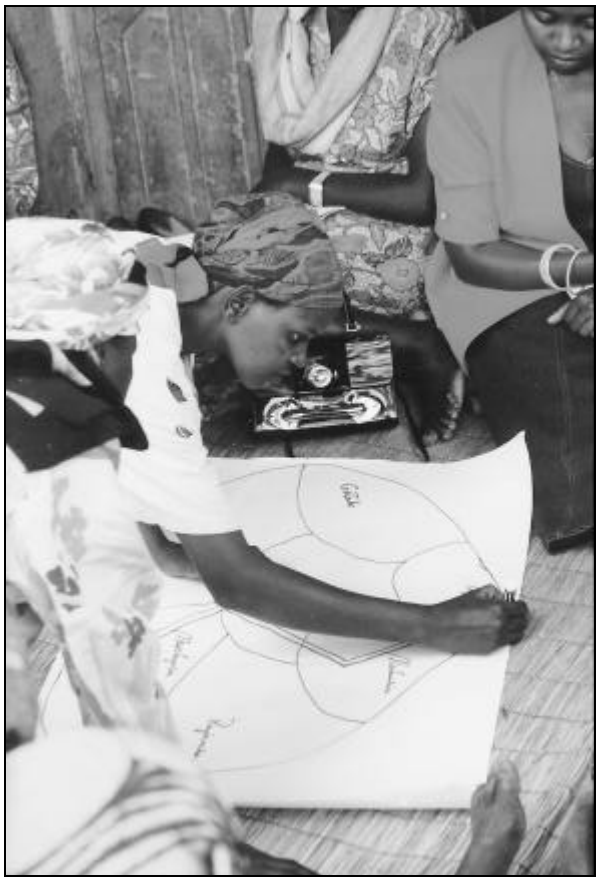

Household Livelihood Security Assessments

A Toolkit for Practitioners

July, 2002

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Photographs on cover page:

Top: Focus group interview. Rapid Assessment in Bolivia (2001). Bolivia/© CARE 2001

Middle: Focus Group Discussion. Sustainable Agricultural Livelihoods for Santen Area (SALSA) Project. East Kalimantan, Indonesia (2001). Indonesia/© CARE 2001

Bottom: Community map. Rapid Assessment in Bolivia (2001). Bolivia/© CARE 2001

Acronyms

CBO	Community Based Organization
DFID	Department for International Development (UK)
FAO	Food and Agriculture Organization (UN)
FEWS	Famine Early Warning System
FG	Focus Group interview
GI	Group interview
GIEWS	Global Information Early Warning System
HI	Household interview
HLS	Household Livelihood Security
HLSA	Household Livelihood Security Assessment
KI	Key Informant interview
NGO	Non-governmental Organization
PRA	Participatory Rural Appraisal
RBA	Rights Based Approach
RRA	Rapid Rural Appraisal
SWOT	Strengths, Weaknesses, Opportunities and Threats
USAID	United States Agency for International Development
VAM	Vulnerability Analysis and Mapping Unit
WFP	World Food Program (UN)
WR	Wealth Ranking

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Glossary of Terms

Anthropometric Data: Measurements related to nutritional status for children between six and 60 months old (usually age, weight and height) as well as complementary household interviews that focus on diet diversity, immunizations, health, and wealth criteria, for the purpose of evaluating health and nutritional security.

Capital: Tangible or intangible assets that are held by a person or household for use or investment; wealth, in whatever form, capable of being used to produce more wealth; any source of benefit or assistance. Various forms of capital can be accumulated, exchanged, expended and lost, thereby affecting a household's level of livelihood security, quality of life, and its options for coping strategies.

Financial Capital: The financial and liquid economic resources (e.g. savings, credit, remittances, pensions, etc.).

Physical Capital: Basic infrastructure (e.g. transport, shelter, energy, communications, and water systems), production equipment, and other means that enable people to pursue their livelihoods.

Human Capital: The skills, knowledge, capacity of labor and good health, which are important to the pursuit of livelihood strategies.

Natural Capital: The natural resource stocks from which resource flows useful for livelihoods are derived (e.g. land, water, wildlife, biodiversity, and environmental resources).

Social Capital: The quantity and quality of social resources (e.g. networks, membership in groups, social relations, and access to wider institutions in society) upon which people draw in pursuit of livelihoods. The quality of the networks is determined by the level of trust and shared norms that exist between network members. People use these networks to reduce risks, access services, protect themselves from deprivation, and to acquire information to lower transaction costs**.**

Political Capital: Political capital is defined broadly as the ability to use power to further political or economic positions, which in turn affects livelihood options and outcomes (Baumann and Sinha 2001). It refers to the legitimate distribution of rights and power, and how illicit operations of power can frustrate efforts of the poor to access and defend entitlements. Illicit use of political power by state officials and community elites can divert significant resources away from the poor.

Data Desegregation: The extent to which data or information is broken down. The further the data is desegregated, the more detail there is on individuals or unique variables, for example: age, sex, level of education, income, occupation, agro-ecological or political area, etc. These data are generally more informative and useful than aggregate data.

Entitlement: Entitlements include the rights, privileges and assets that a household has, and its position in the legal, political, and social fabric of society. Sen's (1981) theory on food entitlement states that these endowments are derived from a household's own production, income, gathering of wild foods, community support (claims), assets, migration etc.

Food security: When all people at all times have both physical and economic access to sufficient food to meet their dietary needs for a productive and healthy life (USAID 1992). Food security takes into consideration the physiological needs of individuals, the complementaries and trade-offs among food and other basic necessities that households make, the dynamic nature of HH food security over time and the levels of vulnerability and response to risk (Barrett 1999).

Household Livelihood Security Assessment (HLSA): HLSA's employ a set of data collection techniques and analytic tools adapted from social science interviews and survey methods. First used in farming systems research in the late 1970s and early 1980s and later in nutritional diagnostic work, HLSAs provide comprehensive sociocultural, economic, and ecological assessments of a given area for planning and project implementation (Molnar 1989). They bridge the gap between formal surveys and non-structured interviewing.

Livelihood Security: The adequate and sustainable access to income and other resources to enable households to meet basic needs (Frankenberger, 1996). This includes adequate access to food, potable water, health facilities, educational opportunities, housing, and time for community participation and social integration.

Livelihoods Strategies: A livelihood comprises the capabilities, assets (stores, resources, claims and access), and activities required for a means of living (Chambers and Conway 1992). More specifically, livelihoods can be seen to consist of a range of on-farm and off-farm activities that together provide a variety of procurement strategies for food and cash.

Livelihood Systems: The activity(ies) that households engage in to earn/make a living. Livelihoods can consist of a range of on- and off-farm activities or procurement strategies that together provide food and/or cash. These strategies include assets and other resources the households possess, as well as the utilization of human capital and accessing of social capital (i.e. social networks or safety nets) in times of need. Livelihood systems of the poor are often quite diverse. Households often use their capabilities, skills, and know-how to diversify income sources and off-set risks.

Participatory Rural Appraisal (PRA): Participatory Rural Appraisals use the same methods as RRAs, however the emphasis is on community empowerment and not the acquisition of data within a short time-frame. The process involves intense community participation and assumes an open research agenda. Because PRAs tend to focus on one community rather than a region, they are best used in a complementary way to RRAs to further the design process once the RRA diagnosis is completed.

Rapid Rural Appraisal (RRA): The major objective of an RRA is to gain maximum knowledge of the target area with the minimum amount of time and resources (Eklund 1990). The major advantages of RRAs are that they are: (1) Rapid- Results are made available to decision makers quickly; (2) Interdisciplinary; (3) Eclectic in techniques aimed at capturing a holistic picture of the local situation; (4) Rely on more open-ended interview techniques that reduce non-sampling error; (5) Allow for valuable interaction between investigators and the target population (Molnar, 1989).

Rights-Based Approach (RBA) to Household Livelihood Security: The rights-based approach to HLS recognizes that poor people and poor households live and interact within broader socioeconomic and sociopolitical systems that influence resource production and allocation decisions. The approach works to expose the roots of vulnerability and marginalization and expand the range of responses.

SWOT Analysis: A tool used in institutional assessments to capture and identify an organization's geographic and programmatic scope of action, perceived effectiveness and level of acceptance and support by community members and local institutions. The analysis is broken down into **S**trengths**, W**eaknesses**, O**pportunities and **T**hreats.

I. Introduction to HLS Assessment/Diagnostic Issues

A. Household Livelihood Security

Household Livelihood Security (HLS) has become CARE's basic framework for program analysis, design, monitoring and evaluation. HLS grows out of a food security perspective, but is based on the observation that food is only one important basic need among several, and adequate food consumption may be sacrificed for other important needs. Given that the causes of poverty are complex, HLS provides a framework to analyze and understand the web of poverty and people's mechanisms for dealing with it (See Annex I).

A Definition of Livelihood

'A livelihood comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living: a livelihood is sustainable which can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generation: and which contributes net benefits to other livelihoods at the local and global levels in the long and short term.'

Chambers and Conway, 1992

Text Box 1

Household Livelihood Security[1] is defined as adequate and sustainable access to income and resources to meet basic needs (including adequate access to food, potable water, health facilities, educational opportunities, housing, and time for community participation and social integration). Livelihoods can be made up of a range of on-farm and off-farm activities that together provide a variety of procurement strategies for food and cash. Thus, each household can have several possible sources of entitlement which constitute its livelihood. Entitlements include the rights, privileges and assets that a household has, and its position in the legal, political, and social fabric of society.

The risk of livelihood failure determines the level of vulnerability of a household to income, food, health and nutritional insecurity (See Annex II). The greater the share of resources devoted to food and health service acquisition, the higher the vulnerability of the household to food and nutritional insecurity. Therefore, livelihoods are secure when households have secure ownership of, or access to, resources (both tangible and intangible) and income earning activities, including reserves and assets, to off-set risks, ease shocks, and meet contingencies. Households have secure livelihoods when they are able to acquire, protect, develop, utilize, exchange, and benefit from assets and resources.

B. A Rights-Based Approach to Household Livelihood Security

Since the introduction of the HLS Framework in 1994, the basic concepts have been evolving based on both the lessons learned by the larger development community, as well as the lessons learned within CARE. As we learn, we are continually updating and improving the HLS Framework. The most recent evolution involved the incorporation of rights-based approaches (RBA) into HLS. Incorporating rights-based approaches into the HLS Framework enriches the Framework and provides an important lens through which to develop new strategies to better reach CARE's vision and mission. However, it is important to note that RBA does not replace HLS. The combination of a Rights Based Approach and the

[1] For a complete discussion of the HLS Conceptual framework, see "Operationalizing Household Livelihood Security: A Holistic Approach for Addressing Poverty and Vulnerability" by Frankenberger, Drinkwater and Maxwell (2000).

HLS framework can be referred to as a rights-based approach to Household Livelihood Security (RBA to HLS).

Shifting to a rights-based approach to HLS requires a more systematic analysis in order to address the root causes of poverty. CARE is beginning to focus more on the analysis of policy-level issues, and to work increasingly at levels beyond the community. A rights-based approach to HLS requires CARE staff to focus on improving not only people's conditions (needs) but also their social positions (rights). It will also require CARE to broaden its capacity to analyze household vulnerability to include desegregation based on levels of marginalization. A rights-based approach to sustainable livelihood security requires the analysis of rights and responsibilities, as well as the design of interventions that have an impact on people whose rights are being violated as well as on improving their capacity to exercise their obligations as citizens. CARE Country Offices will also need to make new strategic alliances, since rights realization is not something that CARE will be able to achieve on its own.

C. Household Livelihood Security Assessment

A Household Livelihood Security Assessment (HLSA) is a holistic and multi-disciplinary analysis which recognizes that poor families commonly suffer more than one problem at a time and often have to make significant sacrifices to meet their basic needs. HLS uses an integrated or *systems* approach to analysis, with recognition that poor people and poor households live and interact within broader socioeconomic and sociopolitical systems that influence resource production and allocation decisions. The HLS assessment process aims to enhance understanding about local livelihood systems – livelihoods, economic, socio-cultural and political systems and the constraints, vulnerabilities, marginalization, and risks of poor families living within this context – and important differences among types of households and among members within the household.

A Household Livelihood Security Assessment (HLSA) is a type of rapid rural appraisal (RRA) or participatory rural appraisal (PRA). In RRAs, the major objective is to gain maximum knowledge of the target area with the minimum amount of time and resources (Eklund 1990). The major distinguishing features of such approaches include the following:

- Interviews are conducted by researchers themselves, not by enumerators as in formal surveys.
- Interviews are essentially semi-structured with emphasis on dialogue and probing for information.
- Informal purposeful sampling procedures are used in conjunction with formal random sampling from a sample frame.
- The data collection process is dynamic and interactive, where the researchers evaluate the data collected and reformulate data needs on a daily basis.
- RRAs are generally conducted over a period or one week to two months.
- In dealing with accuracy/timeliness trade-offs, a process of triangulation is used whereby diverse methods and information sources are used to improve accuracy.
- RRAs rely on multi-disciplinary teams to carry out surveys (Frankenberger 1992).

Despite the multiple advantages of RRAs, it is important to recognize that researchers cannot be certain that the households or groups interviewed in the survey are representative of most households in the region. Thus RRA techniques should be viewed as complementary to other research methodologies such as formal surveys and in-depth anthropological studies.

Participatory Learning and Action

PRA/RRA and Participatory Learning and Action are often thought to be the same[2]. There are differences however. Although the same methods tend to be used, the ultimate goal of PLA is community empowerment. This involves intense community participation and assumes an open research agenda. This can hardly be done quickly. RRA methods by contrast are meant to provide researchers and local decision-makers with data quickly.

Rapid Rural Appraisals

The major advantages of RRAs are that they are:

(1) Rapid-Results are made available to decision makers quickly.
(2) Interdisciplinary.
(3) Eclectic in techniques aimed at capturing a holistic picture of the local situation.
(4) Rely on more open-ended interview techniques that reduce non-sampling error.
(5) Allow for valuable interaction between investigators and the target population.

Molnar, 1989

Text Box 2

PLAs also involve multidisciplinary teams that gather information in a systematic, yet semi-structured way. However, PLAs tend to focus on one community rather than a region, and community participation is considerably more active. One drawback of PLAs is that the sample size is so small that scaling up generalizations to a broader geographic focus is both difficult and risky.

Thus, PLAs are best used in a complementary way to RRAs to further the design process once the RRA diagnosis is completed. These methods should not be viewed as substitutes for each other for they serve different purposes. PLA is intended to help a community mobilize its human and natural resources to define problems, consider successes, evaluate local capacities, prioritize opportunities, prepare a systematic and site specific plan of action, and means of facilitating community self-help initiatives. RRAs, on the other hand, tend to be geographically broader in scope and incorporate more participation of local institutions. Both RRA and PLA should strive to bring together the development needs as defined by the community with the resources and technical skills offered by the government, donor agencies and NGOs.

D. Assessments Based Upon the Evolving Household Livelihood Security Framework

Importantly, and one of the key strengths for allowing incorporation of rights-based analysis, is that the HLS framework requires a desegregation of data by ethnic groups, gender, economic status, social strata, age, etc. in order to analyze differences in:

- The division of labor within the family and the community
- Access to goods and services
- Control over resources
- The exercise of rights and obligations
- The accumulation of capital (physical, natural, economic, human, social, political)
- Vulnerability and marginalization issues
- The distribution of political and economic power

The strength of the HLSA approach lies in its ability to obtain a holistic and multi-dimensional profile of a micro-level context -- food, nutrition, livelihood, and rights-realization -- with strong regional and national contextualization, allowing for the scaling-up of interventions. It sets the stage and defines the

[2] From Bergeron, G. (1999) "Rapid Appraisal Methods for the Assessment, Design, and Evaluation of Food Security Programs" From IFPRI Technical Guides for Operationalizing Household Food Security in Development Projects"

parameters for further detailed inquiry, suggests broad directions for intervention (subject to more detailed, sector specific investigation), and identifies potential constraints to such interventions.

Importantly, HLSAs can serve as a conduit for scaling-up by creating a space through which communities can voice local concerns and more actively participate in the needs-identification process. Also by working to increase the institutional capacity of local NGOs, HLSAs provide another potential means for scaling-up. Finally, encouraging the participation of national government representatives in the assessment and needs identification process provides a mechanism for bringing key players from the central and provincial governments into the local development process and into communities, or scaling-down.

E. The Evolution of HLS: Incorporating Rights-Based Approaches into HLSAs

Because household livelihood assessments are holistic in their review and analysis of human conditions, they can easily be expanded to incorporate a comprehensive relational analysis of social positions and marginalization, the influence of power in the local context, and the degree of human rights realization. Assessments can take into account those basic conditions that prevent people from living life with dignity, such as limited personal security, limited freedom of movement and poor participation in public affairs. Therefore, in the pursuit of understanding livelihood security conditions, CARE staff will better understand the sociopolitical obstacles facing communities and the inter-relationships among different, and possibly competing, rights and obligations.

A rights-based approach to HLS makes a concerted effort to identify the underlying and root causes of poverty, livelihood insecurity and the vulnerabilities of marginalized families. The HLSA, therefore, attempts to determine what, if any, rights are not being met, the parties not exercising their rights and obligations, and the actions that can be taken (by level of responsibility) to promote rights realization. Analysis of power dynamics among and between groups is also undertaken.

The HLS assessment takes into consideration the various formal and non-formal institutions that influence rights realization. Thus, institutional mapping is needed to identify how responsible actors or institutions advance or impede rights. This also involves understanding local perceptions of the legitimacy and values of local institutions.

F. Relevance to Emergency Mitigation and Development

CARE recognizes that poor households are not static in their ability to make a living. Poor people are constantly exposed to various risks and shocks that jeopardize their livelihood options (See Annex II). Livelihood assessments are relevant at capturing these risk factors and their consequences. Thus, they are appropriately carried out in emergency situations (especially slow-onset) as well as in development contexts and for dealing with transitions between the two. A range of intervention options needs to be made available for the various circumstances that face populations. The livelihood security of vulnerable populations that are exposed to natural and human-caused emergencies requires special consideration. This livelihood systems approach is based on the notion that relief, rehabilitation/mitigation and development interventions are interrelated activities, often occurring simultaneously and are not separate and discrete initiatives. Likewise, the type and mix of HLS assessment tools and methods will vary according to the specific objectives, conditions and constraints of the emergency situation.

G. Implications for Intervention Design

To help households meet their basic needs and realize their rights, four types of interventions are given emphasis in livelihood assessments. These are:

- Interventions focusing on expanding the income and resource base of the poor (means).

- Interventions focusing on empowering households and communities to improve their access to services through expanded educational opportunities, community mobilization, and political advocacy.

- Interventions focusing on expanding the access of poor households to basic services. In addition to these micro-focused interventions, Country Offices and CARE headquarters are giving increasing attention to the role of advocacy and broader development initiatives in improving the opportunities of households in meeting their basic needs.

- Interventions that attack the root causes of poverty using a rights-based approach. This involves addressing areas previously considered to be assumptions in program design, particularly the policy dimensions of poverty. No fundamental cause or driver of livelihood insecurity should automatically be assumed too political, sensitive or complex for CARE to engage in. A good analysis of the risks of engagement will always precede any action taken. CARE staff should anticipate and avoid harms that may result from their interventions. Addressing the root causes and achieving rights standards will broaden the menu of responses within CARE programs. This will mean that CARE will intervene at multiple levels (macro-, meso- and micro-levels).

II. Pre-Assessment Activities

Before conducting the survey, some exploratory studies are required in order to have a broad understanding of the region where the HLSA will be conducted. These activities will be carried out several months prior to the field collection exercise. Preliminary studies are based mainly on secondary information obtainable at the country/national, regional and local levels. A preliminary field visit may be required to collect data from government officials (GO) and local NGOs, or even reaching key informants at the community level if required, in order to complement the information collected indirectly.

In addition, a Stakeholders Identification and Institutional Assessment of other NGOs and government agencies working in the survey area are conducted, and documents such as the Terms of Reference for the assessment and Scope of Work are generated[3].

A. Secondary Data Review

Secondary data consist of existing reports and documents compiled by other persons or organizations and/or for purposes other than those of the present exercise. Primary data is that which is collected first-hand and reported by the HLS assessment teams. Secondary data complements, but is not a substitute for the use of necessary primary data[4].

[3] See Annex III for an example of a Scope of Work document

[4] Adapted by TANGO International, Inc. from McCaston, K. (ed.), *HLS Manual*, CARE USA, PHLS Unit (2000), for use in the CARE Bolivia, Title II program HLS assessment process, August 2001. Also see McCaston, K. 1998. Tips for Collecting, Reviewing, and Analyzing Secondary Data. CARE-USA. Atlanta, GA

Secondary data is collected and analyzed for the purpose of (1) clarifying the context of primary data research, (2) preventing the collection and analysis of too much primary data, and (3) formulating appropriate research questions for the primary data surveys.

If secondary research and data analysis is undertaken with care and diligence, it can provide a cost-effective way of gaining a broader understanding of specific phenomena and/or conducting preliminary needs assessments. Secondary data are also helpful in designing subsequent primary research and, as well, can provide a baseline with which to compare your primary data collection results. Therefore, it is always wise to begin any research activity with a review of the secondary data (Novak 1996).

Pre-Assessment Check-List

- Compile, process and analyze existing (secondary) information
  - Prepare presentation graphics and area statistics
  - Prepare preliminary HLS profiles
  - Define geographic area and target populations
  - Obtain/prepare maps
  - Obtain/prepare demographic profiles
  - Conduct reconnaissance visits
- Identify institutional partners
  - Inventory local organizations
  - Negotiate partner responsibilities
  - Identify key agency participants for all assessment phases
- Negotiate Terms of Reference (TOR) for the overall assessment process
  - Set objectives, roles, responsibilities and products
  - Prepare detailed assessment timeline
  - Prepare assessment budget and determine funding sources
- Organize work effort
  - Designate NGO coordination/supervision team
  - Designate secondary and primary data research teams
  - Write Scopes of Work (SOW) for consultants and key NGO staff
  - Determine logistics and administrative support requirements
- Contact participating organizations and government agencies
  - Confirm timeline and participation of key individuals
  - Finalize logistics arrangements

Text Box 3

Some of the most common sources of secondary data include:

- ✓ Government documents
- ✓ Municipal development plans
- ✓ Official statistics
- ✓ Technical reports
- ✓ Project reports
- ✓ Baseline studies
- ✓ Project evaluations
- ✓ Professional and academic journals
- ✓ Reference books
- ✓ Research organizations
- ✓ Public and private universities
- ✓ Public and private libraries
- ✓ Computerized data bases
- ✓ Internet web sites

Secondary data analysis and review involves collecting and analyzing a vast array of information. To help you stay focused, your first step should be to develop a statement of purpose that provides a detailed definition of the reason for your research. The second step is to create a research design that provides a step-by-step plan to guide the data collection and analysis (See Annex IV).

Figure 1: Important Areas of Descriptive Information

Physical and Environmental	• Types and distribution of communities • Available services and infrastructure • History of natural disasters • Historical trends and policies • Agro-ecological conditions and seasonality • Historical "shocks" and "stresses" • Demographic distributions
Social and Political	• Local leadership and authority • Ethnic groups • Formal and informal social networks • Political systems • Personal security
Economic Activities	• Major and minor livelihood strategies • Sources of income • Farm and off-farm employment • Seasonal and permanent migration
Institutional Analysis	• Existing institutions (public, NGOs, CBOs, religious, trade and labor associations, industry, etc.) • Nature of institutional programming and strategic plans • Interest in collaboration • Comparative advantages, SWOT analysis • Relations with governments and communities
Outcome Indicators	• Health and disease • Nutritional status • Access to water and sanitation • Literacy • Access to infrastructure, public and productive
Social Differentiation	• Levels of wealth and poverty • Livelihood profiles and categories • Social mapping

B. Institutional Profiles/Mapping

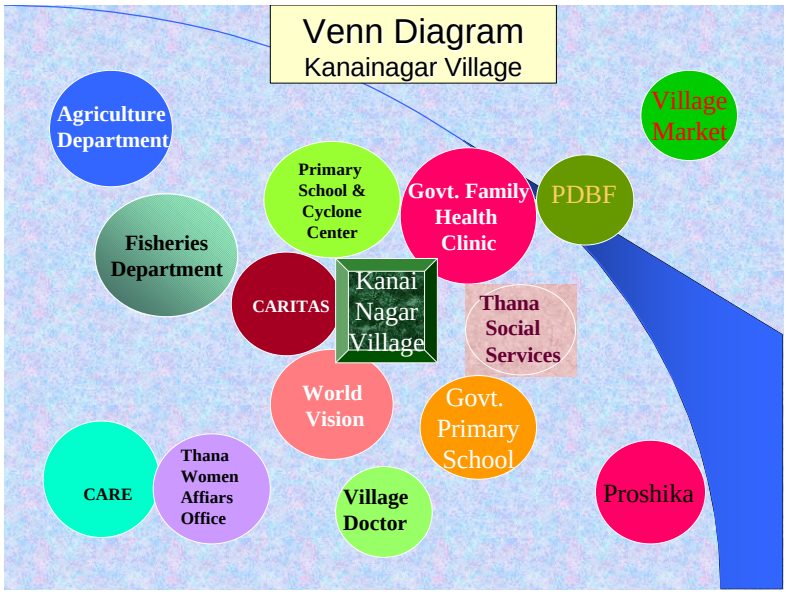
Institutional profiles involve documenting the various government, NGO and Community-Based Organizations (CBO) institutions that are operating in the target area. This usually involves three types of data collection. The first type is institutional mapping which usually is carried out prior to the assessment. It involves reviewing the background, objectives, main activities, working areas, staff capacities, partnerships, donor funding and horizon, long-range strategies for the area, and the major strengths and weaknesses of the organization. Key questions often asked in an institutional mapping exercise are the following:

- Who are the organizations involved in addressing key issues and problems?
- What do they do?
- Where do they work?
- How do they interact with the target population?
- Where are the overlaps with other organizations?

- Where are the gaps in capacity?
- How might some organizations impede the work of others?
- What are their long-range plans for working in the area?
- What are the strengths and weaknesses of the institutions?

A second type of institutional analysis is carried out during the field exercise. Venn diagrams (see Figure 1) are used to collect information on the various organizations/institutions that carry out activities in the community[5]. The Venn diagram approach enables the research team to determine how strong these institutional relationships are to the community based on the distance and size of the circle from the center. Some key questions asked during the construction of the Venn diagram in communities include the following:

Figure 2: Example of a Venn Diagram from an HLS Assessment in Bangladesh, 2002 Bangladesh/© CARE 2001



- How do program participants/target groups interact with organizations and institutions?
- How do the organizations work together?
- Identify subsets of organizations:
    - What is the relative importance of these associations?
    - How are these associations linked?
    - What is their value and importance to the target population and their livelihoods?
    - What is the level of access?
    - What are the constraints to access and participation?

A third type of data collection involves constructing trends analysis and historical timelines during the field visits. These trends analysis and historical timelines try to capture the following types of information:

- Who are the key groups or institutions that have influenced the issues, problems or opportunities over time?
- What are their relationships with the target population, and how have they changed over time?

C. Stakeholders Identification and Participation

The institutions that operate in the community context may influence livelihood outcomes, therefore, it is important to take the various stakeholders into account before carrying out any livelihood assessment. The assessment team needs to identify those entities–local and national government, CBOs, utility organizations, international and national NGOs (including CARE), research institutions, private sector

[5] From Freudenberger, K. (1999) "Rapid Rural Appraisal and Participatory Rural Appraisal: A Manual for CRS Field Workers and Partners". CRS.

(small and large), donor(s), and the target group itself–that may have something to gain or lose from the outcomes of the assessment. These entities are defined as stakeholders, individuals or institutions with interests in the process and outcomes of CARE-supported activities and the ability to significantly affect a project, positively or negatively. Stakeholders may be partners, recipients of project resources, private sector and/or organizations that have a vested interest in the outcome of the project (e.g., donors, local government, etc.)

There are three main steps for involving potential stakeholders in the assessment: [6]

- Identify principal stakeholders.
- Investigate their interests, roles, relative power and capacity to participate.
- Identify relationships between stakeholders, noting potential for cooperation or conflict.

D. Stakeholder Participation in the Design of the Assessment

A workshop can be held to build awareness and consensus among local stakeholders on the key objectives of the assessment, the targeting of the data collection and how the information will be used. The workshop primarily will concentrate on reviewing secondary data and the institutional mapping information that has been gathered. This workshop is a beginning point for developing strategic alliances and partnerships for joint planning and implementation of development activities that will be derived from the information gathered. It is hoped that through this participation, these stakeholders will mobilize the necessary financial, technical and material resources to help carry out the assessment.

III. Target Area Selection

One of the first steps in carrying out a livelihoods assessment is to identify vulnerable groups within geographic boundaries. These boundaries are usually based on administrative divisions and socioeconomic and/or agro-ecological characteristics. Administrative boundaries are determined by the structure of government and political borders. Socioeconomic areas are related to production or social systems (e.g. pastoralists, subsistence farming, urban). Agro-ecological zones relate to natural resource characteristics (e.g. flood deltas, arid lands, mountain zones). Appropriate geographic targeting is dependent upon reliable and accurate information at the national or sub-national level.

In countries where good background information already exists, such as national early warning systems or poverty profiles (e.g., crop forecasting, food balance sheets, nutrition surveillance, other background studies), information supplied by these sources can help identify the most vulnerable regions (Frankenberger 1992). These vulnerability profiles should be based upon both food security and absolute poverty indicators as much as possible to avoid designating an area as vulnerable, which may not be. HLSA teams are not necessarily responsible for creating these profiles. For example, CARE contracted consultants to prepare poverty profiles for Honduras, Guatemala, and India as part of the pre-assessment activities.

Vulnerability information can also be obtained through the World Food Program's (WFP) Vulnerability Analysis and Mapping Units (VAM), USAID-funded Famine Early Warning System (FEWS-Net) and the Food and Agriculture Organization's (FAO) Global Information and Early Warning Systems (GIEWS). Information systems and targeting mechanisms need to be closely linked to be both cost effective and efficient.

[6] This section from Caldwell, R. (2002). CARE Project Design Manual. CARE International: Atlanta. For further discussion of Stakeholder Analysis refer to: Reitbergen-McCracken and Narayan 1997; IDRC 1998; AusAID 2000.

The general vulnerability profiles can then be used for designating geographic areas where more location-specific household food and livelihood security information can be gathered. Important points to consider when choosing a target area are:

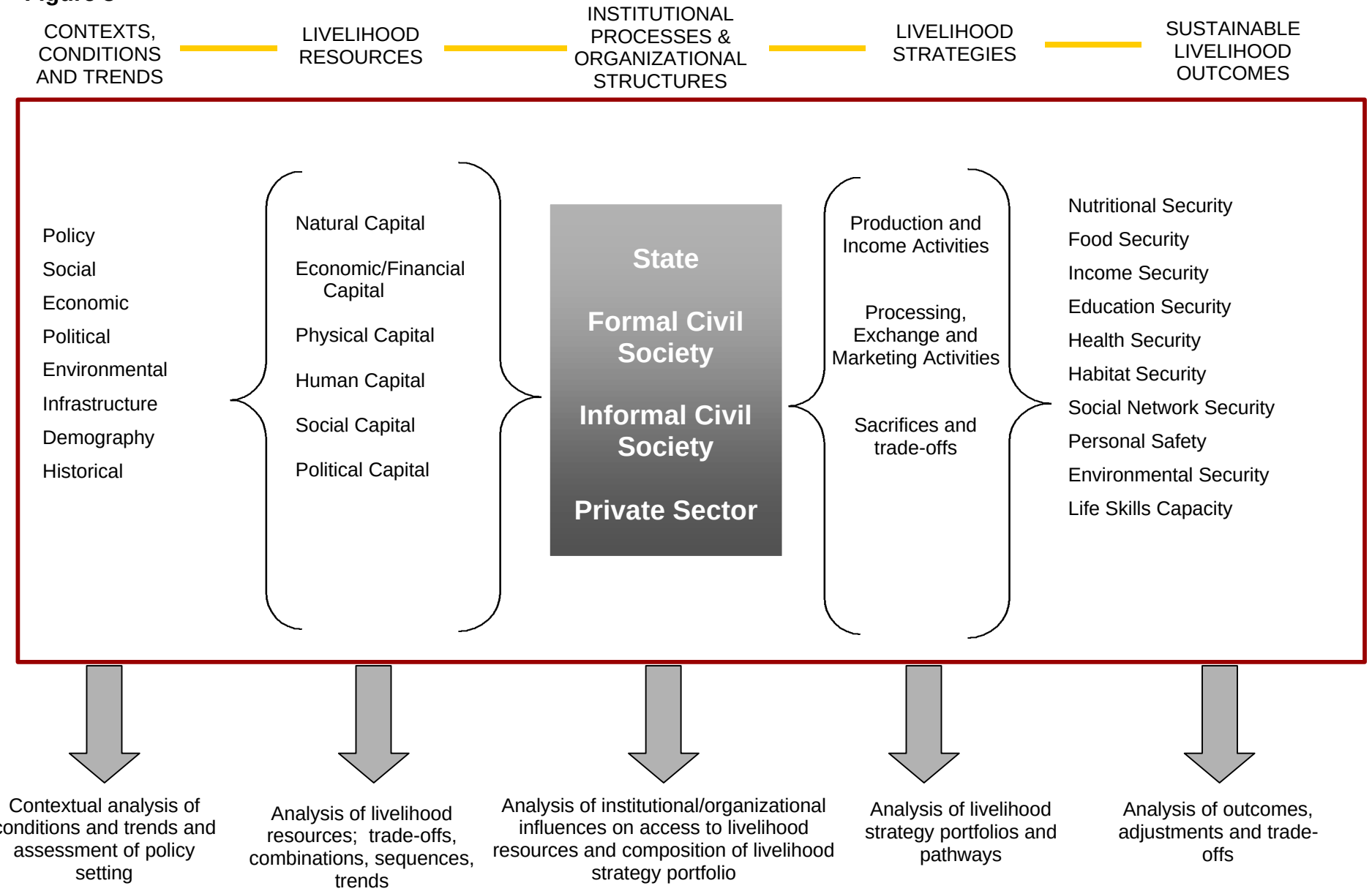
- **It is important to clearly define the criteria used for determining vulnerability and marginalization in the area**. Vulnerability can be reflected by economic constraints (sources of income, assets, market conditions), physiological conditions (nutritional status, health status) and socio-political/marginalization characteristics (ethnic, religious or caste-affiliation, refugees/displaced status).

- **Donor selection constraints:** Sometimes development agencies do not have complete freedom to choose the areas where they will work due to donor funding priorities and constraints. For example, donors may decide that different NGOs will be allocated to different regions of the country in which to work. This may prevent the assessment team from going to the most vulnerable areas in the country. Given this constraint, every effort should be made to choose areas to carry out the assessment that are the most vulnerable for that region.

IV. Creating Livelihood Security Profiles

Livelihood Profiles are derived for a region through a composite analysis of the following elements or clusters: contexts, conditions and trends; livelihood resources (economic, natural, physical, human, social and political capital); institutional processes and organizational structures (government, civil society and private sector); livelihood strategies (productive, exchange and coping activities); and livelihood outcomes (e.g. nutritional security, food security, health security, habitat security, education security, income security, social network security, personal safety, and environmental security). (See Figure 3 Below). The livelihood profiles should focus on describing the conditions and status of the poorest and most vulnerable households in the designated area.
These profiles are generated from secondary information and the vulnerability information derived from the sources described above. These regional profiles are fine-tuned and developed for each community that is surveyed in the livelihood assessment.

Figure 3


CONTEXTS, CONDITIONS AND TRENDS
LIVELIHOOD RESOURCES
INSTITUTIONAL PROCESSES & ORGANIZATIONAL STRUCTURES
LIVELIHOOD STRATEGIES
SUSTAINABLE LIVELIHOOD OUTCOMES
Policy
Social
Economic
Political
Environmental
Infrastructure
Demography
Historical
Natural Capital
Economic/Financial Capital
Physical Capital
Human Capital
Social Capital
Political Capital
State
Formal Civil Society
Informal Civil Society
Private Sector
Production and Income Activities
Processing, Exchange and Marketing Activities
Sacrifices and trade-offs
Nutritional Security
Food Security
Income Security
Education Security
Health Security
Habitat Security
Social Network Security
Personal Safety
Environmental Security
Life Skills Capacity
Contextual analysis of conditions and trends and assessment of policy setting
Analysis of livelihood resources; trade-offs, combinations, sequences, trends
Analysis of institutional/organizational influences on access to livelihood resources and composition of livelihood strategy portfolio
Analysis of livelihood strategy portfolios and pathways
Analysis of outcomes, adjustments and trade-offs

A. Context, Conditions and Trends

A holistic analysis of livelihood security begins with understanding the context for any given population. To understand the macro-level factors that influence the range of possibilities for livelihood systems, we must consider the social, economic, political, environmental, demographic, historical, and infrastructural information. It is this information that sets the parameters within which livelihood strategies operate. This information is primarily derived from secondary data to reduce costs.

The current status of livelihood security and the underlying causes of poverty are often conditioned by long-term cultural, social, economic and political trends. A history of colonialism, economic dependence, civil conflict or recurrent natural disasters will have an important influence on current social and political relationships, for example, and set the foundations for exclusion and discriminatory attitudes and practices. It is important to recognize that development projects, in a relatively short period of time, will probably not be able to significantly change entrenched cultural, social and political practices. In the best of cases, key leverage interventions may be able to support "positive" trends or impede or counteract certain "negative" trends. Thus, an analysis of trends is important to understand which underlying causes are most susceptible to program intervention.

A review of secondary data can provide insight into important historical trends. This, in turn, will allow the HLS assessment team to formulate questions and design methods to determine relative effects and perceptions of historical and contextual conditions on current vulnerable populations through focus groups, key informant interviews, and institutional assessments.

B. Livelihood Resources

Households have access to both tangible and intangible assets that allow them to meet their needs. **Natural Capital** consists of natural resource stocks from which resource flows useful for livelihoods are derived (e.g. land, water, wildlife, biodiversity, and environmental resources). **Financial Capital** is cash and other liquid resources, (e.g. savings, credit, remittances, pensions, etc). **Physical Capital** includes basic infrastructure (e.g. transport, shelter, energy, communications, and water systems), production equipment, and other material means that enable people to maintain and enhance their relative level of wealth. **Human Capital** consists of the skills, knowledge, ability to labor and good health, which are important to the pursuit of livelihood strategies. **Social Capital** is the quantity and quality of social resources (e.g. networks, membership in groups, social relations, and access to wider institutions in society) upon which people draw in pursuit of livelihoods. The quality of the networks is determined by the level of trust and shared norms that exist between network members. People use these networks to reduce risks, access services, protect themselves from deprivation, and to acquire information to lower transaction costs**. Political Capital** consists of relationships of power and access to and influence on the political system and governmental processes at the local and higher levels.

In the analysis of these resources, it is important to take into account the combinations necessary for sustainable livelihoods, the trade-offs that exist between resources, the sequences that may exist between them (i.e. which resources are prerequisite to others), and the long-term trends in their use (adapted from Scoones 1998). Livelihood resources include the range of social, physical, economic and political conditions and prerogatives which determine the relative access that disenfranchised families have to quality services, e.g. health, education, markets, information, government, etc. The most vulnerable families, in other words, are those which lack access to the services and systems which have an effect on their livelihoods and which determine their ability to exercise their rights and obligations as equal citizens.

C. Institutional Process and Organizational Structures

A variety of institutions may operate in the community, or have jurisdiction over the community and directly influence the livelihood outcomes of the population. This information is captured in the institutional mapping/profile and stakeholder identification process. These institutions can be of the State, civil society, or private sector. The State not only provides services, but also provides safety nets, changes policies, and can limit freedoms that can have positive or adverse effects on livelihood systems. Similarly, formal civil society organizations (NGOs, CBOs, parastatals, cooperatives, churches) can provide either enabling conditions or constrain opportunities for certain households.

Informal civil society (e.g. informal community networks and social groups) consists of the web of associations within which individuals and households function or belong. These networks can have positive or negative influences on the livelihood strategies that people pursue. The private sector can also create or limit community and household opportunities through open, affirmative action policies or, to the contrary, discriminatory and exploitive business practices. It is important in any analysis to take these various institutions into account in the formulation of any sustainable interventions.

D. Livelihood Security Strategies

Households combine their livelihood resources within the limits of their context and utilize their institutional connections to pursue a number of different livelihood strategies. Strategies can include various types of production and income-generating activities (e.g. agricultural production, off-farm employment, informal sector employment, etc.) or, often, a complex combination of multiple activities. An HLS analysis should determine the livelihood strategy portfolios that different households or groups pursue and the historical pathways they have taken. Although some of the information on livelihood strategies will be derived from secondary sources, more detailed information will be obtained from the primary data collection during the assessment. Importantly, all livelihood strategy data should be desegregated by ethnic groups, gender, economic status, social strata, age, etc. to ensure proper analysis of sub-groups.

Some livelihood strategies of the poor are often associated with certain ethic or social groups. These can be traced to historic patterns of discrimination, exploitation and limited

access to social, financial, judicial and information services – for example, education, credit, land tenure, and market data respectively. In times of need, poor families, for example, often have to resort to child labor to make ends meet, or sacrifice productive resources to pay for food or medical treatment. Political affiliations also may determine who has access to jobs and services.

In the analysis of livelihood strategies, it is also important to capture the types of coping strategies people use when normal livelihood options are not adequate to meet household needs. It is important to distinguish network strategies that are non-sustainable (divestment strategies) and coping strategies that are sustainable.

E. Livelihood Security Outcomes

To determine whether households are successful in pursuing their livelihood strategies, it is important to look at a number of outcome measures that capture need or well-being satisfaction. Nutritional status is often considered one of the best outcome indicators for overall livelihood security since it captures multiple dimensions such as access to food, healthcare and education. Other livelihood outcomes that should be measured include sustained access to food, education, health, habitat, social network participation, physical safety, environmental protection, as well as life skills capacities. Analysis of these outcomes should not only determine what needs are currently not being met, but also what trade-offs are there between needs. In addition, the analysis should help determine the synergistic relationships between these outcome measures. Much of this information can be derived from secondary sources (Demographic Health Surveys and government or research reports).

In addition to these standardized measures, attempts are made to derive from the community the criteria they use for determining livelihood improvement. These measures are often location specific. Every effort is made to establish community-based monitoring systems to enable the community to track improvements themselves. This information on community criteria is usually derived from the assessments.

Currently, CARE is trying to establish these livelihood profiles during the Long Range Strategic Planning Process for each region in which they operate (e.g. Peru) or in analytical work conducted as part of a program design exercise. This will allow CARE to take a more holistic perspective in any project design for that region even if they are given a very short time horizon to develop a proposal for a donor. These profiles would be periodically updated as new information comes in from projects. The HLS Framework provides a way to organize and apply the information.

F. Rights Realization

The extent to which individuals and families are able and willing to equitably exercise their rights and obligations as participating members of society is incorporated into each element or category of the HLS assessment. An analysis of underlying and root causes of the predominant problems affecting the poorest and most marginal families is essential to

determining where and how rights are being violated and opportunities are limited. The important thing for CARE staff is to understand the various manifestations and implications of human, civil and political rights and to recognize that these constitute a legitimate and necessary area of analysis and intervention for CARE, either directly or indirectly through partners and strategic alliances with specialized organizations.

The HLS assessment process offers many opportunities for CARE to promote multi-institutional participation in the analysis and interpretation of the HLS profiles and their determining factors. Likewise, analysis and interpretation can then systematically lead to joint action planning and policy analysis among government, civil society and private businesses within the program area. CARE will have more success as a relief and development organization when it works together with other local agencies towards common goals and compatible strategic directions. This is especially true concerning the realization of basic rights.

V. Developing and Fine-Tuning Your Objectives

Household livelihood security assessments can be undertaken to satisfy one or more important programming objectives. These may include:

1. Undertake an assessment of the conditions, systems, risks and opportunities related to the livelihood security and rights realization of the poorest and most vulnerable households or groups, in order to design (or validate and adjust) appropriate and effective program strategies and interventions.

2. Build awareness and consensus among local development organizations, the public and private sectors regarding the root and underlying causes and consequences of poverty and livelihood insecurity, support for appropriate poverty-reduction strategies, the mobilization of financial, technical and material resources, and the conditions needed to sustain and increase program impacts.

3. Develop strategic alliances and partnerships among key local organizations for the joint planning and implementation of development activities at the municipal and local levels and to further social and economic conditions and opportunities within target corridors.

4. Train CARE and partner organization personnel in the understanding and application of HLS and RBA concepts and the methodologies of participatory holistic assessments.

5. Develop strategies and operational practices to improve cooperation and coordination of field activities among local NGOs, municipal governments, community-based organizations and State service agencies.

6. Develop strategies and operational practices to improve cooperation and coordination of field activities among CARE projects working in the area to develop a more coordinated program approach.

7. Determine thematic priorities and strategic approaches for policy advocacy.

8. Build capacity for improved institutional learning at all levels.

The most common objective of HLSA is to acquire information for the design of programs. However, most HLSAs have multiple objectives. The objective may be global learning to gain institutional credibility in an area where there is little or no previous experience, or to get information for strategic planning to improve the allocation of scarce program resources over multiple, competing demands. Building the analytical capacity of staff and partner organizations is often an objective, though rarely a primary objective. Building partnership relationships is also a common secondary objective. An important consideration in setting objectives is whether programs based on information gathered will be scaled up within the planning time horizon. How much primary information must be collected depends on the availability and quality of existing information. In general, the principle is to collect only as much primary information as is required which cannot be gathered from secondary sources (See Annex IV).

An HLS assessment should not attempt to satisfy too many objectives since each will require specific strategies, methods and resource allocations to be effective. The HLSA team should carefully and explicitly determine the primary objectives and outcomes of the process, and how these will be achieved.

VI. Survey Sample Selection

A. Purposive and Random Sampling

Formal sampling is not normally used in the selection of sites for livelihood assessments because of the lack of time and labor intensity of the methods required[7]. This is why site selection is of critical importance in these livelihood assessments.

Before beginning the site selection process it is useful to consider what types of information can and cannot be gathered using participatory qualitative methods. For example, PRA/RRA methods cannot be used to make statistical inference in which the results of the study are generalized to a wider population. While participatory livelihood assessments cannot generalize specific findings, they can be extremely useful in pointing out significant issues that will need to be considered during project design and implementation or for the advocacy of specific policies with other local organizations.

In selecting sites, it is important to determine how many communities and agro-ecological areas or administrative jurisdictions the HLSA team can realistically cover given time, logistical and labor constraints. Coverage will be influenced by such factors as environmental uniformity, technological development, socioeconomic conditions,

[7] Much of the information in this section is taken from Freudenberger, K. (1999) “Rapid Rural Appraisal and Participatory Rural Appraisal: A Manual for CRS Field Workers and Partners”. CRS.

infrastructure development, and access during the rainy season. The team should plan to spend more time in regions where the livelihood systems, agricultural systems, and/or ethnic mix are more diverse and variable than in regions where they are more uniform. If the region is quite homogenous with one ethnic group and one production system in the zone, only a few sites may be needed.

The number of sites that can be studied will depend upon the number of team members and the amount of time that can be spent in the field. The normal number of teams used ranges from two to four with six members on each team. If each team spends three days per site then only two sites can be covered in one week per team. Normally two weeks are allocated for field work and another week is allocated for data analysis. Therefore the number of communities that are normally surveyed range between six and sixteen. Once the number of sites has been determined, then the team can begin the process of selecting the sites. This is best accomplished by using a combination of purposive and random sampling. Purposive sampling is used to ensure certain characteristics are included in the sample. Random sampling is used to select one site among several sites that represent particular characteristics that you want to capture in the survey.

The purposive sampling ensures that the diversity of conditions present in the zone are captured in the sample. The random selection reduces the likelihood that someone (staff person or local agency) will introduce a bias in order to favor a specific agenda. Because the actual number of communities that the teams will be surveying will be small, you want to ensure that the sample is as representative as possible of the communities in the region. For this reason, it may be necessary to disqualify communities that are totally unique or very different. The best way to determine which are the outlying communities (i.e. the exceptions to the rule) is to discuss the situation with several individuals who are knowledgeable about the area.

Examples of criteria used for purposive sampling includes nearness to roads, access to markets, ethnic differences, livelihood strategy differences, agro-ecological differences, nearness to urban areas, etc. The purpose of the survey is to provide a picture of the range of situations that might influence livelihood outcomes.

Once the selection criteria have been developed, it is important to place a number of communities found in the region into categories that represent the criteria. Stratifying the communities along these criteria can ensure that certain characteristics will be found in the sample. Communities should be randomly chosen within each category. The number chosen will depend upon the constraints discussed above.

After the sites have been chosen, each site should be visited before the team begins the study to determine that the conditions are appropriate and that the community wants to participate. After these visits it may be necessary to exclude a site and choose an alternative. Once again a random process should be used to select a new site.

B. Other Sampling Considerations

There are other important considerations to take into account before choosing an appropriate sample. First, in some countries, such as those in South America, many communities are connected through intricate market networks that have been developed along river courses or along roads within valley areas. In order the scale up the impact of future interventions, these economic corridors need to be taken into account in the selection of communities and future recommendations.

Second, when quantitative techniques such as rapid nutritional assessments are combined with household livelihood security assessments, the sampling strategy will become more rigorous. For every distinct geographical area that is targeted, it is important to have at least six randomly chosen communities. This is because a minimum of 180 cases (using a cluster sample of 30 different mothers and one of their children from each community) is needed for nutritional status measures to be statistically representative of the families with children under five years of age within the target area. Based on experience, it is quite difficult to combine these quantitative and qualitative techniques and serious consideration should be given to carrying out these activities as separate field exercises.

Once the sample has been chosen, it is important to draw up a schedule specifying the number of days to be spent in each area as well as the number of days for travel time, review, and write-up. This schedule should be flexible and time constraints may force the team to reduce the number of survey sites.

Before the team arrives in the region to be surveyed, it should first contact local officials to establish collaborative links and to elicit their help. These officials can help select potential communities to be surveyed. The information needs of regional administrators can also be elicited. However, caution must be taken to avoid any potential political, economical or ideological bias from interested parties.

C. Sampling in Urban Areas

Carrying out livelihood assessments in urban areas can pose unique challenges. First, distinct poor areas are often difficult to locate because the poor are sometimes mixed in with better-off households within neighborhoods. Second, livelihood opportunities are not necessarily neighborhood-based and may exist in other parts of the city. Thus it is difficult to select parts of the city for data collection based upon livelihood strategies. In an assessment conducted in Dar es Salaam, these problems were overcome using the following approach:

1) Administrative units were selected in the city with the assistance of key informants who are familiar with the city that reflect some of the poorer parts of the city. Six of these Administrative units were selected.

2) Within these administrative units, two sites were chosen out of a possible three-four sites that reflect the following criteria: squatter settlement vs. planned; central

vs. peri-urban; population density; indigenous vs. migrant; access to services; and some other distinguishing features (city dump, flood prone area, along rail line, isolated etc.). At least two administrative units reflected each possible criterion category to allow a large enough sample for minimal comparisons.

VII. Survey Team

The survey team can range in number from six to 35 individuals, coming from various disciplinary backgrounds and organizations (See text box below). With the evolution of the rights-based approach to HLS, it is important to include political and policy analysts into the mix of team disciplines, more so than was necessary in prior HLSAs. One to four teams are normally created, where male and female researchers are represented in equal numbers (if possible). Experience has shown that when other local organizations provide team members they will more likely accept and use the results of the assessment.

Each team visits a different community in the same area or agro-ecological zone in the same day. It takes two days per community to complete the data collection process. Each team has four to six people collecting group, focus group, and household data.

Team members should not work with the same partner every day (Hildebrand 1981). Rotating team members daily gives each person an opportunity to work with and learn from the other team members. This facilitates the exchange of ideas and helps improve communication among team members.

A. Survey Team Composition: A Way to Ensure Scaling Up & Scaling Down

CARE has placed considerable emphasis on survey team diversity to encourage cross-disciplinary and cross-organizational sharing and learning. Local and national government agencies as well as local and international NGOs are invited to participate in the HLSA. This approach encourages participation from a diverse group of knowledgeable and skilled individuals and institutions that work in the development field. For example, in an assessment conducted in Tanzania, 15 team members represented government ministries, four represented local NGOs, and one represented an international NGO. This approach enables communities to

Multi-Disciplinary Teams

Multi-disciplinary and gender-balanced teams strengthen the diagnostic process and encourage cross-fertilization of ideas, which is particularly advantageous during problem analysis. The multiple disciplines represented in HLSAs vary across surveys and might be shaped by the secondary data review when specific problem areas are identified.

In an HLSA conducted in Kenya, the following fields were represented: sociology, agronomy, nutrition, economics, business, health and population, nursing, forestry, anthropology, agricultural economics, civil engineering and community development.

Text Box 4

meet and discuss their development needs directly with representatives from local and national government as well as local and international NGOs. This process allows information from the community to be scaled up to the policy makers as well as allowing policy makers and decision makers to become more aware of local issues (scaling down).

B. Key Training Techniques

The skill of the field workers is critical to the success of the livelihood assessment. The general belief that rapid assessments are simple to apply is simply not true. The selection and training of field workers is much more critical than for conventional enumerators. The skills for carrying out an assessment are quite different than those required for formal surveys. First, the emphasis is on social skills: controlling dominant personalities in group settings while seeking the participation of silent participants. Second, assessment field workers have to collect, analyze and validate the data themselves. Hence, the need for a sound understanding of the research so they can change the instrumentation used if need be without losing sight of the final objectives (Bergeron, 1999).

Prior to going to the field, the team participates in a four to five day workshop (See Annex V). This workshop introduces the team members to the concepts that form the basis of the data collection procedure, as well as introduces them to the methodology they are about to implement. All team members participate in the review of data collection forms to ensure that appropriate topics are being addressed. The development of tools for the survey is an interactive process as well as a capacity building exercise for local institutions. This process also helps solidify buy-in from various organizations participating in the survey.

In addition to CARE country office personnel, government ministries and local NGOs are also represented. For example, in the India HLSA, representatives from three CARE Country Offices (India, Nepal and Bangladesh), three Government Ministries and three local NGOs participated in the assessment. The training aspect of this workshop was just as important as the actual data collection effort. This helps insure that a number of people are able to carry out this type of research in the future without relying on external consultants. This training exercise is very participatory with the various people from all levels of society involved in influencing the data collection instruments.

VIII. Primary Data Gathering Methods

The main purposes of HLSAs are to understand the nature of livelihood strategies of different categories of households (social differentiation), their levels of livelihood security, and the principle constraints and opportunities to address through programming. This information is also desegregated by gender and generation, in addition to other important factors. Therefore, a good holistic analysis will develop an understanding of livelihoods that is contextual, differentiated and desegregated. Methods used often focus on visualizing information, with community members involved in documenting information as much as possible. Outputs from such assessments should, at a minimum, include the identification of risk factors facing households or groups, key location-

specific criteria for differentiating wealth categories of households, and identification of key leverage points and opportunities to pursue in future programming.

The analytical framework generally defines the types of information required and includes qualitative descriptive information, quantitative descriptive information, and analytical (or causal) information (see Annex VI). The use of this framework has recently been applied in rural assessments in Malawi and Zimbabwe, and urban assessments in Mozambique and Peru.

- **Qualitative Descriptive Information**: at the household level, the information primarily required includes the assets held by the household, how these are utilized to earn adequate income, how resources are allocated, and the levels of critical outcomes achieved in terms of food security, nutrition and health status, and access to other basic needs such as water, shelter, education, etc. Assets, of course, include not only productive assets such as land and livestock, or financial assets such as savings or cash, but also the more intangible assets of labor, skills, capacity, and the social relations that underpin livelihood activities. Important among these is the ability of some households or groups to cope with risk and crisis better than others, what these abilities are, and how coping strategies work. At the intra-household level, it is important to consider gender and generationally differentiated roles and responsibilities, power relations, and differential access to resources and opportunities. Livelihood systems must also be understood at the community level, as well as the household level. Household level outcomes have to be put in a community or broader social and political context, so general information on the social, political, and institutional environment is also a major requirement.

- **Quantitative Descriptive Information**: for geographic targeting, and for identifying vulnerable groups, quantitative indicators of household basic needs outcomes are required. These will include nutritional status information as well as health status, access to services, literacy levels, access to potable water, etc. Much of this information is obtained from secondary sources. In some situations, rapid nutritional assessments may be carried out at the same time as the HLSA[8].

- **Analytical (Causal) Information**: for effective program design, not only is it important to understand the current status of target groups, it is also critical to understand the sources of vulnerability, and the causal factors that lead to vulnerability and marginalization.

To understand vulnerability, it is important to take into account the shocks or risks to which households or groups are exposed, their ability to cope with these shocks and their resilience to future shocks (see Annex II). To determine this vulnerability, risk factors can be grouped into those that are:

- environmentally based (e.g. floods, droughts);

[8] For more information on nutritional assessments, see Frankenberger, T. (1996). "Food Security Policy and Guidelines." Food Security Unit. CARE. Atlanta.

- economically based (e.g. macro-economic decline);
- socially based (e.g. breakdown of community management structures);
- politically based (e.g. rights denial, government policies that adversely affect prices, tenure, service provision); and
- conflict derived (e.g. ethnic rivalries, religious insurgency).

Once the risks have been taken into account, it is important to understand how households and/or groups cope or adapt to these shocks. On the basis of this analysis, it is possible to determine trends and livelihood strategies and changes that occur in internal household dynamics. In addition, it is important to determine the role of social networks and institutions in adapting/coping with these changes and analyze the intra- and inter-community dynamics.

On this basis, the assessment team can determine vulnerability at the community, household, group and individual level. This analysis delineates the target populations that need to be focused on in future interventions.

A. Collection Techniques

Various types of interview processes (see below) and interactive data-gathering tools are used to elicit people's perceptions of resources, constraints, social relations, wealth distribution, seasonal trends, and selection criteria. For example, *diagrams* have been used effectively to stimulate questions and responses, allowing the households' knowledge to be made more explicit (Conway 1989).

Initially all community residents are viewed as potential key informants. Some of the data collection exercises can be done without being selective about informants insofar as they know their community well and are honest in their responses. However, once vulnerable and marginalized groups are identified, individuals from these groups must play the central role in many of the discussions (Bergeron, 1999). Typically sub-groups are also stratified by gender, livelihood strategy, age group, ethic/caste affiliation, etc. It will probably be necessary to obtain information from each sub-group in order to capture all relevant information. Separating groups may also be necessary if interviewing them together creates social tension or reluctance on some people’s part to speak freely.

B. Types of Interviews

Group Interviews (GI): These are usually held with a large, but manageable, group of community members, sometimes gender segregated in order to capture differing views, and they are directed to obtain a general backdrop of the community. Group interviews are used to collect basic information about the community infrastructure and facilities (schools, medical posts, etc.), land tenure systems, markets, general trends on population movements and climate, cultural characterization and, very importantly, they allow the identification of the most prevalent livelihood systems. The GI are conducted based on a topical outline (See Annex X) and sufficient time should be allowed for the free and open expression of community members.

Key Informant Interviews (KI):
Key Informant interviews could be conducted simultaneously to and/or right after the GI with the village's legal, political and/or natural leaders and authorities. If the HLSA has been properly planned, some of these key authorities should know ahead of time of the date and purpose of the visit and they should already be prepared to receive and collaborate with the survey team. Key informants may be other than local authorities, including persons noted for their unique perspective and/or high degree of vulnerability, such as widows, educated girls, ethnic minority leaders, elders, school teaches, and health post attendants. The result of these interviews should be a better design of the community profile and a wealth of information useful to cross-check that information obtained from GI and Focus Group Interviews (FG).

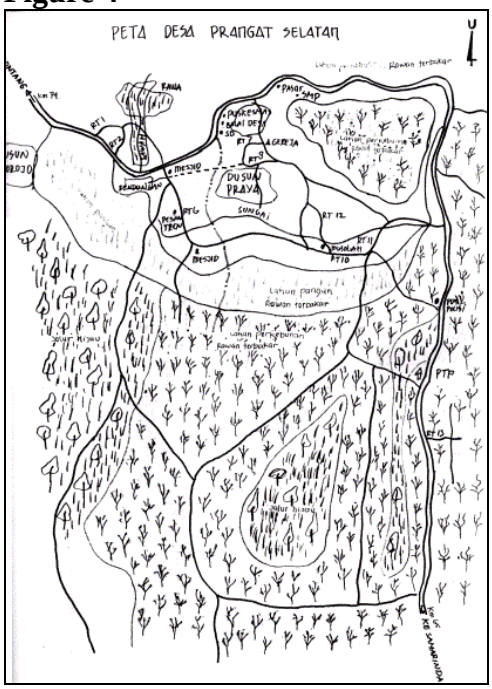
Focus Group Interviews (FG): The Focus Groups for each community are identified and formed based on the information obtained at the GI and KI. Usually, these groups will be representative of the major livelihood systems identified in the particular community under study. Each FG constitutes a sample of households which represent each livelihood system. Focus groups typically are formed on the basis of wealth ranking (WR) categories or livelihood groupings. They usually are desegregated by gender. The main objective of the FG is to be able to identify and describe the common and shared characteristics among the community members that have the same livelihood system. In other words, the FG are targeted to identify and characterize similarities among households. FG may also yield valuable information on trends on the livelihood systems and their security as perceived by the community members. Also important for FG interviews is information on sources of conflict within and among groups and communities, rights and responsibilities analysis, the local impact of national policies, as well as vulnerability and marginalization typologies. The discussions are flexible in time and structure, guided by a topical outline.

Household Interviews (HI): Household interviews are case studies that identify differences among the households of the community and allow for comparisons of households of both similar and different livelihood systems. From the information obtained in HI, the survey team may describe case studies of typical households within a livelihood system and document the differences among households belonging to the same livelihood system based on ethnicity, gender, head of household, etc.

Household interviews focus on the constraints and opportunities faced by the individual families and attempt to map intra-household dynamics, such as allocation of food, resources, decision making, trade-offs, etc. Additionally, information on household demography, assets and resources, months of self-provisioning, proportion of income spent on food, times of seasonal stress and specific coping strategies are captured. Usually, the sample includes three to six households selected opportunistically to represent the livelihood systems present in each community.

C. Interactive Tools[9]

Figure 4



Map produced by local community, South Prangat Village - East Kalimantan, 2001
Indonesia/© CARE 2001

Diagrams can simplify complex information, making it easier to communicate and analyze. Four different types of diagrams originally derived from agro-ecosystem analysis are often used:

- *Transects* tend to be drawn by survey teams that walk from the highest point to the lowest point in the immediate environment accompanied by the local people (See Annex VIII). Transects can also be derived by walking around the community. Consulting people in each zone, transects can help identify and locate major household food and livelihood security problems and opportunities. Transects can also help identify poverty or discrimination pockets in the community. For example, often the poorest of the poor or marginalized households live on the outskirts of communities.

Photo 1: Community Members Developing a Seasonal Calendar. East Kalamantan, Indonesia (2001)

Courtesy: Sustainable Agricultural Livelihoods for Santen Area (SALSA) Project. Indonesia/© CARE 2001

- *Calendars* are used to indicate seasonal features and changes and are useful for allowing community members to identify critical times in the crop production cycle with regard to changes in climate, cropping patterns, labor access, food procurement strategies, diet, health problems, school costs and other major expenditure patterns and prices (See Annex IX).

- *Flow diagrams* are used to

[9] For a step-by-step guide on the interactive tools described, please see Freudenberger, K. (1999) "Rapid Rural Appraisal and Participatory Rural Appraisal: A Manual for CRS Field Workers and Partners". CRS.

present events in a cycle of food production, marketing, and consumption. Flow diagrams can also be used to describe the decision making processes of local governments and service agencies and identify the opportunities and constraints for citizen participation.

- *Venn diagrams* can be used to understand the institutional relationships in a community. Such information could be critical to understanding the informal social mechanisms (e.g., claims) that buffer households or groups from periodic shocks.

Ranking and Scoring

Ranking and Scoring exercises elicit people's own criteria and judgments (Chambers 1985). These exercises can be used in wealth ranking (WR) of households (by ethnicity, gender of head of household, livelihood strategies, etc.) as well as for determining selection criteria for crop varieties and coping strategies.

In wealth ranking, households are placed into the categories of very poor, poor, better off, and rich. Some communities may want to desegregate the community in more categories. For each category, indicators such as food security, health and financial status are used to define the characteristics associated with each wealth category. Table 2 provides an example of some of the indicators used for each category.

Figure 5: Sample Indicators for Wealth Ranking Exercise[10]

	Very Poor	Poor	Better Off	Rich
Housing	Shelter made of cardboard boxes, or lives outside	Walls made of dried mud or unbaked bricks; Roofs of dried reeds	Small house with 2-3 rooms; Outside shower and latrine; No electricity	Larger house with 2 or more floors; Water and electricity
Food Security	Only eats when food available and has cash to purchase it; Sometimes does not eat all day.	2 meals a day, one with rice and one with manioc or rice soup.	3 meals a day, 2 with rice and breakfast with bread and tea.	Eats all types of food; Indefinite number of meals.
Health	Consistently poor health; No access to health care.	Uses public health centers or religious dispensary.	Uses affordable private health centers or work-sponsored health centers.	Usually fetches a doctor to the home; Able to buy medicines.
Financial Status	Begs or steals for money.	Daily earnings spent same day.	Earns a salary at end of month, but insufficient to meet monthly expenses; Often in debt; No savings	No financial problems; Has bank account.

Source: CARE Madagascar, "Antananarivo Urban Household Food and Livelihood Security Program,' September 1997.[11] Madagascar/© CARE 1997

D. Importance of Mixed Methods for Triangulation

Photo 2: Group Interview

A number of methods are used during the assessment process to triangulate information on livelihood security, gender, ethnicity, rights and responsibilities, vulnerability and marginalization, and the associated constraints and opportunities. Triangulation refers to the comparison of data among different sources of information to improve its validity and reliability. For example, information obtained from community maps should be consistent with information

[10] For a step-by-step explanation for completing a Wealth Ranking, see CARE. 1999. *Embracing Participation in Development: Worldwide experience from CARE's Reproductive Health Programs with a step-by-step field guide to participatory tools and techniques*. Eds. Shah, M., S. Kambou and B. Monahan. October. Atlanta

[11] In CARE's "Embracing Participation in Development: Worldwide experience from CARE's Reproductive Health Programs with a step-by-step field guide to participatory tools and techniques". October, 1999. Eds. Shah, M., S. Kambou and B. Monahan. Atlanta.

obtained during focus group discussions. Triangulation is particularly critical to the assessment exercise because open-ended discussions can sometimes be easily manipulated by informants. To ensure the quality of the information, efforts should be made to build in a number of checks across data collection techniques.

Photo 3: Key Informant Interview

E. Procedures for Carrying out the Fieldwork

It is important to let the community know that a team is coming to visit them on the scheduled day. This can be done by sending out a Country Office Field Representative prior to the team's arrival. It is also important to notify local authorities that the assessment is going to take place and in which communities, although care must be taken not to politicize the assessment process.

1. When the team arrives in the community, they first contact the local community leaders to explain the purpose of the study. The team states that the purpose of the visit is to carryout a socio-economic study of several communities to get to know the people better and to understand their lives in order to make CARE and its collaborating partners more aware of the local conditions. These insights will help guide future programming in the region. Care must be taken not to raise expectations among the population about follow-on projects or programs.

2. Often times this initial interaction is carried out in a group interview. General inquiries can be directed to the group about community infrastructure, land tenure arrangements, sources of credit, marketing, typical labor arrangements, and government programs in the area. These interviews allow the team to collect data on area-specific trends in resource endowments, cultivation practices and market access which raise considerably the value of information obtained from individual households. In addition, the team should identify local service providers (teachers, health workers, etc.) and community leaders with whom key informant interviews will be done. Plans will be made at this time for selecting and meeting with various focus groups and for carrying out other specific exercises as well.

3. Community leaders will then be asked to accompany the team in a walk around the community (community transect) so that the team can become familiar with the physical surroundings of the community. The team should pay particular attention to the infrastructure, the housing and general ecological and spatial characteristics of the community.

4. The team then breaks up into sub-teams to carry out interviews in the community. Some members will focus on constructing the community map, others on drawing a seasonal calendar, others will construct a Venn diagram identifying all of the institutions that interact with the community, and others will carry out a wealth ranking exercise to determine what criteria are used by the community to differentiate poorer households or groups. All of these activities may not occur simultaneously but can be sequenced. Focus group interviews will also be carried out with a male focus group and a female focus group. These are usually drawn from the poorer households. If the team has time, it may also be useful to conduct interviews with individual families. This will give an in-depth perspective on the lives of specific types of workers and other groups within the community.

Photo 4: Interview session with Local Education Officer for data gathering. Kendari , Southeast Sulawesi
Courtesy of: Protection of Tropical Forest through Ecological Conservation of Marginal Land (PTF-ECML) Project. Indonesia/© CARE 2001

5. After the focus group interviews are done, each of team members will then carry out key informant interviews. This is usually done on the second day of the survey. Key informant interviews will be carried out in the community as well as with individuals from the region. The key informant interviews could be conducted with someone from the school (teacher), someone from the health clinic (health worker), or someone from the local shop to find out information on prices of commodities, access to credit and marketing constraints. Key informant interviews should also be conducted with staff from the district or municipality, or syndicates, NGOs and other market agents. The team may decide that other interviews are needed as well.

6. Once the data have been collected, the team returns to a central location and begins entering information into matrices (See Annex XI). Some team members will be typing the information into the pre-designed matrix while other team members make sure that their notes are transcribed into the matrices.

7. After all of the notes from the team members are entered into the matrices, the team reviews the information together to identify key trends, issues and areas where the interview process can be improved. This presentation is then made to the local authorities and community representatives to inform them of the results and ensure the validity of the information.

8. The teams that visited different communities then come together and present their findings to each other. During this discussion, the teams should try to identify common themes as well as any inconsistencies. This exercise will form the basis for future planning in the region.

Photo 5: Discussion of Field Notes

IX. Data Analysis and Interpretation

During the survey, the analysis of the data collected over two days is done during the third day in order to assure that team members have a fresh recollection of the characteristics of the community. At the end of the HLSA additional time is devoted to data analysis and interpretation. As a general rule of thumb, an equal amount of time should be devoted to analysis as to data collection.

The analysis and interpretation of the data proceeds in four steps:

1. Analysis performed by each one of the inter-disciplinary field teams that conduct the data gathering exercise: qualitative information from GD, FG, KI, HI and the interactive tools is analyzed and interpreted by each team to develop a characterization of the community demographics, livelihood systems, rights and responsibilities, constraints, opportunities and coping strategies associated with vulnerability and marginalization.

2. Analysis of the same information is then done by disciplinary-sectoral teams, formed by the specialists of each one of the relevant sectors; this analysis is targeted to obtain a more in-depth understanding of income generation, health, nutrition, agriculture, environment, and social issues including education, gender, and community participation, from the information gathered. The sectoral analysis is performed right after the first analysis is completed by the field teams on the same day of data analysis.

3. The original inter-disciplinary field teams re-group to consolidate their views on the communities and to prepare the presentation on the local context -- livelihood systems and overall community situation -- during the day of data analysis. Each team presents the conclusions to the other teams and discussions are held every evening on each data analysis day.

4. The last 2-3 days of the survey are devoted to consolidating the information and completing the analysis. Additional, and complementary, data analysis may be performed then, as needed.

Analyzing Data Throughout the Assessment Process

Data analysis and interpretation can and should be done throughout the assessment process. Some of the critical opportunities for analysis are:

- After secondary data sources have been reviewed and compiled.
- During the training workshop, for the purpose of designing appropriate primary data survey instruments and methods.
- Prior to leaving field sites, in order to present and validate preliminary findings with local authorities and community representatives.
- At the close of field activities, to consolidate findings from all data sources and prepare necessary analytic charts and models.
- At a subsequent workshop designed to build consensus among local organizations regarding priority problems and local poverty-reduction strategies.
- During the preparation of a detailed project implementation plan by CARE staff.

Each of these steps offers opportunities to build upon the insights and analysis done through previous activities.

Text Box 5

A. Institutional Strengthening through Interagency Workshops

The HLS assessment process can and should be used to strengthen the analytic and problem-solving capacities of CARE and other local organizations. This can be achieved through interagency workshops designed to jointly consolidate, analyze and interpret the findings from the secondary data review and the primary data collection activities. A well-known adage affirms that no single entity (person or institution) is bearer of the whole truth; that each may hold an important element of the truth, and together they can approximate the most reasonable response. This is a particularly relevant and important consideration in dynamic cultural, social and political environments. The causes of and lasting solutions to poverty and livelihood insecurity are as much cultural, social and political as they are technical.

The ultimate purpose of the interagency workshops is to establish the foundations for achieving consensus on overall development strategies, key leverage interventions and complementary agency programming initiatives. Hopefully, long-term strategic alliances and joint ventures will be established to effectively and forcefully address the underlying and root causes of poverty and livelihood insecurity. Neither CARE, nor local governments nor any other single agency alone can resolve these complex problems and sustain positive development trends over time. Interagency workshops, and the ongoing

working relationships which they foster, can be powerful vehicles for advocacy and promoting rights and responsibilities.

B. Suggested Analysis Instruments and Techniques

Various tools and methods can be used to process and analyze HLS assessment data. Some may be adapted from among the existing "toolkits" of professional disciplines (anthropology, public health, ecology, economics, etc.), while others may be crafted on the spot to accommodate the specific assessment objectives, mix of participants, and available data sets. The following instruments have proved to be very effective for presenting and analyzing data and for building consensus among diverse organizations and disciplines. These tools represent a menu of options from which to choose. It is important to again emphasize that triangulation of data from the following instruments and techniques are critical.

✖ Consolidated Matrices of Community Livelihood Systems

The findings obtained from the various survey instruments (focus groups, seasonal calendars, key informant interview, etc.) are consolidated on a pre-designed matrix for each community (See Annex XI). The matrix contains an outline (headings) of many specific research questions, grouped into the five principal areas of HLS analysis: Context, Conditions and Trends; Livelihood Resources; Institutional Processes; Livelihood Strategies; and Quality of life outcomes. The matrix provides a method for triangulating data from different sources for all research questions. This procedure builds upon the livelihood profiles that were created from the Secondary Data Review.

✖ Profiles of Livelihood Systems

Profiles of livelihood systems can be consolidated by political-administrative areas, agro-ecological zones, household wealth ranking, or other criteria depending on the availability of desegregated secondary and primary data, the degree of variation among target groups, and overall program objectives. HLS profiles should focus on the conditions of the poorest households or groups. The consolidated community matrices (described above) will provide much of the source information for the profiles, particularly the sections on access to resources, institutional processes, and coping strategies. The analysis of livelihood resources should focus on the relative accumulation and trade-offs of various kinds of capital in the poorest households (natural, physical, economic/financial, human, social and political).

✖ Problem – Cause Trees

Statistical and qualitative data will shed light on the relative importance of the multiple problems faced by the poorest families. How people prioritize their own problems is important in determining underlying causes and also in

mobilizing local support for programmatic solutions. Problem trees should be constructed for only the three or four most important problems. These problems will likely in part reflect program sectors, for example, low income, poor health and limited education. Importantly however, in a RBA focused HLSA, families may prioritize pressing issues such as limited freedom of participation in civil society, political representation, and personal security. These rights-oriented issues will increasingly become a critical aspect of the HLSA analysis and resulting strategy selection.

Participatory methods should be used to identify the consequences and immediate (or primary) causes of each problem; underlying (or secondary) causes are identified for each immediate cause; and structural (or tertiary) level causes are identified for each underlying cause. Often, secondary and tertiary causes will contribute to more than one immediate cause (See Annex IV).

✘ Analysis of Common Causes

The most frequent, and therefore probably significant, causes become evident when the principal problem trees are placed side-by-side and compared horizontally. Causes that recur across and contribute to different problem areas take on major importance because they may indicate program interventions which can leverage multiple impacts. Likewise, causes that underlie and contribute to the symptoms or outcome measures of poverty and precarious quality of life standards, often indicate the barriers to social change and denial of basic rights which sustain high levels of poverty and exclusion.

✘ Opportunities Analysis

Opportunities Analysis should be part of every HLSA analysis exercise. This analysis aims to identify positive deviance among households and communities. Positive deviance includes behaviors or actions carried out by a few individuals, households or communities that have a positive outcome in addressing common constraints. Project design efforts want to build on these positive examples because the solutions are derived from members of the communities themselves.

✘ Rights and Responsibilities Analysis

Rights and responsibilities analysis is intended, first, to link the key causes of poverty and insecurity to unrealized rights (See Annex XIV). It then leads to assessment of who is responsible for causing the situation and who is responsible, in some way, for addressing the situation. Generally, those who are responsible for causing the situation will also be responsible for addressing the situation. At the same time, there will be others who are or should feel responsible and should contribute. These are actors that should be included in the second responsibilities column. Next comes a behavioural analysis, an examination of why responsible actors are not doing enough to help people

realize their unrealized rights (certain actors may be doing all they can but inevitably some key ones will not be). Last, the Rights and Responsibilities tool allows for consideration of what action CARE, in conjunction with others, can take to promote the necessary action.[12]

✖ Gender Analysis

Understanding gender relations and dynamics is critical to our understanding of livelihood security for individuals within households. The analysis should take into consideration gender divisions of labor, access to goods and services, control over resources, power relations and rights. The analysis should attempt to identify strategies and activities that will contribute to improved gender equity. This analysis should also investigate the potential for differential gender impact (both positive and negative) for a range of proposed intervention options. Finally, the analysis should take differences in class, ethnicity and age into account when considering the roles and responsibilities of women.

Photo 6: Women's Group Interview

✖ Stakeholder Analysis

It is important to identify and understand the relationship between stakeholders and the proposed project. Some stakeholders will benefit more than others; key individuals (perhaps representatives of an organization) may have personal interests at stake. Stakeholder analysis thus aims to identify: who are the entities with potential interests in the problem the project seeks to address, what their interests and roles might be, and how to incorporate strategies into the project design to mitigate conflict or turn potential situations of conflict into opportunities for collaboration. Looking for opportunities to build constituencies for what CARE does can create the weave that enables services to be provided in appropriate ways within communities (See Annex XIV).

✖ Institutional Analysis

Institutional analysis focuses on an analysis of internal and external capacities (human, financial and material) to implement specific activities and absorb inputs such as training[13]. It is complementary to stakeholder analysis, differing

[12] See CARE's Rights-Based Programming Workbook, Facilitation Notes, prepared by Andrew Jones, 2001

[13] This section from Caldwell, R. (2002). CARE Project Design Manual. CARE International: Atlanta.

in that it focuses more specifically on the capacity of potential institutional partners–including CARE–to collaborate in project implementation, and respective roles and responsibilities of collaborating agencies. For example, during a holistic analysis of issues surrounding child malnutrition, the design team identifies the local health department as a key stakeholder and potential project partner. Therefore, the team elects to conduct a thorough assessment of the department to identify particular assets of the agency, or institutional capacities that may need strengthening to ensure project achievement. An institutional analysis will be more practical once the project strategy becomes defined, so that it is clear which institutions and functions need to be considered.

✖ Institutional SWOT Analysis

Building on the Institutional Analysis, a SWOT analysis identifies the internal Strengths and Weaknesses, and external Opportunities and Threats, shared by the organizations in question. By going beyond the listing of the most important factors or characteristics of each (SWOT) category, a SWOT analysis links each of the perceived "threats" to related organizational "weaknesses", the "weaknesses" to related "opportunities", and the "opportunities" to related "strengths". The items at which the most lines (links) converge indicate the priority threats to be mitigated, weaknesses to be corrected, opportunities to be seized, and strengths to be reinforced.

Another type of institutional analysis draws on the profiles of each local organization and municipal governments. Comparisons are made between priority program strategies, on the one hand, and between the constraints experienced by local organizations, on the other. The resulting similarities and gaps serve to highlight areas of potential support and collaboration among organizations, but also areas of inadequate attention and potential conflicts.

✖ RICO Strategy Analysis

This particular method was developed during the HLS assessment process of CARE Bolivia's Title II program. An interagency workshop was conducted to build consensus for joint municipal development plans. Using the findings from Livelihood System Profiles, Problem-Cause Trees and other tools mentioned previously, four mixed groups identified the most important livelihood Risks to the most vulnerable families, priority Interventions, common Causes of poverty, and existing Opportunities. In the same manner as a SWOT analysis, "risks" were linked to related "causes", "causes" were linked to related "interventions", and "interventions" were linked to related "opportunities". The convergence of most frequent linkages served to identify the most important risk factors, underlying causes, leverage interventions, and existing opportunities for local programming efforts. The participatory nature of the exercise served to reach

consensus on strategic directions among the various participating organizations and create operational partnerships.

✖ Cross-Sectoral Strategy Analysis

Objectives, strategies and interventions are regularly determined for each program component by constructing Logical Frameworks, and components most often reflect program sectors and technical indicators for measuring progress. However, the HLS programming framework draws attention to certain elements which cross sectoral lines and require explicit objectives and indicators to achieve the desired results. Common strategies will probably be needed to assure mutually supportive efforts towards the sustainability of impacts, the appropriate uses of donated food, enhancing gender and ethnic equity, working in partnerships, institutional learning, and policy advocacy, for example. First, sector-oriented teams can identify how their component might specifically address these issues. A matrix is then constructed which compares each sector's approach with those of the other sectors for each cross-cutting issue. An interdisciplinary working group then consolidates and prioritizes the most promising strategies, suggests specific program interventions and resource requirements, and selects a limited number of indicators by which progress can be tracked and evaluated for each issue area.

✖ Benefit-Harm Analysis

The Benefit-Harm "profile" tools developed by CARE's East Africa Regional Management Unit (EARMU) offer a practical way to broaden our analytical framework to include all human rights, which, for purposes of simplicity, are divided into three categories: economic and social, political, and security rights[14]. Economic and social rights are those rights that allow for livelihood security, such as nutrition, education and access to health care. Political rights include the right to nationality and equality and recognition before the law; rights to a fair trial and innocence until proven guilty; the freedoms of thought, conscience, religion, opinion and expression; and the rights to assembly, association, and political participation in the power structures that affect peoples lives. Security rights refer to physical security and how it may be compromised when relief resources are distributed during complex emergencies, or how resources in development work may increase tensions between groups.

Unintended impacts occur for three major reasons:

- Lack of knowledge about the context in which an organization works.
- Lack of thought about the unintended impact of projects.
- Failure to take action to mitigate unintended harm or capitalize on unforeseen potential benefits.

[14] For a list of tools to assist in a benefit-harm analysis, see CARE's Benefits-Harms Handbook (2001).

X. Program Recommendations

Once the survey is completed, hypotheses should be formulated regarding the major livelihood security and rights realization constraints and vulnerable and marginalized groups found in the surveyed areas. In addition, the team members should also derive a series of intervention recommendations to help alleviate the identified constraints and to build on identified opportunities.

Interventions will be aimed at helping people enhance or sustain their livelihoods and promote rights realization. This may be achieved through: 1) a focus on increasing or retaining productive assets at the household level; 2) expanding alternative economic activities; 3) stabilizing markets during food shortages; 4) devising appropriate interventions in conflict situations; 5) designing self-reliance and local empowerment strategies; and 6) developing advocacy campaigns. Team consensus should be reached on all constraints, opportunities and recommendations proposed. This activity gives the team members an opportunity to combine their various disciplinary expertise in formulating possible solutions. In some cases, the team may be called upon to prioritize these recommendations.

A variety of recommendations can be derived from these assessments. Some of these recommendations address short-term needs and will primarily focus on the immediate causes of food and livelihood insecurity. Other recommendations that are proposed are more long-term and will address the root causes of poverty, deprivation and human rights violations. These types of recommendations often cannot be implemented in a five-year project cycle. As the team formulates these recommendations it is important to consider all types. The ability to mobilize groups to advocate for policy change needs to be accompanied by measures that remove some of the conditions of economic insecurity in the short-term. Unless the poor can be guaranteed the security of their own livelihoods it is unrealistic to expect them to mobilize themselves.

Sequencing Interventions

Given this short-term and long-term perspective, it may be necessary to sequence the interventions proposed. Interventions that address short-term needs can be implemented to stabilize livelihoods systems so that people have the time and energy to pursue empowerment and governance objectives. In addition, as CARE moves towards interventions that enable the poor to secure their rights, it may be necessary to begin with non-contested interventions (e.g. improve water systems, health services, etc.) and move towards contested interventions once the poorer groups are better organized (e.g. land tenure reform).

Rights Based Programming

As CARE phases into more rights-based programming, it will be faced with the reality that establishing effective institutions for good governance and local empowerment will

not be simple. Institutional reforms will be required that empower the poor to participate in local and national decisions, that make government official, private sector, and others accountable and ensure that the poor receive legal protection. Advocacy initiatives will be become part of the menu of options considered from HLS assessments. For CARE to be effective in reducing malnutrition and poverty in a sustainable way, CARE will have to understand and develop the capacity to facilitate institutional reform so that the tools of democracy, participation and freedom of choice and the capacities to use these tools are made available to the poor.

Developing Recommendations

The following questions are posed to help determine the most appropriate recommendations for follow-up to the HLSA:

1. Recommendations need to be outlined on the basis of three strategic areas: a) targeting elements; b) programming elements; and c) mechanisms for implementation. For each intervention proposed, each of these elements needs to be discussed.
2. Has the assessment identified priority interventions across sectors that can be considered the greatest leverage points for improving the food and livelihood security of the local populations? Do these vary by region or vulnerable group? Does CARE have a comparative advantage in these intervention areas or should collaborative links be established with other partners that do specialize in these interventions?
3. How do the recommendations fit in with existing CARE programs? Will adjustments have to be made in ongoing programs (e.g. targeting, cross-project coordination etc.), or do new initiatives have to be pursued? If new initiatives are recommended, does CARE presently have the skilled staff to take on such initiatives? If not, where will the staff and resources come from? Is there a development niche that is not presently being filled for which CARE can obtain donor funding? Does this activity fit in with CARE's strategic plan for the country? Does it fit in with the Government's overall development strategy? How does it fit in with USAID's or other donors' strategies? If the proposed initiatives do not fit Government or Major donor strategies, what approaches will be developed to bring these entities on board?
4. When considering a recommended food aid action, have the disincentive effects or changes on local production, marketing, and consumption been taken into account in the recommendation? Has consideration been given to ration size and quality, as well as timing? In addition, how is targeting information being used in the selection of project interventions and determination of wage rates? What is the Government's role in the intervention? Has a plan been considered on how to phase out of the food distribution activity? How will project benefits be sustained?
5. Have partners been identified to implement the project activities, particularly those related to human rights? How were these partners selected? What

additional institutional capacity building is necessary to improve partner performance? What are the constraints to successful partnerships?

6. What is the influence of Government and donor macro policy on the success of the interventions proposed? Is there a potential advocacy role for CARE?
7. What are the steps that need to be taken into account to set up monitoring and evaluation systems for proposed project activities? What resources and technical assistance are needed for establishing baselines and M and E systems? How will unintended consequences be monitored?
8. What steps need to be taken in terms of internal capacity building to enable CARE to address rights based issues? What organizations can CARE align with to promote such initiatives?

XI. Written Reports

The Final Report should be prepared immediately after finishing the fieldwork. To facilitate the report write-up, the team leaders should assign each member a portion of the report to be written. The report identifies:

1) The most livelihood-insecure and marginalized groups in the surveyed area;
2) The causes and magnitude of the livelihood insecurity situation and rights denial;
3) The major constraints and opportunities for livelihood security; and
4) Appropriate interventions that will alleviate or lessen the livelihood security problem or build upon opportunities. Upon completion, the report is distributed to the communities in which the survey was conducted, and to all participating organizations and institutions that will be implementing the recommendations.

Report Outline

- **Executive Summary**: Typically two or three pages long, provides a concise summary of the main issues identified in the full report.
- **Introduction**: Contains the objectives of the assessment, the methodology used, as well as a general outline of the report. The methods section is particularly important because it support the validity of the results by providing information on what types of tools were utilized to collect the information needed to achieve the objectives of the assessment.
- **General Livelihood Context**: Information from this section is taken from the secondary data review that was conducted as well as the information gathered from the assessment. Contextual issues include the history of the community and description of the political system; area and population information; social and gender profiles; health and nutrition; vulnerability and marginalization context; national trends in poverty, population and resources and institutional context; as well as the impact of national policies at the local level.
- **Summary of Findings**: Using the livelihoods framework, the findings discuss the vulnerability and marginalization context that individuals live in as well as how institutions and organizations influence and support access to livelihoods assets. The types of livelihoods assets are described (human, social, political, natural, physical and financial capital) and what livelihood strategies individuals and households are engaged in. Poverty (and its impacts on access to resources and increases in livelihood vulnerability), is analyzed as well as the outcomes of poverty and the relationship between poverty, vulnerability and gender, and policy level implications.
- **Preliminary Analysis of nutritional data (optional)**
- **Proposed General Recommendations:** Addresses the main constraints to livelihood security in the area and builds upon the opportunities.
- **Matrices on livelihoods**: The matrices are generated from the topical outlines and can be used to aid in the creation of the final report. These are usually included in the Annex.

Text Box 6

The results of the HLSA are presented immediately after the data analysis is completed, coinciding with the completion of the report, to an audience that may include: CARE senior staff members and representatives of other PVOs, NGOs, GOs, donors and international programs.

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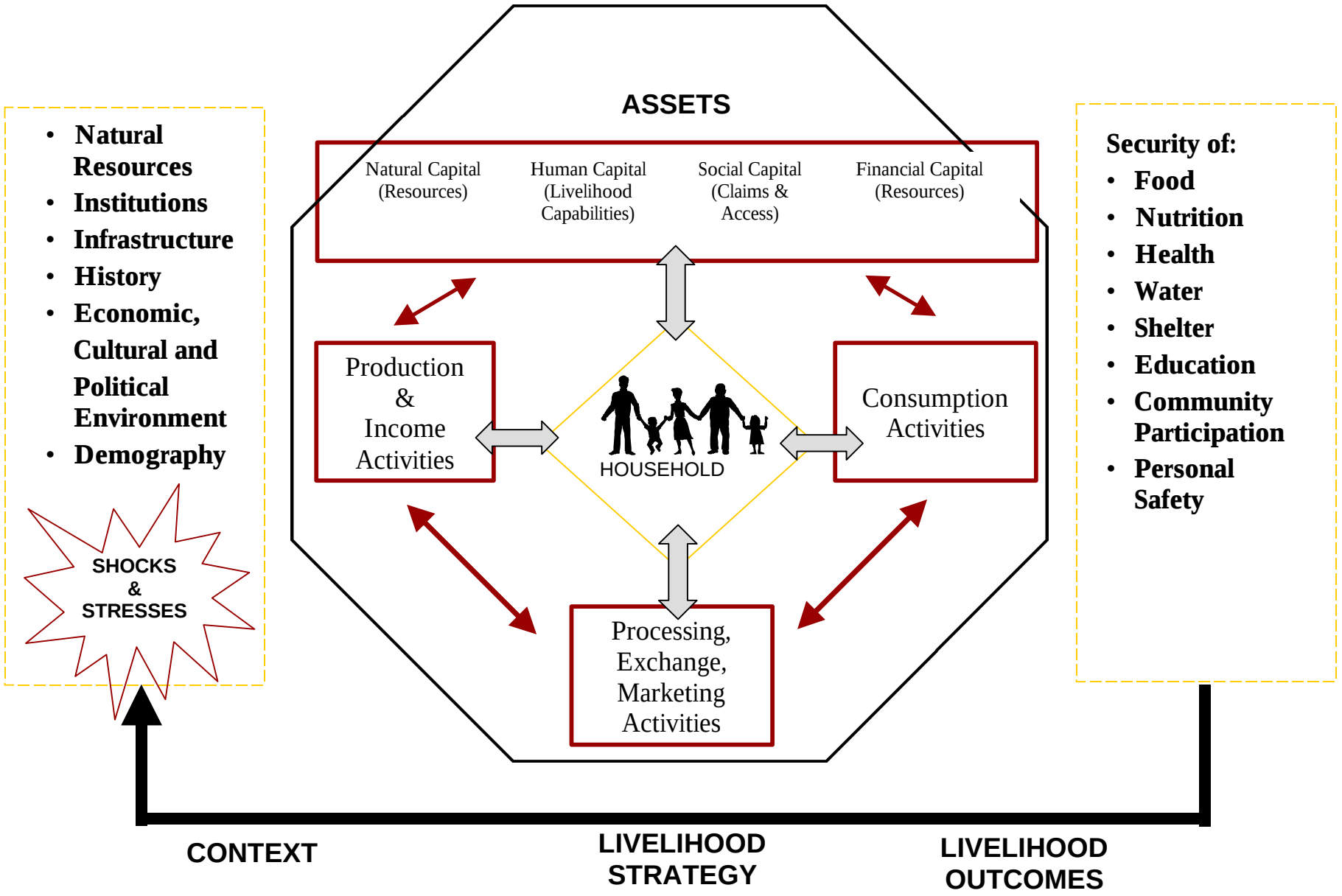
ANNEXES

Annex I: CARE'S LIVELIHOOD SECURITY MODEL



After Swift, 1989, Drinkwater, 1994, Carney, 1998, Frankenberger and Drinkwater, 1999

ANNEX II: Sources of Risk to Household Livelihood Security

Sources of Livelihood	Types of Risk				
		Social			
	Environmental	State	Community	Economic	*Conflict*
Human Capital Labor power, education, health	Disease epidemics (malaria, cholera, dysentery) due to poor sanitary conditions, AIDS	Declining public health expenditures, user charges, declining education expenditures	Breakdown in community support of social services	Privatization of social services, reduction in labor opportunities	Conflict destroys social infrastructure, mobility restrictions
Financial and Natural Capital Productive resources (land, machinery, tools, animals, housing, trees, wells, etc.), liquid capital resources (jewelry, granaries, small animals, savings)	Drought, flooding, land degradation, pests, animal disease	Land confiscation, no secure tenure rights, taxes, employment policies	Appropriation and loss of common property resources, increased theft	Price shocks, rapid inflation, food shortages	Conflict leads to loss of land, assets, and theft
Social Capital Claims, kinship networks, safety-nets, common property	Recurring environmental shocks breakdown ability to reciprocate. Morbidity and mortality affect social capital	Reduction in safety net support (school feeding, supplementary feeding, FFW, etc.)	Breakdown of labor reciprocity, Breakdown of sharing mechanisms, stricter loan requirements, lack of social cohesion	Shift to institutional forms of trust, stricter loan collateral requirements, migration for employment	Communities displaced by war, theft leads to breakdown in trust
Sources of Income Productive activities, process and exchange activities, other sources of employment, seasonal migration	Seasonal climatic fluctuations affecting employment opportunities, drought, flooding, pests, animal disease, morbidity and mortality of income earners	Employment policies, declining subsidies or inputs, poor investment in infrastructure, taxes		Unemployment, falling real wages, price shocks	Marketing channels disrupted by war

ANNEX III
SAMPLE SCOPE OF WORK
FROM: CARE BOLIVIA TITLE II HLSA

Scope of Work: [Team Member Name], [Title]

Dear [Team Member],

I am very pleased that you will be participating in the household livelihood security (HLS) assessment that we are planning for CARE´s Title II program in Potosí and Tarija. I will be coordinating the technical assistance team which will advise the CARE staff and help analyze the results of both the secondary and primary data research, and facilitate the joint planning process with local agencies. There are several aspects related to civil society participation, gender analysis and benefit/harms analysis that have not been adequately developed in the program are a particularly vital part of this assessment. In addition, based on your experience in [previous HLSA], we would like you to serve as assistant coordinator in all phases of the assessment process. This would involve helping me to train and supervise the field teams, providing assistance to the CARE staff and preparing the final technical assistance reports. We would like you to participate in all three phases of the process and also assist CARE Bolivia in the planning and editing of a popular version of the final report for distribution and use at the local level. In previous correspondence, I have sent to you the Terms of Reference, the Timeline and Guidelines for Secondary Data collection.

Secondary data analysis. CARE staff are currently compiling secondary data. This information will be analyzed with partner organizations at two workshops: Potosí, 19-21 September, and Tarija, 24-26 September. The results of both workshops will be consolidated in Tarija following the workshops. A main focus of the secondary data review is to identify information requirements for the primary data surveys to be conducted in November. You would be expected to produce a concise, 5-8 page report, in Spanish, on the findings of the secondary data and the requirements for primary data regarding (1) the situation regarding "participation security" and social capital of the most vulnerable families, (2) the comparative access of women and men to property, information, education, leisure time, economic resources, and economic and political opportunities, (3) the potential harms and benefits resulting from the proposed Title II program in terms of socio-cultural aspects, personal security and freedom of program participants and local partner organizations, and (4) the major constraints which need to be overcome by the program.

Primary data collection and analysis. This phase will be undertaken between 04-19 November. There will be one day of preparation (04), three days of training (05-07), nine days of field surveys (08-16), and three days of synthesis (17-19). During the fieldwork, our technical assistance team will accompany the four research teams to provide quality control and to assist with reporting preliminary results prior to leaving each municipality. At the conclusion of the fieldwork, we will synthesize the results by sub-region and will validate the overall problem-cause analysis done in the previous phase and identify critical leverage interventions for future programming. You would be expected to produce another report, 10-15 pages in Spanish, which (1) comments on the quality of the HLS assessment process, (2) updates your previous report with the results of the primary data research, (3) makes recommendations regarding the strategy and design of the Title II proposal, and (4) makes recommendations for municipal and sub-regional development plans.

Joint action planning. Two consultation workshops will be held with representatives of municipal governments, local OTBs and NGOs, and international cooperation agencies. The purpose of these workshops--Potosí, 28-30 November, and Tarija, 03-05 December--is to (1) present and discuss the findings and recommendations of the HLS assessment, (2) determine strategic directions for joint, five-

year, sub-regional development plans which address the underlying and root causes of poverty, and (3) identify priority interventions for municipalities and higher levels.

At present, the HLS assessment team will consist of: myself as coordinator and health security specialist (all phases); yourself, assistant coordinator, participation security and gender specialist (all phases); an agronomist and economic security specialist (secondary and primary data phases); A data analysis and sociopolitical security specialist (primary data phase); and a food security specialist (training phase).

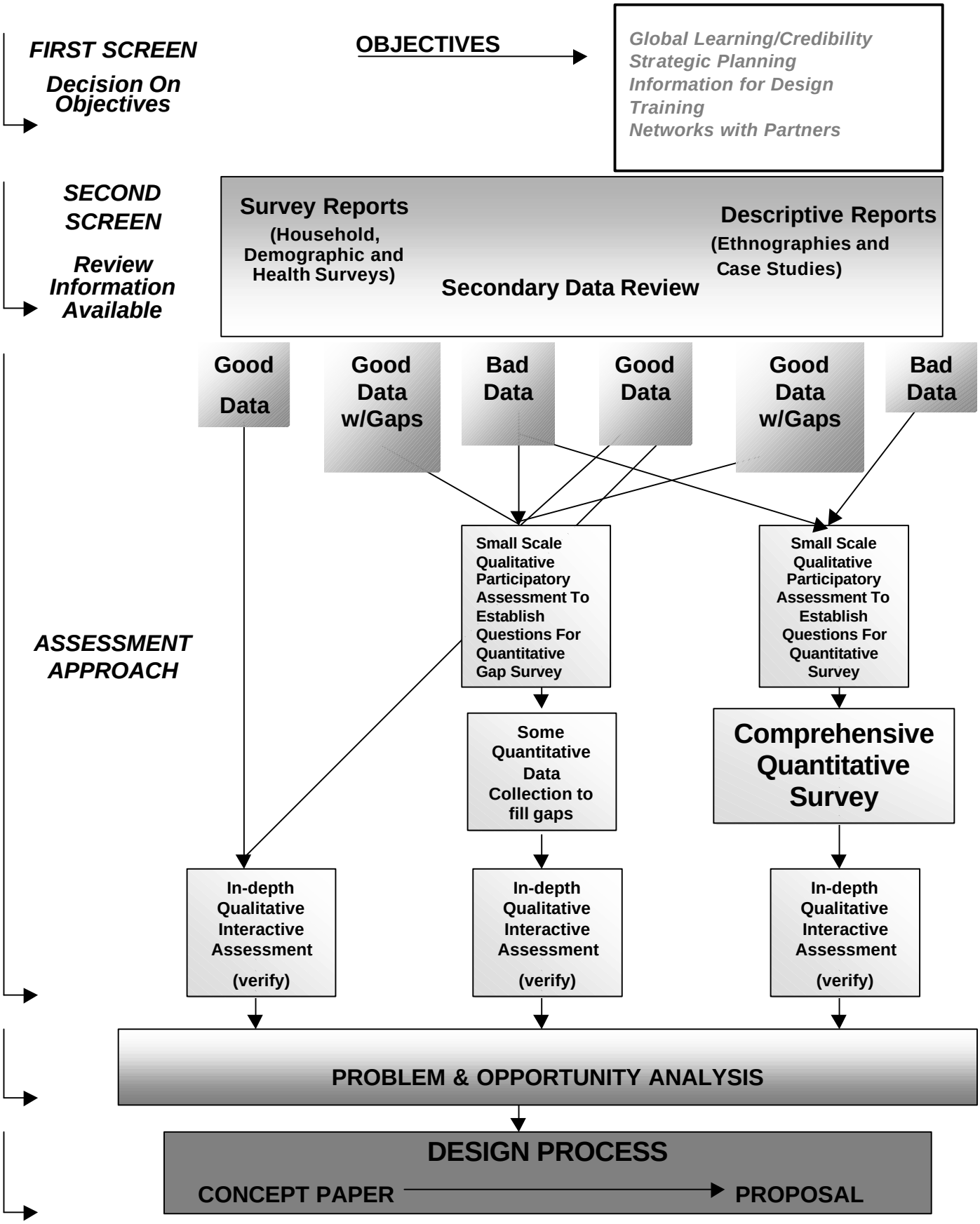
We would be able to offer you a daily rate of US--- for a total of -- days (-- days for the secondary data phase, -- days for the primary data phase, -- days for the consultation phase and -- days for planning and editing the popular version of the final report). Your travel and per diem expenses related to your participation will be covered. Your contract would be directly with [consulting firm name]. I would also like to receive an abbreviated English version of your CV if you have one so that I may share it with my US colleagues.

I am looking forward to working with you.

Best regards, [Team Leader]

ANNEX IV

DIAGNOSIS DECISION TREE



Annex V

Sample of a Household Livelihood Security Workshop Agenda

Overall Objective: To improve livelihood security programming for CARE country offices through training in livelihood security concepts and frameworks, assessment approaches, and the procedures of program design.

Day 1:	**Food and Livelihood Security Concepts and Contextual Issues**
9:00-9:30	**Introduction** Discuss Workshop Objectives, Review Agenda, and Introduce Participants
9:30-10:15	**Overview of Food Security Concepts and Frameworks** Evolution of Food Security as a Concept Dimensions of Food Security Definitions of Food Security Types of Food Insecurity Food Security vs. Nutritional Security Vulnerability
10:15-10:45	Discussion
10:45-11:00	Coffee/Tea Break
11:00-12:00	**Livelihood Security Concepts and Frameworks** Contextual Issues (conditions and trends) Livelihood Resources (types of capital) Institutional Processes and structures Livelihood Strategies Livelihood Outcomes
12:00-12:30	Discussion
12:30-1:30	Lunch
1:30-2:15	**Urban Food Security (Optional)**[15] Characteristics of Urban Food Insecurity Issues of Targeting Issues Related to Health and Sanitation
2:15-2:45	Discussion
2:45-3:30	**Food Security and HIV/AIDS (Optional)** Livelihood Impact of HIV/AIDS Affect on Assets Impact on Institutions Effect on Social Cohesion Vulnerable groups
3:30-4:15	Small Group Discussion
4:15-4:30	Coffee/Tea Break
4:30-5:15	**Empowerment and Governance and Livelihood Security**

[15] If presentation on urban food security and food security and HIV/AIDS are not made, then many of the activities carried out on the second day will be moved up to the afternoon of the first day.

The Role of Democracy in Reducing Child Mortality and Malnutrition
What is Governance?
Opportunities for Good Governance
What is Empowerment?
What is Political Capital?
Corruption and Capture
Transition Costs

5:15-5:45 Small Group Discussion

5:45-6:00 Wrap Up

Day 2: Targeting and Assessment Approaches

9:00-10:00 **Targeting the Food Insecure**
Methods Used for Targeting the Food Insecure at Different Levels (National, Regional and Local) (Vulnerability Mapping)
Finding the Food Insecure at the Household Level
Typology of Targeting Approaches
Errors of Targeting
Choosing Criteria for Targeting
Choosing Mechanisms
Targeting Different Program Types

10:00-10:30 Small Group Discussion of Current Targeting Practices

10:30-10:45 Plenary Discussion

10:45-11:00 Coffee/Tea Break

11:00-12:00 **Holistic Assessments-**
What are the Objectives of the Assessment?
Where is the Information Obtained (Secondary or Primary)
What are the Key Types of Information Needed (Descriptive and Analytical, Quantitative vs. Qualitative)
Alternative Data Collection Methods
- Interactive Tools and When to Use Them (Maps, Transects, Venn Diagrams, Seasonal Calendars, Historic Timelines)
- Wealth Ranking
- Group Interviews
- Focus Group Interviews
- Case Studies
- Household Interviews
- Key Informant Interviews
- Anthropometric Surveys

12:00-12:45 Small Group Discussion on Current Assessment Approaches Used

12:45-1:00 Plenary Discussion

1:00-2:00 Lunch

2:00-3:00 **Understanding Vulnerability**
Risk Factors
Coping /Adaptive Strategies
Trends in Livelihood Strategies
Internal Household Dynamics
Analyzing Vulnerability at the Community, Household and Individual Level

3:00-3:30 Small Group Discussion

3:30-3:45	Coffee/Tea Break
Day 3:	**Topical Outline Design**
9:00 – 10:45	**Small Group Work on Identifying Topics to be Included under each Livelihood Framework Categories** (Context, Resources, Institutions/Organizations, Livelihood strategies, Livelihood outcomes)
10:45 – 11:00	Coffee/Tea Break
11:00 – 12:30	**Plenary Discussion of small group work**
12:30 – 1:30	Lunch
1:30 – 3:00	**Plenary Discussion of various data collection tools to be used in the field** (Group Interviews, Focus Group Interviews, Key Informant Interviews, HH case studies, various interactive tools, such as: Venn Diagrams, Calendars, Maps, Historic Timelines, Wealth Rankings).
3:00 – 3:15	Coffee/Tea Break
3:15 – 4:30	**Discuss Field Logistics, Data Entry and Analysis** (schedule, teams, rendezvous points for analysis, etc.)
4:30 – 5:30	**Break into Teams and Discuss Roles and Responsibilities**
5:30 – 6:00	Wrap Up
Day 4:	**Program Design (Optional)**
9:00 – 9:45	**Hierarchical Analysis (Problems and Opportunities) (Optional)** Phrasing Problems, Causes and Consequences Positive Approaches to Analysis Methods of Causal Analysis Group Brainstorming/Consensus (Appreciative Analysis–Visioning) Cause and Consequence Analysis
9:45 – 10:45	Small Group Exercise and Discussion
10:45 – 11:00	Coffee/Tea Break
11:00 – 11:45	**Assumptions and Key Questions (Optional)** Identifying Assumptions through the Analysis of External Factors Using a Decision Tree to Identify Assumptions and Key Questions Examples
11:45 – 12:15	Small Group Discussion
12:15 – 12:45	Plenary Discussion
12:45 – 1:45	Lunch
1:45 – 2:30	**Logic Modeling (Optional)** What Are Logical Models? Portraying Logical Models (Objective Hierarchy, Flow Diagram) Cause and Effect Logic in Project Hierarchy
2:30 – 3:10	Small Group Discussion
3:15 – 3:45	Plenary Discussion
3:45 – 4:00	Coffee/Tea Break

4:00 – 4:45 **Lessons Learned from Food Aid Programming (Optional)**
Food vs. No Food
Ability of Public Works to Target the Poor
School Feeding Programs
Food Aid for Safety Nets
Supplementary Feeding
Nutrition Impact of Projects
Food Aid Policies

4:45 – 5:15 Plenary Discussion

5:15 – 5:30 Wrap Up

Day 5: Food Aid Programming (Optional)

9:00 – 10:00 **Food Aid Modalities (Optional)**
Direct Distribution
Supplemental Feeding
Food-for-Assets
Food-for-Education/Training
School Feeding
Subsidized Commodity Sales
Monetization

10:00 – 10:45 Small Group Discussion on Current Food Aid Modalities Implemented by CARE

10:45 – 11:00 Plenary Discussion

11:00 – 11:15 Coffee/Tea Break

11:15 – 12:00 **Short-Term Food Aid Programming (Optional)**
Providing Food in the Immediate Term for Households that Are Highly Food Insecure
- Emergency Programming (Quick Onset and Slow Onset)
- HIV/AIDS and Emergencies
- Safety Nets (Chronic poverty, HIV/AIDS, Vulnerable groups)
- Chronically Vulnerable Areas
- Food Aid Ration Calculations

12:00 – 12:30 Small Group Discussion

12:30 – 1:30 Lunch

1:30 – 2:30 **Medium-Term Food Aid Programming (Optional)**
Protecting Assets and Investing in Food Security
- Addressing Key Leverage Points
- Agricultural Programming
- Income Generating Projects
- Health (MCH and Child Survival)
- Education Programs
- Urban Food Insecurity

2:30 – 3:15 Small Group Discussion

3:15 – 3:30 Plenary Session

3:30 – 3:45 Coffee/Tea Break

3:45 – 4:45 **Long-Term Food Aid Programming (Optional)**

Building a Foundation for Longer Term Food and Livelihood Security

- Natural Resource Management
- Addressing HIV/AIDS
- Promoting Good Governance
- Human Rights
- Advocacy
- Conflict Mediation

4:45 – 5:30 Small Group Discussion

5:30 – 5:45 Plenary Discussion

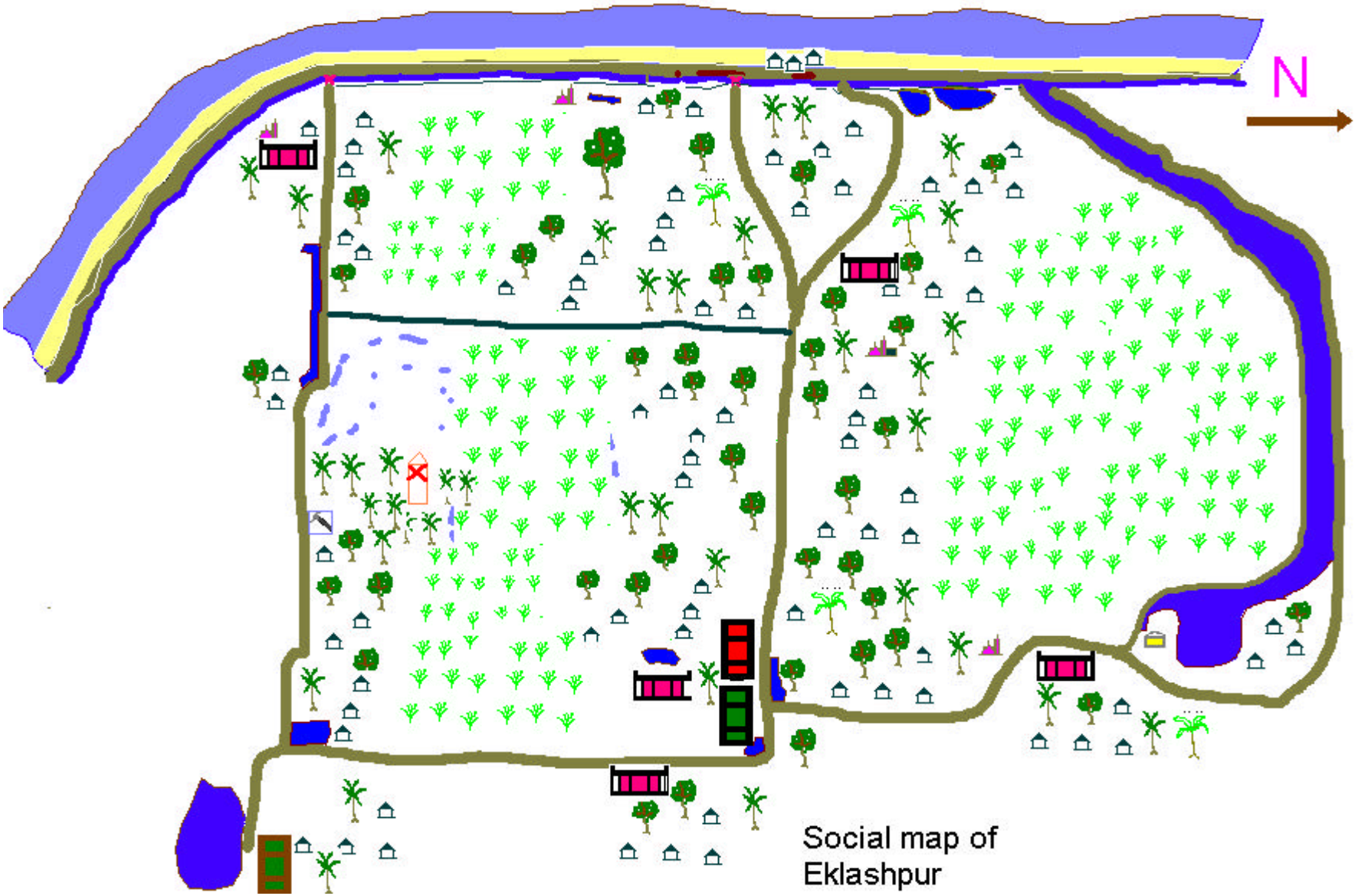
5:45 – 6:00 Workshop Evaluation

6:00 – 6:15 Workshop Closing

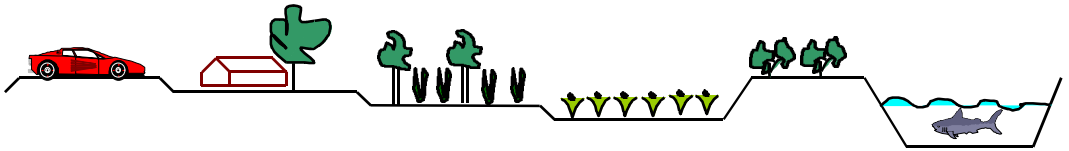
Annex VI: HLS Analytical Framework

Descriptive Information	Analytical Information	Design & Implementation	Impact Measurement
Contextual Information ▪ Physical and environmental information ▪ Key features and trends - Social - Economic - Ecological ▪ Institutional information **Community Level** ▪ Social differentiation ▪ Socio-political info ▪ Institutional info ▪ Spatial info ▪ Sources of livelihood **Household Level** ▪ Household characteristics ▪ Norms ▪ Current status of livelihood security outcomes ▪ Assets ▪ Resources ▪ Economic Activities **Intra-household** ▪ Gender ▪ Generational	**Understanding Vulnerability Risk Factors** (seasonal/long-term) - Ecological - Economic - Social - Political ▪ Coping/Adaptive Strategies ▪ Trends in livelihood strategies ▪ Internal household dynamics ▪ Key external relations that affect HLS outcomes - Role of social networks - Role of institutions - Intra/inter community dynamics **Analyzing Vulnerability** ▪ Individual vulnerability ▪ Household vulnerability ▪ Community vulnerability **Opportunity Analysis** ▪ Positive responses of households ▪ CBO/NGOs with effective programs ▪ Government initiatives ▪ Policy environment ▪ Collaborative organizations	**Design** ▪ Identification of key problems and opportunities ▪ Priorities established (leverage points) ▪ Identification of strategies and linkages ▪ Validation with community ▪ Finalize design **Implementation** ▪ Finalize program design with community ▪ Conduct baseline ▪ Establish monitoring system to capture empowerment changes, livelihood, and contextual changes ▪ Program adjustments made on the basis of monitoring information	**Program Outcomes** ▪ Formal impact - M&E system ▪ Impact measured by goal indicators based on norms against baseline ▪ Annual trends monitoring and use for management purposes **Unanticipated Outcomes** ▪ Positive and negative generated program, measured by community monitoring system

Annex VII
Example of a Village Map From an HLS Assessment in Bangladesh, 2002

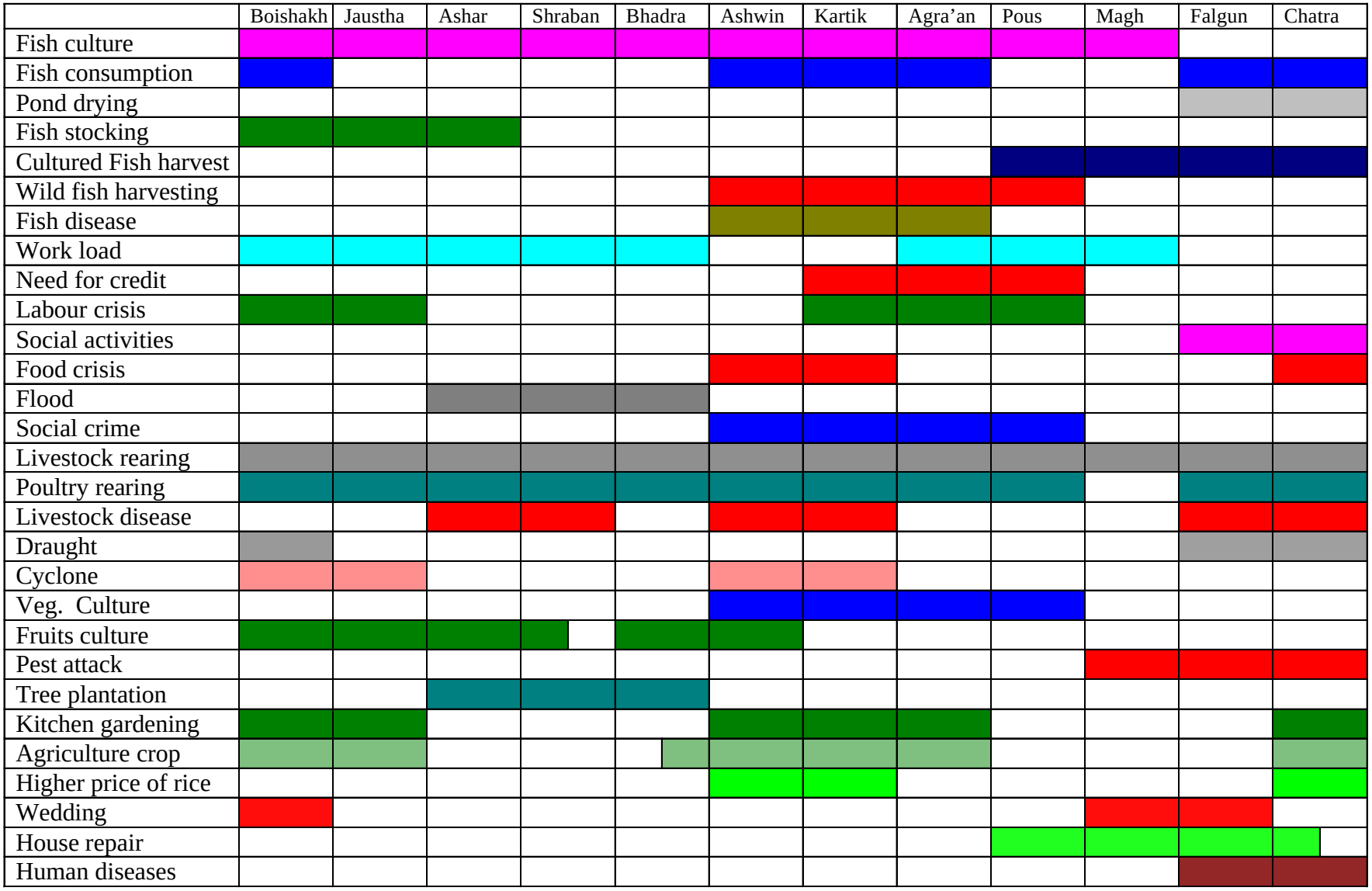


Annex VIII. Example of a Transect from a HLS Assessment in Bangladesh, 2002



Land use	Road	Homestead	Home-garden	Crop field	Pond embankment	Pond
Soil	Clay	Clay-loam	Clay-loam	Silty-loam	Clay	Clay
Trees and vegetables	-	Trees and vegetables, shop	Pumpkin, bean, cucumber, tomato, sugarcane, amaranth, data, radish, etc.	-	Pumpkin, bean	-
Crop	-	Pumpkin, beans, Betelnut, Coconut, Guava, Mango and others.	Pumpkin, bean, cucumber, tomato, amaranth, data, spinach, radish, etc.	BRRI-Dhan-8,11,12,14,28,29, Amon, potato, jute, etc	Betel nut	-
Livestock	-	Cow, goat, duck, chicken	Cow, goat, duck, chicken	Cow, goat (during winter season) rearing	-	-
Fish	-	-	-	Shol, gojar, taki, puti, khalisa, etc.	-	Rui, catla, mrigal, big head, silver carp, mirror carp, pangas.
Problems	Most of the roads are kancha	Unemployment and disease	Stealing, pest and disease incidence, lack of irrigation facility	Disease, lack of irrigation facility, high price of agricultural input, lack of agro-technical knowledge	Lack of landuse knowledge	Diseases, unavailability of good quality fry.
Recommendations	Activation of LGED	Need more nutritional awareness, activation of service centres	Motivation of farmer to adopt improved agricultural practice, Increased accountability of agricultural departments, Initiation of small scale irrigation project.	Need small-scale irrigation project and popularization of low price agricultural tools and technology, expansion of agricultural knowledge through concerted effort	Training	Needs aquaculture training with follow up mechanisms, establishment of hatchery for the availability of good quality fry. Ponds should be used for commercial fish production purpose.

Annex IX: Example of a Seasonal Calendar from an HLS Assessment in Bangladesh, 20



Annex X: Example of a Topical Outline Used for a Livelihood Assessment in Bangladesh, 2002

1. CONTEXTUAL INFORMATION

Questions	SOURCES	METHODS
Political		
• Impact of local government restructure and perceived benefit.	UP, Upazila Parishad, Community	Interview & FGD
• What are the different fisheries acts and how are these implemented? (What are current practices related to PL collection?) Do people know there is a law?	DFO, UFO and community, Secondary data	Interview, Data review
• What are the different gov. departments working in the upazila? What kind of support are they supposed to provide?	UNO, Departmental staff at Upazilla, community	Interview
• How are communities benefiting from these departments? Who is more supportive?	Community	FGD, Venn Diagram
• Power structure at community level. Who decides?	KI, village leaders, UP member	FGD, Venn diagram
• What are the different gov. initiatives to help bottom poor? (VGD, VGF, RMP, Old age allowances) and how community is getting benefit from them?	UNO, UP, District Office, SD, Community, card holders	Interview, data review, and FGD
• Changes in the policies (education, health, and agriculture) and effect because of these changes.	District Edn, health, and Ag offices, SD, community	
• Policies for access to common resources.	SD, community	Interview, policy review
• National women development policies.	SD	KI
• Is there any support after natural disasters? From whom?	Community	Policy review interview Policy review GD, KI

Cultural • Do women participate in NGO meetings and in different initiatives? • What are the different religious and ethnic groups living in the community? • Conflict among ethnic groups. • Superstition. • Cultural trends (Early marriage, dowry, cast)	Men and women, NGO Community, KI Community, KI Community, KI Community, KI	FGD (men & women), KI
Infrastructure What are the different infrastructures in the area? (Transport communication, market, embankments/dikes, electricity, river ghats, UP offices, school, madrasha, mosques, shrines, factories, tourist spots, health complex/ clinics, Storage facilities, Hatcheries, cyclone shelters, clubs) What are their present conditions? • What are the services they are offering? • Who gets benefits? Why? • How does community perceive the benefits from these infrastructures? • Who maintains them, and how effective they are? • Do you need to pay any tax for using infrastructure? • Is the cyclone shelter used for any other purpose?	UNO, UP, Community, Observation Respective organizations/ departments, & Community Community Community Org., Community Community, UP Community	Interview, GD, Transect Walk, Mapping GD GD GD KI, GD KI, GD GD, KI
Historical • Environmental trends. (water table, siltation, water reservoir, course of river, pest attack, soil fertility, wild fish, seasonality, erosion, salinization, pollution, bio-diversity) • Changes in infrastructure (access to water bodies, roads, electricity, markets) • Trends in access to services (health, police, coast guard, VDP, education) • Economic trends (land, poverty, rights, opportunities, skills & technology) • Social/cultural changes (women mobility, gender relation, social bondage, norms) • Access to information. • Has your condition improved in the last 10 years?	Community, SD Community	Historical trend analysis, mapping, FGD, KI Trend analysis

Educational
• Quantity (# of institutions, who runs, # of students)
• Structure of the education environment (Quality of education perceived, teacher student ratio, usefulness, student and teacher attendance, cost of education, adult literacy, boy – girl ratio).
• Outcomes:
  • Literacy rate (can read/write, <5 standard, < 10 standard, > 12 standard) by sex
  • drop-out rate. Why?
  • Attendance rate. Why?
• How community perceive girls education.
• What are the different programs operating in the area to increase access to education (non-formal education, adult education).
• Types of educational institutions (Government, private, NGOs)
	Secondary data, DEO & TEO, NGOs,
	SD, Community
	SD, TEO
	
	Community
	Community
	SD, DEO, TEO
	
	Community
		Data review, & Interview
		
		Data review, & Interview
		Review, interview
		FGD
		FGD
		
		Data review, interview
		
		KI, GD

Health • Quantity: (# of hospital/clinic, coverage of latrine & tube well, # of trained TBA, private facilities, vaccination coverage) • Quality: What are the services available? And access to services) • Arsenic contamination, salinity and/or iron in the drinking water. • Diarrhea episodes and other diseases. • Prevalence of goiter and night blindness. ▪ Life expectancy of vulnerable groups?	 SD, Civil surgeon, Upazilla health complex, Community. Upazilla health officials, Community SD, Public health Upazilla health officials, ICDDRB Upazilla health officials, NGOs SD	 Data review, Interview, GD

2. RESOURCES

Questions	**Sources**	Methods
Human Labor: Types of occupations Different types of labor, wages and involvement of male, female, child. Do people migrate to earn wages? How often? Do women face bad situation earning wages? How? How do people accept women as a wage earner? Wage earning and seasonal fluctuation (money + food)? Trade-off of labor based on seasons? Number of skilled and unskilled labor. Trend of increasing/decreasing labor. Opportunity and constraints of wage earning. Trend.	Community /FG	GD/ FGD
Number of professionals in the village; from the village; number of government officials from the village	Community	GD
Education and training: Training (skill training, awareness, group training, leadership etc.) Formal and informal education (source, organization, pattern, type)		
Health: Do health problems affect people's ability to work in the community? How? How many days per are people unable to work because of illness?		

Social		
Relationship between HH and community.	Com	GD
Support to each other during shock and risk.	Com	do
Are social networks effective in helping overcome vulnerability?	Com	do
Women empowerment	WFD/COM	FGD/GD
Right to access government and public resources and use patterns	Com/KI	GD/inter
Community base organizations (service and pattern)	Com	GD
Women employment opportunity for getting support	FGD	FGD
Policies from GOB, NGOs UP and Private sector	KI/Com	Inter/GD
Social ceremony (Nabanna, Annual fair, religious fair, chitra songkranti)	Com	GD
Different Ethnic groups existence and relationship	FGD	FGD
Trends and patterns	COM	GD
Constraints and opportunities for improving status and livelihood	Com	GD
Any conflicts (caste, individual family, community, intra relation ship, bottom-up).	COM/KI	GD/interview
Extent of multiple marriages	KI	KI
Divorce rate		
Physical		
Home, type, structure, Number;	HH/Com	Interview/GD
Land type, elevation, flood prone	Com	GD
Deep tube well, Shallow tube-well	Com	GD
Physical support from NGOs, GO UP and private sector	KI/Com	inter/GD
Land ownership pattern	Com	GD
Pond no, type, area	Com	GD
Pond culture type	Com	GD
Pond leasing status, year	Com	GD
Community physical asset (club, mosque, madrasha, temple, mission etc.)	Com	do
Cattle, Poultry, Diary, Orchard, Forest	Com	do
TV, VCR, motor, cycle, rickshaw, cart, power tiller, tube well etc.	Com	do
Road and Transport facilities, type, rent,	Com	do
Boats, nets, fishing gear	Com	do
Shop ownership	Com	do

Natural HH and community domestic serving- Beel, Canal, open water reservoir and dead River, boar, haour Forest Khasland, chor Fish sanctuary, boro pit Policies for using this asset from GOB, NGOs UP and private Land, type, Soil fertility, elevation, pollution, flooding pattern Constraints and Opportunities for getting resource utilization Changing pattern of using natural resources (Trends)	Com Com Com/KI Com/KI Com/KI Com/KI Com Com/Ki Com/KI Com/KI	GD GD GD/Inter GD/inter GD/inter GD/Inter GD GD/Inter GD/Inter GD/inter
Economic Source of credit (NGOs, Bank and Insurance company, Money lender and Private sector) Market facilities (local, indigenous, national) Facilities to cope with the economic crisis Resource type and utilisation Trades and access Individuals and group savings Ability to withstand adversity Mobility for economic activities Policies and implemented status (positive, helpful, negative, no impact) Trends and patterns	KI/Com Com Com Com Com/KI HH/Com/KI Com Com Com/KI Com	Inter/GD GD do do GD/Interview Interview/GD/Inter GD GD GD/Inter GD

3. INSTITUTIONS AND ORGANIZATIONS

KEY QUESTIONS	SOURCES	METHOD
Organizations/Institutions		
Type of organizations working in the community	Community/KI	GD/Venn
What services they are providing? And to whom? (Rich, poor, Men women, children , disable people, and Age group)	Community/KI	GD/Venn
What services do you feel is important for livelihoods? Which organizations are addressing those? How useful these organization in terms of service delivery? How frequent do they visit you?	Community/KI	GD/Venn
Where are these organizations located? Area and population coverage?	Community/KI	Interview

Training and extension services		
What type of training do you receive? Who provides training? How are you using your training knowledge?	Community/KI	GD
How the training changes or improves your livelihoods? How effective were these training? Who received training (Class, profession, income group and education), gender, age group	Community/KI	FGD
What types of training/services are you providing? What mechanism/approach are you using to render your services /training?	Institutions/KI (Upazila +Union Level)	Interview
What challenges/constraints are you facing to deliver your services?	Institutions/KI (Upazila +Union Level	Interview
Which organizations help you during disasters (Flood, cyclone, drought, epidemic diseases, pest, pathogens, Famine, etc.)? What kind of support do these organizations provide?	Community/KI	GD/Interview
Is there any organization that helps you to adapt the risk management?	Community/KI	GD/Interview
Collaboration/Integration/Networking/linkages	Institutions/KI (Upazila +Union Level)	Interview
Collaboration pattern among GO Institutions (DoF, BFRI, DAE, DPHE, LGED, DLS, Health, Education, Women Affairs etc.). What opportunity exists to improve collaboration in terms of service delivery	Institutions/KI (Upazila +Union Level)	Interview
Type of GO/NGO networking forum / collaboration pattern existing? And there services?	UP/KI/community	GD/Interview
Private sectors		
Type of private Entrepreneurs are available in the area - Fish hatchery, Fry trader, Fingerling producer, Fish feed seller, , Poultry farm/Hatchery, Agricultural seed & fertilizer seller, nursery, ice factory, fish processing plant, other industries, and other financial institutions, and cooperatives etc.	Community/KI	GD/Interview
Who are getting these services from private sectors (class, gender, agriculture inputs, marketing, health etc.)?	Community/KI	GD/Interview
Why people use private sector services? Are there any Govt. and NGO who provides same or similar services? What are the differences between private and Govt./NGO services?	Community/KI	GD/Interview
Expansion of Local market- what contributed for expansion?	Private Institutions	Interview
Bank role in private sector development	Private Institutions/KI	Interview
Who are the people own private sector and where they come from? What are the strategies they are using to sell their product/ser	Bank/KI	Interview
mechanisms between buyer and seller? People feelings about that? Is there any exploitative environment? If so, how to prevent? Is there any monopolist control over any private sector activity?	KI/Institutions/community (Upazila +Union Level)	Interview

Organization includes: DoF, DAE, DoL, Health and sanitation, family Planning, Education, Banks, NGOs, CBOs, Women organization, marketing enterprises, Trading/income group, Co-operative Society, Religious Institutior

4. LIVELIHOOD STRATEGIES

KEY QUESTIONS	**SOURCES**	**METHODS**
1) Major Livelihood Strategies 1) District to Upazilla level Secondary data on agricultural, industrial and commercial production and opportunities in the District. What are main sources of Income and work available (general)? What "seasonality" exists in supply/demand Typical farming activities Numbers of people involved in various farming activities. Food stores. Cold stores? "Go down" as source of info \ Village level Typical income generating strategies and when they occur (seasonally) the income is generated. **1) Sources of Income "on farm"** Main field crop and vegetables, Livestock and poultry Fish production (and capture) Fruit and vegetable etc. Who carries out these activities and when . When are they produced and total production. How much is stored and how much sold, how much consumed. How do the farmers categorize themselves (main occupation). What activities can women undertake, sources of income for women (Poultry, goats, etc.) Identify constraints /opportunities	District level DDDAE(ag office) DFO Survey officers District stats off ice Go downs "market info dept" Upazilla level UNO "survey officer" at Upazilla level UFO TACC NGO's Donors Union Parishad Village level Secondary data from: Teachers and Elite (UP members). Village leader head man/women NGOs CBOs (interviews) Primary from: Trained/ untrained farmers groups Specific groups to be identified during WR exercise.	KI interviews Season mapping Village level KI • Primary data • Focus groups: Trained farmers, untrained farmers (male / female groups). • Identify FG's through Wealth Ranking and Social mapping • Seasonal activity Calendars used to map seasonal changes • Few case studies of "typical" families (poor/project criteria/female

2 Off farm income What Sources of "off farm" income available and when. How much income generated Different strategies for men/women/children and age limitations. What are uniquely male/female/children activities:- Male: Rickshaws, fisher teams, types of labor Female: Types of labor, work with NGO's. What "off farm' sources of income available for men, how much and when. What "off farm" sources of income for women and when. What "off farm" income generated by children and when? What "off farm" income generated by relatives and when (including from abroad) What about fish as source of income/food, when does this occur and what contribution?		
What are major risks? Vermin (otter, snails, birds, snakes, rats etc.) Flood and heavy rain, Cyclone and Tidal bore, Salinity intrusion Hail storm Marketing(fish), Disease (fish) Drought, Theft Success (Poisoning/mastans) Dowry Credit (as a risk) Death of income earner Loss of ability to reciprocate loans? Social conflict within farming groups **Coping strategies;-** What do they do when these risks occur? Are different strategies available at different time of the year?	Farmer groups (PGTS group) Households	Focus groups
Investments Credit (borrowed money). How much money borrowed against different types of agriculture and when is demand) Sources of credit and satisfaction with the specific type of credit service	NGOs Banks Farmers	KI Focus group

Sale of cow/goat, timber, land Job/business/labor? Rental income Share in/out	Traders	
Mutual support Who helps during problem's Who helps with problems related to fish farming. What is relationship to household?	Community groups NGO's CBO's Villagers (groups) Farmer groups Support groups	FGroups

KEY QUESTIONS	**SOURCES**	**METHODS**
Major Livelihood Strategies **Major Risks/Shocks** **Investments** **Sources of and uses of Credit** **Mutual support**		

5. LIVELIHOOD OUTCOMES

Questions	**Source of Information**	**Methods**
1) FOOD SECURITY How many days in a weak/ month you take the following foods? Pulses (# of days in a week) Vegetables (# of days in a week) Fish (# of days in a weak) Egg (# of days in weak) Fruits (# of days in a month) Milk (# of days in a weak) Meat (# of days in a month) # meals per day in good times. Do you feel that it is adequate How long during year eat this many meals? <3 months/ year <6 months in a year Round the year	FGD with two groups (poor and well-being) Do Do Do Do Do Do Do	Seasonal calendar , wealth ranking
2) EDUCATION How people have received training on	Community	Interview

Questions	Source of Information	Methods
different aspects of fisheries, agriculture, livestock, and other income generating activities?	Community	Matrix ranking
Do you think those training's has increased your capacity in terms of production/income/environmental awareness?	Community	Interview
If yes, how?		Matrix/ Interview Matrix
3) HEALTH		
Over the last 1 year what type of disease faced by the community (list of major diseases)	FGD with the community	Matrix
In past 1 year which type of doctor have you been able to go/ consult (kabiraj/ jhar fook/ homeo/ village doctor/ MBBS.	"	Matrix
How many HH have safety latrines	"	Group discussion
How many HH have easy access to safe drinking water	"	Group discussion
Infant mortality rate (under 5); Pregnancy related mortality	SD	
4) SHELTER (in where you sleep)		
How many of you own the land that you have built your house on?	Community	Interview
What quality of houses do you have- Floor: Earth, brick Wall: Tin, earthen, thatch, brick Roof: Tin, concrete, thatch Make shifts, tents, other	Community	Group discussion, physical observation and preparation of matrix
5) SOCIAL In past 1 year have you faced any social problems (conflicts between the groups, religious, within the community, political)?	Community	Matrix

Questions	Source of Information	Methods
If yes, how did you mitigate these problems (e.g. discussion within and between the family, shalish, UP, formal court, etc.)	Community	Matrix
In past 1 year have you been involved in community development work (e.g. settled and help marriage, infrastructure building, help during flood/crisis period)	Community	Matrix
Conflicts within and between families and groups	KI	KI Matrix
In past 1 year did you have any problem related to women (divorce, dowry, separation, torturing, etc.)?	Women group	Matrix
How did you mitigate those problems	Women group	
6) ENVIRONMENTAL Has soil fertility in the village increased or decreased?	Community & secondary information from TAE, DoF	Interview
Have you increased or decreased use of pesticides in ponds	Do + KI (insecticide dealers)	"
Have you increased or decreased use of chemicals (inorganic fertilizer, pesticides, etc.) in agricultural field?	Do + KI (Fertilizer & insecticide dealers)	"
How is your water quality (pond, drinking water – arsenic)?	Do + KI (DPHE & Health dept.)	"
Do you think sub-surface water level (aquifers) is gradually declining/ increasing?	Do + KI (BADC)	"
What's the status of open water bodies (gradually decreasing due to siltation, etc.)	Community + KI (UFO)	"
Whether the availability of PL and fish seed are increasing or decreasing? Why?		
Is the sea water level increasing or decreasing in the last 10 years?		

Questions	Source of Information	Methods
Is the mosquito problem increasing or decreasing in the last 10 years?		
7) SAFETY Has your crop/ HH goods been stolen or poisoned? How did you overcome these problems? Perception of crime rate in the village – is it increasing or decreasing over the last one year. Children and women trafficking	Community Do Do Do Community	Interview Do Do Do GD, KI
8) NUTRITION Perception on nutritious food (list and rank according to their opinion). How many have the ability to afford the food (purchasing capacity, own production).	Poor community	Matrix

Questions	Source of Information	Methods
FGD FOR ONLY WOMEN GROUP	WOMEN'S GROUP	
At what level you have participated in HH level decisions (marriage of boy/girl, investment, purchase, repair, help relatives, etc.)	Do	Interview
How often do you go outside of your home (go to market, contact economic institutions, hospital, etc.?	"	"
In time of food crisis, who suffers the most in the HH?	"	"
Are women abused in the community?	"	"
Did you participate any community development activities (organization building, social forestation, protest against dowry, divorce, etc.) over the last 1-year?	"	
If yes, list types of activities against problems	"	Matrix

Annex XI An Example of a Filled-in Livelihood Matrix for the Kanai Nagar Community in the Mongla region in Bangladesh, 2002

1. CONTEXTUAL INFORMATION

Context	Information
Political	The population of the village is 7,879. There are 3,967 males (50.3%), and 3,912 females (49.7%). The average number of members per family is 7-8. There are approximately 1000 households in the village. The impact of local government bodies is limited. The union council chairman and the members rarely visit the village people. The shrimp PL collectors in the village know that there is a govt. law not to collect PL from the natural environment but they are collecting it anyway and have not been stopped. Men, women and children are heavily engaged in collection of the PL. Govt. officials said that these people have no other options so they do not stop them. Different government officers of different departments work in the Upazila, e.g., Upazila Nirbahi Officer, Upazila Fisheries Officer, Upazila Agriculture Officer, Upazila Livestock Officer, Upazila Health Officer, Upazila Education Officer, Upazila Social Service Officer, Upazila Cooperative Officer, Upazila Youth Development Officer, Upazila Program Officer for non-formal Education, Upazila Women's Affairs Officer, and the Branch Manager - Palli Daridra Bimochon Foundation. These departments aim to develop the education and livelihoods of the poor villagers. Some of the above departments have different social and developmental projects in the village, but most of them are small and limited in scale due to shortage of funds and labor (e.g., only one or two persons in a department for the Upazila). When any social problems among the villagers or with outsiders occur, the local govt. bodies rarely come forward to solve them. Rather the senior influential members of the village normally solve the problems through discussion (shalish) and if necessary they rely on assistance from political leaders. Cases that cannot be solved by the local people go to the police and the court. The rural communities do not receive expected benefits from the govt. officials. The following ongoing programs are reported to be active in the village: ***Palli Daridra Bimochon Foundation*** **(PDBF)** has had a chapter in the village since 1985. They have provided loans to 25 PL collectors, of whom only 15 regularly repay loans. The program was discontinued for some time due to the loan defaults. Recently, the foundation has scheduled weekly visits in the area to start up the program again. The **Upazila Social Service Department** has had a society for women (Mothers Club) since 1997. The society has 20 members. The department provided one sewing machine to the society and trained the members through a sewing expert for six months. Later, an interest free loan was provided to the members for buying machines. All the members are repaying the loans in monthly installments with a 10% service charge. The department has formed another chapter with 30 male members. Interest free loans were provided to the members. All the members are repaying the loans in monthly installments with a 10% service charge. In additional, tree saplings and first aid supplies are occasionally distributed among the members from the department. A social worker is visiting the chapters every week. The **Youth Development Office** works in the village providing credit to the Youth for fish and agricultural activities. The **Upazila Women's Affairs Office** is also working with women in the village providing loans. The **fisheries department** is also inspecting ponds in the village. Some shrimp farmers complained that they have not received any effective suggestions from the fisheries officer about how to deal with shrimp white-spot disease. The **Department of Agriculture** is also visiting the village periodically to monitor input use and to provide advice. Girls attending primary school receive some support in the form of a scholarship (*upa-britti*). The amount provided is Tk.25 per month. The health visitors are carrying out national vaccination programs, e.g., polio, in the village. Only a few members of the village (around 11) have received VGD cards and 5-10 people receive old age allowances. Since the development activities of the govt. departments in the village are not sufficient relative to the present needs, the changes in the lifestyle of the villagers as a result of assistance have been few.

	The villagers reported that they have received some support from NGOs working in the area after natural disasters in previous years (CARE, Caritas, World Vision). During natural disasters, sometimes they received food from the Chairman of the UP who receives food from NGOs including World Vision. They also receive cloth from the UP. There is no police service in the village, but there is a village defense party. Police that do come are very corrupt – a uniform means that villagers must give money or they will be harassed. In contrast, residents feel that the coast guards are honest people that uphold law and order. The presence of the coast guard has increased in recent years.
Cultural	Women participate in NGO meetings with Caritas and World Vision, and they also participate in BRDB cooperatives. Mainly women from the Hindu and Christian parts of the community attend the NGO meetings and initiatives. Women from the Muslim community occasionally attend the programs. They are poor and prefer to work rather than attend the NGO meetings. The community is mixed with Hindus (50%), Muslims (40%) and Christians (10%) living in the village. Within the village, the religious groups are loosely isolated by locale. The Hindus are the original residents in the area and are comparatively rich. They are socially, culturally and economically better off. There are a total of 700 Christians, divided into Catholics (137 families), Protestants (37 families), Fellowship Christians (11 families), New Epistemic Christians (3 families), and Baptists (1 family). There is no open conflict among the religious or ethnic groups. Following the Hindus, the Christians are the next well off group. The Muslims are the poorest group. Most migrated from the Barisal district about 35-40 years ago. Almost all of them are fishing families and illiterate, and they still use the traditional Barisal ascent. The children of these Muslim families try to avoid school and have difficulty competing with the children coming from the Hindu families. Therefore, in the schools, the children try to isolate themselves from each other. Practically, the Hindu and Christian children are dominant in the CARITAS run schools. Most of the time there is harmony between the different ethnic groups. Hindu women report, however, that after the last election, different ethnic groups voted for different parties leading to some local conflict. Women's mobility has improved in the last 10 years. Women sometimes go to the hospital with their husbands or other family members, neighbors or cooperative members. Some of the husbands feel that they are poor providers because the women have to work. Gender relations have improved in the last 10 years. Social cohesion and adherence to social norms have declined in the village over the last 10 years, primarily due to poverty. Some social norms have disappeared completely. Respect for elders has diminished and younger people no longer defer to them. Some people maintain local or religious customs. The Hindus do not start any new work on Saturday or Tuesday. When they carry fish to their house at night they first touch the fish with fire before entering the house. Muslims involved in fry collection sometimes blow on their chests for God's blessing and after the fry collection they put their hands in smoke before entering the house. With respect to marriage practices, Muslims are more likely to support the practice of early marriage, while Hindus and Christians are less likely to encourage this. While there is no registration in Hindu marriages, Muslims do have registration. Hindus do not support caste differences. Women do have some say in marriage choices of their children but the major decision maker is the husband. Dowry is still common among all groups.
Infrastructure	The government and NGOs have constructed many roads in the last 10 years. There is an all weather road that runs through the village. Electricity has increased in the last 10 years – 17

	households now have access to electricity. While there are no markets in the village, there are 30 small shops. Access to information has improved in the last 10 years. Radio and television are available in the village. Some people are reading newspapers. The villagers frequently travel to Mongla so they are kept up to date on world events. In terms of weather information, residents access information very quickly from the Mongla port. This information helps them prepare for cyclones and severe weather. NGOs have been working with the village on disaster preparedness (World Vision and Caritas). There is no hatchery in the village. Although a villager took a loan to establish a hatchery in the past, it was never completed. Water reservoirs for drinking purposes have increased by 2 in the last 10 years (World Vision). There are three mosques, one madrasa, one church, one cyclone center also used as a primary school up to class 3, and another primary school managed by Caritas up to class 3. In addition there is one private primary school that receives support from the government. It has classes up to grade 5. The NGO schools are considered better than the private school. In addition, there is a BNP club and a World Vision office in the village. A house also exists in the village that serves as a periodic clinic for vaccinations. The chilar canal borders the south side of the village. There is also a brick road that runs by the village. Most of the land around the village is used for shrimp and rice farming.
Historical	In general, water levels have not changed in last 10 years, although siltation has increased dramatically during the same time period. There has been no change in the coarse of the river and levels of erosion have not changed in the last 10 years. Soil fertility has declined over the last 10 years, which may be due to increased salinity of the soil. However, the salinity of river water is decreasing due to an increased flow of fresh water from the north. Stocks of wild fish, prawns, hilsha and Jew fish have all decreased in last 10 years. While in the past all fish species were available year round, the supply is now seasonal. Bio-diversity is decreasing over time. Generally, livelihood conditions have not improved in the last 10 years. While social services have increased over time, so has poverty.
Educational	Two schools are run by CARITAS, up to class 3. About 100 children are in each school. One of the schools is in the cyclone shelter. There is also one government-registered primary school (Ayesha Siddiqua Primary School). This school has 4 teachers (2 male and 2 female; the head teacher is female; out of the 4 teachers, 3 have PTI training). This school has 120 students. There are more female students (about 65-70%). The dropout rate is about 30-40%. In addition, there is one nursery school that is run jointly by CARITAS and World Vision. This school provides education up to grade 1. There are 2 teachers and 69 students. At this school, books and chalk are provided by CARITAS, and World Vision provides teacher salaries. Slightly more than half of the village is literate. In terms of the different ethnic groups, 80-90% of the Hindus and Christians are literate and 15-20% of the Muslims. Girls' education is encouraged through the provision of a stipend, particularly in the Muslim community. In the Hindu and Christian religious communities, girls' education is normally encouraged. The only non-formal adult education program is run by CARITAS. Adults who want to secure a loan from CARITAS must first be able to write their name. In the mosque, the Imam teaches prayers and some Arabic, but the participants are very few – only 5-10 children irregularly. There is a private Hefze Madrasha that teaches the Holy Quran; the students are few in number and irregularly attend. Education is increasing and villagers feel that this is a good thing. Most children attend school, with the exception of children from the poorer Muslim families. About 50% of the Muslim children go to school, 70% of the Christians, and 100% of the Hindus. There is no adult education program in area except the program provided by CARITAS. While there was an effort to initiate an adult education program in the village – a government 'Illiteracy Elevation' program for women, due to conflict between religious groups the community was not able to implement the program.
Health	There is no hospital in the village, but residents do have access to a family health clinic. There are no tube or shallow wells. The primary source of drinking water is pond water. One or two heath staff regularly visits the village (twice weekly) to provide child health care, vaccines and immunizations. Health staff also provides advice on family planning. Adults must travel to Mongla for health services. They do not have an arsenic problem in village.

	The main problem is access to safe drinking water. The major diseases are gastric problems and skin diseases. The seasonal calendar indicates that diarrhea is a problem in March and April. Chicken pox is also a problem in March and April, and fever and dysentery in March. Fever is also a problem is September. No goiter or night blindness was found in the village. Life expectancy is about 50 years for vulnerable groups (compared to the regional average of 60 years). Men live longer than women. Women may get urinary tract infections from bathing in saline water.

2. RESOURCES

Context	**Information**
Human (Labor, education, training, health)	The main occupation for the poor in the village is PL collection - males, females, and children are involved in collection. Households migrate to the Sundarbans during the winter season and stay there for one week to catch fish and crabs, and then return to the village. The following week they repeat the process. Women also collect wood illegally in the Sundarbans as a way to make money. The guards allow them to carry out this collection without arresting them. Women participate in PL collection without any problems. Some people think that women should not work, but most appreciate it. Wage earnings vary seasonally. From the seasonal calendar, PL collection is done from Jan to June: villagers collect saline shrimp PL from Jan-June; during April and May they only collect fresh water prawn PL; during August, September and October, they fish for other species particularly for Hilsha. During November and December, they are involved in crab collection and go to the Sundarbans to collect firewood. They have trouble getting a job in Mongla. They have limited access to agricultural work. They do not have access to savings, and they live hand to mouth. From October until November, they have very little income. Ten percent of the population is skilled laborers. These skills include being able to catch PL better. Although the number of people fishing is increasing daily, the income from fishing is declining. Generally, wage earning opportunities are decreasing. Few government people come to this village to work with the poorest members of the community and residents have received little training support from government agencies. Rather, they obtain skills from neighbors and elders. There are no government officials from the village and no local professionals. Two teachers teach in the CARITAS school and 4 teachers teach at the private school. Some of the rich family members live in Mongla to conduct business. World Vision has provided skills training and awareness on poultry farming, but many of the poorer families did not have the capital to apply the training. Several Hindu families, however, did apply the training.
Social	Relationships between the households are normally good but sometimes there is conflict along religious lines. During disasters or shocks, they take loans from neighbors, generally with an interest rate of 5-10% per month. All the money that females earn from fishing is spent on their families. Fish stocks are decreasing, making it difficult to support families on income earned from fishing. Some females are participating in savings groups started by NGOs (World Vision) and the government. There is some government Khas land in the village. The poor build their houses here. There is a cyclone shelter in the village and the villagers use it in bad weather. World Vision is helping to build a new road and provides credit and helps form groups for the poor. World Vision is also working on health and sanitation and is providing slab latrines. Around 10% of the households have ring slab latrines. Caritas has built the cyclone shelter in the village and also conducts some educational programs. The villagers do not observe any ceremonies like *Nabanna* (seasons new rice ceremony), but Muslims observe *Eid*, and Hindus observe *Durga Puja*, *Basanti Puja* and *Rasmala*. Christians observe *Christmas*. During any of these ceremonies, households invite other households from different religious groups to attend the ceremony. Many of the poorer Muslim families have been living in this village for the last 30-40 years.

	Hindu families were living in the village before the Muslims migrated to it. Earlier the Hindus had good rice production from their land. Now they can only cultivate one rice crop from the field. The poverty level of the Muslims has increased, thereby limiting leisure time to socialize with neighbors. Poverty has increased because of the decreased access to fish, low seasonal prices, and illegal access to forest land for acquiring timber for sale requires a bribe. There is a trend of second marriages in the village. However, very few people have a second wife. They pay and take dowry for marriages. The minimum that the poor pay for dowry is around Tk. 5000. When the poor pay dowry, they have to sell assets such as trees, animals or land, making them poorer. A dowry dispute identified in one case study went to court for the last 4 years. A family is paying Tk. 400-500 per month to a lawyer to pursue the case. The middle poor said that they have limited support from others except their immediate relatives.
Physical	Most of the poor Muslim households live on Khas land along the river. They are essentially landless. There is no deep or shallow tube-well. There are about 1000 households. About 80-90 houses have tin-roofs and the rest of the houses are makeshifts or made of plant leaves (goal pata). Middle poor have access to tin roofs, and may have more than one boat, and several nets. There is a LGED all weather roads that runs within the village. Using the road, people can go to Mongla by rickshaw. Land at the western side of the LGED road is flood prone. LGED and World Vision construct and repair roads. In new road construction, the village carries 5% of the costs. There are two mosques, one Madrasa and three churches present in the village The Hindus, the original residents, own most of the agricultural land. Some of the immigrant Muslims have homestead land for their home only, and the majority have no land. They have constructed their house on government land or on other people's land. Muslims own only have 2.8% of the land in the village. Christians only have .25% and the Hindus have the rest of the land. The second level poor have homestead land (48 dec). Most of the households have small ponds or ditches near their houses. They use these ditches for domestic purposes. In the village there are 4-5 comparatively better ponds where people collect drinking water in the off-season (when stocked rain-water finishes). Villagers stock shrimps and other fishes in their ponds. Farmers themselves grow rice crops on their own land. In the shrimp culture season most of the villagers lease their land at the rate of Tk. 4000 per acre per season. All of the PL catching families have boats, PL collecting nets and other necessary items (silver pot, small bowl, lantern, etc.). Some families rear poultry in small numbers (2-5). Each of the Hindu families has 2-3 cattle. There are about 30 TVs and 10 –15 radio cassettes being used in the village. There are about 30 shops present.
Natural	The village is located on the Pashur river and an adjacent canal from where PL are being collected. The village is in close proximity to the Sundarbans where they collect fish, crabs and firewood. The government bans PL collection from the open water, but the collectors are catching them. They are not facing any adverse consequences for doing this. Riverine fisheries resources are decreasing day by day due to over exploitation, destruction of larval fishes and other crustaceans during PL collection, resulting in the degradation of natural habitats. PL abundance is reduced as a result. PL prices are decreasing due to the availability of hatchery produced PL. Due to the prevalence of shrimp culture the salinity of the cropland has increased resulting in a decrease in alternative crop production. The soil that households have access to is clay soil. During high spring tide in the monsoon months, part of the village becomes inundated. There are some coconut trees found in some households. *Sapta* and *quava* trees are also found around homesteads. They also grow eggplant. They do not have mango trees in the village. They buy mango from Mongla. The middle poor have coconut trees, sapota and some timber trees on their homestead. The middle poor also may have access to small ponds. From July to December is the fresh water

	period; January to June is the saline period. The peak saline months are March and April.
Economic	According to informants in the village, the households in the village fall into the following wealth categories: • Richest – have considerable agricultural land > 15 acres; 2-3 cattle; 4-5 or more coconut trees • Middle Class - having lands > 3 <15 acres; 2-5 or more coconut trees; have or have no cattle • Poor – having lands > 0.5 <3 acres; • Poorest – No land, or have very small land only for the house; depend on fishing, fire wood collection, daily wage labor, etc. Villagers get credit from CARITAS, World Vision, PDBF, many government offices, the private sector (large shrimp farmers), and moneylenders. The poor seek loans from moneylenders from October to mid December. In December the need for a loan is high because villagers are preparing their boats and fishing nets. A few shops are available in the village (30). There is a market in the neighboring village. For large purchases people go to Mongla. The poor rely on fishing and fuel wood collection for income. Well off people have cropland and the ability to fish if they desire. At present there are no alternative job opportunities for the poor in the area. They have great difficulty facing crises. In terms of land access, access per person or family has decreased over the last 10 years. People are getting poorer in the last 10 years and bribes are increasing. While there may be more opportunities resulting from an increase in education, the poor are rarely able to take advantage of them. Although skill levels are increasing, technology has not improved in the village over the last 10 years. 80% of the households have access to poultry. Most do not have cows but some have buffaloes. They do not have cows do to the limited access to fodder and salinity is bad for cows. The middle poor do not have any savings. Two years ago some middle poor took loans from BRDB. Now these loans are not available because the village group does not function well.

3. INSTITUTIONS AND ORGANIZATIONS

Context	**Information**
Organizations/ Institutions	There are a number of government departments and NGOs working in the village (see the Political context section). The poor in the village want the government to provide loans and create employment opportunities through industrial investment. Community members also want the government to provide Khas land to the poor. The UP was supposed to provide housing for poor women in the village but the houses were not given to them. They suspect that the houses were given to another group. Occasionally, the fisheries department comes to the village to tell residents not to collect PL. Access to other government departments is mixed. Four NGOs work in the village. These are World Vision, CARE, Proshika, and Caritas. (See key informant interviews for descriptions of programs). Health and family planning are provided to the village by the heath ministry. Community members also visit the Upazila Health Complex, but it is very far away from the village. Two primary schools are sponsored by CARITAS up to grade 3. The cyclone shelter is used as a primary school. There is also a private primary school. (See context section). There is also a nursery school supported jointly by Caritas and World Vision. There is a village doctor, but he has no formal training. Residents purchase some household goods at the Mongla market. There is a cooperative society sponsored by BRDB. (See the Political context section for a review of the various offices that work in this village).

Training	People want more training on fishing and other income generating activities. NGOs are currently providing a wide variety of training. (See key informant interviews).
Collaboration/ Integration/ Networking/ Linkages	There is no conflict between the various programs being implemented by the NGOs. The NGOs also work effectively with the government health offices and LGED.
Private sector	Sometimes private business people come to the village and ask residents to hold wood that is taken illegally from the Sundarbans. In this way, the village essentially becomes a staging area for contraband wood. Shrimp farmers also provide loans to PL collectors. Some of the better off farmers in the village are also acting as middlemen in the PL business.

4. LIVELIHOOD STRATEGIES

Context	**Information**
Major Livelihood Strategies (On-farm and off farm income)	Fishing is the major livelihood activity of the poor. They do not have many other sources of income due to a shortage of capital. Very few people pull a rickshaw. Normally the poor work in their village, they rarely go outside for work. The poor women will go to the Sundarbans to collect firewood and crabs. Richer households engage in rice cultivation and shrimp farming. Some people collect firewood from the Sundarbans. They negotiate with people so that the police do not harass them. Middle poor households are also engaged in PL and fishing, but they may also be engaged in small business. Some are engaged in buying fish from other fishing families and selling it to other communities. In terms of agriculture, they plant one rice crop: farmers plant rice in seedbeds in July, transplant rice in August; and harvest during the second half of November. PL saline water shrimp stocking begins in mid January. Households partially harvest during the last week of April; they restock shrimp at this time. Final harvesting is during the month of August. Some farmers continuously stock PL from January to June. The continuously harvest from end of April to August.
Major risk and coping strategy	Natural disasters such as cyclones occur in April. Flooding occurs in September and October. During this season, nets can be damaged from the heavy water flow. If the net is damaged, fishers may have to take a loan from the moneylenders to buy new nets. Illness can also be a major risk. The incidence of diarrhea and small pox is highest in March and April. Fevers are common in January and September. Dysentery occurs in the month of Feb. Another risk is theft of their boats. The rate of interest of a loan can also be a major risk for households. Police harassment is also a major risk. For middle poor households, the major risks are boat theft, damage of nets due to water flow, and illness. Most people do not have good risk management strategies.
Investment	Households collect fishing material from Mongla. There is no bank in the village to take a loan for the equipment. In the past, fishers were able to get loans for fishing equipment from the government, but many people defaulted on the loans so the program was discontinued. (See key informant interviews.)
Mutual support	Social cohesion has declined because of the increase in poverty. While the middle poor are invited to the village *shalish* (village court), they often cannot afford the time to participate. Poorer households do not have time to participate. Social conflicts do arise over who participates in loan programs and NGO activities.

5. LIVELIHOOD OUTCOMES

Context	Information
Food security	The poor eat *dal* 3-4 times per week, and they consume vegetables 6 days per week. The poor may eat egg 1 time per week. They eat fish 2-3 times per week when fish are available and they eat meat very rarely. For the poor, they have food shortages from June to March (10 months). During the rainy season, food shortages are particularly high. Sometimes the middle class farmers experience food shortages for 7 months, but for poor households shortages are more severe. The middle poor experience acute food shortages in the rainy season, and these households may experience some food shortages periodically throughout the year. During the rainy season, the poorer households reduce consumption to one meal a day. Middle poor will take a loan from relatives to cope with the food shortage. In times of food crisis, women suffer the most. After the children and husband eat, there is little for the women to eat.
Education	The poorer households (primarily Muslim) cannot send their children to school do to a shortage of money. The middle poor have trouble sending children to intermediate school and they can't afford good clothing for their children, which is troublesome.
Health	Twenty percent of the households suffer from serious diseases. The middle poor cannot afford medical treatment for all of the family members during the time when illness is most severe. There is a family health clinic in the village, and heath staffs visit the village a couple times a week. Access to safe drinking water is the biggest health problem.
Shelter	Middle poor have access to tin roofs. Poorer households live in small thatched structures on government Khas land or borrowed land. They have very poor housing security.
Social	Sometimes there is conflict but residents try to resolve the problem from within the village. If they cannot solve it then they go to the UP chairman. If that does not work then they go to the police station or the courts. There are cases of divorce but the number is very low. Divorce rates are higher among Muslim families, but households were unwilling to talk about it. Hindus rarely divorce.
Environment	Fish supplies are decreasing. Siltation is increasing, and environmental degradation is getting worse. Bio-diversity is decreasing dramatically. Soil salinity is also getting worse.
Safety	Husbands and other younger men sometimes abuse women. Sometimes the miscreant violates women. The police also periodically harass villagers, who often have to pay a bribe to avoid harassment.
Nutrition	Females from poorer households are often malnourished. The poorer households suffer from acute food shortages for many months of the year. As well, the elderly are particularly vulnerable.
FGD for only women group	Women's mobility has increased in recent years. The NGOs and government have created many opportunities for women. Unfortunately they still have limited say in household decisions; they eat last, and are still abused by their husbands. Women have gotten together to protest divorces, but they have not been successful in stopping them.

Comments of the facilitators (Observation): It was difficult to get the same answer from different people in the community regarding NGO and government programs, the size of the different ethnic groups, whether payment of dowry was still being practiced, and what types of infrastructure were available. We had to send a team back to the village to clear up some of the confusing information.

Annex XII
Household Livelihood Security Assessment Checklist from Bolivia

Activities and Timeline

Phases and Activities	Dates and Comments
Phase I – Preparation	
1) Identify local institutions; select partners	
▪ Inventory public, NGO, private sector institutions	20 July
▪ Contact potential partners to concur objectives, outputs, roles and inputs.	03 August
▪ Designate research teams and supervisory personnel	idem.
2) Organization of work	
▪ Review TANGO Terms of Reference	26 July (FB)
▪ Designate central CARE team	idem.
▪ Finalize detailed implementation plan	27 August (FB)
▪ Commit budget and support services	idem.
3) Compile and analyze secondary data	
▪ Review data requirements	26 July (JB)
▪ Identify sources of information	idem.
▪ Compile and process data	20 August to 04 September (YI)
▪ Prepare presentation graphics and maps	06-07 September (YI)
▪ HLS orientation workshop with partners; analyze and identify information gaps re primary data	18-21 September
o Potosí, 6 municipalities	23-26 September
o Tarija, 5 municipalities	
4) Design field study and analysis plan	
▪ Finalize proposed primary study plan and training plan for field research teams	22 August 27-28 September
▪ Consolidate information requirements	idem.
▪ Prepare plan of analysis	idem.
▪ Select study communities	idem.
▪ Determine field procedures	22-26 October
▪ Prepare instruments and instructions	idem.
▪ Prepare programs for data processing	idem.
▪ Determine formats for presentation of results	idem.
▪ Define roles and responsibilities of teams	idem.
▪ Finalize timeline and logistic requirements	
5) Plan training workshop	04 November
▪ Finalize training plan	idem. (equipo central)
▪ Prepare materials	idem. (equipos regionales)
▪ Make logistics arrangements	idem. (equipos regionales)
▪ Select and visit test communities	
Phase II – Primary Data Research	
1) Train research teams [16]	
▪ Potosí, 2 teams x 6, plus supervisor & data manager	05-07 November idem.
▪ Tarija, 2 teams x 6, plus supervisor & data manager	
2) Undertake field work [17]	
▪ Potosí, 6 municipalities, 12 communities	08-16 November (regional teams)
▪ Tarija, 5 municipalities, 10 communities	idem.
▪ Synthesis and consolidation of results	17-19 November
3) Undertake workshops for analysis and concentration [18]	

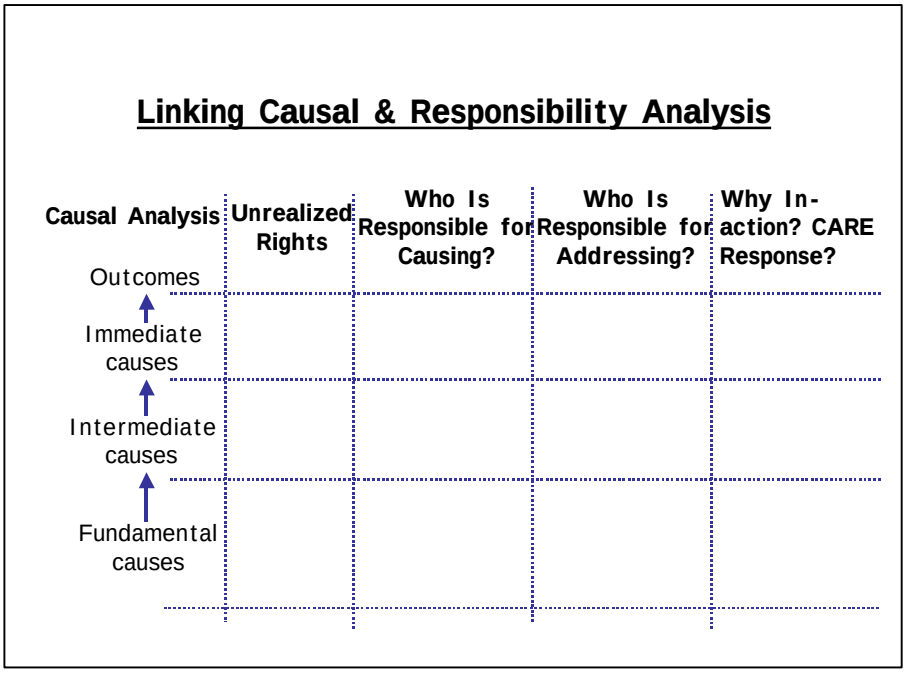
[16] HLS orientation and review of instruments and procedures; field test and validation; finalize logistics arrangements.
[17] Advance visits; key informant interviews; household surveys; interviews with homogeneous groups; compile preliminary results; exit meetings.
[18] Analysis of causes and leverage interventions by sub-corridor; determine municipal priorities.

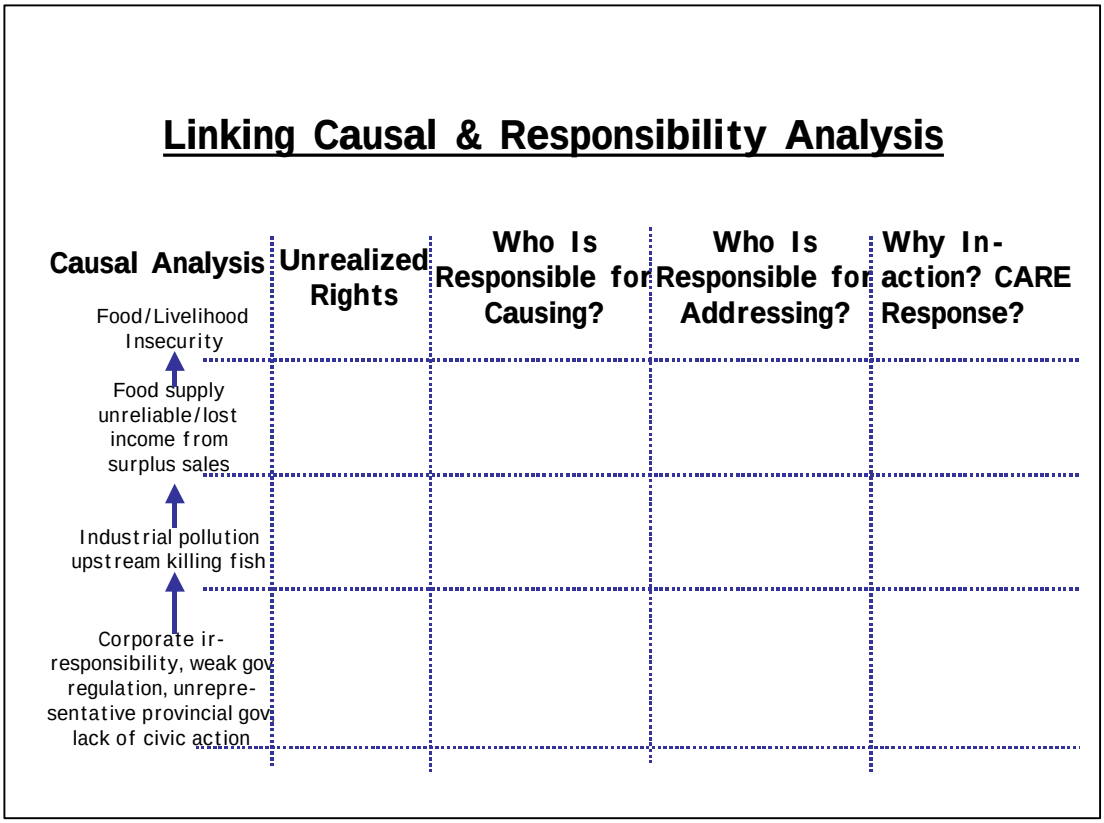
Phases and Activities	Dates and Comments
▪ Potosí, 6 municipalities, 45 participants	27-30 November
▪ Tarija, 5 municipalities, 40 participants	02-05 December
Phase III – Preparation & Presentation of Reports	
1) Summary analysis of secondary data	08 October (consultant economist)
2) Preliminary results primary data to municipalities	08-16 November (regional teams)
3) Final Report – Popular Edition	31 January, 2002
4) Final Report – Institutional Edition	28 February, 2002
Phase IV – Process of Concerted Planning	
1) 2002 Annual Operating Plans by municipality	
▪ Promote participatory planning	20 November – 20 December (reg teams)
▪ Obtain counterpart financing commitments	idem. (regional teams)
2) Detailed Implementation Plans (DIP)	
▪ Orientation of CARE regional DAP teams	04-08 February, 2002
▪ Facilitate municipal DIPs	18 February – 15 March, 2002 (reg team)
▪ Finalize CARE and partner Title II DIPs	18-22 March, 2002 (regional teams)
3) Negotiate agreements with municipalities & NGOs	01-19 April, 2002 (regional teams)
4) Prepare and disseminate summary reports	30 April, 2002 (regional teams)

Products

Products	Dates and Responsibility
Report of Analysis of Secondary Data	15 October, 2001
Preliminary Results by Municipality	19 November (regional teams)
Draft Action Plans by Sub-corridor	17 December (regional teams)
Final Assessment Report – Popular Edition	31 January, 2002 (subcontractor)
Final Assessment Report – Institutional Edition	28 February, 2002
Video of HLS Assessment Process	28 February, 2002
DIP Reports by Sub-corridor	30 April, 2002 (regional teams)

Annex XIV: Rights and Responsibility Analysis





Annex XV: Stakeholder Analysis[19]

Three sample matrix formats that can be used to help structure a stakeholder analysis are presented in the tables below. Table 1 can be used to present a summary profile of stakeholders, their interests and roles relative project focus, and relationships with other stakeholders.

Table 1: Stakeholder Analysis Profile Matrix

Stakeholder	**Interests** in the project	**Effect** of project on interest(s)	**Capacity/motivation to participate**	**Relationship with other stakeholders** (partnership or conflict)?

Key stakeholders can significantly influence or are important to the success of a project. *Influence* refers to the degree to which a stakeholder has power over the project and can therefore facilitate or hinder project interventions. *Importance* refers to the degree to which achievement of project goals depends upon the involvement of a given stakeholder. A simple matrix such as the one presented in Table 2 can be useful to assess the relative influence and importance of stakeholder groups. (Note: in rights based approach terms, stakeholder analysis involves identifying **responsibilities** various duty bearers have vis-à-vis the rights of target beneficiaries.

Table 2: Relative Influence and Importance of Key Stakeholders

Influence of Stakeholder	***Importance of Stakeholder to Project Achievement***				
	Unknown	**Low**	**Moderate**	**Significant**	**Critical Importance**
Low					
Moderate					
Significant					
Highly Influential					

When considering a stakeholders capacity or motivation to participate in or otherwise influence the success of a project, it can be useful to develop a matrix to identify various stakeholders according to the level of their involvement and the stage of the project cycle during which they would most likely participate (Table 3). Key stakeholders with a high degree of influence and importance to project success are potential project partners. Stakeholders with a high degree of influence, but a limited role relative to project achievement may be involved through periodic consultations. The table below provides an example of a participation matrix.

[19] From McCracken-Rietbergen, J. and D. Narayan (1997) "Participatory Tools and Techniques: A Resource Kit for Participation and Social Assessment: Social Assessment Module". Social Policy and Resettlement Division. The World Bank. Washington. D.C.

Table 3: Stakeholder Analysis Participation Matrix

Stage in Project Planning	*Type of Participation*		
	Inform (one-way flow)	**Consult** (two-way flow)	**Partner** (joint implementation)
Diagnostic Assessment			
Project Design			
Implementation			
Monitoring			
Evaluation			

Early in the design stage for a child malnutrition project, for example, the design team may anticipate forming partnerships with the Ministries of Health and Agriculture. As the team identifies specific project interventions, however, the team may determine to focus on a health intervention, thus forming a partnership only with the Ministry of Health, yet continuing to inform the Ministry of Agriculture through periodic project updates.

These simple matrix formats can be adapted to include different or additional information about the main stakeholders. The design team should review and update the stakeholder analysis throughout project planning, as the scope of the project becomes more focused and new information becomes relevant to the planning process.