

DFID Sustainable Livelihood Framework:
An Analytical Model for Community based
Livelihoods and Wetlands Restoration Activities
in SL&B Project..

Desk Research

Submitted to



By

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CRONYMS

CBRDP	Community Based Regional Development Programme
CDO	Community Development Organization
COAG	Committee on Agriculture
CODECO	Community Development Councils
CODEMS	Municipal Development Council
DELIVERI	Decentralized Livestock Services in Eastern Indonesia
DFID	Department for International Development
EB	Executive Body
FAO	Food and Agriculture Organization
FFS	Farmer Field School
FT	Farmer Trainer
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
IDRP	Integrated Rural Development Programme
IFAD	International Fund for Agriculture Development
IHFSAN	Improving Household food Security and Nutrition
JPSP	
LADEP	Lowlands Agricultural Development Programme
LSP	Livelihoods Support Programme
M&E	Monitoring and Evaluation
MAFF	Ministry of Agriculture, Food and Fisheries
MELA	Monitoring, Evaluation, and Lessons Learned Approach
OFWM	On-Farm Water Management
PCD	People Centred Development
PNGO	
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Papers
PUCD	Participatory Upland Conservation Development
SHABGE	Strengthening Household Access to Bari Garden Extension Services
SIDA	Swiss International Development Agency (?)
SL	Sustainable Livelihoods
SLA	Sustainable Livelihoods Approach
UNDP	United Nations Development Programme
WIN	Empowerment of Women in Irrigation and Water Resource Management for Improved Food Security, Nutrition and Health (WIN)

1.0 Introduction

Sustainable Livelihoods Approaches (SLA) emerged as a means for more effective and more relevant poverty reduction through understanding poverty from the perspective of the poor. Originally conceived of in the 1980's in the context of Farming Systems Research and Education, the approach was developed through the 1990's and crystallized as SLA in the late 1990's by the Department for International Development (DFID) (Carney, 1998; 1999). A number of organizations have employed the Sustainable Livelihoods Approach and Framework. The framework has been used as a programming framework (UNDP); for programming analysis, design, monitoring and evaluation (CARE Household Livelihood Security); and for integrating environmental sustainability (The SL Approach to Poverty Reduction, SIDA; Carney, 1999). The Department for International Development (DFID) has sought to advance poverty reduction results through mainstreaming good development principles associated with the SLA (people centred, responsive, multi-level, conducted in partnerships, sustainable, dynamic) and by applying a holistic perspective in programming support activities to ensure relevance to improving peoples' livelihoods and ensuring livelihoods security in rural and pro poor households and communities

Livelihoods security is a framework for organizing information. At the same time, it enables a critical level of analysis (diagnostic analysis'') that demonstrate the relationships between institutions, assets, strategies, and well-being outcomes. In this way, certain causal association can be imputed, as between asset levels and health, for example. In case of the Niger Delta oil region, however, more is asked of livelihood approach. It is designed to provide the local information, generated locally and processed locally, needed to foster community development planning. Contrary to cases where a development agency will use a livelihood assessment to make decisions regarding targeting, amounts of food aid, and intervention planning, here the livelihood assessment becomes the tool of local communities to assist in the preparation of a long-term development plan designed to promote local livelihoods or create new ones.

To achieve this end, the livelihood assessment requires three important elements. It first must be maximally participatory in design and implementation. The tools used must be adjusted to permit that the assessment be carried out, to the extent possible, by the community itself. Local ownership of the assessment be carried is a sine qua non for the overall success of the program. This participation implies the representation of the different sectors of each community, including the formal representation of the different sectors of each community, including the formal representatives, the youth groups, and other informal leaders. The second element require that the assessment not be a one-short'' activity, but rather a long-term process which entails regular monitoring. Thus, a monitoring structure is needed to maintain a regular livelihood data gathering and analysis activity. Third, it is important that the livelihood assessment process be integrated into the bureaucratic structure of oil companies in order to support community development in region.

In the overall vision, the livelihood security assessment is a first, diagnostic step that generates the tool needed for community development planning that is effectively participatory and fully integrated into the corporate investment stream. As projects are identified and designed based on the output of the

participatory assessments, then a livelihood monitoring and evaluation system will regularly assess impacts of the project intervention on the livelihood outcomes of the communities and their diverse membership.

In this regard, this study outlines the use of the DFID sustainable livelihood framework as an analytical model to mainstream community based livelihoods and wetlands restoration activities in the proposed Sustainable Livelihoods and Biodiversity Project (SLBP) to be implemented in the Niger Delta area of Nigeria by Wetlands International and with support of SHELL international

In this report, the sustainable livelihoods framework is employed as an assessment tool to support the overarching goals of sustainable use of natural resources in SL&BP communities through the implementation of community based livelihoods and wetlands restoration activities. The SLA approach is adapted to the community level, using households as essential building blocks. The conceptual component and the analytical framework of DFID sustainable livelihoods framework is presented in section one. Sections Two and Three outlines detailed processes of adapting the DFID SLA framework to deliver community based livelihoods and wetlands restoration activities through the development and implementation of a Community Development Plan (CDP). The report has very valuable resources in the index section which will be very helpful in mainstreaming sustainable livelihood processes in the context of the Niger Delta. They include a master outline of SLA process topics relevant PRA tools required to achieve objectives. Annex 2. A generic template for reporting SLA, Annex 3- presents indicators of positive impact of SLA on rural poor. Annex 4 contains key questions to ask in practical SLA implementation while 5 and 6 present report of two communities- IDAMA and MOLUMA as SLA case study

2.0 STUDY BACKGROUND

The first Phase of the WI Sustainable Livelihoods and Biodiversity Project (Readiness Preparation) began on July 19, 2010 and will operate until January 18, 2011. Its objective is to establish conditions for the project implementation phase (2011-2013).

It is expected that the entry point of the project will be the implementation of a limited number of livelihood projects in communities that depend on wetlands as an important contribution to their livelihood. In order to gain insight into the present value of these wetlands for people's livelihoods and the extent to which they are currently used, and to better understand the link between wetlands, the energy sector and poor people's livelihoods, Participatory Rapid Appraisals (PRA) will be conducted with the communities, using the Sustainable Livelihood Framework of DFID as a model for analysis. It is intended that this analysis will lead to community based livelihood and wetland restoration activities. The latter can be implemented using incentive schemes such as the Bio-rights model (see for reference the publication Bio-rights in Theory and Practice, Wetlands International 2009).

2.2 Purpose and Objectives

This paper is an attempt to develop an approach to use Sustainable Livelihood Framework of DFID as a model for analysis which will lead to community based livelihood and wetland restoration activities during the implementation phase of the WI Sustainable Livelihoods and Biodiversity Project

2.3 Methodology

This paper is based on a desk study which examined relevant socioeconomic studies, including reports and analyses of the Niger Delta environmental issues prepared by donors, national governments, regional groups, and evaluations and other documents related to successful approaches to Wetland management in other geographic regions (Desk study); Given the dearth of relevant information which characterizes studies of this nature in Africa, efforts in form of emails and physical visits have been made to relevant stakeholders organizations in a bid to access a sizeable amount of data.

2.4 Case Studies Reviewed

Whereas there are many development actors in the Niger Delta, the International Oil Companies (IOC) which comprises of SPDC, Chevron, AGIP, MOBIL, TOTAL, are generally believed to be among the major development actors alongside donor organizations such as UNDP, EU, DFID, and a host of interventionist organizations such as NDDC, RSSDA, and DESOPADEC etc

As at the time of compiling this report only reports, briefing notes on SPDC, CHEVRON, UNDP and RSSDA have been reviewed. A brief summary of the social investment of the above listed organization in the Niger Delta region is presented below.

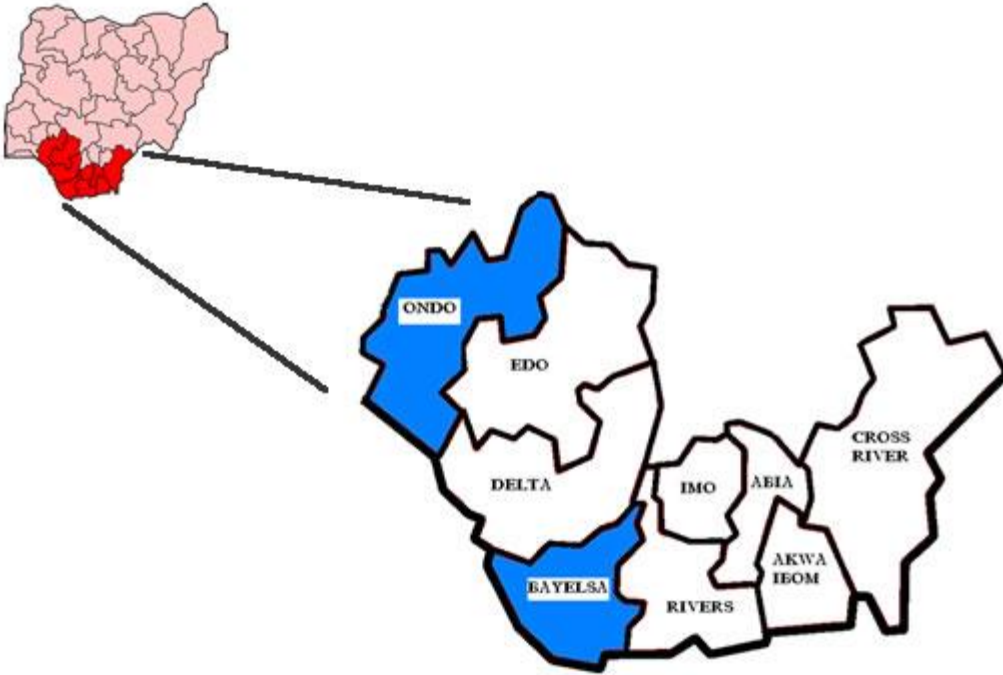


Figure1 Map of Nigeria Showing the Niger Delta Region

1. UNDP Niger Delta Local Development Programme

Project Description

The Niger Delta Local Development Programme (LDP) uses decentralization and local governance approach as the entry point for poverty reduction and sustainable development. The LDP is a local/community development and capacity building programme intended to contribute to the achievement of the following outcomes:

1. UNDAF Theme 1 - Promoting good governance and human rights and Goal 2 - Contribute to strengthening capacities for good governance.
2. UNDAF Theme 2 - Reducing Poverty and Goal 1 - Contribute to the reduction of poverty level and improve the quality of life of Nigerians.

Key Objectives

The principal objective of the programme is to support the development of effective, responsive and accountable local governance institutions capable of delivering public infrastructure and services using participatory, transparent and gender sensitive planning, monitoring and evaluation procedures.

The project's outputs are:

1. Enhanced dialogue and cooperation between local communities, State Governments and LGAs as well as effective collaboration between local institutions, civil society and the private sector.
2. Technical and advisory notes on policy and legislative constraints to local development.
3. Participatory planning developed and tested.
4. Local Development Fund (LDF) established and investment schemes utilizing LDF planned through a participatory process, within the agreed procedure and implemented.
5. Capacity of LGAs and communities in planning, financial management, procurement, operation and maintenance developed.
6. Participatory monitoring and evaluation procedures established and in operation at State, LGA and community levels.

The LDP was approved in August 2007 and the first phase was implemented over a period of 2 ½ years (2007 – 2009) in four pilot LGAs - Ogbia and Sagbama in Bayelsa State and Okitipupa and Ilaje in Ondo State. The pilot LGAs were selected through an assessment of conditions (conducted in June-July 2007 and January 2008) intended to ensure compliance with planning, staffing, financial management and accountability capacities required to be in place under Nigeria’s laws and regulations.

2. SPDC (GMoU)

GMoU is a comprehensive agreement between SPDC and any group of communities (cluster) within a geographical area. The agreement shall specify SPDC’s activities, benefits to communities in terms of development and other basis for relationship between the two parties over a 5-year period. A cluster is a group of communities that are united either on historical (clan) or local government basis as approved by the relevant state government. The GMoU is a part of the Sustainable Community Development effort that specifies how SPDC shall interact with communities to achieve the vision of a safe, healthy and self-reliant Niger Delta.

key benefits of GMoU to communities include?

- Ensures a well planned model for developing and relating with communities.
- Assures source of funds for Community Development projects on annual basis for 5 years.
- Enables communities to take charge of their own development, which includes identifying, planning and implementation of projects.
- Creates the opportunity to complete outstanding or stalled projects.
- Provides business opportunities for communities in terms of employment, contracts and sub-contracts in SPDC activities within the area.
- Enables community based organizations (CBOs and CTs) to relate with SPDC on issues of oil spills and surveillance

The GMOU is a great departure from SPDC past development approach which emphasized multiple bilateral agreements with individual communities. In this approach, SPDC assumes direct responsibility for development and was characterized by limited capacity building options.

Central to the use of the SPDC GMOU is an emphasis on participatory approach to improve dialogue and help communities drive their own development. A key derivative of the participatory approach which include the use of PRA and SLA is a Community Development Plan (CDP) for each of the participating communities in the existing GMOU clusters

3. RSSDA

RSSDA is a multi-sector intervention agency, a fact which enables it, unlike other agencies and line ministries of the State, to undertake projects in a wide variety of areas, including youth development and re-orientation, SMEs, education, health, skills acquisition, employment, local government, etc.

The **Rivers State Sustainable Development Agency (RSSDA)** is a strategic intervention initiative of the Rivers State government set up under an autonomous legal framework by the State Government to re-focus development effort in the areas of poverty alleviation, rural grassroots and youth empowerment in the State. To execute our mandate, we deploy partnership to tap into the wealth of experience and support of organisations such as The World Bank, USAID, DFID, ADP, NNPC, SPDC, NDDC and other agencies of the Federal and Rivers State Government.

4. Chevron Nigeria

Chevron takes seriously its role as a member of the community in Nigeria and is active in many projects promoting health, economic and educational programs.

Chevron Nigeria Ltd. (CNL) provides communities near its operations with power and drinking water — in many cases, directly from company facilities. In several communities, we have purchased and installed electricity generators as well as provided for fuel and servicing.

Responding to Needs of the Niger Delta

Since 2005, Chevron also has provided more than \$160 million to the Niger Delta Development Commission, a government agency tasked with the responsibility of developing the Niger Delta.

In 2005, CNL adopted a new approach to our community engagement in the Niger Delta designed to create participatory development processes to better address the needs of the communities in our areas of operation. This model, called the Global Memorandum of Understanding (GMOU), gives the communities greater roles in the management of their development through newly created regional

development councils. CNL signed GMOUs with eight Regional Development Councils (RDCs) in the Niger Delta.

The objective is to bring peace, stability and reduced conflict to areas where Chevron operates. Together, the GMOUs reach more than 400 communities, villages and chiefdoms and involve some 600,000 community members. CNL supports the process by providing funding for governance, administration, project and partner costs.

Local Nigerian-based nongovernmental organizations (NGOs) are essential to the process. NGOs are providing technical assistance and are helping to resolve conflicts that arise from time to time in the communities.

2009 milestones include the following:

Renegotiation of expired GMOUs was completed.

Recognition of the GMOUs increased.

Accounts of financial transactions were produced by most of the RDCs.

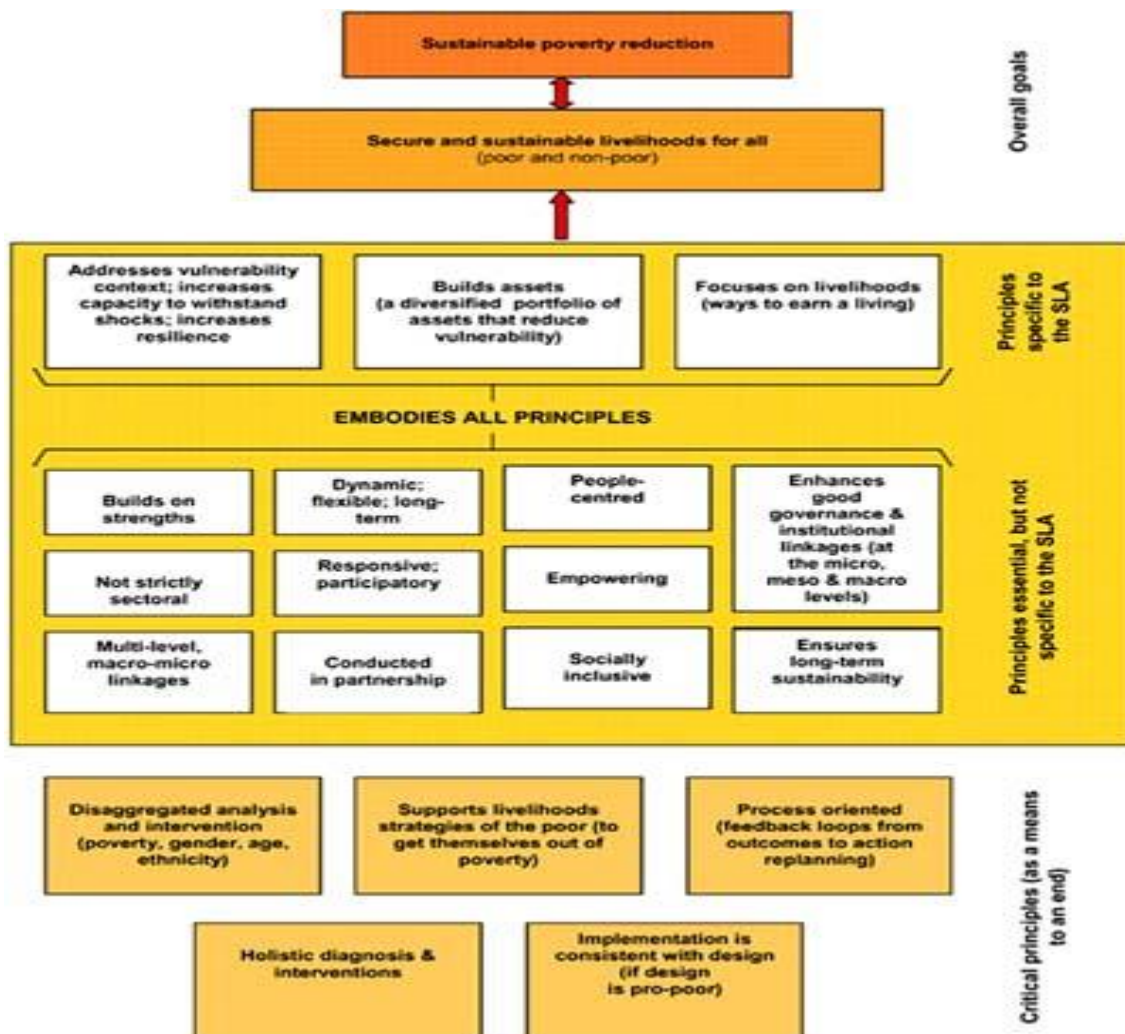
Projects and programs aimed at improving the quality of life were carried out by most of the RDCs.

Participatory Partnerships for Community Development (PPCD) initiatives were established in 2009. PPCD is a Chevron-driven partnership program that leverages the strengths of CNL, the New Nigeria Foundation — a development NGO — and other organizations to help increase the capabilities and level of activities of the RDCs.

In 2009, the company signed a memorandum of understanding with the U.S. Agency for International Development. USAID agreed to provide support for the GMOUs through its Advocacy, Awareness and Civic Empowerment program.

With many projects in the Niger Delta vying for support, an ongoing challenge of the GMOU process is balancing the communities' desire for quick results with the goals of promoting sustainable initiatives that have transparent and accountable processes. A second challenge is nurturing the partnerships needed to resolve multiple development issues that exist in this complex and difficult socioeconomic environment.

2.5 Contextual Criteria defining the Sustainable Livelihoods Approach^[1]



Source: FAO(2004)<http://www.fao.org/docrep/008/j5129e/j5129e00.htm>

3.0 Conceptual and Analytical Framework of Sustainable Livelihood Assessments

3.1 Definitions

A. Livelihoods :

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 and in the long and short term." (R. Chambers & G. Conway, 1992)

B. Poverty

Poverty: " a human condition characterized by the sustained or chronic deprivation of the resources, capabilities, choices, security and power necessary for the enjoyment of an adequate standard of living and other civil, cultural, economic, political and social rights." (*United Nations Committee on Social, Economic, and Cultural Rights, 2001*).

C. **Household Livelihoods Security** is defined as: Adequate and Sustainable Access to Income and Resources to meet basic needs. The basic needs includes:

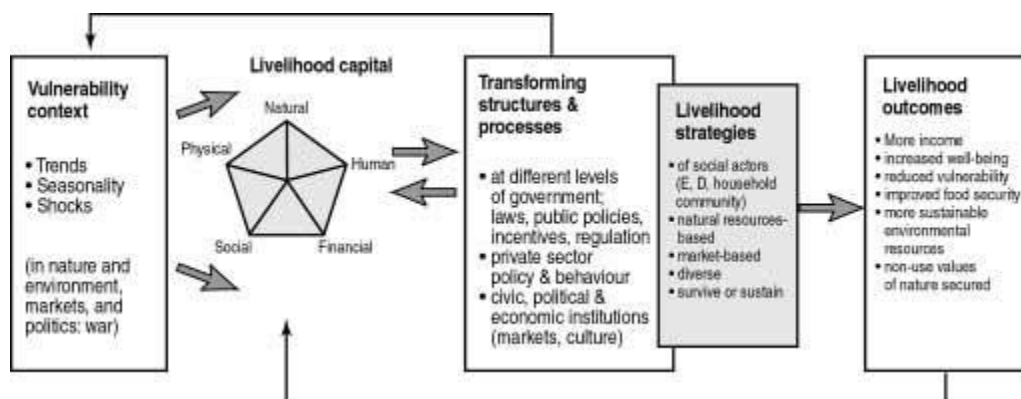
- Food, Proper Nutrition, Clean Water
- Health, Health Facilities
- Economic Opportunities
- Education
- Housing /Habitat security
- Physical Safety
- Time for Community Participation

D. Livelihood Systems

The activities Households engage in to earn a living. Livelihoods can consist of a range of on-farm and off- farm activities or procurement strategies that together provide food and or cash.

A livelihood system can also be defined as the assets and other resources that households possess and the human and social capital that households possess or can call on in times of need.

The livelihoods of the poor are often diverse as individual members use their capabilities, skills and know how to diversify income sources and offset risks.



E. **Households Livelihoods Insecurity:** This results from a number of factors such as:

- Drought and Floods
- Conflict
- Disease Outbreak and Illness
- Population Growth
- Economic adjustment policies
- Natural resources degradation etc

3.2 SUSTAINABLE LIVELIHOODS ASSESSMENT APPROACHES

a. Sustainable livelihoods objectives

The sustainable livelihoods approach is broad and encompassing. It can, however, be distilled to six core objectives. DFID aims to increase the sustainability of poor people's livelihoods through promoting:

- improved access to high-quality education, information, technologies and training and better nutrition and health;
- a more supportive and cohesive social environment;
- more secure access to, and better management of, natural resources;
- better access to basic and facilitating infrastructure;
- more secure access to financial resources; and
- a policy and institutional environment that supports multiple livelihood strategies and promotes
- equitable access to competitive markets for all.

These objectives relate directly to the livelihoods framework

3.3 DFID'S SUSTAINABLE LIVELIHOODS APPROACH: An Overview

DFID's adoption of sustainable livelihoods approaches stems directly from its *1997 White Paper on International Development*. In this publication it was affirmed that DFID's aim was the elimination of poverty in poorer countries.¹ One of three specific objectives designed to achieve this aim is DFID's commitment to "policies and actions which promote sustainable livelihoods". For DFID, sustainable livelihoods is thus an approach to achieving poverty elimination rather than a goal in its own right.

Over the past two years, DFID has been gradually expanding and adopting sustainable livelihoods approaches. The initiative came from the rural side of the organization, with efforts to include urban livelihoods and mainstream the approach within the organization as a whole gathering strength in 1999. DFID is currently in the process of extending the discussion of SL ideas and assessing how they fit with existing procedures (e.g. country programming systems) and approaches (sector-wide approaches, rights-based approaches). It has also established a Sustainable Livelihoods Support Office to coordinate its learning process and several teams tasked with the investigation of particularly difficult issues (such as monitoring and evaluation and understanding policies and institutions in the SL context).

Core emphasis and definitions

Like the three other agencies, DFID adopts a version of the Chambers & Conway's definition of livelihoods: A livelihood comprises the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.

DFID's definition of a livelihood reduces the strength of the sustainability requirement from the Chambers & Conway definition (i.e. there is no requirement to produce net benefits for others). DFID considered this to be an unrealistic demand.

DFID stresses that there are many ways (rather than a single way) of applying livelihoods approaches, but that there are six underlying principles to all these approaches. According to DFID, poverty-focused development activity should be:

- *People-centred*: Sustainable poverty elimination will be achieved only if external support focuses on what matters to people, understands the differences between groups of people and works with them in a way that is congruent with their current livelihood strategies, social environment and ability to adapt.
- *Responsive and participatory*: Poor people themselves must be key actors in identifying and addressing livelihood priorities. Outsiders require processes that enable them to listen and respond to the poor.
- *Multi-level*: Poverty elimination is an enormous challenge that will be overcome only by participants' working at multiple levels, ensuring that micro-level activity informs the development of policy and an effective enabling environment and that macro-level structures and processes help people build on their own strengths.
- *Conducted in partnership*: The public and the private sector should be involved.
- *Sustainable*: There are four key dimensions to sustainability - economic, institutional, social and environmental sustainability. All are important; a balance must be found among them.

- *Dynamic*: External support must recognize the dynamic nature of livelihood strategies, be flexible to changes in people's situations and develop longer-term commitments.

Poverty-focused development activity should also be informed by an underlying commitment to poverty elimination, which is the thread running through all DFID's work.

DFID stresses the importance to livelihoods of capital assets and distinguishes five categories of such assets: natural, social, physical, human and financial.

It also stresses the need to maintain an "outcome focus", thinking about how development activity affects people's livelihoods and not only about immediate project outputs. This is one of the most significant changes associated with the SL approach. It means that projects will be planned and evaluated according to the contribution they make toward achieving beneficial livelihood outcomes for their target beneficiaries. These desired outcomes can be fully known only if there has been a participatory dialogue with project beneficiaries or their representatives. It is not enough to assume what people want to achieve in their lives. (There is a strong link here with participatory poverty assessments.)

If a project produces a given set of outputs (for example, if it is responsible for developing certain new technologies) but those outputs make no contribution to livelihood outcomes (e.g. if the uptake of those technologies is limited), then it will not be judged a success, regardless of the apparent or intrinsic value of those outputs. This outcome focus also encourages different projects or sectors to work together toward achieving shared goals (beneficial outcomes), rather than for each to define its own area of activity and fail to look beyond this. This can provide the basis for non-sectoral entry points. (For example, the entry point may be to reduce people's vulnerability to shocks. This may translate into activities that span the sectors, such as financial services activities, group empowerment activities, the development of new risk-reducing technologies and preventive health care.)

Types of activity

DFID is operationalizing livelihoods approaches in many different contexts. Broadly speaking, it aims to promote sustainable livelihoods through:

- direct support to assets (providing poor people with better access to the assets that act as a foundation for their livelihoods);
- support to the more effective functioning of the structures and processes (e.g. policies, public- and private-sector organizations, markets and social relations) that influence not only access to assets but also which livelihood strategies are open to poor people.

The idea that links these two ideas is one of empowerment. Generally speaking, if people have better access to assets, they will have more ability to influence structures and processes so that these become more responsive to their needs.

At a higher organizational level, DFID has identified three types of actions that can contribute to poverty elimination:

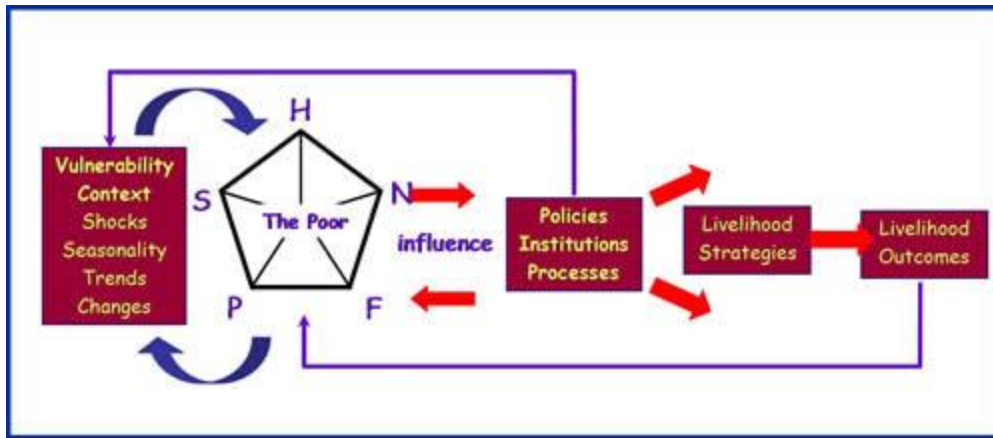
- *Enabling actions* are those that support the policies and context for poverty reduction and elimination.
- *Inclusive actions* are broad based and improve opportunities and services generally. They also address issues of equity and barriers to the participation of poor people.
- *Focused actions* are targeted directly at the needs of poor people.

SL approaches can contribute in all these areas. Work at the level of "transforming structures and processes"² is clearly linked to enabling actions. Support to the accumulation of different types of assets might be either inclusive (e.g. education programmes) or focused (e.g. supporting microfinance organizations for poor women).

Operationalizing the approach

DFID has begun to make use of livelihoods approaches in project and programme planning and in monitoring and review of existing activities. It has used the approaches to a lesser extent in policy dialogue.

Through use of the framework and a variety of tools, SL analysis asks a broad range of questions about poverty and its causes. It is not bounded by sectors or existing notions of what is important. The analysis is initially broad and relatively shallow, covering most or all aspects of the SL framework and employing various perspectives. As the main dimensions of livelihoods are uncovered and the meaning and causes of poverty become better understood, the analysis becomes iteratively narrower and deeper. Participation is critical throughout, though external experts do also have a role to play.



H represents human capital, the skills, knowledge, ability to labour and good health important for the pursuit of different livelihood strategies.

P represents physical capital, the basic infrastructure (transport, shelter, water, energy and communications), production equipment and means that enable people to pursue livelihoods.

S represents social capital, the social resources (networks, group membership, relationships of trust, access to wider institutions of society) upon which people draw in pursuit of livelihoods.

F represents financial capital, the financial resources (whether savings, supplies of credit, regular remittances or pensions) available to people and that provide them with different livelihood options.

N represents natural capital, the natural resource stocks from which resource flows that are useful for livelihoods are derived (e.g. land, water, wildlife, biodiversity, environmental resources).

DFID stresses the need for livelihoods approaches to be underpinned by a pro-poor bias and to be informed by prior social analysis to ensure that vulnerable households and groups are not neglected.

Value added by the approach

DFID perceives the livelihoods approach to have generated the following benefits:

- a clear and practical perspective on how to reduce poverty;
- a much greater appreciation of the links among different livelihood components and sectors (e.g. health, education);
- if used effectively, a good way of integrating the four pillars of development (economic, social, institutional and environmental) in a non-sectoral way;

- assurance that development efforts are people focused.

Lessons learned so far

DFID has begun to learn early lessons about operationalizing SL approaches, including:

- Ensure methodological diversity for capturing the many diverse elements of livelihoods.
- Build on strengths and do not abandon a sectoral anchor.
- Identify manageable entry points and be opportunistic. It is not necessary to establish labelled SL projects or programmes.
- Do not be overambitious in the use of SL approaches; a gradualist approach is likely to be more effective.
- When introducing SL approaches to partners, it may be unwise to start with the framework, which can be complex and off-putting.
- Stress important concepts (e.g. power relations, gender concerns) that seem to be underemphasized in the SL framework and are not made explicit in the underlying principles. Use other tools (e.g. strategic conflict assessment, social analysis) to ensure that these "missing ideas" are reflected in practice.
- Sustainability issues can easily be "left out" in SL analysis. Ensure that the four aspects of sustainability that DFID is pursuing (social, economic, environmental and institutional) remain prominent throughout.
- Implement internal change in agencies that wish to implement SL approaches. (This can be difficult to achieve, particularly in organizations that are structured in a narrowly sectoral way.)

4 The Sustainable Livelihoods Assessment: As Analytical Model for SL&BP

4.1 Context, Conditions and Trends

The level of livelihood security for any given community or household is determined by several key components. First, a holistic analysis of livelihoods begins with an understanding of the context, conditions and trends encountered by a particular population.

Macro level socio economic, political, environmental, demographic, historical and infrastructural factors influence the range of options available to communities and households as they develop their livelihoods strategies.

LIVELIHOODS ANALYSIS IN THE CONTEXT OF SL&BP IN THE NIGER DELTA

LIVELIHOODS CONTEXT:

- **Environmental context**
- **Political context**
- **Institutional context**
- **Demographic context**
- **Ethnic context**
- **Cultural context**

4.2 Livelihood Assets

Livelihood assets serve as the basis for people's livelihoods. There are five types of asset that together enable people to pursue sustainable livelihoods:

- human - knowledge, skills, ability to labour and good health
- social - the resources people can draw upon in pursuit of their livelihood objectives, including social networks and relationships of trust and reciprocity
- natural - the natural resources available
- physical - basic infrastructure and producer goods available
- financial - the financial resources people have available
- political- refers to the relationship of power, including access and influence within political systems at all levels
- economic- income from any source, including wages, salary, remittances, pensions etc

4.3 Policies, Institutions and Processes

The institutions, organizations, policies and legislation that shape livelihoods, both positively and negatively.

These structures and processes:

- operate at all levels from domestic to international
- operate in all spheres, from the most private to the most public
- determine a household's livelihood strategy, given its livelihood assets

Typically, a range of institutions which operates within a given community in the Niger Delta may include:

- National, State and LG as well as public agencies;
- Non Governmental Organizations (NGOs) and Community based organizations (CBOs);
- Traditional Institutions;
- Religious Institutions; and
- Trade associations

4.4 Livelihood Strategies

These are the range and combination of activities and choices that people make/undertake in order to achieve their livelihood goals. Livelihood strategies encompass productive activities, investment strategies and reproductive choices, among other things.

The intersection of context, Institution and resources determines a household strategy. Strategy can include various types of production and income generating activities(eg agricultural production, off farm employment, informal sector employment etc)

A comprehensive analysis determines the livelihoods strategy portfolios that different households pursue and the resultant livelihoods outcomes. In order to correctly identify groups that are most vulnerable to livelihood insecurity, it is important to disaggregate data according to ethnic groups, gender, economic status, social strata, age etc.

It is also important to capture types of coping strategies vulnerable groups use when normal livelihoods options are not available for use to meet their basic needs. At the same time efforts should be made to distinguish between unsustainable coping strategies(ie divestment strategies)from those capable of supporting livelihoods over long term eg skill acquisition and income diversification

LIVELIHOODS STRATEGIES:

- **Production, consumption, exchange**
- **Income generation**
- **Diversification**
- **Coping strategies**

4.5 Livelihood Security Outcomes

Livelihood outcomes are the achievements of livelihood strategies. Individuals and households will usually try to achieve multiple outcomes, which may include:

LIVELIHOODS OUTCOMES:

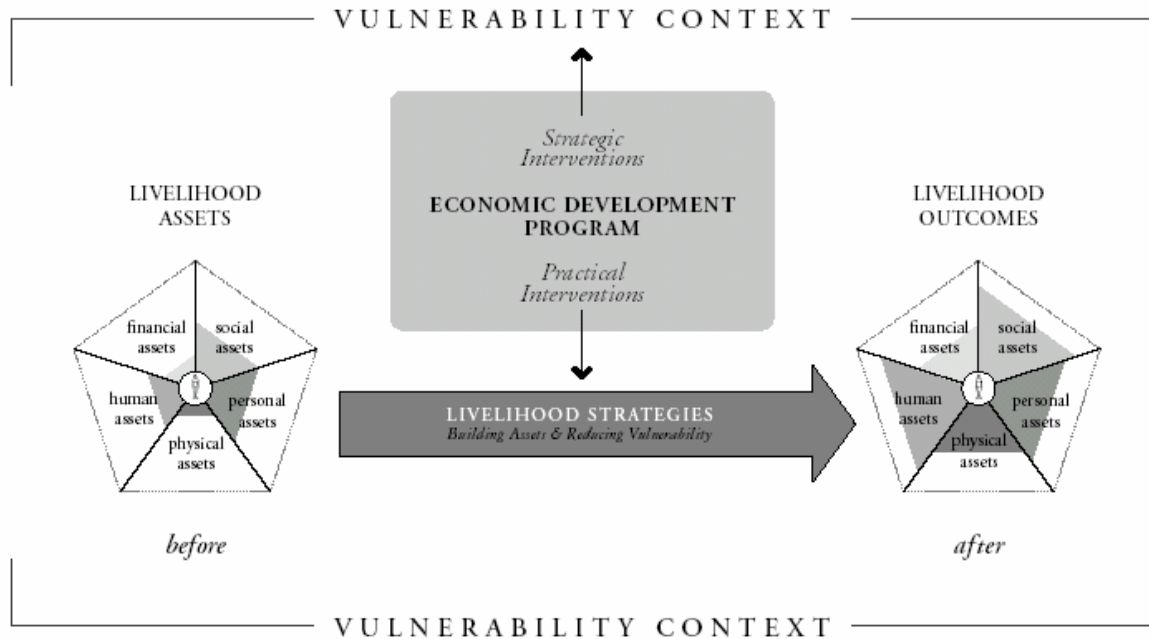
- **Food security**
- **Income security**
- **Health security**
- **Education security**
- **Housing security**
- **Political security**
- **Gender security**
- **Safety/ reduced vulnerability**
- **More sustainable use of natural resources**

Livelihood outcomes feedback into household assets, with for example more cash income increasing a household's financial capital.

4.6 Vulnerability Context

This describes the environment in which people live. People's livelihoods and the wider availability of assets are fundamentally affected by critical trends as well as by shocks and seasonality - over which

they have limited or no control. Shocks can be the result of human health, natural events, economic uncertainty, conflict and crop/livestock health. Transforming structures and processes influence the vulnerability context. The vulnerability context in turn affects a household's assets.



The Role of Program Interventions

5. STEPS FOR IMPLEMENTING DFID SUSTAINABLE LIVELIHOOD ASSESSMENT

A step-by-step process for the undertaking of practical livelihoods analysis in the context of development programmes and projects is outlined below. It should be emphasised that it is a guide to a process, not a blueprint. The steps are not necessarily comprehensive, nor do they necessarily have to occur in the order set out - livelihoods analysis is often in practice an iterative process.

Step 1: Select the sites where the livelihoods analysis will be undertaken. This will not be difficult if the development programme or project being planned is at a very local level and involves a particular group of households. However, if the programme or project is working at the district level, or with a particular sector focus, it will not be possible to carry out an in-depth livelihoods analysis in every area. Thus criteria to help choose the most appropriate areas in which to carry out the analysis will need to be carefully developed.

Step 2: Put together the team who will carry out the analysis. This involves the selection of team members who can best meet the demands of the particular situation. This may involve selecting people with particular Participatory Rural Appraisal and/or Gender Analysis skills. It may involve identifying people with specific local, content or policy knowledge.

Step 3: Collect secondary data. Once sites have been selected, the collection and summation of secondary data - information from reports, development plans and census data - will help the team build up knowledge about the areas in which they will be doing planning. A list of indicative key questions to help guide secondary data collection as well as the initial assessment (Step 6), are set out in Annex 3: Key Questions for Sustainable Livelihoods Analysis.

Step 4: Determine entry strategies. Before the team can get started with fieldwork in selected sites, they will need to develop an entry strategy. This involves identifying who the key stakeholders are, deciding who they will speak to, and deciding how to negotiate the planning process with local people. When the team develops its entry strategy, it might find that an area it selected is not suitable after all and then it is a case of reconsidering Step 1.

Step 5: Building the team. The team members orient themselves and refresh key fieldwork principles, behaviours, and approaches. The team needs to reflect on some of the dos and don'ts of working with people on the ground, and it must prepare properly to do the fieldwork.

Step 6: Initial assessment. This is likely to involve a combination of different participatory methods and activities. These help the team - and participants:

- develop a historical understanding of the area and different forces that have shaped it

- identify issues of gender, age and power and how these are reflected in local institutional arrangements
- discover how local people define well-being
- understand the range of assets, activities and capabilities that create different livelihood strategies
- develop categories of well-being and rank sample households
- assess the key aspects of the vulnerability context - risks, hazards and trends
- identify connections between local level issues and factors which affect them that originate in the broader environment

Participatory methods that are frequently used in the context of livelihood analysis are given in

Step 7: Analysing the information. This is about making sense of the information collected through different participatory activities. The team brings together secondary data and information from fieldwork to see key trends and the connections between different issues. At this stage the team needs to be particularly aware of its biases. It needs to re-examine how it saw the issue and problems at the beginning of the process. The team must make sure it reflects the assessment findings back to the community in an open-ended way so that local analysis can take place.

Step 8: Making the linkages (1). Now that the team and local stakeholders have the information before them, they need to consciously make the connections between local trends and factors in the broader environment that are influencing them.

Step 9: Reflection, vision and prioritisation. This is about reflecting back and analysing the information that has been synthesised from fieldwork and secondary data with local people. Who develops the criteria and indicators that are used to assess the information and prioritise the issues? Team members should not substitute their ideas for the analysis of local people. They should also recognise the limitation of narrow problem-based analysis. Appreciative planning approaches can enable people to develop a vision, priorities and ideas about key activities, building on existing strengths.

Step 10: Activity design and appraisal. This involves carrying forward the analysis, reflection and prioritisation undertaken in Steps above into activity design and appraisal. More information on the livelihoods situation of households and individuals, through a baseline study that includes household profiles, can be helpful. Furthermore, this stage will entail more in-depth information on, and the analysis of, the specific priorities that have been identified. Depending on these priorities, it might be appropriate at this stage to use other types of analyses or methods, such as market analysis, gender analysis and environmental analysis.

Step 11: Making the linkages (2). This involves a revisiting of, with local people, the linkages with the wider environment . This process may suggest areas for policy reform and advocacy that can form a separate (but parallel) stream to local-level livelihood activities.

Step 12: Programme or project implementation. Key activity areas are refined with the stakeholders and detailed activities agreed.

Step 13: Participatory monitoring and evaluation. Data from the baseline livelihoods analysis and household profiles can provide important information for a monitoring and evaluation framework. This data enables the team to select indicators that will measure the impacts of the development activities.
<http://nzaidtools.nzaid.govt.nz/sustainable-livelihoods-approach/annex-4-process-practical-livelihoods-analysis#1>

6.0 Analysis of SL Assessment Findings

The following process for analyzing assessment findings draws on the conceptual framework presented in Section III.

6.1 Descriptive Analysis

A livelihoods assessment begins with a descriptive analysis. Descriptive analysis refers to a phase in which the findings are organized in a logical manner to obtain a description of the current situation in the areas covered in the assessment. Descriptive analysis involves:

- Reviewing the information;
- Identifying the causal links, patterns, and common themes; and
- Arranging the facts in order to present them in a coherent form.

The goal of this phase is to describe the current livelihood strategies, outcomes, the types of risks that the communities are exposed to and how the risks are managed. This includes examining the range of livelihood outcomes, risk reduction and coping strategies adopted in order to accurately assess the local capacity to respond to shocks and manage risks. Finally, a descriptive analysis provides insight into the current level of vulnerability resulting from the combination of risks, shocks, and coping strategies.

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.

However, other livelihood outcomes that should be measured include:

- Sustained access to food;
- Education;
- Health;
- Social network participation;
- Physical safety;
- Environmental protection;
- Life skills capacities; as well as
- Any other livelihood issues raised during the participatory meetings.

Livelihood outcome analysis should be disaggregated by sub-groups of the population. The types of sub-groups will be based on location specific information but possible groupings may include:

- Economic or wealth groups;
- Women;
- Youths;

- Ethnic groups;
- Livelihood activities (e.g. farmers, fishermen etc.); or
- Age groups.

It is important to differentiate between the groups to understand where and what the needs are well as begin to think about what are some of the possible development activities that could help better the livelihood outcomes.

6.2 Dynamic Analysis

While Level I analysis entails a descriptive assessment of livelihood outcomes, risk and risk management strategies, dynamic analysis places the emphasis on discerning themes, patterns and categories. These broader issues emerges from assessment findings and are critical to understand in order to predict and respond to varying levels of vulnerability to livelihood insecurity. Level II analysis can also be described as a dynamic analysis because it addresses the nature and degree of changes in vulnerability among households and communities. Based on the identification of livelihood profiles within the target region or population, this dynamic analysis draws on observed trends and relationships to help communities think about the primary constraints to developing successful livelihoods for development. A strong analysis will identify hypotheses, or defensible ideas, about the primary constraints to developing successful livelihoods for each of the community sub-groups.

Essentially, the dynamic analysis should help in determining livelihood, institutional and demographic trends . secondly, it should help in identifying the most vulnerable individuals, households, groups and populations.

6.3 Opportunity analysis

In addition to a descriptive and dynamic analysis, it is also important to take into account the opportunities that are available to communities, households, and individuals within the area of assessment. Opportunities also refer to the potential of a community or region. Opportunities also refer to capacities, interests, and abilities of members of a community, in other words, examining opportunities provides a way to define potential building blocks for development activities. Thus, this is critical step to help bridge the gap between the analytical phase and the development planning phase.

An analysis of opportunities can also provide insight into various risk management strategies and contributes to an assessment of household and community resilience. Often referred to as positive deviance, these positive examples of household and community response to constraints can form the basis for the intervention designs in other locations. This positive deviance approach derives from the health sector, but is equally applicable in other sectors as well. Positive Deviance Inquiry approaches can be used with community strengths.

Additional opportunities may also be derived from efforts being supported by community-based organizations and local NGOs. Such groups may be operating effective programs to address household and community vulnerability that future interventions can build upon. In many cases, these

opportunities may be supported by the government through policy level changes that created enabling conditions. Similarly, effective collaboration among multiple organizations can enable scaling up of proven risk management approaches. Many of these opportunities may be discovered through the use of tools such as stakeholder and institutional analysis

7.0 FORMULATING PROJECT ACTIVITIES FROM SLA OUTCOME

7.1 Community Development Plan (CDP)

The end product of the Sustainable Livelihoods Assessment is a plan which outline livelihoods strategies to adopt to ensure livelihood security of the communities. These plans are referred to as either Local Development Plans(LDP) or Community Development Plans(CDP).

The goal of the plan is to develop a cohesive strategy for a community, which aims at helping people enhance the diversity, sustainability and security of adopted livelihoods strategies. Areas of activity may include any areas that relates to livelihoods outcomes (health, income, education, nutrition, environment, water etc)

According to **EfDI(2006)**, a major challenge with the development of CDP or LDP is that many practitioners do not actually incorporate the results of the livelihoods assessment analyses. Rather, the CDP or LDP is designed based on pre-determined activities, goals and criteria.

7.2 STEPS TO ACHIEVING SLA OUTCOME BASED CDP

1. Establishing Community Goals and Priorities

The two primary outputs of the sustainable livelihoods Assessments are an understanding of the both the vulnerable and the latent opportunities within the communities. It is important to consider the needs of the vulnerable groups in deciding restoration activities and project interventions so as not to further increase the marginization of the this group.

The three steps to establishing community priorities include :

- a) Re-presentation and discussion of the results of the livelihoods assessment
- b) Discussion of the expectations, desires and goals of the community in light of findings
- c) A ranking of the relative importance of each of the goals through participants consensus

2 Identify Activities.

It is necessary to identify all related activites that will be required to meet identified goals

3 Feasibility Assessment

Although all community goals may be valid not all are feasible or possible. Each goal and activites must be assessed using a set of questions to know if goals/activities should be pursued or not. Some of the questions included in the feasibility filter include:

- 1 Has the assessment identified priority interventions across sectors that can be considered the greatest leverage points for improving the livelihoods security of local population
- 2 How does the recommendations fit into the proposed SL&BP project and budgetary provisions
- 3 What influence can Government and donors macro policy have on the success of the proposed intervention ?

■ **Current Activities**

This is important to avoid duplication of efforts and to maximize efficiency. An inventory of on going or abandon projects related to selected activities will made by community

■ **Responsible parties**

Once the development activities are defined it will be necessary to assign responsibility for each implementation step.

■ **Defining Timelines**

No plan is complete without definite timelines for implementation, monitoring and evaluation

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ANNEX 1

Mainstreaming Sustainable Livelihoods Assessment in the Niger Delta, Nigeria

A Topical Outline

Broad Topics	Outline Issues	Objectives	Tools
Environment	<ul style="list-style-type: none"> • Agro-ecological zones (land types, settlement patterns) • Natural Hazards (oil, storm surges) • Climatic and rainfall situation • Forests, water bodies, other landscape characteristics • Environment degradation 	Describe the physical environment surrounding the community, document changes that affects livelihood systems	Secondary data Observation Community maps FGDs
Demography	<ul style="list-style-type: none"> • Population trends • Male and Female/children and people of different age groups • Female-managed households • Settlers, internal, external migration 	Describe the changes in population, including density, sex ratio, in-migration, out-migration, pyramid structure	Secondary data FGDs
Infrastructure	<ul style="list-style-type: none"> • Condition of existing infrastructure (roads, schools, drinking water, transport, irrigation, communication, sanitation) • Maintenance systems • Financing for infrastructure • Changes in infrastructure 	Describe the existing infrastructure in the community	Secondary data Transects, Observation Community maps FGDs
Shocks/ Stresses	<ul style="list-style-type: none"> • Major shocks or stresses in the region • Emergence of conflict with communities and between communities 	<p>Document the predominant shocks and stresses that have occurred in the region and have affected the community.</p> <p>Register any conflict or tension within the community</p>	FGDs Venn diagrams

Social	<ul style="list-style-type: none"> • Social differentiation and forms of social exclusion • Religious groups • Local traditional institutions • Wealth/class structure • Participation of women • Cultural/ social trends (polygamy, bride price, divorce, etc) • Ethnic structure of the community 	Identify the social context	Secondary data FGDs Venn diagram Wealth ranking
Political	<ul style="list-style-type: none"> • Traditional power institutions (chiefs, kings, etc) • Sources of conflict 	Describe the structure of power and the areas of community conflict	FGDs Community map
Economic	<ul style="list-style-type: none"> • Major livelihood systems • Markers • Financial institutions, rotating credit associations 	Describe the basic economic context	Secondary data Observation FGDs

B. Assets

Broad Topic	Outline Issues	Source	Tools
Natural	<ul style="list-style-type: none"> • Sources of drinking water • Farmland • Forests • Water bodies 	Describe the natural assets that are utilized by local households	FGDs Community mapping Transect walk
Financial/ Economic	<ul style="list-style-type: none"> • Source of credit, savings and loans • Individual or groups savings systems, scholarship programmes, revolving fund for poor • Money-lending 	Describe the financial and economic assets that are available to households, including how they are accessed and utilized	FGDs Observation Community mapping Wealth Ranking

	<ul style="list-style-type: none"> Principal sources of income 		
Human	<ul style="list-style-type: none"> Community schools Access to education for all segments of the community Informal education Local traditional skills and indigenous knowledge Where do you go when you are sick? Major types of health problems 	Describe the household characteristics of human capital in terms of household size, composition, access to education, health care. Also describe the local skill pools	FGDs Community interview Problem analysis
Social	<ul style="list-style-type: none"> Forms of social capital Local groups and associations Types of community participation 	Describe the importance of social capital to the households, what forms it takes, how it is generated and utilized	Venn diagram FGDs Community mapping
Political	<ul style="list-style-type: none"> Patron-client relationships Household access to political power 	Describe how local political structures affect households assets	FGDs

C. Institutions/Structures/Organization

Broad Topic	Outline Issues	Objectives	Tools
Relationships with Civil Society	<ul style="list-style-type: none"> NGO activities CBO activities Impacts on the community 	Describe the importance of civil society organizations in the local community	Venn diagram FGDs
Relationships with Government	<ul style="list-style-type: none"> Presence of government agencies, federal, state, and government institutions Impact of government on the community 	Describe the importance of government institutions in the local community	FGDs Venn diagram
Relationships	<ul style="list-style-type: none"> Types of private sector presence 	What is the importance of the	FGDS

with Private sector	<ul style="list-style-type: none"> • Impacts 	private sector presences in the community	
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D. Livelihood Strategies

Broad Topics	Outline Issues	Objectives	Tools
Livelihood Strategies	<ul style="list-style-type: none"> • Main sources of income and work • Nature of agricultural and fishing activities • Use of forest nature resources and water resources • Seasonality in income and food availability • Distribution of activities by gender and age • Immigration • Food consumption patterns • Exchange activities • Household access to critical resources (farmland, forest, water resources) 	Describe the nature of livelihood activities in the community	Community mapping FGDs Seasonal calendars wealth ranking
Coping strategies	<ul style="list-style-type: none"> • Kinds of coping strategies • When coping strategies are used • Changes in household activities during stress 	Describe how households deal with major sources of chronic and transitory stress or shock	Seasonal calendars FGDs Problem analysis Wealth ranking

E. Livelihood Outcomes

Question/Issue		Objectives	Tools
Food Security	<ul style="list-style-type: none"> • Food consumption patterns • Access to food • Diet diversity 	Describe the situation of food security among the different household types in the community	FGDs Seasonal calendar Wealth rankings

	<ul style="list-style-type: none"> • Number of meals • Difficult periods of the year • Changes in food consumption • Differences in consumption by gender & age 		
Education	<ul style="list-style-type: none"> • Levels of literacy • Levels of education • Quality of education • Skill-building programs • Education by gender, class, age 	Describe the level of education among households in the community	FGDs
Health	<ul style="list-style-type: none"> • Level of health in community • Access to clean water • Access to latrines • Hygiene behaviors 	Describe the health status of households in the community	FGDs Observation
Shelter	<ul style="list-style-type: none"> • Types of housing • Stability of housing • Type of housing by class 	Describe the quality and stability of housing in the community	FGDs Observation
Personal Security and Safety	<ul style="list-style-type: none"> • Social conflict over the last three years • Attempts at mitigation • Affects of conflict on households • Incidence of crime • Violence against women 	Describe the characteristics of personal safety for the community	FGDs
Livelihood Constraints	<ul style="list-style-type: none"> • 	Describe the livelihoods constraints that have been identified above	All
Livelihood opportunities	<ul style="list-style-type: none"> • 	Describe the livelihood potentials that have been identified above	All

ANNEX 2

Generic Template for SLA Report

- I. Introduction to the assessment**
- II. Community context**
 - a. History of the formation of the community
 - b. Environmental characteristics
 - c. Demographic characteristics
 - d. Social characteristics
 - e. Institutional characteristics
 - f. Political characteristics
 - g. Conflict
- III. Livelihood Systems (for each system)**
 - a. Assets**
 - i. Natural Assets
 - ii. Physical Assets
 - iii. Economic/Financial Assets
 - iv. Social Assets
 - v. Political Assets
 - b. Strategies**
 - i. Production Strategies
 - ii. Income Strategies
 - iii. Consumption Strategies
 - iv. Migration
 - v. Seasonality
 - vi. Longer-term changes in strategies
 - vii.

c. Outcomes

- i. Foods and nutritional security
- ii. Income Security
- iii. Health Security
- iv. Education Security
- v. Social Acceptance
- vi. Safety
- vii. Political Access
- viii. Housing

IV. Gender analysis

- a. Women's status in community
- b. Women's economic role
- c. Women's level of participation

V. Patterns of conflict in the community

- a. Causes of Conflict
- b. Mediation Efforts

VI. Equity and social inclusion in the community

VII. Vulnerability analysis

- a. Sources of stress and shock in the community
- b. Coping strategies
- c. Chronic vulnerability
- d. Temporary vulnerability

VIII. Community constraints

IX. Community opportunities

X. Conclusion

ANNEX 3

Indicators of Livelihoods Positive Impact on the Rural Poor

General Indicators of Poverty Reduction

- o Improved income levels of poor and non-poor*
- o Changes in household food security*
- o Improved basic needs (shelter, health, nutrition)*
- o Changes in income distribution and decreases in inequities*
- o Diversification of income sources*
- o Changes in income security*
- o Improved human rights*
- o Increased access to public goods and services*
- o Increased yields*
- o Changes in consumption and diet*
- o Improved quality of life*

Indicators of Increased Resilience and Reduction in Vulnerability/Volatility

- o A reduction in frequency/severity of shocks.*
- o An increase in risk preparedness.*
- o Increased capacity to cope with/prepare for/adapt to natural or economic shocks.*
- o Increased capacity to cope with/prepare for/adapt to seasonality (IMM, 2004)*

Indicators of Long Term Sustainability

- o Increase in environmental sustainability*
- o Reduction in conflict or increase in peace/resolution*
- o Changes reflecting livelihood sustainability*
- o Sustained Post Project Activities*
- o Sustained Post Project Institutional Changes*
- o Sustained Post-Project poverty reduction*
- o Sustained or permanent removal of groups from social exclusion*
- o Addressed inequities faced by disadvantaged groups*

ANNEX 4

Participatory Tools for Livelihoods Analysis

Livelihood outcomes

- Well-being ranking of social groups, communities or populations in regions (at different moments in recent history)
- Social mapping
- Cause-effect diagrams
- Analysis of historical aerial photographs and remote sensing images and data, with a particular focus on environmental change

Livelihood strategies

- Ranking of income sources
- Mapping of migration patterns
- Inventory and ranking of income and expenditure
- Seasonal calendars of production, employment and income

Policies, institutions and processes

- Venn diagrams
- Actor network analysis and 'power network diagrams'
- Cause-effect and flow diagrams
- Market inventories and commodity price tracking
- Narratives or institutional histories from key informants (including on traditional rules, tenure and markets)

Livelihood assets

- Livelihood diagrams
- Asset surveys and resource mapping, including soil and vegetation surveys and inventories of the quality of housing stock, water supply and sanitation systems
- Seasonal calendars of asset availability and quality
- Social network and Venn diagrams

Vulnerability context

- Study of meteorological and demographic data
- Research in historical archives with a particular focus on political context and market fluctuations

ANNEX 5

Key Questions for Sustainable Livelihoods Analysis

Livelihood assets

- **Human capital**
- How complex is the local environment (the more complex, the greater importance of knowledge?)
- From where (what sources, networks) do people access information that they feel is valuable to their livelihoods?
- Which groups, if any, are excluded from accessing these sources?
- Does this 'exclusion' affect the nature of information available?
- Are knowledge 'managers' (e.g. teachers or core members of knowledge networks) from a particular social background that affects the type of knowledge that exists in the community?
- Is there a tradition of local innovation? Are technologies in use from internal or external sources?
- Do people feel that they are particularly lacking in certain types of information?
- How aware are people of their rights and of the policies, legislation and regulation that impact on their livelihoods? If they consider themselves to be aware, how accurate is their understanding?

- **Social capital**
- What social networks and more formalised groups (vertical and horizontal) exist?
- To what extent do such networks and formalised groups build trust, facilitate cooperation and expand access to wider institutions?
- How does such trust, cooperation and access influence livelihood opportunities?

- **Natural capital**
- Which groups have access to which types of natural resources?
- What is the nature of access rights (e.g. private, common?). How secure are they? Can they be defended against encroachment?
- Is there evidence of significant conflict over resources?
- How productive is the resource (e.g. soil fertility)? Has this been changing over time (e.g. variation in yields)?
- Is there existing knowledge that can help increase the productivity of resources?
- Is there much spatial variability in the quality of the resource?
- How is the resource affected by externalities (e.g. cross-boundary impacts of other users)?
- How versatile is the resource? Can it be used for multiple purposes (this can be important in cushioning users against particular shocks)

- **Physical capital**
- What is the state of transport infrastructure and services, ICT and energy supplies?
- How do they directly or indirectly support livelihoods?
- What access do people have to them?
- Do people have adequate shelter, water supply and sanitation?

- **Financial capital**
- In what form do people currently keep their savings (livestock, jewellery, cash, bank deposits etc.)?
- What are the risks of these different options? How liquid are they?
- Which types of financial service organisations exist (both formal and informal)?
- What services do they provide, under what conditions (interest rates, collateral requirements etc.)?
- Who - which groups or types of people - has access? What prevents others from gaining access?
- What are the current levels of savings and loans?
- How many households (and what type) have family members living away who remit money?
- How is remittance income transmitted and how much is transmitted?
- How reliable are remittances? Do they vary by season?
- Who controls remittance income when it arrives? How is it used?

Transforming structures and processes

- What policies and legislation influence people's livelihoods, and how?
- What institutions and organisations influence people's livelihoods assets, strategies and outcomes, and how do they influence these?
- What are the roles and responsibilities of these different institutions and organisations, and how are they established and enforced?
- What are the interrelationships between these different institutions and organisations?
- What access do poor people have to these institutions and organisations?
- How aware are people of their basic human and political rights? How are rights enforced/safeguarded?
- Are there organisations and processes that are owned by poor communities and groups, and that engage in self-help and advocacy initiatives?

Livelihood strategies

- What does the livelihood 'portfolio' of different social groups look like (percentage of income from different sources, amount of time and resources devoted to each activity by different household members, etc.)?
- How and why is this changing over time? (Changes may be, for example: long-term, in response to external environmental change; medium-term as part of the domestic cycle; or short-term in response to new opportunities or threats.)

- How long-term is people's outlook? Are they investing in assets for the future (saving)? If so, which types of assets are a priority?
- How 'positive' are the choices that people are making? (e.g. Would people migrate seasonally if there were income earning opportunities closer to home or if they were not saddled with unpayable debt? Are they 'bonded' in any way? Are women able to make their own choices or are they constrained by family pressure/local custom?)
- Which combination of activities appear to be 'working best'? Is there any discernible pattern of activities adopted by those who have managed to escape from poverty?
- Which livelihood objectives are not achievable through current livelihood strategies?

Livelihood outcomes

- What are the kinds of livelihood goals that people aspire to achieve and what is the relative emphasis that they place on different livelihood outcomes? (e.g. more income, increased well-being, reduced vulnerability, improved food security, more sustainable use of the natural resource base).
- What trade-offs or conflicts are there between these different livelihood outcomes?
- To what extent do people actually achieve their livelihood goals, and what is preventing people from fully achieving them?

Vulnerability context

- Which groups are engaged in which livelihood activities?
- How important is each livelihood activity to the groups that engage in it?
- Is the revenue from a given livelihood activity used for a particular purpose e.g. if it is controlled by women, is it particularly important to child health or nutrition?
- What proportion of output is marketed?
- How do prices for different products vary throughout the year?
- How predictable is seasonal price variation?
- Are the price cycles of different products all correlated?
- What proportion of household food needs is met by own consumption and what proportion is purchased?
- At what time of the year is cash income most important? Does this coincide with the time at which most cash is available?
- Do people have access to appropriate financial services to enable them to save for the future? Does access vary by social group?
- To what degree are groups vulnerable to extreme climatic events and how are their livelihoods affected by such events?
- How do income-earning opportunities vary throughout the year? Are they agricultural or non-farm?
- How does remittance income vary throughout the year?

ANNEX 6

SLA Case Study:(A) Molutehin “Moluma”

To assess/analyze the livelihood of a given community from the perspective of the set out segments for the purpose of formulating policies and strategies capable of developmental outfit- “A case study”- We shall see the segments as we proceed.

Composition of the RDC under study:

The RDC comprises of eight (8) major communities: Molutehin, Awoye, Jinrinwo, Odofado, Gbagira, Opoakaba, Mese and Akinsolu and 34 other impacted communities

Background:

The region has suffered serious major set backs-physical degradation occasioned by the activities of the oil exploration of which Chevron is a major actor.

Livelihood Context

Environmental:

- Both white and red mangrove forest
- Predominantly Swampy
- The atmosphere reflects the equatorial environment
- The community is more or less at the same level with the sea, hence it is constantly flooded with little rainfall and during high tide periods
- The community is founded on the sedimentary rock/ earth crust
- Sea incursion is highly profound hence very flexible for sea erosion, thereby treating the stability of the community.
- The community responds “to incursion” of the sea in terms of constant shifting inward at reasonable time interval
- The community is as old as Ilaje Race
- The Swampy nature of the settlement made it possible for mosquito colonies becoming common neighbor making malaria fever a constant epidemics in the community.

- Impact of oil exploration on the environment: include spillages, constant oil spill, resulting into water pollution, destruction of livestock, vegetation, fishing net/traps, fresh water habitats, and farm lands, now alternatives are forgone.
- Gas flaring-causing air pollution and affecting respiration of both people and animals, rainwater is a source of water supply for drinking and domestic purpose but has been adulterated with carbon dioxide that is harmful for human consumption

Political:

- The head of the community is called “The Baale” who presided over all issue in council and send periodic reports to the paramount ruler of the kingdom i.e. The Olugbo of Ilaye land
- There is also council of elders. The elders in council is headed by the Baale
- The community secretary co-ordinates activities of the elders in-council and acts as secretary at all meetings
- The community also have youth and women groups. These bodies are responsible for the organization of their groups for developmental attainment
- The advent of oil exploration Illaje oil producing communities (onshore operations)

Institutional:

- Educational institution:
 - There is a primary schools, LAPs Molutehin
 - One secondary school, Molutehin Comp coll, Imoluma
 - No private school at all
- Market Institution
 - No formal market setting; but
 - Informal market operated on canoes by intenary traders
- Religious Institutions
 - There is only one orthodox church, the first African church and
 - There (3)major C &S churches

- Pentecostal churches is not feasible at all
- Health (facilities) institution
 - Private health facilities – nill
 - Public/government - nill
 - Voluntary health workers- nill
 - Traditional Birth attendants are few(i.e. exist in few numbers)
 - There are few intenary medicine Hawkers
 - No formal financial institution but cooperatives and “Adako” and some other form of thrifts.
- Infrastructures/ recreational institutions
 - No electricity
 - No pipe borne water
 - No Bore holes
 - Water is sourced from chevron drilled bore in Opoakaba located few (i.e. 5 km) away from molutehin
 - No police post/ station
 - Postal agency nill
 - The only communication means used to be local carriages but recently “Glo Network came in full force.”

Demographic:

- Before 1991 census the population figure was in excess of 12,000.

However the population has been on the pendulum as a result of crises that occurred in 1998.

- The recent census raw figure is on the increase to about 13,700 until census result we have to remain mute.
- The population ratio of women to men is 3:2 and on the average we have (2) two women to a man (as wives) in each house-hold in Molutehin community.
- The community is made up of an elderly population. The youth are frequently, migrating in search for sustainable livelihood possibilities.

- The community is bounded by Awoye Community in the North, Nati/Ikuyinmino in the west and Anelim Community in the east.

Ethnic:

- The community is predominantly Ilaje constituting 98% and few Itsekiri people that account for 2%

Cultural:

- The language spoken is Yoruba and the dialect is Ilaje fluently spoken by both old and young
- The community practice a patrilineal type of marriage and are polygamous all through
- The community is predominantly Christian with a few traditional believers. This can be estimated as 75%/25%
- Both men and women populations depend largely on fishing, men engage in fishing on the sea while the women are engaged in drying the fish.
- The mode of dressing is typically the Yoruba way of dressing
- The household setting has the men as the decision makers. The Women are largely marginalized, for example no housewife eats the head of a fish
- As part of the cultural practices the community has the following festivals:
 - o Malokun festival
 - o Ajija Day (Babaji) and
 - o Ogele Dancers

Household Assets

Livelihood Systems: (Focused on Motorized Fishing)

The following livelihood systems exist in a specified proportion

- (i) Fishing 85% this includes:
 - Motorized Fishing 55%
 - Artisanal Fishing 30%
- (ii) Craft making; i.e mat making, weaving, fishing gear making, canoe and boat making, showing put at 10%

(iii) Fishponds/petty trading 3.5%

(iv) Firewood gathering 1.5%

Human Capital:

- Traditional skills in fishing activities
- Swimming and diving skills
- Automobile skills
- Skills in the making and repairs of fishing gears

Financial Capital:

- Personal Saving
- Thrifts contribution
- Credit societies

Economic Capital:

- Income through fishing
- Income through the sales of processed fish
- Income through repairs of fishing equipment
- Income through employment in fish drying job

Physical Capital:

- Fishing boats
- Local fish drying factories
- Nets of various sizes
- Paddles
- Outboard engines
- Mechanical tools
- Life buoy

Social Capital:

- Credit facilities through cooperatives and thrift societies
- Shared fishing business-investors/operators relationship usually ratio 3:1
- Assistance to fellow fishermen through contribution of fish to whoever loses their investment or are unable to operate as a result of incapacitation, illness and the likes.
- Mutual assistance amongst fishermen during fishing operations involving unusual big catches or unforeseen fishing circumstances

Natural Capital

- Fishing grounds-ocean, sea
- Vegetation which provides firewood
- Timber which provides wood for the constitution of canoes and boats

Livelihood Strategies

Production:

- There is average scale production

Consumption:

- The consumption rate is very low between 1-8% of the total catch

Exchange:

- The exchange rate is very high is as a result of low consumption rate that enables market able exchanges from surplus. This above 90%

Income Generation:

- Income is generated through sales of fishes
- Income is generated through repair of fishing equipment and gear
- Income is generated the sales of firewood to the fishermen / fish drying factories
- Income is equally generated through the construction of fishing boats and canoes
- Etc.

Diversification:

- Transportation business- Speed boats and the like such as market Boats

- Money Lending
- Sales of petroleum products (filling stations)
- Sales of outboard motors and spare parts

Coping Strategies:

- The use of vigilante groups to checkmate the activities of sea pirates
- Supports to victims of boat mishap in the course of fishing activities carried out by the community members
- Mutual assistance amongst fishermen during difficult moments

Livelihood Outcomes

Food Security:

There is reasonable level of food security through daily catch or preservation or storage for eventualities

Income Security:

Income is not regular and not absolutely secured enough. Some storage is made in anticipation of scarcity when demand scales are expected to be high.

Health Security: Highly insecure

Education Security: Insecure

Housing Security: Insecure

Political Security: Insecure

Gender Equity: Not equitable, the pendulum is womanly negative

Safety: Largely insecure

ANNEX 7

SLA CASE STUDY II IDAMA RDC

Case Study: Idama, Satellite Communities – Ekulama, Ngurriebana, Okorboki, Shell Kiri, Niko, Rewbrikiri

Livelihood Context

Environment:

- An island located at the edge of the Sombreiro River in Akukututu LGA of Rivers State
- The terrain is swampy, brackish water, mangrove vegetation. There is heavy rainfall during April-October the soil is sandy clay which is fertile for farming but they do not farm. The major source of livelihood is fishing but due to exploration activities, there is a decline in fishing activities.

Political:

- Under ward 17 with 4 other communities and they have political zoning. Idama has an Amadabo, who is the king, Council of Chiefs, elders, who are kingmakers, women's group, youth

Institutional:

- There are churches
- There is the traditional Amatemesor Shrine
- There are schools, 1 primary and 1 secondary government school

Demographic:

- The population of about 12,000 persons comprising men, women, youths and children, women are greater in number than men, the youthful population of Idama is bounded in the West by Abisee, North by Elem Sangama, and souk which is the closet to Idama
 - Women from 35%
 - Men from 25%
 - Elderly from 10%
 - Children from 10%
 - Working population 20%

Ethnic:

- The language spoken is Kalabari, the tribe is Ijaw. One ethnic group. They have indigenes and non indigenes in the community. The foundation is Oko-migrated as a result of fishing activities

Cultural:

- A rich cultural heritage. They have common cultural affiliation. The Amatemsour shrines is a restricted place.

Household Assets**Livelihood Systems (Selected Fishing)**

Petty Trading, Subsistence farming and fishing which is the main occupation

Off fishing methods include:

- Dragnet normally used by two set nets, drop overnight and then come back
- Long lining where they use hooks and a hook kine

Human Capital

- There is little human capital, apart from fishing skill which a majority of them have. They are mostly unskilled labourers

Financial Capital

- No financial capital because fishing depends on the tide and with oil exploration activities the water is bad

Economic Capital

- Little income from sales of fish, petty trading, unskilled labourers get wages by doing odd jobs

Physical Capital

- Electricity
- Transport eg speed boats
- Shelter
- Production equipment eg: idenvie (drying after dug out wells... dug out boats, borehole?)

Social Capital

- Idama Belemere (Esusu groups)
- Yes, Nigeria programme (NGO) for Secondary School Students
- Fish co-operative society

Natural Capital

- An abundance of wildlife, land is limited biodiversity (periwinkles, Ngbe local)
- Oil and Gas

Livelihood Strategies

1. **Production:** Fish, Subsistence Farming, Local Concrete Fishing, Basket, Kanna, Kangara
2. **Income Generation:** they engage in petty trading, they also get some income from oil companies as levies
3. **Consumption:** they produce fish
4. **Exchange:** they exchange their fish for other goods (trade by barter)
5. **Diversification:** Mud digging, picking of periwinkles, they sell firewood Angala
6. **Coping strategies:** they migrate to other communities to engage in buying and selling

Livelihood Outcomes

1. Food Security:

- There is no food security because if you do not have money you cannot buy food

2. Income Security:

- Since they cannot save there is no income security. Sometimes the river is bad

3. Health Security

- No health security because no portable drinking water. The area is infected with mosquitoes (Sandflies). There is prevalence of re-occurring materials and typhoid, diarrhoea

4. Education Security

5. Housing Security

- There is no housing security, roofs get bad easily because of exploration activities. Many people cannot build because of the cost of transportation

6. Political Security

- Idama is reasonably secure politically because they have a ward 17 with 4 other communities. (They have political zoning)

7. Gender Equity

- As is consistent with most African Cultures setting the women are seen but not heard. Depending on the issue at stake the women's leader is called to attend the meeting

ANNEX 8

Value Drivers Assessment for Selecting Community Development Projects (1)

Location : Bisangbene
 Project Type : Fishing

1. Impact	High	Medium	Low
High “value added”: broad social and/or economic benefit. (Example: significant increase in household income, creates jobs, enhances peace and stability, etc.)	X		
Spreads benefits equitably among beneficiaries	X		
Strengthens peaceful and orderly society.	X		
Addresses youth unemployment/underemployment	X		
Improves opportunities for women.	X		
2. Sustainability			
Encourages self-reliance and avoids dependency.	X		
Responds to existing or potential market (for economic projects)		X	
Strengthens capacity of individuals, community-based organizations, NGOs or local government.		X	
Opens partnership opportunities with CBOs, NGOs, other donors or government.		X	
Creates opportunity for government engagement and support.			X
3. Project Management			
High likelihood of success (from feasibility studies)	X		
Design to build out from success.		X	
Optimizes and/or complements existing resources and capabilities.		X	
Beneficiaries are involved in programme design and execution			X
Project planning and execution is transparent		X	
Strengthens long-term positive relationships among stakeholders (e.g. State governments, Chevron, etc.)	X		