data is cost-effective for compiling knowledge regarding a broad range of issues. (Bell and Morse 2003)

By working through Steps 1-4, you will already have a good idea of major issues to be tackled in addressing poverty in the area. Secondary data should begin to confirm these issues and problems that are core to the poverty people are facing and to help in understanding complexities, causes, as well as how different groups are affected and how people are already trying to tackle issues.

Study of secondary data will reveal information gaps, which will indicate needs for collecting primary data.

2. *Primary quantitative data, as needed*

Make sure, before going to collect data directly from communities or partners, that this work is really necessary. Ask, "How will this data be used?" If this question cannot be answered, or if the answer is "We may use the data later on", then *do not* go ahead with data collection.

Primary data collection exercises generally take a lot of time and money and involve many people. It is often possible to make the same programmatic decisions based on the literature and secondary data. Quantitative data is usually collected by surveying local communities and/or partners – so great care has to be taken that expectations are not raised by carrying out assessment – as it will not yet be clear what kind of development work, if any, World Vision will pursue with the communities.

3. *Qualitative data*

After collecting data from literature and quantitative survey exercises, more questions may be raised than answered. Plan to collect qualitative data to answer some of these questions.

For example, quantitative data may reveal poor enrolment and attendance at primary school, even though schools are available. A qualitative focus group with parents or children will reveal reasons enrolment is poor – the causes behind the symptoms.

Historically, perceptions suggest that qualitative information is less reliable than quantitative data. However, adequate rigour with qualitative data collection exercises can be ensured with proper planning and implementation.

Combining both qualitative and quantitative methods in the same assessment can help reduce biases in information being used for decision making. Rigour in data collection may mean adding more time, staff, and analytical methods to the assessment, which will have implications for the assessment budget.

Information collection to assess a new programme may last up to six months. Refer to the LEAP Companion Tools for assessment methodology. Assessment for emergency disaster management programmes or projects will be much shorter, completed within days or weeks, depending on the category and level of disaster declared. Refer to the disaster management programming imperatives and LEAP Rapid Onset Emergency toolkit.

| *Step 6* | **Analyse the data so far and write assessment report** |

The product of an assessment is a report which documents:

- process
- findings (including sponsorship feasibility for programmes which will have registered children)
- interpretation and recommendations
- lessons learned from the process

- plan or terms of reference and budget to be able to complete a programme or project design

Before writing the assessment report, do enough analysis to have a good overview of the situation (major issues and causes, partners, power and capacities) and to be able to develop an outline of strategies and approaches that could be followed. However, at this stage in the programme cycle it is important to accept limitations with analysis, as some gaps can be filled in the design process.

Assessment requires actively involving partners. If assessment is carried out properly and with partner involvement, the analysis that follows is an expression of their priorities, and partners are focusing on core issues and causes they'd like to tackle in their communities. Recommendations summarise opportunities for collaboration and can be presented by identifying main issues and possible objectives or strategies that could address these issues. This begins to document overall cause-effect relationships that will form the basis of a design.

During programme assessment, consider relationships between assessment findings and World Vision's strategic ministry objectives. While writing the assessment report, use the strategy framework as a lens through which to consider whether the findings enable a programme designer to understand gaps between current realities and the desired scope of change.

The assessment report is important for institutional memory, for learning, and for doing it better next time. The assessment report is completed before a design process is undertaken and a design document produced. Document discussions on sustainability issues as part of the assessment report, for reference during design.

Subsequently, if programme or project implementation proceeds, assessment data can be used to determine baseline indicators, once monitoring and evaluation plans have been designed (see Chapter 3 – Design and Chapter 4 – Monitoring). Assessment reports can also be useful for engaging local or national government, mobilising groups from civil society, and raising awareness of poverty issues and human rights violations. Significant development gains result from writing these reports.

Communities and local partners that participated in assessment activities either as subjects or actors are the primary owners and users of knowledge gained. World Vision and other partners are secondary users of these reports. Therefore, reports will need to be presented in several ways, for different audiences. They must be made available in appropriate media for communities, so that people can continue to influence change and address poverty issues in their own area.

Step 7   Reach agreement to go ahead with a design

After the assessment activities and report are complete, partners make a decision on whether to proceed with and fund a design process. If the decision is *not* to go ahead with a programme or project, then the process ends here.

However, if the decision is to move forward with a design, then the design process will proceed along different timelines for different programmes and funding sources.

| Step 8 | **Reflect on assessment findings and process** |

Reflection on assessment *findings* has already taken place by this step, in preparing to write the assessment report, particularly in interpreting what has been found.

Now, reflecting on the assessment *process* is also needed, before moving ahead. Refer to Chapter 6 – Reflection and Table 5: Summary of reflection on assessment for discussion and ideas.

Table 5. Summary of reflection on assessment

Topics for reflection during assessment	• Relationship of assessment findings to the Transformational Development framework and domains of change • Operational setting, including social, political, environmental and economic contexts • Governmental policies, their implementation, and ways these impact people's lives • Current approach to development by civil society, NGOs and government • Access to services • Overview of risks and barriers to sustainable poverty alleviation • Citizenship and existing empowerment/civil society structures: community needs, hopes and aspirations • Community capabilities and potential for change • Ethnic and cultural diversity – connectors and dividers • Community-based organisations, their current networks and roles • Other non-government organisations, their current networks and roles • Sponsorship feasibility • Emergency preparedness, disaster mitigation, and emergency response • Organisational capacity, including the implementing World Vision National Office, relevant World Vision Support Office(s), government agencies, other non-government organisations, churches and faith-based organisations • Strategic importance of a proposed programme/project • Management and sectoral capacity of the National Office • Ability of the Support Office to partner, provide resources, and access appropriate funding opportunities • Opportunities for collaboration with other agencies and analysis of their capacity • Capacity to recruit and develop adequate staffing • The process of assessment, who was involved, how it evolved
Sources of information	• Data gathered during the course of assessments, including partner and power analysis exercise • Primary and secondary data • Formal and information interactions • Assessment process plans and records
When to reflect	• Reflection events during the process itself • After the process is completed

What process to use	• Build events into assessment steps at appropriate times
	• Action learning and group meetings (see Chapter 6 – Reflection)
Reflection products	• Assessment report itself
	• Partners' journals and interview notes
	• Written prospective learning plans and learning agreements

Programme resources for assessment

The tools listed below are required for all LEAP-aligned programmes and projects. A current list of assessment resources, including resources on cross-cutting themes, can be found on the TD website, under Programming Resources for LEAP; LEAP Companion Tools.

Required Tools

- Assessment Plan and Terms of Reference Template, Guidelines, and Review Tool

- Assessment Report and Design Terms of Reference Template, Guidelines, and Review Tool

- Design Terms of Reference (contained in the Assessment Report)

3 Design

Summary of design/re-design

Purpose	The purpose of design is to: • Develop a logical and strategic plan to address poverty. • Prioritise issues and opportunities identified in assessment, and further investigate details, to develop clear objectives. • Ensure partners are clear about roles and responsibilities, so the programme or project can be effectively managed. • Clarify understanding of what will be undertaken in the short- and longer-term to effect desired change. • Identify ways to measure progress, in relation to objectives. • Consider and reflect on alternative strategies and approaches that could be taken to address issues, and compare relative pros and cons. • Provide the key document that, once agreed upon by partners, forms the basis for funding, implementation, monitoring, reporting, evaluation, reflection and transition.
Definition	Design/re-design is the process of planning appropriate programme and project strategies using assessment results, to show how issues identified can be addressed. Community needs, rights, and priorities are all taken into account in deciding whether to implement a programme or project.

Standards (required)
 	
The standards opposite come from the DME Management Policy, see Appendix 1.
 	
Compliance will be investigated as part of operations audit.
	• Design documents are completed for all new programmes and projects before implementation of activities begins, and are made available to all programme partners. For ongoing programmes and projects a redesign should be completed at the end of the current implementation phase, and not later than October 2010. National Offices ensure that design documents follow LEAP design guidelines and meet the standards outlined in the DME policy.
	• Every programme adequately describes:
	  • analysis of issues and opportunities identified;
	  • what success of the programme will look like, in terms of addressing poverty (issues and opportunities), sustainability, and facilitating positive change within communities;
	  • who will be responsible for programme success – what the roles of partners will be (government, community, CBOs, NGOs, World Vision);
	  • criteria that will be used to judge programme success;

Standards (continued)	• factors that can affect success and that are within programme management's control;
	• how success will be achieved, citing activities and resources required;
	• how success will be judged – indicators of achievement for outputs, outcomes and goals;
	• the plan for monitoring and evaluation of those indicators. (Standard 6)
	• The logic of a programme design must be supported by secondary data or, if none is available, then justification for proceeding with the programme is presented as part of the design. (Standard 7)
	• Description of the sustainability of programme outcomes and goals is to be developed as part of programme's design. Sustainability is within the scope of programme evaluation, and a transition strategy will be developed as one of the outputs from evaluation and throughout the life of a programme. (Standard 8)
	• Relevant partners negotiate and agree on any needed changes to design documents, and continue to do so over the life of a programme. (Standard 9)
	• Implementation plans and budgets are in alignment with programme and project designs and submitted to funding offices according to Partnership budgeting guidelines. Plans and budgets include costs for all assessment, design, monitoring and evaluation activities. (Standard 10)
	• Funding partners provide adequate funding for all LEAP component activities and associated staff costs throughout the life of a programme. (Standard 11)
	• Funding partners collaborating in a project commit to life-of-project funding (up to a maximum of 5 years), based on an agreed project design and budget. Funding for assessment is based on an agreed assessment plan and for the design process is based on an agreed design plan. (Standard 12)
	• The competency and capability required of staff to carry out design, monitoring and evaluation is considered during the design process and staff performance reviews. (Standard 23)
	• Design, monitoring and evaluation work adheres to relevant and appropriate principles of participatory approaches, involving programme participants whenever practical and cost effective. This includes sharing of programme documents and reports in appropriate formats. (Standard 26)
	• Partners who have made commitments to support a programme financially or with other resources participate in design, monitoring and evaluation processes. Partners provide timely feedback, using appropriate review tools, on design documents within four weeks of receiving them. (Extract from standard 28)
	For programmes considering sponsorship funding:
	• When sponsorship projects are established, adequate time is dedicated to prepare and educate communities about sponsorship before beginning recruitment of sponsored children. (Standard 13)
	• Registration of children begins only after draft design documents for the programme and the sponsorship management project have been submitted to all partners. Accountability for participation in design of the sponsorship management project is acknowledged between all partners and documented. (Standard 14)
	• Child histories are sent to Support Offices only after agreement is reached by all partners on the programme design document and sponsorship management design document. National field and funding offices agree on levels of registered children during each cycle of a programme, for the life of a programme. (Standard 15)
	• Sponsorship-funded projects meet all requirements of Child Sponsorship Programming Guidelines and Sponsorship Standards. (Standard 16)
	(See also standards 13 and 22 in the DME Management Policy)

Guidelines (advisory)	• Design is a process led by staff and communities where particular issues are addressed. World Vision's role is usually that of facilitator amongst partners. Local partners, including community members and staff, local CBOs or NGOs and local government, take a lead role in design work by:
	
	  • collecting and analysing information;
	  • working out how best to tackle major problems/issues causing poverty;
	  • strategising solutions and setting programme priorities;
	  • identifying and planning for risk management; and
	  • planning for monitoring, evaluation, learning and accountability.
	
	• Involve technical expertise as necessary.
	• Make use of appropriate frameworks and models in developing programme design: TD Frame, Sustainable Livelihoods Frame, 4 Types of Advocacy and Disaster Risk Reduction Model.
	• Promote inclusion, participation and leadership of women, disabled people, children, and others who are poor or marginalised, in the design process.
	• Programme/project design shows linkages between local and national analysis of issues (issues outlined in National Office strategy). The design should show how root causes of poverty and injustice are linked to immediate local problems and issues identified during assessment, and how these will be tackled in the programme.
	• Programme design may also show linkages to regional or global issues, if a programme is designed beyond national borders or if causes of local poverty cannot be addressed by local action alone (for instance, conflict, human rights abuses, trade, debt). Project design should show clear linkages to outcomes and goal of the parent programme.
	• During the design process, go back over assessment information and collect additional data necessary for the design. Seek technical support in design of sector-specific activities, either within the World Vision Partnership or from outside.

Products	• The main output of the design process is a programme or project design contextualised and useful primarily to local partners. These are the people accountable for project outputs, so designs must be clearly understood and useful for local management. Without local understanding and management control, outcomes of a programme or project are less sustainable. Design documents are also used to communicate programme designs to other partners. • Design is key in grant proposals for institutional and government donors and other resource acquisition proposals.

What is design?

Design is the process of planning appropriate programmes and projects using assessment results, tackling causes as well as symptoms of poverty. Design work for a new programme or project starts when an assessment concludes with an agreement to prepare a design.

The design process results in:

• better understanding of how to address issues identified and solid analysis of community needs, rights and responsibilities, and opportunities;

• description of how best to leverage opportunities, and an outline of respective roles and responsibilities of communities and local government to address problems faced, as well as World Vision and other organisations' roles in facilitating these changes;

• an outline of programme or project rationale in how it will address issues, communicating this using a logical framework;

- a comprehensive monitoring and evaluation plan describing how activities will be tracked and progress towards success measured;

- a strategy for learning and accountability.

The design document is used for programme/project management mainly by local staff and partners. It must reflect relevant social and cultural contexts, and be easily understood and used by these partners.

Re-design occurs after a programme or project concludes a management cycle with evaluation and reflection, before continuing another programme cycle. In re-design, knowledge gathered from evaluation and reflection is incorporated into a revised design document. Evaluation, in this case, is similar to assessment.

Why design?

During design, information gathering activities and consulting that began during assessment continue. These are now directed towards better understanding selected programming priorities and developing plans to address those issues and opportunities. The purpose of design is to end up with a logical plan integrating prioritised issues with opportunities identified in assessment, so the resulting programme and projects can be implemented and managed with accountability and for learning.

If agreement is reached to implement a programme or project, then the product of the design process is a document used by the community, World Vision staff, and other partners to manage implementation as the programme proceeds.

Process

Design work continues with analysis of assessment information. A programme description is developed that best suits local management of a programme or project. Words, diagrams, maps and drawings explain how the programme will address poverty in the area, looking at immediate problems, underlying issues and root causes. The design document will also describe who "owns" the programme and what roles and responsibilities community groups play, as well as how these might link to local government roles and responsibilities over time.

Ability to monitor and evaluate a programme or project depends upon being able to describe what the programme or project aims to address, and what success in combating poverty and injustice will look like. This description includes how success will be achieved, showing cause-and-effect relationships between resources, activities, outputs, outcomes and goals (or impact). This can be called a programme design or programme theory, and is an important foundation for using LEAP, as it becomes the basis for monitoring and evaluating programme success.

An effective description conveys the complexity of addressing issues of poverty through the programme, and the inter-relatedness of its projects. Assessment work should have involved literature review, to see what types of programmes already carried out in the area address

the issues emerging. If previously successful programmes cannot be found or cannot be re-produced because of context and conditions, then a new theory is developed.

We all think differently, and go about communicating in a range of styles. Some people are more comfortable using words on paper, and are better able to conceptualise ideas this way. Others prefer diagrams and drawings, a more visual approach to communicating and under-standing. Programme descriptions should be developed in ways that, first of all, help local managers of the work manage and know what is going on. But there is also a need to keep all partners informed. Given that many partners work on a programme, we need to commu-nicate theories and programme descriptions we can all interpret and understand. This is the role of a logical framework, or logframe, the second part of the design process.

A logframe outlines objectives, indicators to measure success, and a comprehensive moni-toring and evaluation plan.

The remainder of the design process is about completing design documents to communicate broad details of the programme to partners and to get agreement for implementation. These details include things like background, staffing plans, implementation plans, and budget.

Actual design methodology may vary, depending on specific contexts and tools selected for the process. All the steps listed below are relevant to every context; however order and timing might be different, depending on the situation and funding source. See the LEAP process summary maps in this document to learn which steps are relevant for different types of programmes. The maps refer to relevant tools for different programme manage-ment requirements.

Design notes in Step 4 of this section apply to different types of programmes and projects, including sponsorship-supported programmes and those seeking institutional and govern-ment grant support.

Step 1	**Describe the programme or project**

The first part of programme and project design is to describe and explain what is going to be achieved and how. (Funnell 2000) This is sometimes known as a programme theory, and it adequately describes:

- analysis of issues and opportunities identified;
- what programme success in addressing poverty, sustainability, and positive change within communities will look like;
- who will be responsible for programme success – what partners' roles will be (govern-ment, community, CBOs, NGOs, World Vision);
- criteria to be used to judge programme success;
- factors that can affect success that are within programme management's control;
- how success will be achieved using activities and resources required;

- how success will be judged – indicators of achievement for outputs, outcomes and goal; and

- the plan for monitoring and evaluating those indicators.

To help develop a description of the project or programme, use frameworks and models discussed in Chapter 1. Refer to the TD, Sustainable Livelihoods and Advocacy frameworks (see Appendix V).

i.   Identify issues and causes

Use assessment findings to identify issues and describe cause-and-effect relationships between them. This can be organised by looking at immediate problems, underlying issues responsible for the problems, and causes.

Work out how issues are linked together, so you don't begin to plan a programme purely around symptoms of poverty, but one that also addresses the issues that create these symptoms. For example, if unemployment of youth is a problem, ask why this exists. Is it due to lack of education or opportunity? If due to lack of education, then what is behind that? Access to schooling, cost of schooling, quality of education, government policy? Programmes and projects that deal only with effects of issues are not likely to bring about sustainable changes.

Involve as many partners as possible in this process. People representing target segments of the proposed programme bring relevant local knowledge. Government should be the primary duty-bearer for issues arising in an area – how is it tackling poverty with communities? Also involve technical partners. Different partner groups may do this exercise separately, if this helps determine different perspectives and variation in priorities. The exercise can be a learning event for all involved, and an opportunity for different views and interests to be presented and discussed.

Don't expect full consensus among partners on which issues are most important for tackling local poverty. The product (for example, a map of the issues, or a problem tree) should provide a simplified but robust version of reality, showing immediate problems, underlying issues, and root causes of poverty and injustice.

ii.   Partner and Power analysis

Now that issues and causes have been identified, information from assessment on partners and power can be used to work out who is in a position within communities to address these issues – and who is doing that work already. In design, further analysis of partners, their power for change, and their relationships will clarify roles they take, or need to take, for change to happen. This is an important part of the design process, because it can identify existing or potential collaborative strengths or conflicts, and show how communities can best use influence and relationships to address injustice.

Using analysis begun during assessment, go through the same steps but this time make linkages to issues and causes just prioritised:

- Identify partners at various levels (government, NGOs, CBOs, mobilised community and civil society groups, major businesses/employers in the area, community leaders, faith-based organisations) and link them to the issues and causes now identified.

- Investigate partners' roles, interests, and capacity to address these particular poverty issues.

- Identify who has the *power* to make change happen for immediate problems, underlying issues and root causes, where possible.

- Identify the extent of co-operation or conflict in relationships between partners.

- Interpret analysis findings, and define strategies to promote healthy relationships and mitigate conflict between partners. Discuss how this should be factored into design.

Power analysis will help determine what approach to advocacy is suitable within each programme and project, and at which phase in the programme's life to emphasise *empowerment* (awareness and mobilisation) or *influence* (policy monitoring and policy change). Power analysis also develops understanding of where efforts first need to be focused: should advocacy be carried out *with* those affected by the issue, *for* those affected, or *by* those affected? For each context, issue or sector, the answer may be different to actually bring about influence for sustainable development within the communities.

People will be affected differently. Distinguish between target segments or groups and the broader group of partners. Target groups are those directly affected by the issue in question, who should stand to gain from proposed programme or project solutions.

As issues are explored, discussions should include capacity analysis and identification of capacity-building needs for key partners, including people in communities as well as staff. The role of programming staff is to facilitate local communities discovering their own needs for capacity and capability. Such discussions can be development and advocacy activities, in their own right, as a mobilised community has the power to address poverty and demand their rights. Partners include government, as well as non-government and business organisations which have an interest in, or a responsibility for, addressing issues identified. During design, strategies should be developed to work with or lobby all these important partners.

Partner and power analysis can be ongoing, and updated to account for new information, as issues and objectives are studied in more detail and as a programme or projects are implemented.

iii. Analysis of objectives

While partner and power analysis is occurring, after issues and causes have been identified and prioritised, describe what success of a proposed programme will look like and what criteria will be used to judge that success.

The map of issues and causes that has been developed provides a basis for this discussion, by basically turning issues into objectives to be achieved. For example, an issue might be "children are malnourished". Underlying issues could be household food insecurity; women's roles, status and rights in the household; and poor public health systems. With the goal that "children are nourished" objectives therefore would be three-pronged: 1) food security; 2) gender equity; and 3) better public health systems.

Partner and power analysis gives better focus to priority problems, and not all original problem statements need to be translated into objectives.

Once issues have been turned into objectives, check to ensure that:

- objectives are clear and unambiguous;
- links between objectives are logical and reasonable; and
- the overall theory is clear – not necessarily simple, but understandable for all partners.

At this stage, circulate objectives for further comment and feedback from partners. Remember to consult technical experts and key partners such as community groups, government and/or relevant authorities and other non-government organisations. Refine opportunities prioritised from the assessment as objectives are discussed.

iv. Analysis of alternative strategies (or alternative theories)

Pros and cons associated with programme and project theories are developed and discussed by partners collaborating on the design. Options are further investigated, to clarify the scope of a potential programme or project before more details are added to the design.

Questions to guide further discussion:

- Should all issues be tackled, or a selected few?
- Who has responsibility for tackling the issues and for how long?
- Which partners need to be involved or lobbied on each issue?
- What is the government's role as duty-bearer for communities?
- What combination of activities is most likely to bring desired success?
- Will success be short-term or long-term? Have underlying causes been taken into account, or just immediate problems?
- What are the budget and resource implications of different strategies? What can be realistically afforded?
- Which strategies will best support equity in gender participation?
- How can negative environmental impacts be mitigated?
- What kind of approach/role should World Vision take to have a positive impact on local partners for the long term?

Develop criteria to assess (or rank) alternative interventions:

- compatibility with strategy or sector priorities;

- gains for target groups – equity, empowerment and participation, and policy influence;

- potential for sustainable change;

- financial and economic viability, total cost and recurrent cost implications;

- technical feasibility;

- social and environmental impact;

- contribution to institutional strengthening and management capacity-building.

A design theory demonstrates that options have been assessed and considered. There is always more than one way to address an issue and reach a solution. Find the better way, given programme or project context, subject to appropriate criteria. Discuss decisions adequately with partners, and describe these decisions carefully in the narrative justification of the design.

| *Step 2* | **Develop the logical framework** |

i. Develop objectives

Objectives describe what programme success will look like or, in other words, what change the programme hopes to bring about. Objectives focus the work, and help in deciding upon activities and measurements of progress.

When objectives are organised logically from bottom to top, this is referred to as a *hierarchy of objectives*. The hierarchy of objectives communicates steps that must take place to achieve a project's ultimate goal and contribute to the programme goal. Table 6. LEAP hierarchy of objectives terms shows how LEAP uses these terms. Most organisations and donors have their own particular set of terms for this kind of hierarchy of objectives. LEAP is World Vision's standard that may need to be "translated" into the various donor terms. Think of this programme and project logic as a *results chain*, or *impact chain*.[1]

Table 6. LEAP hierarchy of objectives terms

LEAP
Programme goal
Project goal
Outcomes
Outputs
Activities
Inputs

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1 *Impact chain* is used in the evaluation chapter as a basis for describing the focus of evaluations over the life of a project and programme.

ii. Complete risk analysis

As a general rule, a programme or project has less control over outcomes and goals than over activities and outputs. Programme staff must manage and, if possible, mitigate the likelihood that a factor will negatively affect programme or project success. To overcome risks, advocacy can be a successful strategy.

Factors affecting success *outside* management control remain as risks to the programme, and are described in the design. If we go ahead with the programme or project, then these are called the *assumptions*. We might be able to develop objectives to tackle some assumptions, or work at national, regional or international levels to make assumptions less of a risk to programme effectiveness. The second part of writing a logical framework is to summarise what assumptions remain, after other success factors have been managed.

Make sure this step is completed for all levels of the hierarchy of objectives. With a well-designed risk mitigation plan, an organisation can continue with programme development and implementation despite acknowledged risks – and even reduce risks by tackling these at the same time at different levels or through further advocacy work.

iii. Determine levels of sustainability for each objective

An important assumption for all programmes is sustainability of objectives. See Chapter 7 – Transition for a more detailed introduction to this topic. While summarising assumptions and risks, sustainability is treated as a special issue and is specifically described in a design, so that the whole subject of transition is introduced from the outset of a programme.

Prepare a table like the example below (Table 7), which summarises discussion on sustainability. For each objective, show the category of sustainability, describe it, and identify who is responsible to collaborate in achieving sustainability of that objective. See Table 15. Categories of sustainability for a list of categories of sustainability. This sustainability table contains important information for developing a project transition plan and programme transition strategy.

Table 7. Template for sustainability table

Objective	Category of sustainability	Description	Responsibility of…

This discussion informs the sustainability indicators to be included in M&E plans, for outcomes and goals.

If no category of sustainability can be applied to an objective, this needs to be explained in the appropriate design documents, because this has implications for transition. In some cases, for example in the first weeks of a rapid onset emergency, we might conceivably initi-

ate activities to keep people alive without much consideration of sustainability. As soon as the situation allows, however, discussion of sustainability and transition should be facilitated and put into appropriate designs.

Transition plans are part of project designs and describe when and how World Vision will complete and transition from a particular set of activities. Refer to design document notes on writing transition plans. Initially, produce a draft transition plan which, for each objective, details the category of sustainability, related issues, and possible actions to promote sustainability. In effect, this is a continuation of the risk discussion.

As part of a programme's evaluation, sustainability will be assessed, and a transition strategy confirmed, by programme partners. Towards the end of a programme, this strategy informs final project transition plans. Refer to design document notes on writing transition strategy and plans. Refer also to Chapter 7 – Transition and Chapter 5 – Evaluation to understand more about this subject.

iv. Determine information needs

Programme or project theory and logical frameworks become the basis for designing information systems. Monitoring and evaluating all indicators based on a programme or project theory is usually not feasible. Before deciding which indicators of success to include in an information system, discuss, identify and prioritise information needs.

Select criteria to decide what information is needed for management purposes, accountability and learning.

Examples of criteria considered when determining information needs:

- What information is necessary for day-to-day management decision making?
- What information needs to be evaluated periodically?
- What information needs to be monitored regularly?
- How will particular information be used, through the organisation and by different partners?
- How is the information used for accountability amongst partners and for exerting influence in communities, civil society, government?
- What data collection methods will be used (such as records, observations, self-reporting measures, questionnaires, interviews)?
- What resources are required (people, time, money) to collect data and process it into useful management information?

When data is necessary but not easy to collect, it may be appropriate to consider external assistance. Special studies may be planned in addition to or linked with routine monitoring activities. Refer to LEAP programming resources regarding tools for building M&E systems.

Determining information needs and designing an information system continues into the implementation of projects. Adjustments to how data and information is collected occur when designing actual M&E systems, at which time it may be necessary to adjust the M&E plan.

v. Describe indicators for the monitoring and evaluation plan

Indicators of achievement for outputs, outcomes and goal, and a plan for monitoring and evaluation using those indicators, are written into the logical framework after objectives have been established, and associated assumptions and risks identified.

An indicator is a quantitative measure or qualitative observation used to describe change. Indicators depict the extent to which programme or project results are being or have been achieved. In the logical framework of a programme or project, indicators are referred to as objectively verifiable indicators (OVI), meaning they can be measured with minimal bias.

Table 8. Indicators for monitoring and evaluation

Programme goal	Indicators at these levels of the design are used in evaluation.	Most evaluation shows the contribution the project or programme is making to outcomes and goals.
Project goal		
Outcomes		
Outputs	Indicators at these levels of the design are used in the monitoring system.	Monitoring allows us to attribute delivery of outputs to actual project activities.

Table 8 shows which indicators are used regularly for monitoring, and which are used on a periodic basis for evaluation. What can be seen as a direct result or deliverable of World Vision's work alone is important when reports are presented to partners or funders.

Measuring or observing outcome changes is sufficient for substantiating World Vision's role in availability of and access to resources or services, and changes in peoples' behaviours and practices. Sometimes, specific project and programme goal indicators are needed, and measuring these usually requires more resources of technical expertise, people, time and money. This needs to be considered in the design stage. Transformational Development Indicators are World Vision's standardised indicators for programme and project design. TDI must be included in the monitoring and evaluation plan, and used according to DME Management Policy and TDI guidelines.

vi. Complete the monitoring and evaluation plan

After indicators have been selected or developed, the monitoring and evaluation plan is completed by:
- describing indicator definitions, data sources, data collection methodologies, frequency of data collection, and who is responsible;

- setting up an indicator tracking table for qualitative as well as quantitative indicators;

- planning a monitoring and evaluation activity schedule;

- drafting a preliminary method for measuring indicators at baseline before any activities begin; and

- describing in the narrative:
  - details of the monitoring system,
  - draft evaluation terms of reference and design,
  - data collection methods,
  - a management information system,
  - the reporting structure, and
  - personnel required to implement monitoring and evaluation.

Design, monitoring and evaluation plans address staff capacity development and required competencies at programme level, as well as resources for design, monitoring and evaluation processes. Costs for design, monitoring and evaluation are direct programme costs and are included as part of the budget.

Step 3	Complete design documents

After Steps 1 and 2 have been completed, design documents are produced. Do not produce a donor proposal for resource acquisition without completing the programme design process first, as donor proposals should contribute to National Office strategy and programme objectives. Also note that monitoring and evaluation plans of designs remain *provisional* until a baseline is established for all indicators prior to commencement of any activities. Please refer to Chapter 4 – Monitoring regarding setting the baseline for M&E indicators.

One **design document is produced for a programme, and it changes and evolves during the life of the programme**. This document describes a programme and how all projects relate to one another to contribute to proposed programme outcomes and goal. A programme's design document does not go into implementation details of outputs and activities – these are part of project design documents. A programme's design document focuses on outcomes and goals, and changes as the programme design changes. The document is updated as quickly as possible to reflect changes and current design (for example, when a project is completed and closes or a new project is started). Cataloguing the changing versions over the life of the programme will record the history of the programme's development.

Separate **project design documents are required for each project that is part of a programme**. A project's design document describes outcomes, outputs and activities, and how these all logically link to the parent programme's outcomes and goal. *It is not necessary to reproduce all of the programme theory in each project document*. The combination

of both project and programme documents provides all the information required. A project document is always accompanied by its parent programme's document.

Refer to general LEAP resources for notes on producing appropriate documents. These notes support design requirements of the DME Management Policy and can be applied to the majority of programmes and projects. Sometimes guidelines may need to be adapted for a different context, situation or donor. What is important is that the intent of the guidelines is followed.

Step 4   **Agree on implementation**

Partners agree on whether to implement the projects and programme after design documents are completed. Moving ahead with implementation involves getting agreement on a number of points:

- theories and approaches of the parent programme and its projects;
- realistic implementation plans;
- plans for participation of all partners during the life of a programme or a project;
- proposed budgets and where funding will be sought.

Relevant notes on this agreement:

1. **Development programmes**

    For development programmes seeking sponsorship funding, a decision to move forward with a Support Office is "an agreement in principle" to life-of-programme funding. The design stage of the programme is funded from the partnering Support Office, retrospectively if needed. See below for additional notes on sponsorship-funded projects.

2. **Rapid Onset Emergency programmes**

    The time frame in rapid onset emergencies for moving from assessment to draft design to implementation of life-saving activities is all within the first week of onset of the disaster. Assessment is obviously rapid, as is the decision to move ahead. This presents challenges in identifying all partners and ensuring collaboration in assessment and design. Completion of more comprehensive assessment and design work continues throughout the first four weeks of a disaster response. See the LEAP Rapid Onset Emergencies Toolkit for details on these programmes.

3. **Project timelines**

    Assessment and design timelines for projects also varies, depending on the sector and funding source. Ideally, assessment is completed before design work begins, and proposal development for funding acquisition happens as design work nears completion. However, this is not always practical. The fundamental ground rule is that the decision to acquire funding from external donors and adapt assessment and design

processes, as necessary, should not compromise the programme's intended direction, nor affect quality.

Sponsorship-funded projects

Sponsorship funds are used for projects in a range of sectors related to the well-being of children. Child selection is informed by programme design, and occurs only after identifying priority sectors and areas for a programme. The main reason for this is so that children are registered in target communities of sponsorship-supported projects and will benefit from those projects. Please refer to Appendix II – Sponsorship management project for more information regarding sponsorship start-up. Also refer to the Child Sponsorship Programming Guidelines and LEAP Guidelines for Start-up of New ADPs.

Institutional and government donors

Some institutional and government donors request a concept paper outlining the overall proposed project during the initial dialogue with major partners. This can also occur at other times during assessment and design, depending upon the depth of detail required by the donor or the urgency necessitated by a disaster response.

By submitting a concept paper, World Vision can clarify the level of donor interest before investing resources in design and proposal development. If a concept paper is developed before design is completed, then it should be agreed with the donor that the concept paper is provisional until the design process can be completed with all partners in agreement.

Step 5	**Reflect on the design process**

Reflection on the design ends with this step. However, reflecting on the design *process* should take place before moving ahead. Refer to Chapter 6 – Reflection for ideas. Table 9. Summary of reflection on design provides examples of appropriate topics.

Table 9. Summary of reflection on design

Topics for reflection during design/re-design	• Completeness of partner and power analysis – roles and responsibilities in relation to design • Proposed programme and project logic • Objectives, risks, and alternative strategies analysis • Approach to sustainability – especially linked to building good governance and empowerment • Completeness of monitoring and evaluation planning process at this stage • Design of indicators • Alignment of designs with Partnership, regional and national strategies • The process of design, who was involved, how it evolved • Extent to which partners maintained programming integrity in the face of donor constraints

Sources of information	• Annual reports / reviews • Assessment report, including partner and power analysis • Evaluation reports • Design process notes • Other organisations' reports and research
When to reflect	• Before and during the design process
What process to use	• Action learning and group meetings (see the Chapter 6 – Reflection) • Staff journaling • Review with the design team • Discussion and collaboration with partners and local organisations
Reflection products	• Design documents • Journals • Written prospective learning plans and learning agreements

Programme resources for design

Tools listed below are required for all LEAP-aligned programmes and projects. A current list of design resources can be found on the TD website, under Programming Resources for LEAP; LEAP Companion Tools.

Required Tools

• Programme Design Document Template, Guidelines, and Review Tool

4 Monitoring

Summary of monitoring

Purpose	The purpose of monitoring is to:
	• Provide information to partners on progress towards planned results for accountability and lobbying
	• Provide understanding regarding changes in context that require changes in design
	• Assist implementation by identifying successes and challenges, thereby informing decisions about necessary project changes
	• Encourage and celebrate partners' achievements in tackling poverty and injustice
	• Provide information that informs evaluation and learning
Definition	Monitoring refers to routine collection of information to establish that inputs, activities and outputs have occurred. Monitoring supports basic management and accountability, and tracks actual performance in a situation against plans or expectations in the original design. *Monitoring involves recommending appropriate project management responses, to guide implementation.*
Standards (required) **The standards opposite come from the DME Management Policy, see Appendix 1.** **Compliance will be investigated as part of operations audit**	• Relevant partners negotiate and agree on any needed changes to design documents. (Extract from standard 9 in the DME Management Policy)
	• Implementation plans and budgets are in alignment with programme and project designs and submitted to Support Offices according to Partnership budgeting guidelines. Plans and budgets include costs for all assessment, design, monitoring and evaluation activities. (Standard 10)
	• Data and information is always explained in relation to local context. (Extract from standard 18)
	• Partners who have made commitments to support a programme financially or with other resources participate in design, monitoring and evaluation processes. Partners provide timely feedback, using appropriate review tools, on management reports within four weeks of receiving them. (Extract from standard 28)
	• Monitoring indicators describe and measure efficiency and consistency of delivering activities and outputs. (Standard 29)
	• Baseline values for all indicators in programme and project design documents must be established within the first year of implementation for long-term programmes, and within the first three months for programmes less than 18 months in duration. Monitoring and evaluation design is finalised after the indicator baseline has been completed. (Standard 30)

Standards (continued)	• Programmes use standards and formats for programme reporting described in LEAP. If the donor requires standards and formats that differ from LEAP, the World Vision office that signed the contract with the donor prepares reports and communications as per donor requirements. Implementing offices that accept grants must accept from the outset to provide any additional information stipulated in the contract. (Standard 31) • Projects provide management reports to programme and National Office management on a regular basis (as determined for adequate country management purposes). These reports include monitoring of key project indicators and project implementation according to the plan. (Standard 32) • Programmes post core financial reports on the Financial Reports Database quarterly, and provide management reports to funding offices on their projects every six months, or as legally required either by the donor or national legislation (as verified by WVI Legal). These reports describe achievement of objectives against targets set in the design document, and information on expenses against budget, following guidelines of the Partnership Global Centre. Semi-annual and annual management reports are submitted within one month after the close of the half-year or year. Given that some offices don't close their financial books until two weeks after the end of the financial year, this means that annual budget reports should be submitted within six weeks of the end of the financial year. (Standard 33) • Implementation of recommendations in monitoring and evaluation reports is documented. (Standard 40) (See also standards 19-23, 26 and 27 in the DME Management Policy)
Guidelines (advisory)	• Monitoring is a participatory process conducted by local project partners. • The monitoring and evaluation plan, written as part of a project's design, identifies all indicators to be monitored, usually those at the output level of a project. Sometimes it is possible to also monitor outcome level indicators, and this is encouraged, because this will reduce the time and money needed for evaluations. The monitoring plan also includes a description of what information will be generated from monitoring data, how information will flow through the organisation, and how management decisions will be taken. • Disaggregate data to understand relevant cross-cutting themes. • Balance resources required to collect and analyse monitoring data against having information at hand for decision making. • Identify partners' needs for information through discussion with them, and share only relevant information for decision making. Information from monitoring may be used to influence or encourage partners (including government) to continue to address poverty issues. • Ensure information is available for subsequent evaluations of projects.
Products	• Reports and, where possible, real-time and online reporting through the programming information management system.

What is monitoring?

Monitoring is the routine collection of information that tracks and assesses project inputs and delivery of activities and outputs. In other words, monitoring documents *implementation* of a project. It supports local management decision making and accountability.

Monitoring begins during design and continues throughout the life of a project.

Categories of information gathered through project monitoring include:

1. indicators showing completed achievement of outputs as specified in project logical frameworks;

2. information regarding accountability: local partners' and World Vision's adherence to standards – both internal standards and applicable international and legal standards;

3. information required for project and programme administration, including operations, human resources, finance management, and supply-chain management;

4. when possible, indicators regarding outcomes for a project; and

5. for programmes with sponsorship, information for sponsored children as described in the sponsorship management project.

Monitoring judges **efficiency** of performing *activities* and **consistency** of delivering ***outputs*** by answering questions like:

- Do actual project activities correspond with those spelled out in the project design or implementation plan?

- Do project costs correspond to the budget? If not, what project components are over and under budget?

- Is there evidence of short-term or intermediate outcomes that will produce long-term impacts?

- Are specified inputs and services reaching those most affected by issues as outlined in design, and on time?

- Are inputs of the desired quality?

- Are inputs being used well by partners to meet desired outputs?

Monitoring promotes accountability by providing and sharing information necessary to inform decision making:

- The first activity at the start of any programme or project is to establish baselines of all indicators in the monitoring and evaluation plan.

- Data collection methods are built into project activities, so that monitoring occurs on a regular basis as project staff go about their work.

- Data should not be included in a monitoring system if it cannot be collected by project staff but requires some special study, or if it is not going to be used for local project management decision making.

Monitoring? What's the point? We've done our planning and we've got our design.
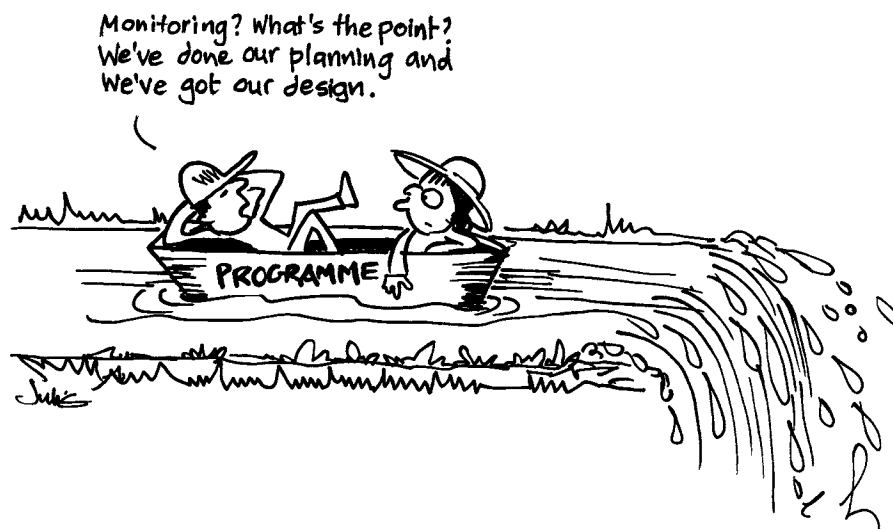
PROGRAMME

Why monitor?

Monitoring project implementation is important to programme management for:

1. describing the project and how well it matches what was intended;

2. demonstrating project accountability to all partners, regarding achievement of international standards for a sector and effective project management;

3. helping to maintain and improve a project's resource base (fundraising); and

4. promoting participatory processes, the results of which can be used to encourage local partners (especially government) to work with the project to further address poverty issues.

Regular monitoring and reporting establishes transparency and trust – necessary for collaboration. When monitoring is community-based and carried out by local project staff and partners, both the process and its results can increase community participation, ownership and accountability.

Much learning that occurs because of monitoring is immediate and field-based, applicable to those closest to a project. Monitoring also supports "big picture" learning through close links with evaluation. Good monitoring is fundamental to effective evaluation. Without information compiled through regular monitoring prior to an evaluation, measuring outcome and goal indicators will likely prove difficult and expensive. Monitoring allows all partners to *attribute* achieved results to actual project activities and outputs. Evaluation shows *contribution* at higher levels of the logical framework.

Monitoring therefore promotes learning by contributing information critical to evaluation, reflection and re-design.

Process

Step 1   **Assess the potential value of monitoring information**

Assessing the potential value of monitoring information began in the design process, when determining information needs. But only when partners start work on the project can details of the monitoring system be completed.

Judge whether it is worth the effort and resources to collect data on all indicators in the M&E plan. Ask whether the data will be used to inform management decisions:

*   List components that could be included in the monitoring system;

*   List types of information needed;

*   Decide what data is important for management decisions;

*   Decide how information will be collected.

Notes to consider:

- If the project is large, it may be appropriate to split up the information system – for example, finance, operations, and specific sector focus (which should also include how to influence local government).
- Most monitoring data will be collected by staff and partners actually implementing activities as they go about the work.
- Be sensitive to the workload of staff and partners.
- Higher level staff may be involved for quality control and supervision.
- Think about how data collection methods can be designed into actual project activities.

If information is required, but cannot be collected routinely, consider including this information as part of the evaluation terms of reference.

| *Step 2* | **Determine monitoring responsibilities** |

To do this:

i.   List all individuals and groups involved with project implementation.

ii. List each project activity for which a monitoring indicator was identified.

iii. Determine each individual's and group's roles with respect to collecting that information.

iv. Determine who will record the data.

v.   Create a summary of all this monitoring information.

In assigning monitoring tasks, responsibility should be given to people closest to the source of information and with the skills to collect and report data accurately. This task can take up a lot of time at the beginning of new projects, but usually only has to be set up once and is more quickly completed with practice.

| *Step 3* | **Update the monitoring and evaluation plan** |

Details of the monitoring system can be updated based on information needs, the value of that information, and responsibilities for collecting the data. Ideally, these three factors in the monitoring process are determined while project design is underway. However, often indicators are identified for inclusion in the M&E plan later in the design work, and details have to be added when implementation begins and resources are available for the work.

Now that monitoring information needs have been refined, and responsibilities outlined, the M&E plan can be updated in the project design document. Update or modify the list of monitoring indicators in the project logical framework and M&E plan, if any adjustments occurred because of Steps 1 and 2 above.

Now that more detail has been completed on project and programme indicators, they need to be measured to identify a starting point from which to judge change over time. This is called *baseline data*, and describes the situation prior to commencement of a programme or project.

Some data may already have been collected during the assessment process. If so, it is not necessary to measure all indicators again. If reliable and recent data is available, and if methods to collect the data in the future are comparable, it is not necessary to collect data for the baseline.

 When a new programme is started, or a programme evaluation plan is updated (for example new or modified indicators), baseline measurements for all the evaluation indicators should be gathered at the same time:

- Transformational Development Indicators,

- programme specific indicators, and

- project outcome indicators.

Setting the baseline for all indicators in the M&E plan is the first major activity implemented in any new programme or project after a design is agreed to, funded, and the monitoring system designed. A formal report presents all baseline data to the partners. This report becomes secondary data for subsequent evaluations and for other partners to use. Baseline results are used to establish targets for indicators and to finalise the indicator-tracking table in design documents.

For sustainability indicators, establish targets that indicate the time to transition out of a project and, ultimately, the programme. Include a narrative in the M&E plan explaining how transition is linked to achievement of planned targets for sustainability indicators. Discussion between all partners is imperative. It is equally important for local partners to understand World Vision's and donors' engagement and for donors to understand World Vision's and local partners' commitment to achieving programme goals. See Chapter 7 – Transition for more discussion on sustainability and transition.

Sometimes institutional and government donors require that the indicator tracking table in a proposal include specific targets. In this case, it is appropriate for programmers to agree on provisional indicator targets until the baseline has been completed and targets reviewed. However, this provisional status should be clearly communicated and agreed upon with the particular donor concerned.

In summary:

- A baseline is established for all indicators to complete the M&E plan. Based on Transformational Development Indicators, these programme- and project-specific indicators include disaster management and advocacy indicators.

- Baseline data for rapid onset emergencies may come from reliable secondary data to save time.

- Establishing the monitoring indicator baseline occurs at the beginning of any new project implementation. Setting the evaluation indicator baseline for a programme is done only when a new programme starts or an evaluation plan is updated with new indicators.

- This exercise should make use of qualitative and quantitative methods.

- A report is produced and circulated to all partners with the baseline findings. For a new programme, this will include first TDI measurements and measurements of other specific project and programme goal indicators.

- Project baseline reports will include first measurements of monitoring indicators and project outcome indicators.

Find more details on this in the LEAP programming guidelines. Also refer to the TDI field guide for detailed examples of quantitative and qualitative methods for measuring TDI. These methods can be adapted for measuring many other indicators.

After the baseline exercise is complete, the M&E plan can be finalised. Logical frameworks and indicator tracking tables need to be revised accordingly. Baseline information is added to the indicator tracking tables, and targets are adjusted if necessary. Project design documents can be finalised immediately after baseline indicator measurements are taken. The implementation plan drafted during the design process needs to be reviewed and adjusted if changes have been made to objectives or indicators.

A general recommendation is that baseline measurements for all outcome and goal indicators should be gathered as early as possible, but definitely within one year of beginning implementation of a new programme or when indicators are changed.

Step 5	**Finalise any outstanding agreements with partners**

Once M&E plans are completed, communicate with all partners. Review design documents if adjustments occur based on discussions while designing the monitoring system. Ensure that all partners agree on the way forward and their roles. Implementing offices should work with Support Offices to identify any contractual obligations associated with design changes.

| Step 6 | **Plan data collection, including design of monitoring forms** |

Implementation has begun once funding is received and project activities get underway. The monitoring plan is now implemented, starting with preparing for data collection. This includes:

- preparing monitoring forms;
- scheduling data collection and reporting;
- training staff and community members in monitoring;
- organising the information infrastructure (such as a paper filing system or computer database) and procedures for storing and reporting information;
- planning the flow of information to partners;
- planning appropriate management action if performance targets are not met; and
- planning for periodic checks on accuracy of information collected, especially when people have little experience in collecting information objectively.

Some ideas to consider when designing data collection forms include:

- Consider additional information that should be included on forms so data can be aggregated and analysed, related and stored.
- Decide whether to record single events or monthly events (cumulative records). What is the most appropriate use, given your context?
- Engage and facilitate local partners in designing recording systems.
- Design forms that can become part of the learning and feedback process, for example, child growth monitoring charts used in clinics can also be used to educate mothers about their children's growth and to advocate for more appropriate government roles in addressing child health issues.
- Be creative. Keep forms simple and appropriate.
- **Collect only information that is needed and will be used**.
- Test forms before putting them into use.

| Step 7 | **Collect and analyse data, then apply lessons** |

Formal data collection activities, as well as informal discussions between staff as they work towards project outputs, can be considered in analysing data. Because a project manager needs to be aware of what is happening in each part of a project at all times, the time between data collection, analysis, and application of learning should be as short as possible – so that problems are identified and acted upon quickly.

When monitoring shows that activity and output targets are not being reached, this triggers a management response. Often project documents do not plan for management reactions,

meaning that problems or crises are often managed reactively, rather than proactively. A better planning practice is to consider scenarios ahead of time and determine what management action is required if a particular scenario occurs. All problem areas should be re-examined in the next review, to assess the outcome of any response.

If data shows that targets are being met as expected, or exceeded, no management action is required. However, here is an opportunity to document lessons learnt from success, so that these lessons can be celebrated and perhaps applied elsewhere.

Step 8	**Report monitoring information to partners**

Time elapsed in collecting project monitoring data, analysing it and applying lessons needs to be as short as possible or practical. All local partners need to be kept informed of progress towards achieving output targets, as well as any action taken to improve project implementation. This reporting should be as frequent as required for quality local management of a project.

Reporting of monitoring information to external partners is scheduled as part of the monitoring system plan. National Offices ensure that projects use standards and formats for project reporting recommended in LEAP, with consideration for additional contractual requirements by external donors. Management reports must be provided to Support Offices every six months, or as specified by the donor. These management reports describe progress towards output and outcome targets, as well as a financial report on expenses against budgets. Follow reporting guidelines available in the LEAP toolkit. Semi-annual management reports are submitted within a month after the close of the half-year.

Additional reports may be required by specific contractual donor obligations. Support Offices are not permitted to demand additional reporting from National Offices, programmes or projects, with the exception of specified donor contractual obligations. It is usually the responsibility of the World Vision office that has signed the contract with a donor to re-format reports and communications as per any specific donor requirements. This can be negotiated between World Vision offices, depending on experience with the particular donor's requirements, competency, time, and satisfying local project management requirements first.

Reports encourage accountability amongst all partners, provide learning from data being collected and interpreted, and give partners leverage in addressing poverty issues in their area. If reporting is done well, it is not a burden, but adds significant value and encouragement to project partners by giving them information to mobilise influence for change.

Step 9	**Reflect on monitoring results and process**

Reflection on monitoring data is necessary to be able to write the six-month reports and interpret what has been found. Now, reflecting on the monitoring *process* will be valuable. Refer to Chapter 6 – Reflection for ideas. Table 10. Summary of reflection on monitoring provides examples of appropriate topics.

Table 10. Summary of reflection on monitoring

Topics for reflection on monitoring	• Efficiency and consistency of activities and output delivery • Management and partner roles • Monitoring the monitoring system • Delivery of technical expertise and resources • Logistics systems • Changing context, both macro and local • Relationships • Staff well-being • The process of monitoring, who was involved, how it evolved • How reports are used to further influence for change
Sources of information	• Monthly monitoring data • Primary and secondary data • Formal and informal interactions • Design documents • Implementation process • Monitoring process
When to reflect	• Regularly, when preparing reports, particularly when preparing the annual report • When an urgent management issue arises, or monitoring indicates a problem • When opportunity arises for leveraging influence to create policy change
What process to use	• Action learning and group meetings (see Chapter 6 – Reflection) • Staff journaling • Regular meetings with implementers
Reflection products	• Meeting minutes • Management and partner action • Journals • Written prospective learning plans and learning agreements

Programme resources for monitoring

The tools listed below are required for all LEAP-aligned programmes and projects.
A current list of monitoring resources can be found on the TD website, under
Programming Resources for LEAP; LEAP Companion Tools.

Required Tools

• (Semi) Annual Report Template, Guidelines, and Review Tool

5 Evaluation

Summary of evaluation

Purpose	The purpose of evaluation is to:
	• provide information on what worked, what did not work, and why;
	• determine whether underlying programme and project theories and assumptions were valid;
	• determine efficiency, consistency, effectiveness, relevance and sustainability of projects and programmes;
	• guide decision makers or programmers in reproducing programmes that succeed;
	• encourage and celebrate partners' achievements;
	• document new knowledge and important topics for further inquiry, lobbying and influence; and
	• promote accountability and learning.
Definition	*Evaluation is a time-bound exercise that attempts to systematically and objectively assess relevance, performance and success, or lack thereof, of ongoing and completed programmes and projects.*
Standards (required) The standards opposite come from the **DME Management Policy, see Appendix 1**. **Compliance will be investigated as part of operations audit.**	• Attribution of progress towards stated objectives is made only at activity and output levels of a programme, with humility and accurate acknowledgement of the community's, the government's and World Vision's roles as partners in the process. At the outcome and goal levels of a programme, contribution is the more appropriate descriptor. (Standard 21 in the DME Management Policy)
	• Partners who have made commitments to support a programme financially or with other resources participate in design, monitoring and evaluation processes. Partners provide timely feedback, *using appropriate review tools*, on evaluation reports within four weeks of receiving them. (Standard 28)
	• Project evaluations are conducted at the close of projects, or as specified by the donor, and focus on project objectives. When a programme evaluation is conducted, examination of progress towards all project objectives in the programme design should be included in the evaluation. (Standard 34)
	• Programme evaluation is conducted no later than five years after the start of a programme, and at the end of each phase or cycle of programming thereafter. (Standard 35)

Standards (continued)	• Transformational Development Indicator (TDI) measurements inform end-of-cycle programme evaluations. All area development programmes measure TDIs at the beginning of the programme's implementation and before an end-of-management-cycle programme evaluation. (Standard 36) • A TDI programme report is submitted within three months of completing the measurements. TDI reports are used only to communicate changes in quality of life of programme-area partners as defined by the indicators. These changes cannot be attributed solely to World Vision. Programme evaluation is used to determine and communicate World Vision's contribution to changes in quality of life for programme-area partners. (Standard 37) • Evaluators make findings available to programme partners. Findings are available to other partners within World Vision, so that other programmes can benefit from the information. Guidelines are established regarding sharing of evaluation findings outside World Vision. Evaluation findings are available within three months of completion of data collection, for the purpose of analysis and reaching consensus. The evaluation process is not completed until partners have reached consensus on a report. Evaluation reports are finalised within four months of completing data collection. (Standard 38) • Data collected for monitoring and evaluation, and the methods used to collect it, are documented. This documentation is kept accessible for a minimum of five years. This allows rigorous review of the trustworthiness of the data, and allows external evaluators to make good use of monitoring data in an evaluation. (Standard 39) • Implementation of recommendations in monitoring and evaluation reports is documented. (Standard 40) (See also standards 11, 12, 17-19 and 20 in the DME Management Policy)
Guidelines (advisory)	• *Evaluation is participatory, appropriately involving all partners. Respect key partners by using their knowledge and experience. The facilitator shares power in decision making with partners throughout the work.* A team approach can greatly enhance the value and effectiveness of evaluations. • Generate knowledge through collective planning, and enhance partners' capacity to plan and conduct useful evaluation in the future. • *Evaluation is always about learning, and involves intentional reflection on poverty issues and causes.* • The scope of an evaluation is proportional to available resources. Since evaluation can potentially burden local staff, evaluation objectives must be matched to resources and value added to programme learning. • *Evaluations are designed to be useful to partners, in encouraging further work and exerting influence for change.* • *Evaluators examine their own attitudes, ideas and behaviour against evaluation principles. They invite critical feedback from evaluation team members to enhance objectivity.* • Seek competent external participation as required, depending on the scope of an evaluation. This can assist partners in seeing the programme or project in a broader context, and in providing technical support. External evaluators may include World Vision staff from other countries or programmes, or perhaps people local to the programme or project area, but external to World Vision. • Those participating in evaluations have special access to information and influence, and need to be especially mindful of LEAP's principles. Results are more likely to be accepted and applied, and to affect behaviour and attitude change, when local partners are involved. • The recommended programme cycle is five years, and an interim evaluation is completed during the fifth year of a cycle. This allows time between completing the evaluation and the end-of-programme cycle, so all partners can receive and reflect on the evaluation results. This process informs programme re-design, if necessary. • Programme context may require some flexibility regarding the preferred five-year cycle. Management's ability to assess progress towards programme objectives will be compromised if a programme is reviewed or evaluated less frequently than every five years. On the other hand, conducting evaluations more frequently raises questions about value added, cost effectiveness, and stewardship.

Guidelines (continued)	• TDI are part of every development programme's evaluation indicators. Rapid onset emergency programmes and other non-ADP development programmes can measure TI (adapted from TDI) at their discretion. Methods used to measure, analyse and report TDI are documented in the TDI field guide. These methods, while specific to TDI, are excellent examples of quantitative and qualitative methods that can be adapted to measure different indicators. Partners are referred to the TDI field guide. (World Vision Development Resources Team 2005)
	• As LEAP is implemented across World Vision projects, knowledge of when to evaluate programmes and what to evaluate is gained. Consider applying lessons from one programme to similar programmes, and pooling resources for thematic evaluations or country-wide evaluations, depending on partners' expectations.
	• For a more thorough discussion of guiding principles for evaluation, several helpful documents are noted in the references at the end of this manual.
Products	• Evaluation design and terms of reference
	• Data collection methods and tools, if applicable
	• Evaluation report
	• Presentations of evaluation findings to partners, using appropriate methods
	• Transition strategy

Like monitoring, evaluation is a means for learning and changing. The more evaluation occurs throughout an organisation as a core activity, the better that organisation understands its own functions. This, not surprisingly, increases the organisation's effectiveness and moves it closer to achieving the organisation's vision. (Sanders 2002)

LEAP focuses evaluation on learning. Evaluation – more than other tasks of programme cycle management – can raise anxiety for partners. This has a lot to do with the traditional purpose for evaluation: accountability to donors. Partners are encouraged to balance needs for accountability to donors with accountability to all partners, in a spirit of learning how to best tackle poverty in local contexts. This approach will lessen anxiety and add integrity to evaluation.

What is evaluation?

Evaluation is a time-bound exercise to systematically and objectively assess relevance, performance and success, or lack thereof, of ongoing and completed programmes and projects. Partners collect and analyse relevant data, then make recommendations and decisions about changes to the programme or project as a result of evaluation findings.

Evaluation:

- provides information on what worked, what did not work, and why;
- describes whether underlying theories and assumptions were valid;
- judges the efficiency, consistency, effectiveness, relevance and sustainability of a programme or project;
- guides decision makers or programme managers in reproducing programmes that succeed;
- encourages and celebrates programme partners' achievements; and

- assists learning and accumulating knowledge for leveraging and influence.

Judgments are made collaboratively by partners, in a process that informs decision making at various stages of a programme or project. Programme evaluation focuses on progress towards desired changes, and alignment with organisational objectives. Programme evaluations encompass the entire target population; however, the specific scope varies depending on a programme's timeline and available resources. Outcome and goal indicators are measured for the first time when setting the baseline (discussed in Step 4 of the monitoring process). These are measured again at intervals, as part of planned evaluation.

Information used in evaluations comes from:

- measurement of Transformational Development Indicators,
- measurement of outcome and goal indicators (including advocacy and disaster management indicators),
- monitoring information,
- formal and informal interactions, including meetings and interviews, and
- document review, including NGO/government reporting from the local area.

Depending on the timeline, a *project* evaluation may be separate from or integrated with its parent programme's evaluation. Scope and frequency of project evaluations are often determined by donors.

Why evaluate?

Evaluation is carried out to learn how successfully poverty issues are being addressed as outlined in design, and how to better manage programmes and projects to tackle poverty and injustice more effectively. This requires understanding of how work is being performed, results achieved, and accountability amongst all partners for those results.

Evaluation tests the logic and results of programme theory. While a theory may adequately describe what the project aimed to achieve, evaluation also investigates negative impact. Evaluation considers the possibility that at least some results may have occurred regardless of programme presence.

Assessment, setting the baseline and monitoring are familiar tasks of project and programme cycle management, already discussed in this guide. In addition to evaluation as used in LEAP, these tasks can also be seen as types of evaluation. Types and descriptions of evaluation list these tasks according to their type, and describes their scope and particular themes.

Table 11. Types and descriptions of evaluation

Type	Name	When	Description and scope
Formative	Assessment	*First done before a programme or project begins and repeated later to understand changes in programme or project context*	*Identifies:* • context characteristics and programme themes • partner capacities and vulnerabilities *Informs development of a programme or project theory and subsequent (re)design process*
	Design (Feasibility study)	*During the design process*	*Looks at:* • Conceptual feasibility – focusing on whether a proposed design makes good sense • Practical feasibility – seeks to determine whether proposed activities and other objectives are achievable
Normative	Baseline	At the beginning of implementation	Programme and project indicators, included in the design's M&E plan, are measured before starting any project implementation. This establishes a starting point from which to study change over time.
	Monitoring	During implementation	This internal and routine process of ongoing collection of project implementation information compares actual progress with project design. Monitoring documents efficiency and consistency of project activities and outputs. This information supports programme or project improvement or adjustment, process documentation, management decision making, accountability and learning. Systems are usually quite sophisticated for longer-term projects.
Summative	Interim review	During implementation	It is not feasible to evaluate every project and programme, because of resource constraints. In such cases a review, which is less formal and structured than an interim evaluation, can look at: • progress towards targets or whether targets need to be revised; • appropriateness of programme and project goals; • efficiency and effectiveness of project strategies for facilitating progress towards specific project goals (Are activities appropriate? Should they be revised? Are they cost-effective?); • major challenges affecting a programme or project, focusing on assumptions in design and current risk analysis; and • potential consequences for relevant WV policies.
	Interim evaluation	For projects: in the middle of a project of 3-5 years' duration. For programmes: towards the end of a management cycle or implementation phase	When resources are available, a more structured and formal interim evaluation is appropriate. It covers all points in the interim review above and also: • measures the extent to which outcomes and goals have been achieved – the success of the programme or project; • determines intended and unintended, positive and negative consequences; • determines any alternative projects or programmes contributing to the same outcomes; • investigates viability of project transition plans and indicators of sustainability. This exercise uses more rigorous techniques than review to inform decision making about the future of the programme or project (transition, growth, resource acquisition).

Type	Name	When	Description and scope
Summative (continued)	End of programme or project	At the close of the programme or project	This evaluation investigates the entire impact chain of efficiency, consistency, effectiveness and impact, using and building on all evaluations prior to this point, to look at: • project design – Were projects properly designed to meet targeted needs? • project implementation – How effective was the monitoring system? How did variations from project design affect potential for desired results? How did policies and procedures affect project implementation? • project results – To what extent were project objectives achieved, and why? What other things, positive and negative, happened (in the communities and World Vision) as a result of the project? • programme goal – Was the programme efficient and effective in achieving its intended goal? How have people's lives changed, or been transformed? How have capacities been developed and vulnerabilities reduced? How have social structures been affected, especially in relation to rights and justice issues? • attribution – Can results be explained by some alternative process? • other aspects specific to project design and management.
	Post-programme	Some time after transition of a programme has been completed	This type of evaluation should be done when analysis of evaluation feasibility shows it will yield information justifying the evaluation cost. If there is value, and resources are available, this type of evaluation is useful to: • judge whether progress is still being made by local partners, comparing sustainability indicators measured after World Vision's direct involvement has ended; • determine longer-term effects which can be attributed to the projects.

All programme and project evaluation work should be audited internally, to determine compliance with DME standards and consistency with characteristics described in this table. The Global Centre Audit and Evaluation Department will include this in operations audits or independent reviews. This department will also provide guidance to the Partnership so that regions and individual offices can do their own independent reviews.

Figure 7. Types of evaluation throughout the programme/project management cycle
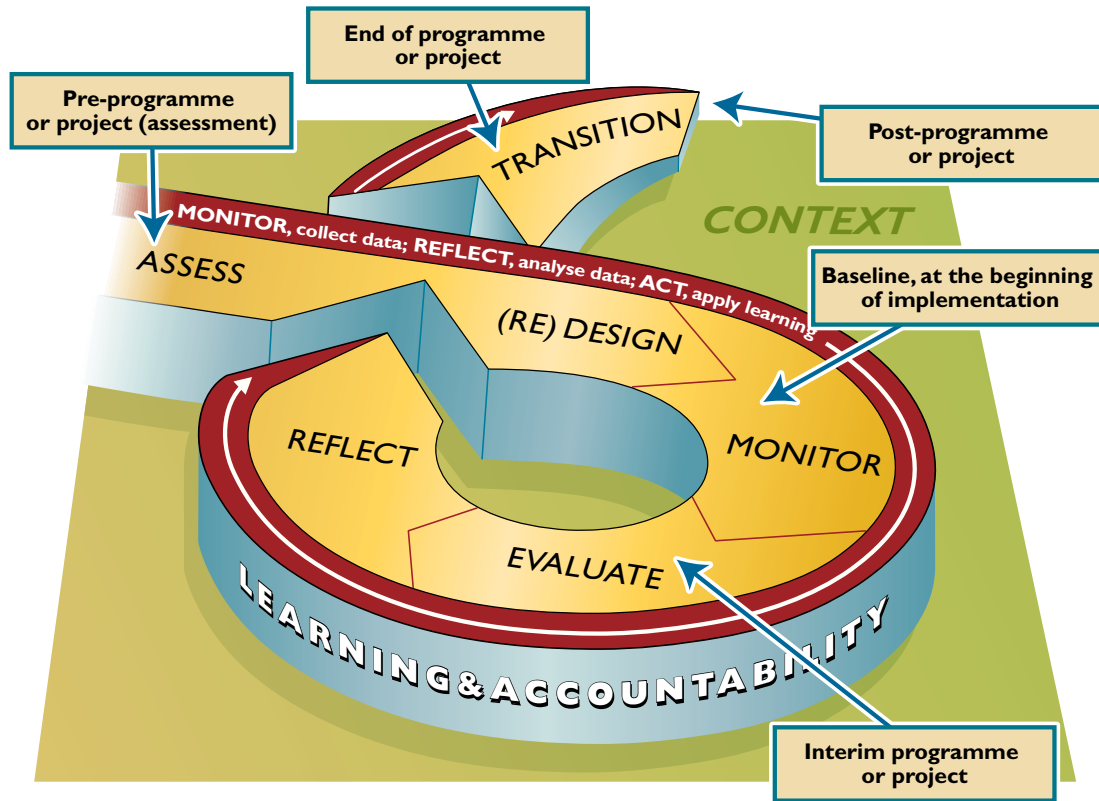
When learning is the primary evaluation objective, the evaluation process needs to be responsive to many areas of interest voiced by different partners. Information related to accountability, however, is obtained more efficiently when the primary evaluation objective is assessment of compliance with policy, procedures and other requirements. (Cracknell 2000; Cookingham 2000) summarises this perspective.

Table 12. Characteristics of learning and compliance as objectives for evaluation

	Learning as the objective	**Compliance as the objective**
Basic aim is:	Improving future performance	Finding out about the past
Emphasis is on:	Reasons for success or failure	Degree of success or failure
Favoured by:	Aid agencies, research institutions, consultants, developing countries	Government, media, lobby or pressure groups
Selection of topics:	Programmes and projects may be selected for potential lessons	Programmes and projects may be selected according to degree of risk for non-compliance
Status of evaluation:	Evaluation is a part of programme or project management cycle	Evaluation is the end product
Status of evaluators:	Usually includes partners, including staff	Should be impartial and independent
Interaction with the evaluation data:	Data is used and valued for planning and appraising of new programmes and projects	More concerned with conclusions; typically little interaction with the data itself

Planning for project or programme evaluation is started during the design process. During design, partners discuss what they want to learn, or what "story" they want to tell, by using evaluation throughout the life of the project or programme. This is called prospective learning (see Chapter 6 – Reflection).

Rapid onset emergencies may be short-lived in comparison to development programmes, so evaluation strategy will have to be adapted. However, for programmes with long lives (10 years or longer), a comprehensive evaluation strategy can be developed that builds up a picture of impact over time.

It is useful to think of building up a complete programme evaluation over time: an evaluation "impact chain" with a series of evaluation links, which eventually describes long-term results and programme performance. By the end, a view of the entire programme can be seen.

Figure 8. Evaluation staircase

TIME

5. **Evaluation of programme outcomes, impact and sustainability**

4. **Monitoring of programme cost and efficiency**

3. **Monitoring of process and implementation**

2. **Conceptual feasibility of programme design and theory**

1. **Assessment of the context and need for the programme**
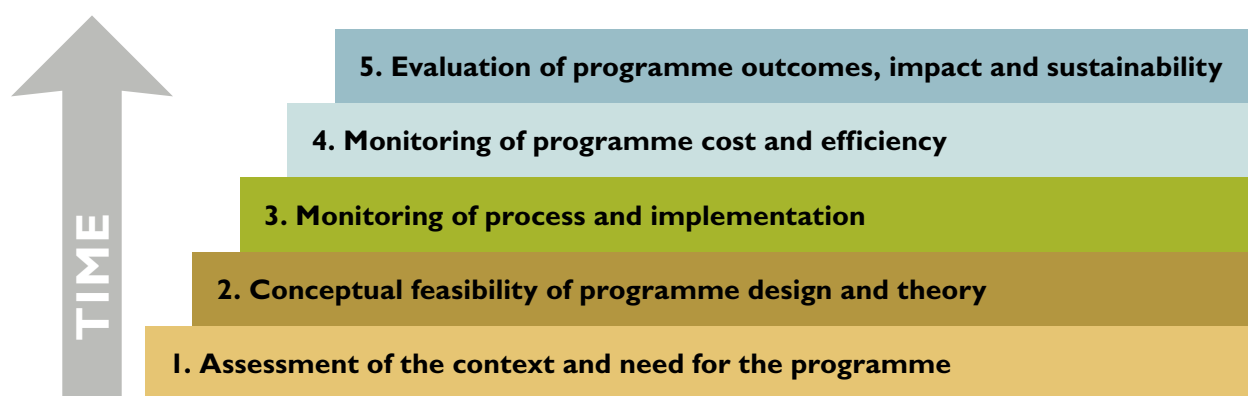
Process

It is beyond the scope of this document to include details involved in planning and conducting evaluation. What follows is a description of major steps for implementing evaluation. Context-specific details have to be added through careful planning. LEAP programming resources contain methods and tools for different types of evaluations.

Some evaluation work has already taken place during the design process. Data to be collected and analysed have already been described in the monitoring and evaluation plan. Some conceptual ideas regarding how evaluations should be planned and implemented will have been previously suggested. Review this.

If outcome and goal indicators were not described adequately in the design document, or a baseline not established at the beginning of implementation, then it is very difficult to carry out meaningful evaluation. Likewise, if project monitoring has not been carried out, evaluation becomes more challenging, because information needs to be reconstructed from historical records.

Step 1 Draft an evaluation terms of reference and get partner agreement

The evaluation terms of reference is a brief document (three to five pages) outlining the purpose and objectives for the evaluation, including a general work plan. This inquiry exercise is completed collaboratively with major partners. It is not possible to satisfactorily answer all questions partners might raise for an evaluation, so the size of the inquiry must be limited.

The terms of reference are also useful as a historical record if the same people are not involved in planning consecutive evaluations or even in planning and implementing the same evaluation. Whatever details are not described during the design process need to be described before commencing the actual evaluation. (Cookingham 2002)

Agreement is obtained from key partners on the proposed scope for evaluation before continuing with designing and implementing the actual exercise.

Step 2 Review context

Before an evaluation is undertaken, review the country and local programming context. This is essential. If any significant changes in context have occurred since the original assessment, these are studied and documented as part of evaluation preparation, and factored into the evaluation design. This need not be a lengthy process, and information may be available if other evaluations or assessments have recently taken place nearby.

Reviewing context may be done while terms of reference are being drafted, if that is useful. Alternatively, it may be more efficient to build this into data collection exercises of the evaluation itself. Context review is, however, usually done *before* evaluation starts, because changes in context may require adjustments to evaluation terms of reference. Determine which is more efficient for the context and the local partners.

Step 3 Design the evaluation

There are five tasks to complete when designing an evaluation:

1. Research and review relevant documentation.

2. Understand the way the programme has been tackling poverty and injustice – identify the programme framework to guide data analysis.

3. Compile information needs.

4. Plan ways to collect and analyse desired data and information.

5. Agree on the final design.

The evaluation design is a detailed orderly plan for collecting, analysing and reporting information. The design describes what data and information will be collected, primary methods to be used, schedule of activities, and primary resource documents. The design is prepared after partners reach agreement on the terms of reference (see Step 1 above).

Information relating to these issues can either be written up as a separate evaluation design document or can be combined into the terms of reference. If the terms of reference were mostly completed at the design stage, then the recommendation is to write a separate evaluation design document. An evaluation team leader organises the process and prepares the documents, based on personal research and input given by a core team, advisors and a variety of partners.

See LEAP programming resources for details on evaluation methods. Also refer to the bibliography of this document for some references on evaluation.

Step 4 — Implement the evaluation

When the evaluation terms of reference and design have been finalised, and agreement has been reached with major partners, the actual evaluation can be implemented:

- Recruit the evaluation team and assign tasks.
- Plan and organise logistics (including vehicles, accommodation, events, meetings, office support).
- Collect data and information (quantitative and qualitative, primary and secondary).
- Analyse data and information.
- Interpret, assess and judge the value of the results.
- Agree on the format and prepare a draft report of findings.
- Present findings to partners, and validate analysis and decisions.
- Incorporate feedback from partners into evaluation findings.
- Prepare the final report and present this to partners.

Step 5 — Use the results

A lot of work has been done to get to this point. The value of this work is reduced if the evaluation results are not used to learn about the programme or project that has been studied and to make improvements.

Once an evaluation is completed:

- Seek agreement from all major partners on recommendations to be made regarding future design, implementation and transition of the programme or project.
- Following discussions with partners, make any needed changes to evaluation documents. The evaluation's final results should then be circulated to all partners in appropriate ways. These documents can also be used for building advocacy activities into the programme – to influence and hold government to account for local service provision or to raise awareness of how communities can tackle injustice with evaluation findings.

- Review the evaluation process for lessons learnt. Document any recommendations on improvements for the next time.

- Make sure all evaluation documents are stored in an information system that guarantees their availability to other programmes, managers, offices and organisations. At the least, the following documents must be available:

  - evaluation terms of reference,

  - evaluation design,

  - primary data collection instruments, if applicable, and

  - evaluation report (Volume 8 of the TDI field guide includes guidelines that may be applicable to producing an evaluation report as well as a TDI report.)

Step 6	**Reflect on evaluation findings and process**

Reflection on evaluation data and findings is usually completed by this step, because writing the evaluation report requires being able to interpret what has been found. Reflecting with available partners on the evaluation *process* should prove useful at this point.

LEAP highlights the need to complete the management cycle with proactive and purposefully planned exercises of reflection after an evaluation. More information about proactive reflection can be found in Chapter 6 – Reflection. Table 13 provides examples of appropriate reflection topics.

Table 13. Summary of reflection on evaluation

Topics for reflection on evaluation	• Relationship of evaluation findings to the Transformational Development framework and domains of change • Operational setting, including social, political, environmental and economic contexts • Change resulting from advocacy and the promotion of justice • Governmental policies and their implementation, and how these impact people's lives • Citizenship and existing empowerment/civil society structures • Community needs, hopes and aspirations • Community capabilities and potential for change • Overview of risks and barriers to sustainable poverty alleviation • Ethnic and cultural diversity – connectors and dividers • Community-based organisations and other NGOs, their current networks and roles • Emergency preparedness, disaster mitigation, and emergency response • Organisational capacity, including the implementing World Vision National Office, relevant World Vision Support Office(s), government agencies, other NGOs, churches and faith-based organisations • Strategic importance of a proposed programme/project • Management capacity of the National Office • Willingness of the Support Office to partner and provide resources • Opportunities for collaboration with other agencies and analysis of their capacity • Capacity to recruit and develop adequate staffing • Sustainability of programme/project results • Evaluation process, who was involved, how it evolved
Sources of information	• Evaluation reports, both previous and current • Secondary data used for triangulation • Design documents
When to reflect	• Before evaluation • After evaluation
What process to use	• Action learning, group meetings • Staff journaling • H-Learn has developed a number of tools for conducting learning reviews, including formal learning events after emergencies, that can be adapted and applied in other settings
Reflection products	• Evaluation reports, particularly recommendation sections • Journals • Written prospective learning plans and learning agreements • Plan for distribution of evaluation findings and influencing for further change

TDI and evaluation

Between 1997 and 2002, World Vision established an indicator framework called the Transformational Development Indicators (TDI). The idea was to establish a set of programme indicators designed to measure quality of life in communities. Indicators are aligned with the domains of change in the Transformational Development Frame. In the future, TDI is expected to continue evolving into Transformational Indicators (TI), with applicability to all our work, including advocacy and disaster response.

The indicators are a combination of outcome and goal measures. Some, for example immunisation coverage and access to potable water, are outcome indicators. Indicators on caring for others and emergence of hope are programme goal measures, seeking to gauge longer-term effects of development. From the perspective of LEAP and evaluation systems, TDI are regarded as programme indicators.

Inclusion of Transformational Development Indicators (TDI) as a part of programme evaluation has been the subject of operational research in many programmes and offices since the introduction of both TDI and LEAP. At this stage, there are no clear guidelines as to how to integrate TDI into evaluation, but it is now generally agreed that TDI measurements inform programme evaluation, so they should be measured before programme evaluation occurs at the end of a management cycle.

Programme resources for evaluation

The tools below are required for all LEAP-aligned programmes and projects. A current list of evaluation resources can be found on the TD website, under Programming Resources for LEAP; LEAP Companion Tools.

Required Tools

- Evaluation terms of reference template and guidelines
- Evaluation report template, guidelines and review tool

6 Reflection

Summary of reflection

Purpose	The purpose of reflection is to:
	• ensure that lessons gained throughout the project/programme are translated into positive changes in the way we work;
	• grow and develop understanding and knowledge so that we can re-design projects and programmes to tackle poverty and injustice more effectively;
	• look not only at outcomes and final products, but also at processes and steps along the way, and struggles we overcome – by highlighting process, learning becomes the central focus for all partners;
	• help us and our partners step back and understand the need to work together to address poverty;
	• systematise how the organisation and individuals learn together through researching, considering, acting on, documenting and communicating implications for programmes, projects, partners and strategy;
	• encourage continuing professional development.
Definition	Reflection is planning and putting time aside to bring partners together to:
	• analyse project and programme information,
	• make informed decisions and recommendations about necessary changes in current projects and programmes which lead to transformation of the programme, individuals and the organisation.
Standards (required) **The standards opposite come from the DME Management Policy, see Appendix 1.**	• Programmes appropriately and contextually reflect the relevant policy and international standard requirements of the integrated global ministry. Analysis as to the balance between relevant aspects of Transformational Development, Humanitarian and Emergency Affairs, and Advocacy should be apparent in all programmes. (Standard 2 in the DME Management Policy)
	• Programming staff (including non-WV evaluators) conduct systematic, data-based inquiries to support judgements about whether a programme will have the desired impact in meeting needs and rights of communities through outcomes and activities being developed. (Standard 17)
	• Competent programming staff possess knowledge, abilities, skills and experience appropriate to complete design, monitoring and evaluation tasks assigned. This means that National Offices and partners need to carefully examine the issue of competence when assigning staff and in determining the number and range of sectoral interventions in a particular programme or project. (Standard 22)
	(See also standards 1, 9, 11, 12, 23, 25, 39 and 40 in the DME Management Policy)

Guidelines (advisory)	• Involve all partners to plan in advance what you want to learn.
	• Find and identify lessons that apply at individual, community, government and organisational levels. People are at the heart of each level, so individual behaviours and attitudes are important factors affecting success of programmes and projects.
	• Use 'why' and 'how' questions: Why did this work/not work in addressing poverty? How can we use what we know to develop an approach to address poverty now?
	• Document all lessons and specific recommendations that require action, for the sake of accountability and institutional memory. Understanding how we learn, and how we are accountable for managing knowledge for the sake of personal and organisational development, is critical to success at all levels. Study records of previous learning events, to review what has been learned over the lifetime of a programme or project. This will contribute to lessons becoming practice and habit.
	• Include reflection activities in project plans, so that approaches to learning evolve to become prospective and partners can anticipate and plan what they want to learn.
Products	• Documented lessons, leading to programme and project (re)design recommendations

What is reflection?

Reflection is planning and putting time aside to bring partners together to analyse project and programme information. Reflection ensures decisions and recommendations about changes in current projects and programmes are informed by careful thought and discussion.

Reflection can benefit each component of the programme and project management cycle, and is not simply a component of LEAP that happens after evaluation. Take another look at the conceptual diagram, and notice that "REFLECT" runs around the outside of the entire cycle.

Figure 9. Reflection in the management cycle
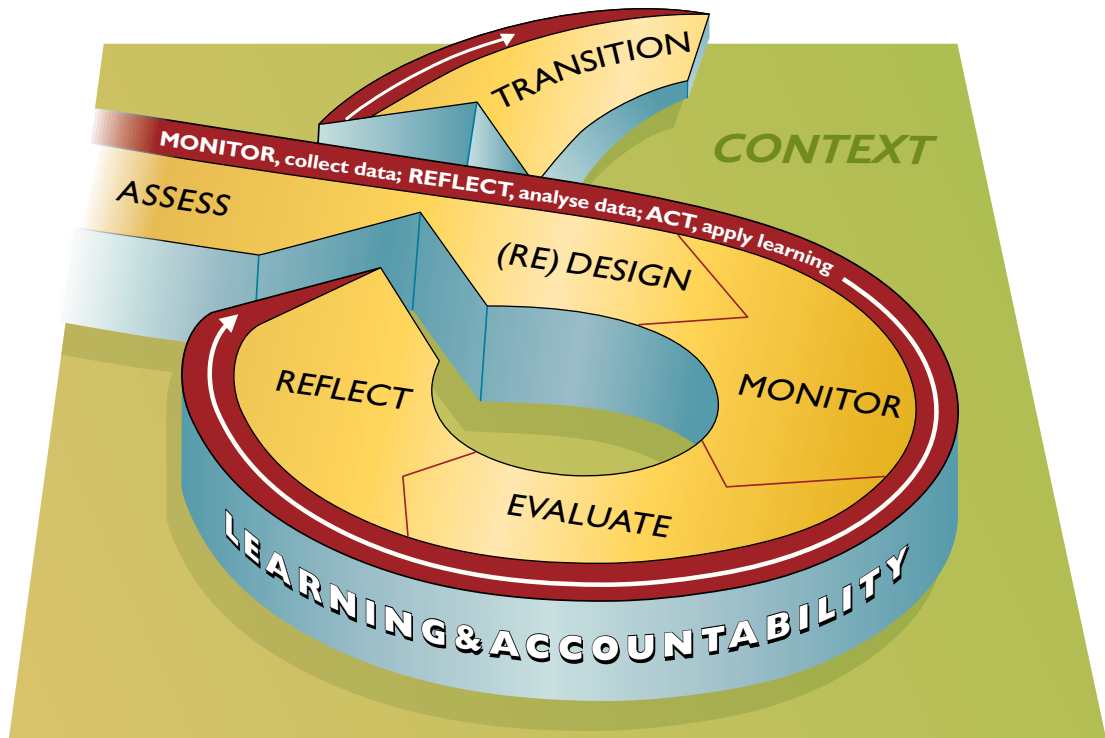
Reflection can be valuable:

- prior to assessment, on data and lessons learnt previously by others in the environment being assessed;

- during and after assessment, on data being collected and knowledge accumulating;

- during design, as review of assessment data is undertaken, and questions arise about how best to tackle poverty or injustice through objectives developed;

- while monitoring data and everyday processes, to give partners feedback through products such as semi-annual reports;

- before writing an annual report, to consider changes in context, vulnerabilities and opportunities;

- after an evaluation, on information collected, on recommendations for change that might be made, and on the actual evaluation process itself;

- regarding our capacity and integrity as partners in facilitating development with people who are trusting and entering into relationship with us.

Why reflect?

Our increasingly complex world requires organisations to continuously learn, as discussed earlier in this document. A learning organisation uses inquiry to stimulate and support "the ongoing process of asking questions, the collection and analysis of data, and using what is

learned from an inquiry to act on important organisational issues". (Botcheva, White and Huffman 2002)

Figure 10. The H-Learn concept of learning
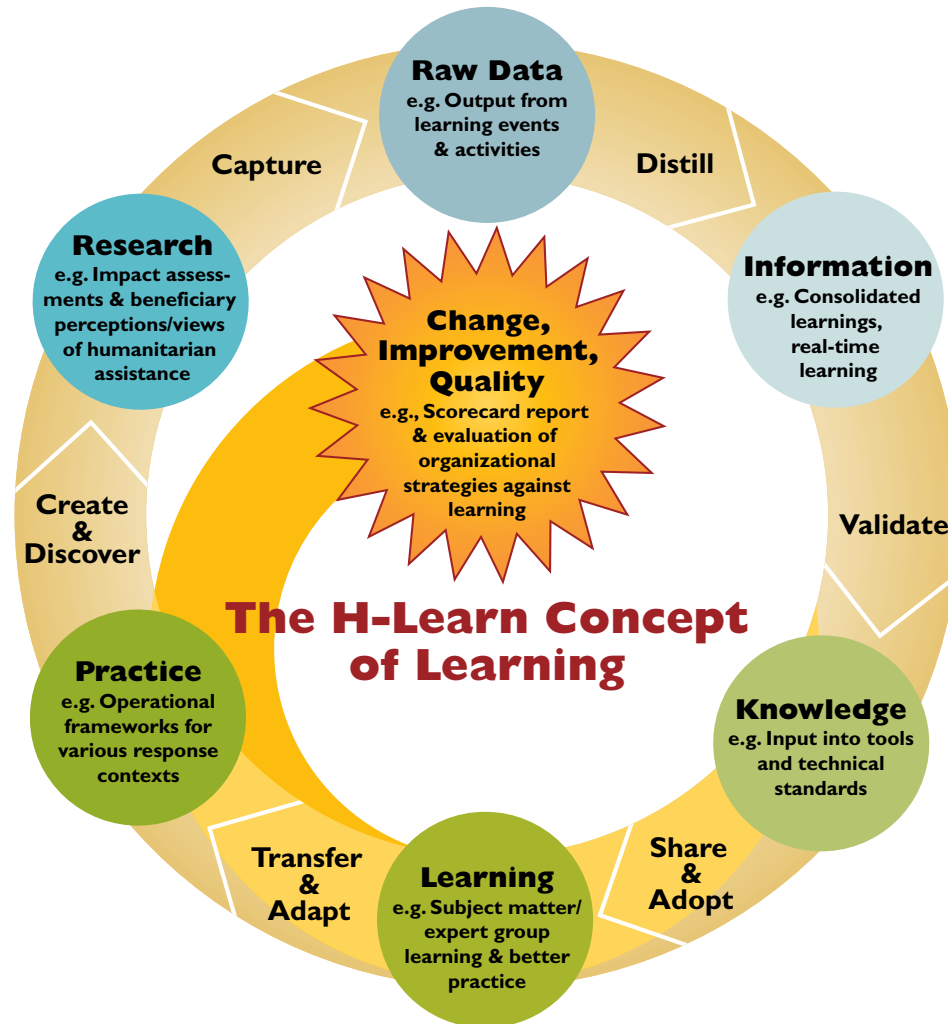
We learn in action and then reflect on that action. *Action learning* has been described as a continuous process of learning and reflection, supported by colleagues, with the intention of getting things done. (McGill and Beaty 1995) This process brings people together to find solutions to problems and, in doing so, develops both the individuals and the organisation. (Inglis 1994) Action learning takes changes in an external environment and converts these into necessary internal organisational changes that move the organisation towards greater effectiveness. (Mumford 1991) Figure 10: The H-Learn Concept of Learning provides an example of this from the Humanitarian Learning, Evaluation, Analysis and Research Network (H-Learn).

True action learning:

- centres around the need to find a solution to a problem, while acknowledging that individual development is as important as finding a solution to the problem;

- is voluntary and learner-driven;
- is a highly visible, social process that may lead to organisational change;
- takes time.

Action learning involves three steps:

i. observation of issues and fact-gathering on an ongoing basis;

ii. reflection and hypothesis-forming, before and after people come together to work on an issue;

iii. action, which may be immediate or after completion of all activities being undertaken by partners. (Mumford 1997)

These steps align with LEAP processes.

People learn differently. (Honey and Mumford 1989) Consider Table 14 and decide which approach best describes your learning experiences.

Table 14. Approaches to learning

Type of learning	Description	Typical quotes from users
Intuitive approach	Learning from experience, but not through a conscious process, the person using the intuitive approach claims that learning "just happens." He or she is able to talk in detail about a variety of different experiences, describing what happened and what was achieved. Learning or development aspects are rarely referred to, if ever. The intuitive learner sees managing and good business practices as going along with lifelong learning. Intuitive learners may find it difficult or unnecessary to say what they have learned or how. They are content that learning occurs as if through some natural process of osmosis. Since intuitive learners view learning as a natural, effortless process, they find it difficult to accept that advantages can be gained from making the process more explicit, deliberate and conscious, for themselves or for others.	• "I'm sure I'm learning all the time, but I can't be more specific." • "I just do it, but I can't tell you how." • "I do that already without calling it learning." • "I suspect you are doing it all the time without realising you're doing so."
Incidental approach	Learning by chance from activities that jolt an individual into reviewing what happened can be described as incidental. When incidental learners are hit between the eyes, they are inclined to mull over what happened in an informal, unstructured way. Incidental learners tend to use hindsight as a way to rationalise, even justify, what happened. As a result, they may write something down for the record, not as learning points, but more as insurance, in case they need to subsequently explain themselves.	• "I learn from the unfamiliar parts of my job, not from the bits I am already familiar with and have already mastered." • "If you know how to do something, you aren't going to learn from it." • "It's the originality of the experience that provokes more reflection." • "You only learn from your mistakes."

Type of learning	Description	Typical quotes from users

Retrospective approach	Retrospective learning from experience means looking back over what happened and reaching conclusions. Like the incidental approach, this is especially provoked by mishaps and mistakes. In addition, however, retrospective learners are more inclined to draw lessons from routine events and successes. They extract learning from a diverse range of small and large, positive and negative, experiences.
	
	Retrospective learners conduct reviews, sometimes in their heads, sometimes in conversation and sometimes on paper. An individual, by reviewing, acquires knowledge, skills and insights, or has them confirmed and reinforced. This sequence has three stages:
	
	  i. something happens;
	  ii. it is reviewed;
	  iii.conclusions are reached.
	
	Skills-based courses often provide opportunities for conscious retrospective learning – although these opportunities are not always used properly.
		• "It helps to hold things up to the light."
		• "Reviewing is essential to put things into perspective."
		• "You never really understand something until you write it down."

Prospective approach	Utilising all the retrospective elements, but adding another dimension, prospective learners plan to learn before an experience takes place, whereas retrospection concentrates on reviewing what happened after an experience. To prospective learners, future events are not merely things to be done, important in their own right, but also opportunities to learn. Individuals using this approach are constantly tuned in to possibilities of learning from a whole variety of experiences. The process of thinking about learning in advance makes it likely that they will extract learning from any situation. This fourth approach creates expectant learners, who are always on the lookout for something to learn. This is the most sustainable and successful approach to learning.	• "I learn because I go there expecting to do so." • "Sorting out what you want to get in advance increases your chances of getting something worthwhile."

Putting all this together, action learning or research provides an excellent method for moving an organisation ahead in its quest for effectiveness. Action learning is situational and contextualised, like programmes and projects, and ownership resides with partners involved.

In summary, reflection is a primary component of LEAP to:

- encourage putting aside time and space for learning, as integral activities in projects and programmes;

- systematise organisational and individual learning through research, reflecting, acting, documenting, and communicating;

- make informed decisions and plan necessary changes in current projects and programmes, and be able to apply learning to future work;

- identify lessons that may be relevant to other projects and programmes;

- encourage continuing professional development as a goal for all partners and staff.

Process

There are five elements of action learning:

1. Issue(s) to study
2. Learning groups
3. Ownership of issue(s) being studied
4. Facilitation
5. Process

The most appropriate time to intentionally initiate action learning is at the start of programme or project assessment. Each LEAP component has a reflection step, until transition is complete, so that partners are continually reviewing and reflecting on achievements, operational process and progress towards targets.

World Vision's strategic frameworks define our models for addressing poverty, and these are considered as part of any reflection exercise that occurs throughout programme and project cycle management. Have a look at the main aspects of this Partnership strategy in Chapter 8: Beyond LEAP. Use the four guideposts and our strategic objectives as lenses through which to examine changes taking place in communities, and within the organisation, individuals and staff.

See the last step in each LEAP component's process for brief discussion and summary of some ideas about when to reflect, what to reflect on, and possible products.

Step 1	**Identify partners who want to reflect together**

Identify a small group of programme or project partners (perhaps up to six people) willing to become part of a small and stable study group.

It is ideal to form such groups before problems occur, as much as possible. However, don't be deterred from setting up new groups to work on issues identified at different times. Prospective learning is not always possible, so retrospective approaches are applied as appropriate.

Step 2	**Identify study topics or issues**

Meet as a group to identify issues for reflection and learning. A few guidelines:

*   Key programme/project partners agree on the issues chosen for study.
*   Topics and issues are relevant to ALL participants of the group, and to programme or project realities.
*   Issues concerning macro and local context are first identified prospectively during programme assessment and design. These often relate to discoveries about particular

issues assessed. Other contextual issues may emerge as important during the life of a programme or project (for example, changes in governance structures or biophysical environment) and should be considered in light of their impact on programme outcomes.

- Operational issues become important after programme implementation is underway. Refer back to Table 9: Summary of reflection on design for ideas about issues to study and reflect upon.

- Tackle real issues, and keep in mind that right answers are less productive than possibilities for exploration.

- Participants can work on the same issues or on different issues within the group.

Step 3   Identify the owner of a study topic or issue

Ensure that partners most concerned about, or affected by, any issue being studied are engaged. They may be part of the study group already. Communities and local government are likely to be significant partners owning issues being studied, so invite them to be actively involved in the study group.

Step 4   Identify a group facilitator

This person is most important at the beginning of the process, as an advisor to the group, and to:

- explain this process of action learning to the group;

- help the group build interpersonal skills and a supportive, collaborative learning process;

- build and maintain relationships with owners of issues being studied; and

- ask questions and suggest appropriate references.

Step 5   Learn and apply lessons

Learning is the essence of reflection. Factor in resources of time, people and money, and think about how people learn. Identify skills required, from critical thinking skills which inform data collection and analysis, to operational and communication skills which are important when it comes to taking action based on lessons learned. Identify who has particular skills.

1.   Observation of issues

Gather reliable data and information regularly about issues being studied. One primary source of data for study is monitoring. Identify appropriate secondary data sources as well, including previous evaluation reports and reports from other organisations.

2. **Reflection and hypothesis-forming**

   After data on particular issues are gathered, examine what the data indicates is happening and why it is a problem. How are these issues related to others? What are their causes? How are these issues affecting work undertaken to address poverty? Then form ideas as to how certain issues can be dealt with, now or in the future. Perhaps action needs to be taken. On the other hand, it may not be obvious what the data is showing. Form a hypothesis and do some further study. Eventually, this further study should lead to some decision about a course of action, even if it shows that the current situation is acceptable for the time being.

3. **Action**

   Action may be required in the design of a programme or project, in its implementation, in monitoring processes, or perhaps in the way an evaluation is conducted. These actions complete the link back to other components of the programme or project management cycle. Action leads to learning, leading back to action.

<table>
<tr><td>*Step 6*</td><td>**Document lessons**</td></tr>
</table>

Document all lessons throughout the life of a programme or project. These documents should form a part of reviews carried out in evaluation, leading to re-design of a programme or design of new projects. Equally important, individuals should document their own lessons and personal development. This can be done in lots of ways. For example:

- keeping a journal describing personal experiences, events and lessons,
- taking minutes of staff meetings,
- recording proceedings of lessons-learned workshops,
- participating in learning review events.

Refer to programming resources for tools and ideas on how to document action learning. Feel free to innovate methods appropriate to the context and culture of individuals participating in learning exercises and events.

Programme resources for reflection

Reflection resources will be added to the TD website as they become available, under Programming Resources for LEAP; LEAP Companion Tools.

7Transition

Summary of transition

Purpose	The purpose of transition is to prepare for and manage project and programme design and implementation so that outcomes and goals are sustained beyond World Vision's support.
Definition	Transition refers to World Vision business practices related to ending (or changing) its support to communities. World Vision aims to assist communities in a way that empowers them to sustain programme outcomes after World Vision's assistance has ended. At the project level, transition can refer to the end of a project, or change from one project to another, while the parent programme continues.
Standards (required)	• Description of the sustainability of programme outcomes and goals is to be developed as part of a programme's design. Sustainability is within the scope of programme evaluation, and a transition strategy will be developed as one of the outputs from evaluation and throughout the life of a programme. (Standard No. 8 in the DME Management Policy) (See also standards 6, 9, 10 and 17 in the DME Management Policy)
Guidelines (advisory)	• *Ensure that discussions on sustainability and transition are recorded during assessment and design processes.* • *The terms of reference of evaluations must include objectives regarding study of sustainability issues identified for the local context during assessment, design and monitoring.* If programme design changes because of evaluation, review the sustainability issues to guide development of a transition strategy. • *Explicitly discuss and communicate a programme's transition strategy with all partners during programme design and onwards as it develops.* This will ensure all partners are prepared when World Vision begins to leave an area or to change its role.
Products	• Transition plan, as part of a project design document • Transition strategy, developed during the design, updated through the life of the programme, and reviewed/confirmed after the first programme evaluation.

What is transition?

Transition, in the context of LEAP, includes all World Vision business processes related to closing out a project or programme. Other terms with similar meaning and used more commonly in the past include phase-out, exit or withdrawal.

Transition is directly related to sustainability. Here sustainability means programme partners are able to maintain and improve upon outcomes and goals achieved with external support after that support has ended. Sustainability is assumed for all outcomes and goals, regardless of sector, unless otherwise stated. These concepts are discussed further in the following section and in several programme resources on transition. (Sahyoun 2007)

At the project level, transition can refer to the end of a project, or change from one project to another, while the parent programme continues. Ultimately, transition refers to the end of a programme and World Vision's involvement in that context.

Programme transition strategy evolves over the life of the programme, first developed during the design process and summarised in transition plans for various projects. Plans for final transition of all projects document the when and how World Vision's role as a partner will end, agreed upon in writing by all partners.

Why transition?

Transition and sustainability are not the same, yet are related. Likewise, factors affecting success also affect sustainability. Sustainability is assumed as a success criterion for most programmes, so any discussion of transition includes a basic understanding of sustainability, because it impacts programming decisions.

Local partners commit to responsibility for sustaining objectives of a completed a project and programme after World Vision leaves. Transition helps local partners plan to acquire needed resources, and to build willingness and commitment to invest those resources towards sustaining long-term change. Local willingness depends on a variety of issues including ownership, worldview and self-image. (Sahyoun 2007)

Designing and developing a transition strategy throughout the life of a programme facilitates decisions that local partners have to make early on – decisions that ideally contribute to sustaining long-term achievements of a programme (including aspects that World Vision is not a direct partner to). Transition strategy considers local partners' issues and responsibilities and adjusts designs to increase likelihood of sustainability.

So planning for transition is part of programme design. If factors will affect sustainability, and therefore success, then these factors are identified as risks to a programme as early as possible or during (re)design processes.

In transition planning:

- Partners should agree early on regarding expectations affecting resource management, particularly financial and material resources. As the end of a project or programme approaches, local and donor partners plan how responsibility for resource acquisition and management will be achieved.

- World Vision, as a facilitating partner, proactively plans for transition to ensure that our own organisational growth and survival is managed effectively. Issues to be considered when coming to the end of a programme include:

  - roles of local communities, NGOs, businesses and, perhaps most importantly, local government, going forward in addressing poverty issues within the area;

  - maintaining relationships with donors through appropriate evaluation and reporting of achievements;

  - managing and valuing people, particularly in planning for staff transition, attrition, capacity-building and professional development as staff move between assignments;

  - transferring of specified programme assets and material resources: contractual guidelines from bilateral donors usually govern the transferring of assets to local partners);

  - management of all shared organisational services – such as the supply chain, logistics, information services, sponsorship systems – all of which are affected by fluctuations in the number and complexity of programmes.

These issues, and others, should be managed so that World Vision is proactive and less reactive, minimising negative impact to the organisation and to communities we partner with.

Links between programme success and sustainability of outcomes imply that, in most cases, transition planning has to start with a discussion of sustainability. Programmers need to identify appropriate indicators or decision points that signal it is time to transition.

Categories of sustainability

Table 15. considers four categories of sustainability, as well as who might take responsibility for objectives within that category. These link back to programme theory and the hierarchy of objectives, used in design discussions for partners to begin thinking about transition from the beginning. These different categories of sustainability are not mutually exclusive. Use the descriptions to facilitate discussions as to what categories of sustainability apply to different objectives, and therefore what should be emphasised in a design and transition plan or strategy.

Categories of sustainability help partners consider the depth of change desired and can apply to any programming issues considered during assessment and design. Partners discuss what success will look like, and what factors will affect that success, using these different categories in Table 15. Setting success criteria provokes discussions about sustainability, which in turn

may result in adjustments to objectives planned. In this way, assessment and design discussions involving objectives, risks and sustainability become iterative or circular.

How to deal with risks to success and sustainability becomes the basis of a programme's transition strategy.

As an illustration, consider access to clean water. The first column in Table 16 shows examples of objectives which might be part of a water project. The second column relates these objectives to different categories of sustainability (as listed in Table 15.) and raises questions which might relate to those objectives. The third column then gives examples of objectives which would be developed and added to the design to deal with risk to success. Each of these new objectives would need to be assessed and resourced. And so the discussion continues iteratively.

Indicators of programme achievement relate to sustainability for each level of a programme's hierarchy of objectives. Discussing sustainability while the monitoring and evaluation plan is being designed ensures that appropriate indicators of achievement are included. A programme's design must include indicators that certain levels of sustainability are being reached before a programme can be concluded as a success and transition accomplished.

As indicators are evaluated over time, and progress towards sustainability can be plotted, then transition strategy can evolve. Finally a plan can be written to reduce World Vision's role, while local partners (usually community and local government) assume full responsibility for programme achievements and addressing poverty in their local area.

Table 15. Categories of sustainability

Category of sustainability	Description	Responsibility of…	Examples
Service delivery /management (output-focused)	A resource (financial, natural, physical or human) and/or service is delivered and managed by organisations or institutions (not World Vision) that are built to sustain benefits for local partners.	• general community • organisations (such as CBOs) • institutions • government	1. health clinic built by communities/CBO and local government is managed with access to facilities unchanged after assistance ends 2. water resource management committee
Personal action/ behaviour change (short-/medium-term outcome-focused)	Sustained or permanently adopted change occurs in behaviour or attitude, social or cultural practice.	• individuals • general community	1. adoption of improved farming techniques or health practices 2. end of cultural practices harmful to children, such as early marriage, female genital mutilation 3. people work together to lobby local government for health service provision and equal access to education

Category of sustainability	Description	Responsibility of...	Examples
Policy change and implementation (longer-term or goal-focused)	Programme achievements have an effect beyond the target group, promoting policy change and implementation within systems and structures.	• government • businesses • communities	1. adjusted education policy integrating girls and disabled children into schools 2. changes to land rights that improve equity in land access, use or acquisition 3. improved access to health care and funding for health services 4. communities respond effectively, in co-ordination with local justice mechanisms, to monitor and defend rights, to ensure funding is committed as promised, or to help victims use the legal system to obtain justice
Empowerment, citizenship and innovation (goal-focused)	Local partners demonstrate increased potential for innovation of appropriate and adaptable solutions to changes in their context, building their capacities and resources (financial, natural, physical or human).	• individuals • general community • organisations (such as CBOs) • institutions • government	1. local partners increase capacity to mobilise and influence government and those with power to acquire resources and respond to their own needs and rights 2. government and institutions enlarge capacity to respond to needs and rights of people in the locality

Table 16. Sample discussion of sustainability regarding access to potable water

Objective	Category of sustainability and issues to be addressed	Possible action to ensure sustainability
Construct deep wells and install hand pumps (output-focused)	Service delivery and management: • Will people use the clean water? • How will wells and pumps be maintained? • From where will parts be procured, and how will they be paid for? • Who will be responsible?	1. Set up a local management committee / water board. 2. Establish a funding source . 3. Investigate a maintenance contract.
People use clean water from the new wells (outcome-focused)	Personal action and behaviour change: • Why might people not use the clean water? • Can people access the water supply?	1. Conduct health education on maintaining and using clean water. 2. Assess infrastructure, roads, paths, and ability to maintain clean water from source to end use.

Objective	Category of sustainability and issues to be addressed	Possible action to ensure sustainability
Policy change and empowerment in water supply and access (longer-term outcome-focused)	Policy change to ensure government takes responsibility for maintaining water supply and access to it: • What are current infrastructure requirements? Can these all be met adequately? • Is there adequate competence within the government to administer the water supply? • Does the community know the roles and responsibilities of their local government? • Do community members have a voice in influencing change concerning water supply and access?	1. Work with government to acquire donor resources to manage infrastructure projects 2. Build capacity amongst government counterparts in administration and management of water supply. 3. Build awareness within the local community of the role government should play as duty-bearer. 4. Build understanding of how best to mobilise within the community, to monitor and hold government to account.

Process

Step 1 Include sustainability discussions during assessment steps 4 & 5

Assessment involves collection of information on partners and on all issues related to the context. At this early stage, think about sustainability issues related to different contextual dimensions (social, biophysical, policy), the vulnerability setting (trends, shocks, seasonality) and, especially, systems and structures (including government as primary duty-bearer, commercial enterprise, community groups, NGOs and faith-based organisations).

Document discussion on sustainability issues as part of the assessment report, for reference during design.

Step 2 Summarise sustainability issues during design steps 1 & 2

During the partner and power analysis in Step 1 of design, a preliminary look at transition will emerge in reviewing roles partners already working in the community take, and how change is best affected in this context. What role does the government take in addressing poverty issues? How empowered are communities already in tackling injustice? Questions like these will help to work out what kind of role World Vision should play in facilitating or supporting partners from the outset.

 As logical framework objectives and risk assessment are being summarised in Step 2 of design, facilitate a discussion on sustainability, so that the whole subject of transition is introduced from the outset of a programme.

Prepare a table summarising discussion on sustainability. For each objective, show the category of sustainability, describe it, and identify who is responsible to collaborate in achieving sustainability of the objective (see Table 15. Categories of sustainability.) Set up a table like

the example below. This summary of sustainability is important for developing a project transition plan and programme transition strategy.

Table 17. Template for sustainability table

Objective	Category of sustainability	Description	Responsibility of...

This discussion informs indicator planning for the M&E plan. Sustainability indicators are included in M&E plans, at least for outcomes and goals.

Transition plans are part of project designs, and describe when and how World Vision and partners will complete a particular set of activities. Refer to design document notes on writing transition plans in the LEAP Companion Tools. Initially, produce a draft transition plan which, for each objective, details the category of sustainability, related issues, and possible actions to promote sustainability. In effect, this is a continuation of the risk discussion.

If no category of sustainability can be applied to an objective, this needs to be explained in the appropriate design documents, because this has implications for transition. In some cases, for example in the first weeks of a rapid onset emergency, we might conceivably initiate activities to keep people alive without much consideration of sustainability. As soon as the situation allows, however, discussion of sustainability and transition should be facilitated and put into appropriate designs.

Step 3 **Finalise transition plans – see monitoring step 4**

Indicators have baselines measured at the beginning of implementation, to establish achievement targets. For sustainability indicators identified as part of the programme theory and logical framework, establish achievement targets that signal the time to transition for a project and, ultimately, the programme. Include a narrative in the M&E plan that explains how transition is linked with achievement of planned targets for the sustainability indicators.

Discussion between all partners is imperative. It is equally important for local partners to understand World Vision's and donors' engagement and for donors to understand World Vision's and local partners' commitment to achieving programme goals.

Step 4 **Confirm and agree on transition strategy following evaluation**

When a programme has been running for a few years, transition strategy can be informed by progressive achievement. Before a programme's first evaluation, transition strategy is just a collection of ideas, notes and discussions from assessment, design and monitoring. By the end of a programme's management cycle, evaluation of sustainability objectives is conducted, beginning with the first evaluation of a programme.

Transition plan indicators and targets are evaluated and recommendations made regarding programme design, to either enhance achievement of objectives or indeed to begin transition out of particular projects if targets are being appropriately met.

Transition strategy is reviewed and confirmed during the first programme evaluation, then updated with each programme evaluation, throughout the life of the programme.

Step 5 **Reflect on transition strategy and the process of transition**

After transition occurs, reflection on the process benefits future programmes. Refer to Chapter 6 – Reflection for ideas. Table 18: Summary of reflection on transition provides examples of appropriate topics.

Table 18. Summary of reflection on transition

Topics for reflection on transition	• Sustainability issues raised in assessment • Sustainability issues raised in design
Sources of information	• Assessment report • Design document • Annual and six-month management reports • Evaluation reports
When to reflect	• During assessment • During design • During report writing • During evaluation
What process to use	• Action learning and group meetings (see Chapter 6 – Reflection) • Staff journaling • Discussion and collaboration with partners and local organisations
Reflection products	• Transition plans • Transition strategy • Journals

Programme resources for transition

A current list of transition resources can be found on the TD website, under Programming Resources for LEAP; LEAP Companion Tools, including:

Transition Learning Initiative End of Study Report: Synthesis of Learning

8 Beyond LEAP

LEAP – World Vision's approach to programme-level design, monitoring and evaluation – is a work in progress. As innovations develop, future editions of LEAP will continue to draw on experience, to adjust and add linkages with World Vision Partnership strategy and global operations.

Strategic Guidance

Developing a Partnership strategy is an ongoing dialog to best co-ordinate shared efforts and shared resources globally to achieve World Vision's mission. The Partnership strategy provides guidance to World Vision across the breadth and diversity of operating contexts and fundraising markets.

World Vision has created a strategy map to ensure that programming choices (where to work, with whom, doing what and how) are consistent and coherent. This map allows us to focus and increase our effectiveness as an organisation.

Considering context and capability, each office will seek to align its own strategy with the Partnership strategy, to achieve our shared goals. In turn, insights from regional and national strategy will further build and define Partnership strategy.

Partnership strategy provides:

    a. vision and mission

    b. integrated focus: Christian, community-based, and child-focused

    c. Model of Ministry including ministry objectives – this gives us a framework for conversations about our contribution to development for each context in which we work

    d. strategic mandates, objectives, initiatives – How do we work?

    e. global portfolio management based on:

      i.   operating contexts

      ii. weighted criteria for setting priorities and allocating international resources

      iii. global priorities for country presence and international funding

      iv. global priorities for ministries and sectors

      v.   guidance for growing international funding to regions and countries

      vi. guidance for funding ministries and sectors

      vii. guidance for total funding mix, by sources of funds

f. model of ministry, guiding our contribution to development by context

g. organisational model, and minimums to drive scale, speed and learning

h. strategy process and tools: the tool kit that guides World Vision's seven steps to strategy development

Model of Ministry

The model of ministry tool guides World Vision's distinct contribution to development in different contexts and aligns all our strategies within the Partnership strategy. As opposed to looking at geography, the model of ministry gives an overview of countries in terms of physical need and social stability. It links our core documents, strategic mandates and choices, connecting the work we want to do with the resources we will need to do it.

No one organisation can be accountable for the entire scope of poverty alleviation, but an organisation is accountable for its specific contribution to high-level objectives as described by its strategies. Within the model of ministry, World Vision's ministry objectives clarify our desired outcomes that link to our strategic mandates. See Appendix VI: Programming frameworks for more information on how the different pieces come together and an outline of the ministry objectives.

Different strategies will evolve through LEAP which will frame the relationship between the organisation, local contexts and communities.

To help, World Vision leadership has endorsed four guideposts for strategic choices that have implications for programmers:

1.   tackle the causes of poverty,

2.   by empowerment of people,

3.   using approaches which combine disaster management, development and advocacy,

4.   where work undertaken is determined by local priorities rather than funding opportunities.

The strategic mandates capture strengths World Vision can build on and weaknesses we need to address. These mandates represent five areas the whole Partnership needs to manage in a coherent way.

World Vision Strategic Mandates:

1. Reinforce our Christian foundations, identity and witness
2. Strengthen our grassroots field capacity and ministry
3. Grow resources and influence to increase our impact with children, communities and supporters
4. Be an authoritative voice at all levels driving change
5. Build the organisation and its sustainability

LEAP: A way forward

So, how does all this strategic guidance link with programmes? Here is where LEAP comes in.

LEAP is the way World Vision links local programming with the organisation's global strategy. LEAP prompts programming staff to ask:

- How do our programmes make World Vision's four guideposts and the integrated focus a reality?

- How do programmes move the organisation towards ministry objectives?

- How are we accountable for the overall Partnership agenda, defined by our strategic mandates?

Figure 11. How the LEAP framework links to World Vision Partnership strategy
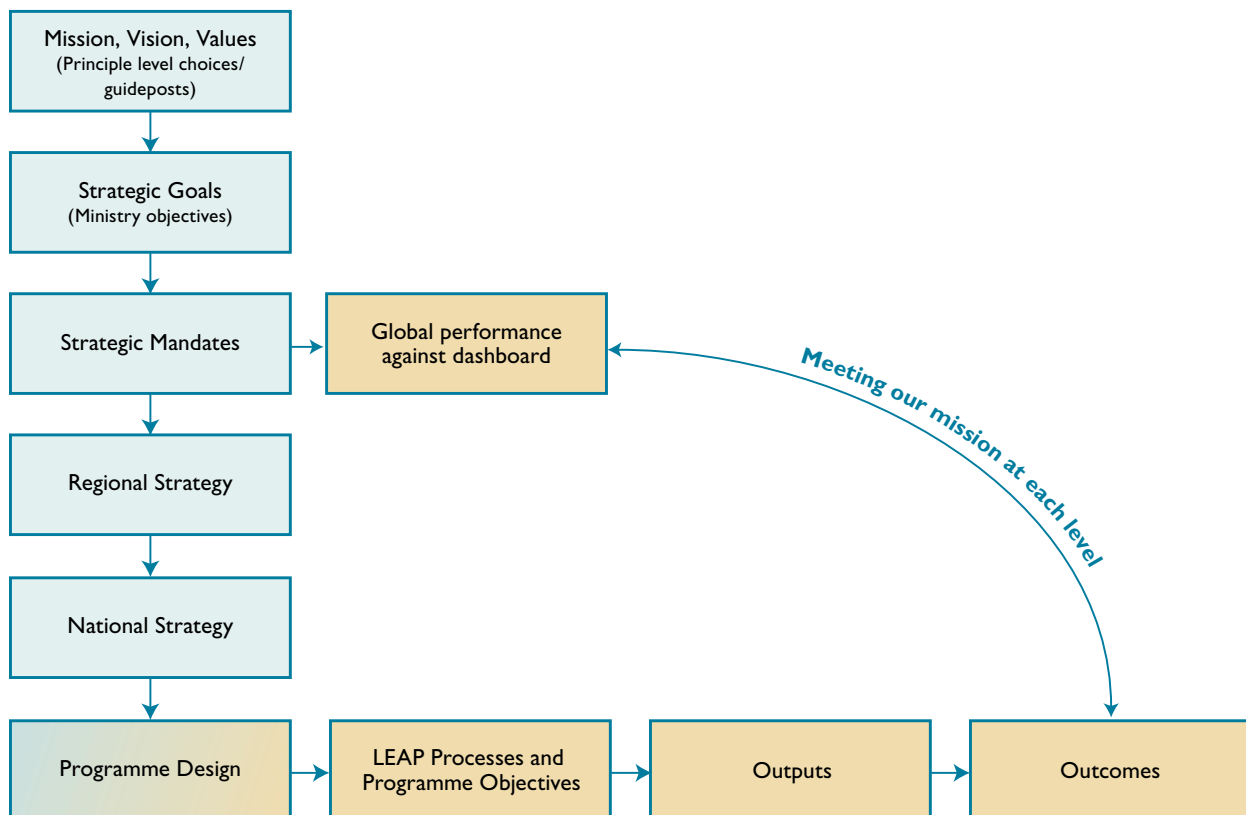
Partnership strategy defines the values, themes and issues important to all programmes. LEAP is the programming framework that aligns what we do with organisational strategy. Assessment and design work needs to match both a local context and a larger programme strategy.

When it comes to local programming, the most important connection is back to a national strategy. The model of ministry informs national strategies, then LEAP processes use those country-specific programming approaches to tailor programmes and projects towards objectives in the national strategy. Local strategies and designs are checked for alignment with national strategy, so that a programme reflects organisational strategy. Sound circular? It is.

More detail on strategic guidance and next iterations can be found on the World Vision Navigator in Lotus Notes.

A feedback system for LEAP and the programme resources will be devised in FY08 and will be communicated via the TD website and other World Vision communication channels. In the meantime, please send any feedback/input to: leap@wvi.org.

Appendix I

World Vision International Design, Monitoring and Evaluation Management Policy

Purpose

This management policy establishes LEAP (Learning through Evaluation with Accountability and Planning) as the common Partnership standard for design, monitoring and evaluation for all programmes and projects in the World Vision Partnership. Adherence to this policy enables effective programme and project management, learning, and accountability for programme and project performance, effective decision making, and consistency of communication to donors. Compliance with this policy will be investigated as part of operations audit.

Scope

The LEAP framework has six basic components, which apply to any World Vision programme or project: Assessment, Design/re-design, Monitoring, Evaluation, Reflection, and Transition. LEAP replaces all DME standards developed and used by various Regional, National and Support Offices.

For the purpose of this policy:

- **Standard** describes expected behaviour. Within the organisation, failure to act in the expected way seriously hinders the organisation in achieving its mission. Therefore, people are held accountable for meeting standards.

- **Donor** covers all bilateral, multilateral, foundation or private non-sponsorship funders.

- **Programme** explicitly refers to both programme and the projects related to a programme.

- **Programming staff** refers to partners to a programme who have responsibility to participate in design, monitoring and evaluation activities.

This policy goes beyond LEAP's principles, in that the standards are applied as stated to all World Vision programmes and projects. While recognising that all regions have responsibility for programme quality, if partners (including communities, donors, World Vision, governments, other organisations) have competing requirements, then the standards of the partner who has a legal precedent (as verified by WVI Legal) in the circumstance are applied. For example, if the contractual requirements of any donor (bilateral, multilateral, or private foundation) on one or more specific points are more stringent than these standards, then those specific legal requirements apply. The World Vision office that signs a contract with a donor is responsible for ensuring that all donor requirements are met in a satisfactory manner. Proir agreement is required from all partners, with full knowledge of any additional conditions that will apply, before such contracts are signed.

Principles for Programme Cycle Management

Design, monitoring and evaluation of all World Vision programmes and projects is founded upon principles of:

1. Systematic inquiry

2. Competence

3. Integrity and honesty

4. Participation, and

5. Respecting the interests of partners and the public

Standards for Programme Cycle Management

Strategy (including mission, vision, core values)

1. The programme is consistent with World Vision International's Covenant of Partnership, the organisation's mission, vision and core values and strategy. Programmes demonstrate integration with national strategy and linkages to regional and global strategy.

2. Programmes appropriately and contextually reflect relevant policy and international standard requirements of the integrated global ministry. Analysis as to the balance between relevant aspects of Transformational Development, Humanitarian and Emergency Affairs, and Advocacy should be apparent in all programmes.

3. Programmes reflect all other relevant policy requirements including child protection, disability, gender, sponsorship and environment.

4. Programme staff adhere to LEAP principles as they facilitate each LEAP component.

Design

5. Design documents are completed for all new programmes and projects before implementation of activities begins, and are available to all program partners. For ongoing programmes and projects a redesign should be completed at the end of the current

implementation phase, and not later than October 2010. National Offices ensure that design documents follow LEAP design guidelines and meet the standards outlined in this policy.

6. Every programme adequately describes:

   - analysis of issues and opportunities identified;

   - what success of the programme will look like, *in terms of addressing poverty (issues and opportunities), sustainability, and facilitating positive change within communities;*

   - who will be responsible for success of the programme

   - what the roles of partners will be (government, community, CBOs, NGOs, World Vision);

   - criteria that will be used to judge programme success;

   - factors that can affect success and that are within programme management's control;

   - how success will be achieved, citing activities and resources required;

   - how success will be judged: indicators of achievement for outputs, outcomes and goals;

   - the plan for monitoring and evaluation of those indicators.

7. The logic of a programme design must be supported by secondary data or, if none is available, then justification for proceeding with the programme is presented as part of the design.

8. Description of the sustainability of programme outcomes and goals is to be developed as part of a programme's design. Sustainability is within the scope of programme evaluation, and a transition strategy will be developed as one of the outputs from evaluation and throughout the life of a programme.

9. Relevant partners negotiate and agree on any needed changes to design documents, and continue to do so over the life of a programme.

10. Implementation plans and budgets are in alignment with programme and project designs and submitted to funding offices according to Partnership budgeting guidelines. Plans and budgets include costs for all assessment, design, monitoring and evaluation activities.

11. Funding partners provide adequate funding for all LEAP component activities and associated staff costs throughout the life of a programme.

12. Funding partners collaborating in a project commit to life-of-project funding (up to a maximum of 5 years), based on an agreed project design and budget. Funding for assessment is based on an agreed assessment plan and for the design process is based on an agreed design plan.

Sponsorship

13. When sponsorship projects are being established, adequate time is dedicated to prepare and educate communities about sponsorship before beginning recruitment of sponsored children.

14. Registration of children begins only after draft design documents for the programme and the sponsorship management project have been submitted to all partners.

15. Child histories are sent to Support Offices only after agreement is reached by all partners on the programme design document and sponsorship management design document. National field and funding offices agree on levels of registered children during each cycle of a programme, for the life of a programme.

16. Sponsorship-funded projects meet all requirements of Child Sponsorship Programming Guidelines and Sponsorship Standards.

Systematic inquiry

17. Programming staff (including non-WV evaluators) conduct systematic, data-based inquiries to support judgements about whether a programme will have the desired impact in meeting needs and rights of communities through outcomes and activities being developed.

18. Data and information is always explained in relation to local context. Comparisons of data are made with reliable secondary data, and with similar data collected previously in the same programme. Appropriate protocols are followed in meta-analysis of datasets from multiple programmes.

19. Quantitative data (including TDI data) is always reported with 95% confidence intervals or other appropriate measures of confidence.

20. Qualitative data (including TDI data) is always reported in conjunction with use of appropriate text, quotes, examples, scores, and visual representations.

21. Attribution of progress towards stated objectives is only made at activity and output levels of a programme, with humility and accurate acknowledgement of the community's, the government's, and World Vision's roles as partners in the process. At the outcome and goal levels of a programme, contribution is the more appropriate descriptor.

Competence

22. Competent programming staff possess knowledge, abilities, skills and experience appropriate to complete design, monitoring and evaluation tasks assigned. This means that National Offices and partners need to carefully examine the issue of competence when assigning staff and in determining the number and range of sectoral interventions in a particular programme or project.

23. The competency and capability required of staff to carry out design, monitoring and evaluation is considered during the design process and staff performance reviews.

Participation

24. Programming staff establish what work has previously been undertaken locally and by whom. What were their respective roles and responsibilities, and their relative power to make change possible in tackling poverty and injustices they face. This will allow community members to better see how World Vision might come alongside and help community partners build on strengths already apparent.

25. Programming staff (including non-WV evaluators) respect the security, dignity and self-worth of respondents, programme participants, clients, and other partners with whom they interact.

26. Design, monitoring and evaluation work adheres to relevant and appropriate principles of participatory approaches, involving programme participants whenever practical and cost effective. This includes sharing of programme documents and reports in appropriate formats.

27. Programming staff (including non-WV evaluators) respect confidentiality of personal information disclosed by respondents.

28. Partners who have made commitments to support a programme financially or with other resources participate in design, monitoring and evaluation processes. Partners provide timely feedback, *using appropriate review tools*:

    - on assessment documents within four weeks of receiving them;
    - on design documents within four weeks of receiving them;
    - on management reports within four weeks of receiving them;
    - on evaluation reports within four weeks of receiving them.

Note that review times above are maximums, and in some programmes, such as emergency response, far more rapid turnaround is required for all documents except evaluation.

Monitoring

29. Monitoring indicators describe and measure efficiency and consistency of delivering activities and outputs.

30. Baseline values for all indicators in programme and project design documents must be established within the first year of implementation for long-term programmes and within the first three months for programmes less than 18 months in duration. Monitoring and evaluation design is finalised after the indicator baseline has been completed.

31. Programmes use standards and formats for programme reporting described in LEAP. If the donor requires standards and formats that differ from LEAP, the World Vision

office that signed the contract with the donor prepares reports and communications as per donor requirements. Implementing offices that accept grants must accept from the outset to provide any additional information stipulated in the contract.

32. Projects provide management reports to programme and National Office management on a regular basis (as determined for adequate country management purposes). These reports include monitoring of key project indicators and project implementation according to the plan.

33. Programmes post core financial reports on the Financial Reports Database quarterly, and provide management reports to funding offices on their projects every six months, or as legally required either by the donor or national legislation (as verified by WVI Legal). These reports describe achievement of objectives against targets set in the design document, and information on expenses against budget, following guidelines of the Partnership Global Centre. Semi-annual and annual management reports are submitted within one month after the close of the half-year or year. Given that some offices don't close their financial books until two weeks after the end of the financial year, this means that annual budget reports should be submitted within six weeks of the end of the financial year.

Evaluations and value-added information

34. Project evaluations are conducted at the close of projects, or as specified by the donor, and focus on project objectives. When a programme evaluation is conducted, examination of progress towards all project objectives in the programme design should be included in the evaluation.

35. Programme evaluation is conducted no later than five years after the start of a programme, and at the end of each phase or cycle of programming thereafter.

36. Transformational Development Indicator (TDI) measurements inform end-of-cycle programme evaluations. All area development programmes measure TDIs at the beginning of the programme's implementation and before an end-of-management-cycle programme evaluation.

37. A TDI programme report is submitted within three months of completing the measurements. TDI reports are used only to communicate changes in quality of life of programme-area partners as defined by the indicators. These changes cannot be attributed solely to World Vision. Programme evaluation is used to determine and communicate World Vision's contribution to changes in quality of life for programme-area partners.

38. Evaluators make findings available to programme partners. Findings are available to other partners within World Vision, so that other programmes can benefit from the information. Guidelines are established regarding sharing of evaluation findings outside World Vision. Evaluation findings are available within three months of completion of data collection, for the purpose of analysis and reaching consensus. The evalu-

ation process is not completed until partners have reached consensus on a report. Evaluation reports are finalised within four months of completing data collection.

39. Data collected for monitoring and evaluation, and the methods used to collect it, are documented. Documentation is kept accessible for a minimum of five years. This allows rigorous review of the trustworthiness of the data, and allows external evaluators to make good use of monitoring data in an evaluation.

40. Implementation of recommendations in monitoring and evaluation reports is documented.

Changes in these standards

41. Proposed changes to these standards are prepared for review by the LEAP Strategy and Working Group. Proposed changes shall be sent to national entities and others as appropriate for feedback. Feedback will be reviewed by the LEAP Strategy and Working Group, and final recommendation for changes made to the Ministry Advisory Group for approval.

National entity standards

42. Each national entity will write descriptions of evidence for each of these standards, showing that the standard has been met in their context. Any standards added to this group of standards must not be in conflict with an existing standard in this group. The document stating descriptions of evidence for each of these standards, and any additional standards, will be viewed as that national entity's standards for programme monitoring and evaluation work.

43. National entities are encouraged to check compliance with their monitoring and evaluation standards on a regular basis in their own internal audits. Appropriateness of monitoring and evaluation standards adopted by a national entity, and compliance with those standards, may be tested in a World Vision internal audit.

44. The national entity shall seek to make adequate resources available to comply with these standards by including adequate resources in appropriate budget requests. The national entity shall use resources allocated to it for monitoring and evaluation wisely.

45. The national entity shall adopt a set of guidelines for applying their monitoring and evaluation standards to different types of programmes. Guidelines may include topics on terms of reference for an evaluation, topics that should be included in an evaluation plan, who should be included in an evaluation team, how often values of indicators should be reported, qualifications for an external evaluator, suggestions for building capacity of programme participants and beneficiaries to do evaluation work, procedures for verifying trustworthiness of information collected in an evaluation, procedures for following through on implementation of evaluation recommendations or implementation of adjustments indicated by monitoring results, and so forth.

46. National entities shall adopt and enforce policy to protect evaluators from negative consequences after reporting programme flaws based on sound evidence.

Integrity and honesty

47. All people involved with programme management ensure the honesty and integrity of the entire management process. They shall negotiate honestly and thoroughly with partners, regarding tasks, limitations, scope, costs, and uses of products. They shall keep partners informed of all changes in agreed-upon plans.

48. All participants must determine and disclose their own interests and those of other partners, in the conduct and outcomes of programme management. People involved with programme management do not misrepresent procedures, data or findings. They shall seek feedback on the accuracy of data and findings from partners. They correct or refute substantial misuses of design, monitoring and evaluation work by other people, respecting the interests of partners and the public.

49. Programming staff (including non-WV evaluators) articulate and take into account diversity of interests and values, considering broad assumptions, implications, and potential side effects of whatever is being evaluated.

50. Programme managers allow all relevant partners to access evaluative information. They maintain a balance in meeting different evaluation needs of partner groups, and negotiate conflicts among them. They serve the public interest by considering the society as a whole in planning and implementing an evaluation, not just partner interests.

Appendix II

Sponsorship Management Project

Because of sponsorship's importance within World Vision as a potential contributor to transformational development, and because sponsorship is a stable source of long-term funding, demonstrating and documenting sponsorship's contribution to development programme outcomes and goals is crucial. This appendix outlines the integration of sponsorship management projects (in all programmes that have sponsorship) with LEAP.

This discussion relates primarily to *child* sponsorship management projects, because these represent the majority of sponsorship management projects in World Vision. However, other types of sponsorship exist in World Vision programmes. The principles and guidelines below should also be applied to family sponsorship management projects, or any other types of sponsorship being designed and implemented.

Guiding principles for sponsorship

Three principles apply to programmes that are funded by sponsorship. These principles are derived from the organisation's policies for transformational development and child sponsorship.

1. Contribution to transformational development of the community

Sponsorship-supported programmes focus on the well-being of children by enabling families and communities to improve health, basic education, spiritual and emotional nurture, protection from abuse or violence and exploitation, and development of sustainable livelihoods. Sponsorship resources are combined with other resources to support overall transformational development of the community.

2. Well-being of registered children (fullness of life)

Sponsorship-supported programmes benefit all children, including registered children, in identifiable ways – treating children as active participants and agents of change. Registered children and their families are participants and are among the primary partners of the programme, while equity is encouraged among both sponsored and non-sponsored children and families.

3. Transformation of donors

The relationship with sponsors is supported and valued, including a goal for donor transformation. Donor transformation is defined as changes in values, giving patterns and lifestyles that are consistent with Christ's concern for the poor, and that enhance each partner's relationship with God. A sponsorship management project includes an output that focuses on the contribution the project will make towards donor transformation.

Rationale of a sponsorship management project

Sponsorship is an important and specialised resource for the organisation which carries significant risk if not managed properly. The main reason for developing a sponsorship management project is for programme staff to deliberately consider sponsorship as a process that can contribute to the empowerment and sustainability of children, their families and their community. We develop sponsorship management projects as a means of making sponsorship processes more developmental and not just an administrative requirement.

When sponsorship is established in a development programme, a sponsorship management project (SMP):

- is planned, implemented, monitored and evaluated with as much rigour as any other project within a development programme;

- provides a basis for planning and monitoring how sponsored children and their families participate in and benefit from other project activities within the programme;

- plans and monitors specific sponsorship processes and practices; and

- plans and manages the introduction, growth and transition of sponsor-child relationships.

Sponsorship resources support other projects within programmes as well, and so the resources generated by sponsorship are not exclusively used in sponsorship management. SMP design discusses how sponsored children will benefit from other project activities within the development programme, and how this will be monitored. However, child sponsorship does not propose provision of exclusive or direct benefits to sponsored children or families, except where past benefits are in the process of being phased out.

Co-operation and collaboration between partners is important to the design and implementation of sponsorship management projects to ensure sponsorship's success. Field-based

sponsorship and programming staff collaborate on design of the sponsorship management project (SMP). However, the design process is not the sole responsibility of the field. As with all programme design, the SMP is a co-creation of National and Support Offices. Please consult the DME Management Policy and the Child Sponsorship Programming Guidelines for sponsorship-specific management requirements.

Over time, sponsorship management projects will evolve as sponsorship management becomes increasingly similar, particularly within countries. Consistency of Support Office requirements will minimise workload and improve quality and performance. Study is underway to understand how this could also extend to sponsorship administration requirements, such as bouncebacks and gift notifications.

What does the sponsorship management project look like?

Developing a new sponsorship management project occurs only in new development programmes or in existing programmes currently undergoing re-design after evaluation. This is consistent with the Partnership's objective of introducing LEAP into programmes.

Design of the sponsorship management project is developed between the partners, including the Support Office involved. All partners agree on the final design of the sponsorship management project before going ahead to implement sponsorship. Please refer to the Child Sponsorship Programming Guidelines for further details.

The following objectives are addressed in a sponsorship management project:

1. Community mobilisation and education regarding sponsorship

Partnering communities receive a thorough explanation and orientation to sponsorship, so community members can make informed decisions and commitments regarding involvement in the full project management cycle.

2. Child selection

The project addresses a number of issues related to child selection, including:

- communities' involvement in the process of choosing communities and children for sponsorship, as well as roles in administration of the process;
- contextualisation of child selection criteria; and
- how the process of child registration and collecting histories will proceed.

Selection of communities and children for registration in sponsorship is informed by other projects in the programme. The aim is to recruit children from intended beneficiaries in project areas. This ensures that registered children will be among direct programme partners. One potential issue that might arise is whether enough children are available for registration from project areas. This issue needs to be raised early in the assessment phase, so partners can decide what actions need to be taken.

3. *Monitoring child presence and participation*

The project describes how the community is involved in setting up and implementing monitoring systems. Responsibly planned sponsorship activities can occur before submission of a design document to Support Offices.

4. *Customer service management*

Registration of children and collection of their histories can proceed in the field after a draft design document is submitted as long as adequate participation of partners in assessment and design has taken place. Child histories can only be sent to Support Offices after agreement is reached on design of the sponsorship management project. Accountability for participation is important and is documented in a letter of understanding regarding design of the sponsorship management project and sponsorship support to other projects.

The project may also describe other customer service management activities and outputs related to birthday bouncebacks, Christmas cards, and gift notifications.

5. *Planning and reporting the well-being of sponsored children through involvement in other sector projects.*

It is the responsibility of the SMP to monitor participation of sponsored children in any other project activities – not the responsibility of those other projects. Other projects build capability to monitor outcomes for all children into their monitoring systems. They also disaggregate monitoring data for child, gender and sponsorship status. This disaggregated data on sponsored children from all other projects is then collated by the sponsorship management project staff, and used to periodically inform sponsors of developments in the life of the registered child. This would occur most notably within the Annual Progress Report. Where exclusive benefits have been provided in the past, it is necessary to monitor an output for reducing the exclusive benefits. This reinforces the need for co-operation and collaboration between all projects benefiting from sponsorship.

6. *Sponsorship's contribution to transformational development*

The SMP is intended to demonstrate the logical effect of sponsorship activities, outputs and outcomes on communities' and sponsors' transformation. It is important to describe links with other projects in accomplishing this.

The SMP is not a dumping ground for activities and objectives which cannot logically fit into other projects. In all programmes and projects, activities must logically fit into cause-and-effect pathways leading to transformation. If activities and outputs do not logically fit into projects, then they should not be undertaken, as they may not necessarily contribute to transformational development. Specifically, child participation in other projects should not be included in design of the SMP. Child participation in general must be demonstrated in those other projects' documents and communicated in their logical frameworks.

Sponsorship management projects are also periodically evaluated, just as other projects. This is considered during the design phase. Development programmes' evaluations include in the evaluation an objective addressing the impact of other projects on the lives of sponsored children and their families.

Ultimately, a sponsorship management project enables a development programme to track sponsorship's effectiveness and contribution to organisational objectives of transformational development, through evaluation of sponsored children as a specific targeted population within the greater programme population. Evaluation assesses identifiable benefits to children, which is a requirement of the Sponsorship Policy.

Appendix III

LEAP
Process
Maps

All programmes, excluding rapid onset emergency programmes and global advocacy programmes

Assess ▶	Design ▶	Monitor ▶	Evaluate ▶	Reflect ▶	Transition ▶
Step 1 Check alignment with national strategy	**Step 1** Describe the programme or project	**Step 1** Assess the potential value of monitoring information	**Step 1** Draft an evaluation terms of reference and get partner agreement	**Step 1** Identify partners who want to reflect together	**Step 1** Include sustainability discussions during assessment steps 4 and 5
Step 2 Hold initial discussions with major partners	**Step 2** Develop the logical framework	**Step 2** Determine monitoring responsibilities	**Step 2** Review context	**Step 2** Identify study topics or issues	**Step 2** Summarise sustainability issues during design steps 1 & 2
Step 3 Agree to secure funding for assessment	**Step 3** Complete design documents	**Step 3** Update the monitoring and evaluation plan	**Step 3** Design the evaluation	**Step 3** Identify the owner of a study topic or issue	**Step 3** Finalise transition plans – see monitoring step 4
Step 4 Preliminary partner (or stakeholder) and power analysis	**Step 4** Agree on implementation	**Step 4** Establish the baseline for all indicators and write a baseline report	**Step 4** Implement the evaluation	**Step 4** Identify a group facilitator	**Step 4** Confirm and agree on transition strategy following evaluation
Step 5 Collect and review information	**Step 5** Reflect on the design process	**Step 5** Finalise any outstanding agreements with partners	**Step 5** Use the results	**Step 5** Learn and apply lessons	**Step 5** Reflect on transition strategy and the process of transition
Step 6 Analyse the data so far and write assessment report		**Step 6** Plan data collection, including design of monitoring forms	**Step 6** Reflect on evaluation findings and process	**Step 6** Document lessons	
Step 7 Reach agreement to go ahead with a design		**Step 7** Collect and analyse data, then apply lessons			
Step 8 Reflect on the assessment findings and process		**Step 8** Report monitoring information to partners			
		Step 9 Reflect on monitoring results and process			

Rapid onset emergency programmes [2]

Assess ▸	Design ▸	Monitor ▸	Evaluate ▸	Reflect ▸
First 7 Days				
Week 1				
Step 1 Initial dialogue with major partners – consult existing relevant NO documents **Step 2** Preliminary stakeholder analysis **Step 3** Rapid assessment: primary quantitative data collection and report **Step 4** Decision to move ahead with strategy and programme designs **Step 5** HEA capacity assessment	**Step 6** Completion of macro-level strategy/ operations plan **Step 7** Write concept designs and basic budgets based on rapid assessments and macro strategy **Step 8** Integration of cross-cutting themes into designs **Step 9** Seek donor funding	**Step 10** Emergency lifesaving implementation (reactive) **Step 11** Commodity tracking system for tracking NFI started		**Step 12** Share consolidated recommendations from previous, similar responses

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2 Please note that while numbered steps imply sequential order, steps are more likely to be concurrent in a rapid onset response, especially Step 10: emergency lifesaving implementation (reactive).

Assess ▶	Design ▶	Monitor ▶	Evaluate ▶	Reflect ▶
First 30 Days				

	Assess ▶	Design ▶	Monitor ▶	Evaluate ▶	Reflect ▶
Week 2 7-14 days		*Step 13* Problem analysis *Step 14* Stakeholder analysis update *Step 15* Analysis of objectives *Step 16* Analysis of alternative strategies *Step 17* Partial logframe construction (including activities, outputs, outcomes and goals) *Step 18* Draft indicators and indicator tracking tables	*Step 19* Determine programme and monitoring information needs *Step 20* Write and submit 7-day programme report		
Week 3 14-21 days	*Step 21* Collect and review information from secondary data sources for Macro Assessment		*Step 22* Start proactive/ planned implementation based on concept designs		*Step 23* Gather insights from staff at exit interviews *Step 24* Develop transition/exit plan
Week 4 21-28 days		*Step 25* Complete 1st draft of post 30-day design documents and detailed budgets *Step 26* Amend concept designs	*Step 27* Assess potential value of monitoring information		

Assess ▶	Design ▶	Monitor ▶	Evaluate ▶	Reflect ▶
First 90 Days				
Month 2 30-60 days				
Step 28 Macro Assessment report using secondary data *Step 29* Comprehensive assessment and report, including qualitative data	*Step 30* Complete indicators with information from assessments, finalise logframes, and complete post 30-day design documents *Step 31* Complete monitoring and evaluation plans	*Step 32* Determine monitoring responsibilities *Step 33* Establish baselines for project indicators and complete ITT (revise indicators if necessary) *Step 34* Design monitoring forms *Step 35* Plan data collection *Step 36* Write and submit 1-month programme report	*Step 37* Assess potential for joint and/or WV evaluation *Step 38* Create field management team for the evaluation *Step 39* Create TOR for evaluation	
Month 3 60-90 days			*Step 40* Collect and analyse monitoring data and apply learning	*Step 41* Implement real-time evaluation	*Step 42* Conduct real-time learning event *Step 44* Integrate learning into existing strategy and response
Beyond 90 Days				
Beyond 90 days			*Step 44* Report monitoring information to stakeholders (Quarter 1/90-day Relief Report)	*Step 45* Use evaluation results to improve design	*Step 46* Conduct post-response learning event *Step 47* Integrate learning into long-term disaster management programs

Appendix IV

Operations Audit

(Adapted from a paper by Frank Cookingham)

Confusion between evaluation and audit occurs frequently. This appendix summarises the difference between programme evaluation and operations audit:

Programme evaluation facilitates informed judgments on the relevance, performance and success of a programme or project.

Operations audit provides informed judgments on the risk that certain expectations of partners will not be met. Both functions base conclusions on verifiable evidence.

Evaluation follows a set of terms of reference, which may be varied to the needs of partners. Operations audit follows a generic format, applied to all National Offices. Thus, plans for two evaluations may be very different, while plans for two operations audits will be basically the same.

Evaluation looks in more detail at quality of programme design, development process achievements, and impact. Evaluation may recommend adjustments in programme design, in the process of development being implemented, or in the monitoring system providing information on impact. Operations audit assesses adherence to programme design and plans, and the extent to which targets are monitored and achieved. When an operations auditor determines that there is a significant risk that implementation of the programme will not meet agreed expectations, an evaluation may be recommended to provide more detail on the issue at hand.

Evaluation recommendations are aimed at improving quality of a programme, while recommendations in an operations audit are aimed at reducing risk that expectations will not be met.

In programme evaluation, the evaluator seeks answers to questions like the following:

1. *Mission focus.* The programme was designed to alleviate some need or group of needs. Were the needs selected the most appropriate ones to be met by World Vision projects, given the mission of World Vision and resources available?

2. *Programme design.* Was the programme and its constituent projects properly designed to meet these needs? Are goals and means for achieving them appropriate? Given conditions within which the projects have to be implemented, and given the human, technical and financial resources available, are project goals achievable within each project's time frame?

3. *Project implementation.* What projects were actually implemented? Evaluation describes actual project activities, and compares these with what was planned. Did variations from project designs affect potential for desired results? How did World Vision policies and procedures affect project implementation?

4. *Project results.* What are the main results of project activities? What other things, positive and negative, happened in the communities and in World Vision as a consequence of implementing the projects?

5. *Programme impact.* What effect has the programme had on the targeted need or group of needs? How have the lives of people changed, or been transformed, in substantial and lasting ways? How have social structures been affected?

In an operations audit, the auditor assesses the extent to which operations were consistent with standards and policies, and the extent to which commitments have been met.

The main objective of evaluation, peer review, and operations audit is the same: to improve quality of ministry. However, each uses different approaches.

An example might concern a school built, but not used. A programme evaluator will try to determine whether building the school was an appropriate activity, and if so, why the new school is not being used. An operations auditor will focus more on compliance with relevant policies and standards in making the decision to build the school, and then probably recommend that an evaluation be done to determine why the new school is not being used.

The operations audit process is generic enough to fit most contexts with only minor modifications. The objective is to assess risks of programme ministry in the country in accord with relevant policies and standards. Local context is considered in the risk assessment.

Skills needed to be an operations auditor:

- able to impart knowledge and enhance skills among audit team members;

- able to observe outcomes and results of ministry activities to determine progress towards achieving ministry goals and objectives;

- able to analyse qualitative as well as quantitative information, to identify relevant evidence for risk assessment, and to connect pieces of evidence from different sources to assess the level of risk;

- able to interview managers, staff, and community members with sensitivity, and to probe responses to acquire needed information;

- able to conduct group interviews and document observations of interaction within the group;

- able to clarify issues in dialogue with others, and gain agreement on practical recommendations;

- able to work with auditees to develop feasible recommendations for reducing any risk that standards will not be met;

- able to complete audit report and all supporting work papers by established deadlines;

- able to evaluate responses by National Office management in reports issued, to determine reasonableness or reliability, and reply with follow-up actions as needed.

Operations audits take four to five days to do fieldwork at the ADP level. Total time required to complete an operations audit in a National Office, including fieldwork in two programmes, is about 23 days (six days per week).

Using the Audit Process

As each step of an operations audit is completed, the auditor signs off. Each work paper has an objective and instructions for tests to be completed in achieving that objective.

Each questionnaire describes topics to be discussed in an interview. An operations auditor can modify wording of questionnaire items to fit local context and take advantage of information collected through other means in the audit. After completing a work paper or questionnaire, the operations auditor prepares a conclusion and recommendation, based on available evidence, and discusses findings with the responsible staff. Statements of conclusions and recommendations can be modified to be better understood by staff, as long as the substance of a finding is consistent with the evidence.

After fieldwork is completed, all of the operations audit work is reviewed by a qualified operations audit manager. Revisions may occur if audit standards were not met.

Appendix V
Programming Frameworks

Following is a brief look at three frameworks. To learn more, consult references in the bibliography.

Transformational Development (TD) Frame
(World Vision Transformational Development Network 2002)

World Vision's TD Frame is built upon a description of poverty as disempowerment. This model describes five domains of change as the keys to mitigate poverty and lack of development. These five domains, described below, interact to promote sustainable transformation in social, biophysical, political, economic, spiritual and ecclesiastical systems. The five domains of change are:

1. **Well-being of children and families.** The capacities of families and communities to ensure the survival and growth of all their children, are enhanced by championing their human rights to health and basic education, as well as spiritual and emotional nurture. Children's and families' well-being also requires opportunity to develop a sustainable household livelihood with just distribution of resources, capacity to earn a future livelihood, protection from abuse and exploitation, as well as reduction of the risk of exposure to disasters and HIV/AIDS.

2. **Empowering children as agents of change.** World Vision's TD Frame places children at the centre of change. Children participate in the development process in age-appropriate ways, becoming agents of transformation in their families and communities.

3. **Transformed relationships.** This domain focuses on the need to restore relationships with each other, the environment, and with God. Equitable, just, peaceful, productive and inclusive relationships within households and communities impact social, political, economic, spiritual and ecclesiastical aspects of life. Healthy ecosystem and biodiversity programmes responsibly manage environmental resources.

4. **Interdependent and empowered communities.** The presence of a culture of participation empowers families and whole communities to influence and shape their situation, through coalitions and networks at local, national, regional and global levels, based on mutual respect, transparency, and ethical/moral responsibility.

5. **Transformed systems and structures.** This domain includes structural, systemic, and policy issues that impact development – including participation in civil society, private and public sectors, government, availability of and access to social services, means of production, and just distribution of resources in the state. These systems and structures impact social, religious, economic, and political domains at local, national, regional and global levels.

Work still needs to be done in understanding and describing relationships between each domain. However, Figure 12 shows, in a basic way, how domains can interact to result in fullness of life. Compare similarities with the two other models discussed below.

Figure 12. Relationship between TD Frame's Domains of Change
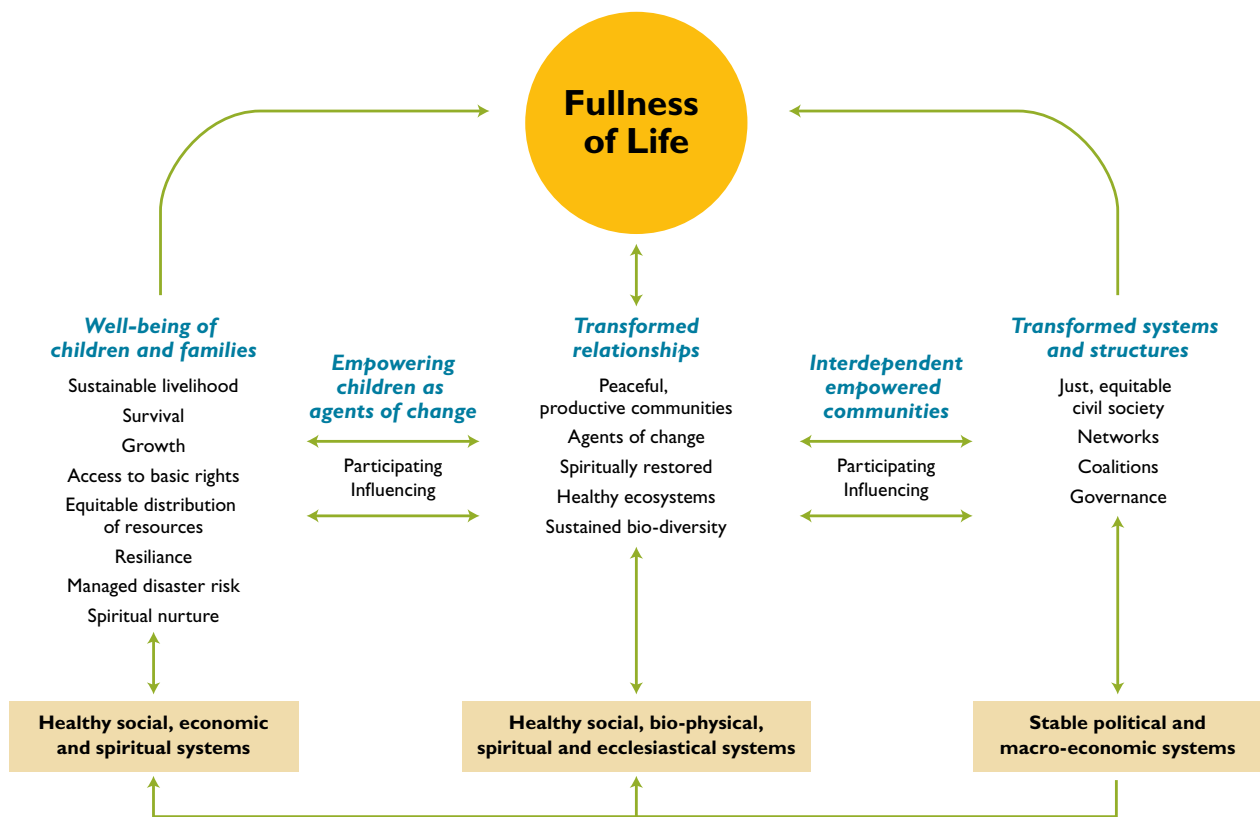
Sustainable Livelihoods (Institute of Development Studies 2007)

The Sustainable Livelihoods framework is another way of thinking about the scope of development or disaster management. The framework shares similarities with TD.
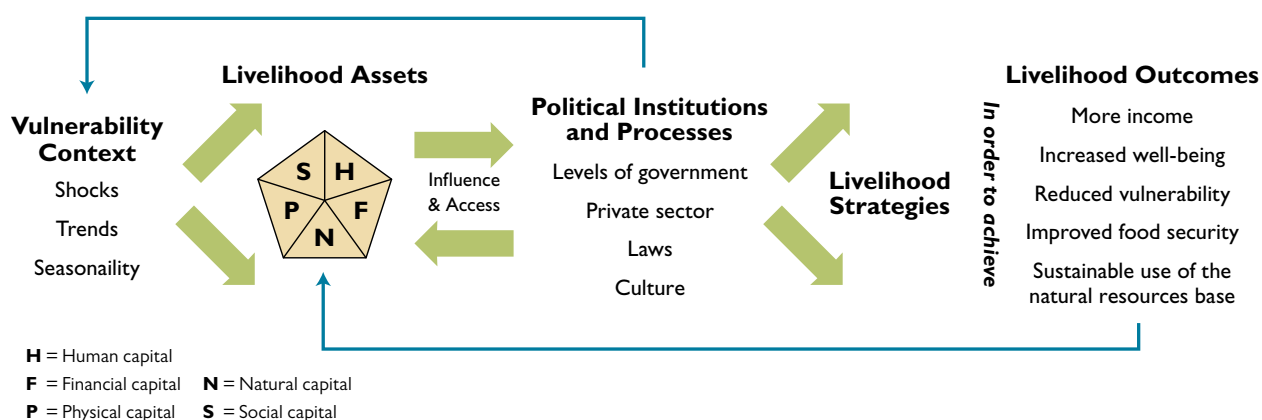
The term "sustainable livelihood" was first used as a development concept in the early 1990s. Chambers and Conway defined a sustainable livelihood as follows:

A livelihood comprises people, their capabilities and their means of living, including food, income and assets. Tangible assets are resources and stores, and intangible assets are claims and access.

A livelihood is environmentally sustainable when it maintains or enhances the local and global assets in which livelihoods depend, and has net beneficial effects on other livelihoods. A livelihood is socially sustainable which can cope with and recover from stress and shocks, and provide for future generations. (Chambers and Conway 1991)

Figure 13. Sustainable Livelihoods approach to development

Institute of Development Studies, 2007, Livelihoods connect. Institute of Development Studies. http://www.livelihoods.org/

H = Human capital
F = Financial capital   **N** = Natural capital
P = Physical capital   **S** = Social capital

This framework puts people and their livelihood at the centre of development, building upon their strengths, rather than their needs. The approach emphasises the importance of understanding links between policy decisions and household level activities, drawing in all partners, whether state, civil or private, local, national, regional or international. The framework is intended to provoke discussion and thinking about the livelihoods of the poor, during all aspects of programme cycle management. Programmes can then be improved both directly and at policy level – getting at issues underlying poverty, as discussed earlier regarding World Vision's TD Frame.

As with TD, this model seeks to draw links between micro-development issues at local levels and macro-development issues and policies at legislative levels. The model aligns with rights-based approaches to development which also focus on linkages between public institutions and civil society and increasing accountability of public institutions to all citizens. The livelihoods approach recognises these links, but its starting point is understanding the livelihoods of poor people within their contexts, then trying to identify constraints preventing achievement of rights and sustainable improvement in livelihood.

As with all contemporary theories of development, participation is key to the success in utilising this framework and approach. Challenges include competing objectives between dif-

ferent partners. However the approach can be a way to bring sector projects back together into a collaborating programme.

Vulnerability and Capacity models

Disaster management theory contributes an important dimension to discussions on integrated programming. Why are some people more vulnerable to disasters than others? Poorer communities within particular societies are often most vulnerable to the impact of disaster because of where they live, their livelihoods, and their more limited capacity to recover.

Disaster can be described as the result of a natural hazard colliding with vulnerability.

Vulnerability is a measure of human well-being that integrates environmental, social, economic and political exposure to a range of potential harmful changes. It is multi-layered and multidimensional, defined by political, economic and institutional capabilities of people, in specific places at specific times. (Bohle, Downing and Watts 1994)

Links with the previous two models in development programming are immediately evident. Systems and structures within political and social dimensions can act to increase risks of vulnerability and, therefore, the impact of disaster.

Vulnerability and capacity also describe a biophysical condition in the geographic location where vulnerable people and places are located. Many current definitions within the literature deal with issues of climate change and effects on the physical environment from development and disaster management activities. UNEP says that "vulnerability is a function of sensitivity to present climatic variability, the risk of adverse future climate change and capacity to adapt... vulnerability is a function of not only the system's sensitivity, but also its ability to adapt to new climatic conditions." (United Nations Environment Programme 1999) This definition focuses on climate change, but definitions are also inclusive of other causes of vulnerability in the environment. Cutter defines vulnerability "as the potential for loss of property or life from environmental hazards." (Cutter et al. 2000)

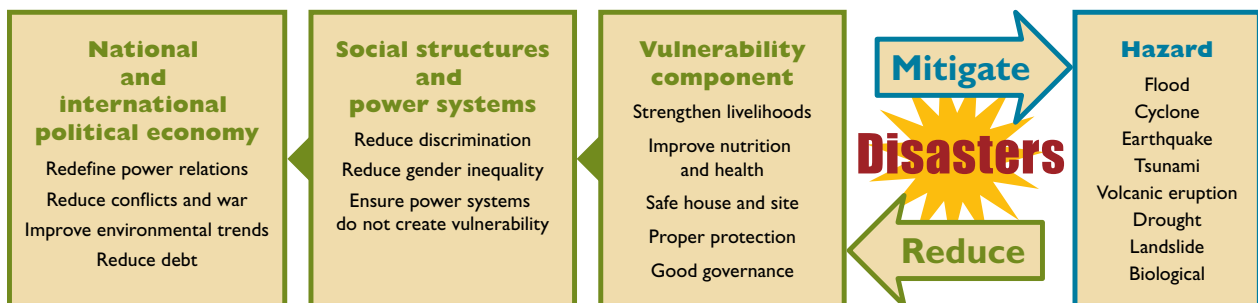### Figure 14. Pressure and release model

Figure 14 shows how different dimensions interact to affect exposure to disaster risk. Addressing vulnerability requires:

- reducing impact of the hazard through mitigation, early warning and preparedness;

- building capacities that help reduce people's vulnerability;

- reducing effects of poor governance and other social or cultural systems and structures; and

- tackling root causes that lead to vulnerability in the first place.

Capacity is a "combination of all the strengths and resources available within a community, society or organisation that can reduce levels of risk, or effects of a disaster". (International Strategy for Disaster Reduction 2004) This includes physical and human resources, as well as economic, social, natural, leadership and management resources. The World Health Organisation indicates that capacity for disaster management consists of "information, authority, institutions, partnerships" and the "plans, resources and procedures to activate them". Capacity building is a term frequently used to describe efforts to develop skills or social systems and structures within a community that reduce risk, and this can also include developing financial, political, and technological resources.

Connections with models of development and poverty alleviation are immediately obvious. Discussion of vulnerability connects back to the Sustainable Livelihoods model, with its context of vulnerability and also with reducing vulnerability as a livelihood strategy. Building upon people's capacity to reduce their own risk to vulnerability is a common element of all current development theory.

While Sustainable Livelihoods is an operational framework, vulnerability and capacity assessment becomes a tool to understand the capitals of the Sustainable Livelihoods framework. Some schools of thought consider vulnerability and capacity on either end of a spectrum or scale; however it is also useful to consider them as separate concepts. People who are vulnerable do have capacity or access to capacity. A vulnerability and capacity assessment can provide important information for design of emergency disaster management and development programmes.

World Vision's disaster management model identifies six components: early warning, mitigation, preparedness planning, emergency response, rehabilitation and transition. The first three are development activities identified as important to reducing vulnerability and, therefore, the impact of disaster. Objectives of these three disaster management components are now integrated into all World Vision development programmes.

Appendix VI

World Vision Ministry Objectives

Within the understanding of our Integrated Focus – Christian, Child-focused, and Community-Based – we seek to achieve the following ministry objectives:

1. Children's well-being: Families and communities work together with churches, governments, businesses and civil society organisations to improve the well-being of children and the progressive realisation of their rights.

2. Community resilience: Communities are able to offset risks, mitigate against shocks, and decrease the vulnerabilities and injustice that they and their children face.

3. Child participation: Children, together with their communities and families, participate in decisions that shape their world.

4. Caring relationships: Families and communities enjoy equitable, just and peaceful relationships which enable children to realise their identity and potential as children of God.

5. Changed values and lifestyles: Supporters, staff and the public tackle poverty and injustice through prayer, action, changed values and lifestyles.

6. Just systems and structures: Governments and the private sector, together with civil society and the church, implement policies and practices that address the structural causes of poverty at local, national and global levels.

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