Promoting resilient livelihoods at SOLIDARITÉS INTERNATIONAL

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LIST OF ACRONYMS

ACF Action contre la Faim

CCA Climate Change Adaptation

DFID Department for International Development of UK

DRR Disaster Risk Reduction

FAO Food and Agriculture Organisation

FSL Food Security and Livelihoods

HAS Household Asset Score

HEA Household Economy Analysis

IFRC International Federation of Red Cross

OCHA Office for the Coordination of Humanitarian Affairs

SI solidarités international

SLF Sustainable Livelihood Framework

WASH Water, Sanitation and Hygiene

1. RATIONALE

Since DFID developed the Sustainable livelihoods framework in the early 1990's, the concepts of **livelihoods** and their sustainability, or **resilience**, have gained much importance in humanitarian action with the multi-sectorial value of livelihood activities being seen across programmes.

Talking about livelihood interventions is not only to understand the livelihoods of a population, but to protect, support and reinforce effective livelihood strategies starting **from the relief phase all the way through the development phase**. Fostering and **building sustainable, thus resilient, livelihoods, based on an understanding of household vulnerability and capacities** is at the heart of SI's programmes.

This internal note is intended for **SI teams at the field and HQ levels**, **for all our sectors of intervention, not only food security**. It seeks to:

- **clarify our position** on the livelihood approach and the notion of resilience,
- **provide operational tips** on livelihoods assessment, programming and monitoring & evaluation,
- ensure that all SI's staffs have a **shared understanding** of these concepts.

SI's strategy of promoting resilient livelihoods therefore aims at building sustainable livelihood assets, allowing households to employ resilient livelihood strategies, while continuously assessing the risks to livelihoods. SI translates this strategy into short-term to long-term interventions in the WASH, Food Security & Shelter sectors.

Livelihood approach as a multisectoral analysis
VS
livelihood programming as a support to economic activities

LIVELIHOOD IS NOT ONLY FOOD SECURITY!

LIVELIHOOD IS NOT ONLY ABOUT MONEY!

WE CANNOT TALK ABOUT LIVELIHOOD AS A SECTOR OF INTERVENTION BUT RATHER ABOUT INTERVENTIONS THAT PROTECT, SUPPORT, REINFORCE PEOPLE'S LIVELIHOODS

2. WHAT IS THE ORIGIN OF LIVELIHOODS AND RESILIENCE CONCEPTS?

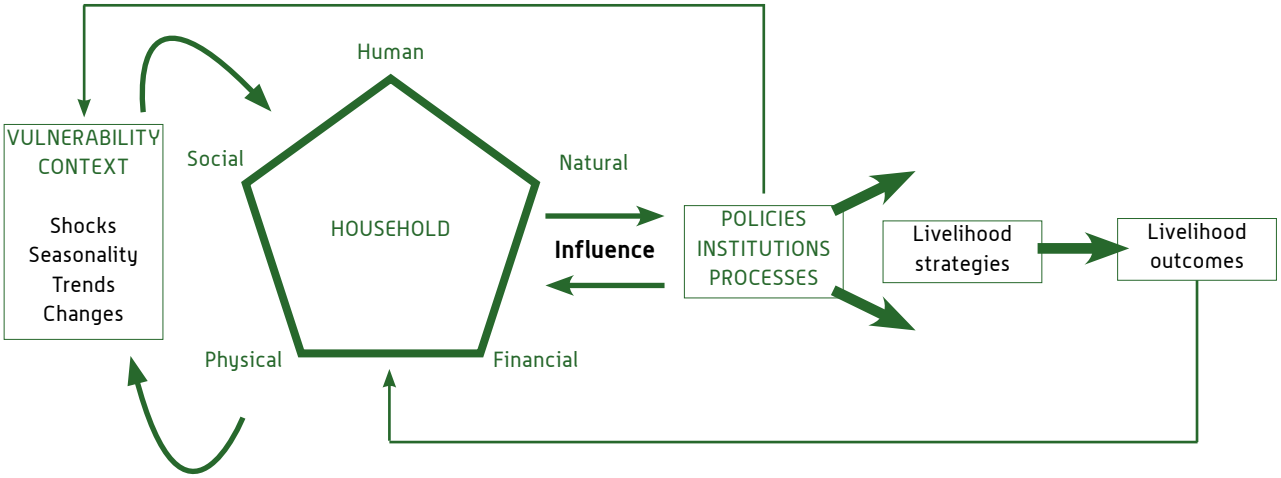
A livelihood is – simply stated – **the means by which an individual or household makes a living**. The emergence of the livelihood approach to analyse a population demonstrates a shift away from a system in which each sector (agriculture, economics, health, education, etc.) operates in isolation, making livelihoods a truly **multi-sectoral concept**. The use of this approach in the humanitarian context recognizes that a multi-sectoral approach to reducing vulnerability and fostering development is the key to successful and meaningful action. **A livelihood framework provides a lens through which vulnerability can be viewed and understood, based on the understanding on how people live and make their choices**.

ARE LIVELIHOODS AND ECONOMIC ACTIVITIES THE SAME? LET US CLARIFY...

While livelihoods are a complex and multi-faceted concept, there has been an inclination in the humanitarian world **to reduce livelihoods to simply economic activities**. Indeed, the terms vulnerability (linked to risk exposure) and poverty (depending on economic status) are regularly mixed up. When these concepts are confused, livelihoods are reduced to their economic aspects, and the assumption is made that the wealthy and the poor are different livelihoods. This is not accurate. There can be well-off and poor households who engage in the same type of livelihoods. Within each livelihood group, there is a range of wealth and income. Given that, **we must move past this reduction of livelihoods to wealth and focus on a comprehensive understanding of livelihoods**, taking all assets (economic and others such as social) into consideration.

a. The Sustainable Livelihood Framework (DFID)

The **Sustainable Livelihoods Framework** (SLF – below), developed by DFID, focuses on the strengths and assets that people own to ensure their food security and livelihoods. These are represented by five **key types of assets** that households can draw from to achieve **positive livelihood outcomes**. The SLF portrays livelihoods as a cyclical process. It also adds the notion of vulnerability and integrates the concept of risk. It is a practical tool that outlines a holistic approach to the assessment, design and monitoring of livelihood interventions[1].



1. FSL Assessment Guidelines, ACF, 2010

The SLF diagram shown page 4 provides an image of the interaction between components in a livelihood analysis. The household is at the centre with the **assets** that make up its livelihood. The household is functioning within an external context, having reciprocal influences with **external structures and processes**. The household uses **livelihood strategies** to adapt to these factors and obtain **livelihood outcomes**. The **vulnerability** of a household (demonstrated through exposition to risk and coping strategies) is the interaction between factors internal (assets) or external (context, institutions and processes) to the household.

The SLF has five underlying core principles: *people-centred, holistic, dynamic, build on strengths, macro-micro links* and of course, *sustainability.*

An overview of the key components of the SLF is provided in the next chapter which is addressing the methodology of livelihood assessment.

A BIT OF HISTORY... CHAMBERS AND CONWAY

While the concept of livelihoods (in English) dates from the 15th century, the concept of sustainable livelihoods was not developed until the 1990s, especially with an article by Robert Chambers and Gordon Conway dating from 1992. This article, entitled *Sustainable rural livelihoods: practical concepts for the 21st century,* launched a movement of livelihood approaches, which presented a far more nuanced method of reducing vulnerability and improving food security. These approaches take into account all the various elements that can have an impact on a household or an individual's capacity to consume a sufficient amount of quality food and nutrients.

b. Resilience and livelihoods

A sustainable livelihood is one "that can avoid or resist such stresses and shocks and/or that are resilient and able to bounce back". **Resilience is thus an important aspect of livelihood sustainability**.

In the humanitarian and development sphere, resilience is understood as the ability of individuals, households, communities, cities, institutions, systems, and societies to **prevent, resist, absorb, adapt, respond and recover positively** (or "**bouncing back**"), efficiently, and effectively when faced with a wide range of risks, while maintaining an acceptable level of functioning and without compromising long-term community prospects.

While talking about humanitarian interventions aiming at increasing resilience, the concept of "bouncing back" should be understood as "bouncing forward" or "bouncing back better".

At SOLIDARITÉS INTERNATIONAL, we need to strive to go beyond simply recovering a previous state, which means for most of the people we work with, a state where they are vulnerable to many shocks. This is an important aspect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of our programmes, as bouncing back better means that livelihoods are more protected against future hazards that are likely to (re)occur. There are two ways to be resilient:

- First, a livelihood is able to withstand a shock or stress and thus experiences no major destruction.
- Second, a livelihood has the capacity to recover from the negative impact of a shock or stress, even if it experiences damages.

It is important to note, when we talk about household resilience, that a household is a **dynamic and evolving system**. Being resilient does not necessarily mean not changing over time, but rather having options to prevent, mitigate or cope with stress and shocks so that a household can make its informed choices, whether to keep going or to change when facing stresses or shocks.

RESILIENCE AS A KEY ELEMENT OF SOLIDARITÉS INTERNATIONAL'S MANDATE

The first sentence of SOLIDARITÉS INTERNATIONAL's **mandate** states that it "is a humanitarian organization whose purpose is to address the vital needs of populations confronted by major man-made or natural disasters and to **strengthen their resilience**".

In the humanitarian and development world, "resilience" became a key concept in the last few years that gradually replaced the concept of "sustainable development". The notion of resilience can **bridge the gap between 'humanitarian response' and development aid**. Donors are more and more committed in making sure that they finance interventions that aim at strengthening resilience.

THE INCREASED IMPORTANCE OF RESILIENCE: EXAMPLE OF A DONOR, ECHO

Recently ECHO has developed its strategy in resilience building of population benefiting of ECHO-funded programs. To make sure that resilience issue is included in the assessment and design phases, there is a list of "resilience markers" compulsory to address while submitting a proposal to ECHO:

» Does the proposal include an adequate analysis of shocks, stresses and vulnerabilities?
» Is the project risk informed? Does the project include adequate measures to ensure it does not aggravate risks or undermine capacities?
» Does the project include measures to build local capacities (beneficiaries + local institutions)?
» Does the project take opportunities to support long-term strategies to reduce humanitarian needs, underlying vulnerability and risks?

Obviously, if your project is badly noted at this level, you will have less chance of getting the funding!

For more detailed information about Livelihood and resilience concepts, please refer to the following documents:

On sustainable livelihood framework:

- DFID, Guidance sheet sustainable livelihoods, 1999
- DFID, The sustainable livelihoods approach and its framework, 2008

On resilience:

- DFID, Disaster Resilience Approach, 2011
- FAO, Resilient livelihoods: DRR for food and nutrition security, 2013
- ACF, Resilience to shocks and stresses, 2013

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3. WHY AND HOW TO ASSESS LIVELIHOODS?

To ensure the quality of SI programmes, livelihood analysis should be a vital part of the assessment phase as it allows a **multi-sectoral analysis**. Getting away from the classic sectorial division between WASH, food security and other sectors, it allows a **holistic understanding of the situation in which households live**, how they are affected by shocks and what are their vulnerabilities and capacities to face those shocks.

The quality of our programmes depends on us **reaching the most vulnerable population**. The livelihood assessment helps to determine who should be the beneficiaries as well as what programmes should be implemented to best support these vulnerable populations and strengthen the resilience of their livelihoods.

Households are considered as **vulnerable** to an event if they are highly exposed to the risk and they have **low capacity** to cope with this event. A household is vulnerable to drought, for example, if it has limited sources of food or other sources of income to replace lost crops or livestock. By analysing vulnerability, we can measure the impact of a shock on a household; particularly the household's capacity (or incapacity) to cope with this event. This relationship is represented by the formula:

Risk = (hazard x vulnerability) / capacity

With the example above, if the household has access to drought resilient seeds, it will have an increased capacity to cope with drought and a reduced vulnerability to risks of drought.

a. Defining the different livelihood groups and zones

A **livelihood group** is a collection of people who share the same food and income sources, share access to the same livelihood assets and are subject to similar risks. For example a livelihood group can be a population which lives in an area where the same crops are grown, the same types of livestock are kept and the opportunities for trade and work are similar.

For example, in Benin within a small fishing community, there are four distinct livelihood groups: inland fishermen, lagoon fishermen, coastal migrants and sedentary populations. In North Horr, Kenya, you find those different livelihood groups: agro-pastoralists, pastoralists and fishermen.

Fishermen

Farmers

Pastoralists

Within each livelihood group, it is possible to divide into different wealth categories. **Wealth ranking** is a participatory analysis that identifies the poorest classes, socio-economically speaking (it is used, among others, in the Household Economy Analysis – HEA[2]). You can use a Focus Group Discussion with each livelihood group to define key criteria (economic, social, etc.) to separate the households into wealth categories such as Very Poor, Poor, Middle, and Better-off. This process helps to identify the most vulnerable within each livelihood group and can be very useful in targeting the beneficiaries of our interventions and designing appropriate interventions.

2. Refer to SI internal note on HEA

A **livelihood zone** is a geographical area within which people share broadly the same patterns of livelihood (activities, sources of food, and sources of cash). Multiple livelihood groups can be found within one livelihood zone, with one representing the large majority. A livelihood zoning, is a tool that can be used on a country or regional level, to incorporate the geographical feature of livelihoods. The main objective of the livelihood zoning is to define a certain number of zones and create a livelihood zone map. Livelihood zones combine two kind of spatial components:

- **socio-economic**: ethnic, religious, migration patterns, etc.
- **agroecological/geographical**: mountains, plains, lakes/sea, farming systems, forests, fishing, etc.

As you can see in figure 1, a livelihood zone map[3] shows the different geographical zones corresponding to patterns of livelihoods. Livelihood zoning is also a part of the Household Economic Analysis (HEA) methodology.

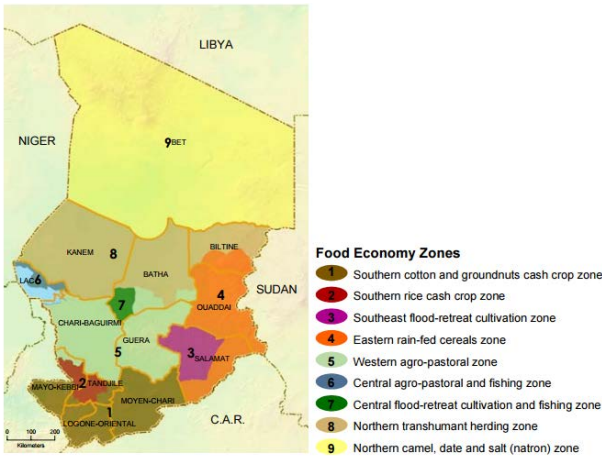


Figure 1: Example of Chad livelihood zone map.
Source: Famine Early Warning Systems Network (FEWSNET)

b. Analysing the key characteristics of livelihoods

The following elements come from the Sustainable Livelihood Framework from DFID, previously presented. You should assess all those elements **for each livelihood group** to be able to understand their vulnerabilities and capacities related to the shock/crisis concerned by your assessment.

THE VULNERABILITY CONTEXT

The vulnerability context frames the external environment in which people exist. Stresses as well as shocks (cyclones, earthquakes, conflicts) and seasonality (dry season, lean season, etc.), over which people have limited or no control, have a great influence on people's livelihoods and on the wider availability of assets. These elements should not all be considered as negative. Vulnerability emerges when human beings have to face harmful threat or shock with inadequate capacity to respond effectively. Thus, you have to assess what are the elements of the context that can influence positively or negatively people's livelihoods, and how they are evolving with the time.

There are three main categories of hazards that can occur: **stresses, shocks and seasonality**. Stresses are slow-onset but constant, ranging from demographic pressure, to natural resource usage and trends in governance. Shocks are sudden-onset, extreme events including natural hazards, epidemics, economic shocks and conflicts. Seasonality is the idea that over the course of the year there are certain patterns that can be expected, such as price fluctuations, employment opportunities, and climatic factors.

INSTITUTIONS, STRUCTURES AND PROCESSES

Another contextual component to be taken into account is the influence of structures and processes on a household's livelihood outcomes. Local, national and international institutions, organizations, policies and legislation and the way in which they shape livelihoods are crucial. Structures (the hardware) refer to the **public and private organisations** "that set and implement policy and legislation, deliver services, purchase, trade and perform all manner of functions that affect livelihoods"[4]. In addition to these structures are the processes (the software) that shape the way individuals and structures interact. These can include **policies and legislation as well as culture and power relations**.

3. You can find a lot of country maps on the Fewsnet website.
4. **Kollmair *et al.***, SLA, 2002

THE FIVE LIVELIHOOD ASSETS

The heart of the livelihood analysis comprises the livelihoods pentagon which gathers the 5 key livelihood assets (also called capitals): **human, social, natural, physical and financial**[5]. Each of these assets is important because a range of assets is necessary for individuals or household to reach their self-defined goals, although the specific distribution depends on the context. The asset pentagon can be used to visualize and analyse the distribution of capitals as well as their changes across time or in relation to a traumatic event (by comparing the pentagon before and after a shock). In the SLF, these five livelihood capitals are defined as follows:

1 **Human capital** represents the skills, knowledge, ability to work, and good health[6] that together enable people to pursue different livelihood strategies and achieve their livelihood objectives. It is important to note that traditional and local knowledge enters into this category. Human capital can vary at a household level based on the number of household members, their access to knowledge and their health status.

2 **Social capital** refers to the social resources upon which people rely when seeking their livelihood outcomes. This includes networks, membership in informal and formal groups (political, religious), and their capacity to make use of these connections. Social capital is often closely related to an individual's birth status, age, gender or caste.

3 **Natural capital** describes all natural resource stocks, flows and services (land, water, forests, air quality, erosion protection, biodiversity, ecosystem services, etc.) on which livelihoods may depend. Natural capital can be especially affected by natural hazards such as earthquakes, floods, and fires.

4 **Physical capital** basically refers to infrastructure and systems for the provision of basic needs such as transport, shelter, water, sanitation, energy and information. Physical capital differs from natural capital in that it relates to human-made structures and systems rather than raw materials.

5 **Financial capital** relates to the availability of cash or the equivalent. Two distinct types of financial capital can be distinguished. Available stocks include cash, bank accounts and liquid assets such as livestock or jewellery (not reliant on third parties), while regular inflows of money includes labour income, pensions or transfers from the state (dependent on third parties).

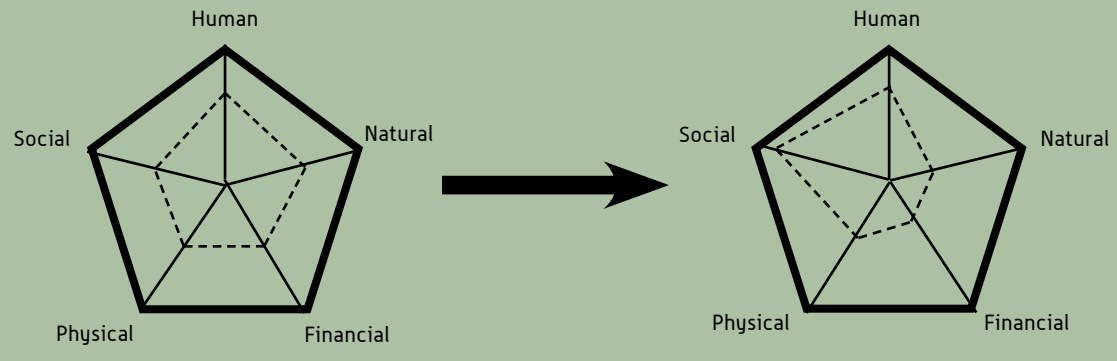
These five livelihood assets have definite linkages with SI sectors of intervention: WASH, Food Security and Shelter.

5. Some frameworks consider political capital as a sixth asset, but for our purposes political capital is included within social capital.

6. This is one way in which the WASH sector can have a significant impact on the livelihoods of a given and why livelihood interventions should include the WASH component in their analysis.

CONCRETELY, HOW DO WE ASSESS LIVELIHOOD ASSETS?

Example of how to analyse the livelihood assets of a farmer affected by a cyclone during the cropping period:



Before the cyclone **After the cyclone**

Natural (access to land), financial (loss of production) and physical (destruction of irrigation system) are the types of assets that have been affected by the cyclone, therefore, the figure shows the reduction of access to those assets by the farmer's household. It can however be noted that the social capital has increased because the farmer joined a farmers' association that was supported by the government.

LIVELIHOOD STRATEGIES AND COPING STRATEGIES

A household's **livelihood strategies** "comprise the range and **combination of activities and choices that people undertake in order to achieve their livelihood goals**"[7]. It is important to remember that livelihood strategies which are assumed in relation to a shock or stress are considered coping strategies as they help a household to cope with hazard.

Coping strategies are thus strategies that an individual, household or community adopt when facing a shock, in order to preserve their livelihoods assets. They can be either **neutral/reversible** or **negative/irreversible** (see glossary).

Figure 2 shows how different examples of coping strategies can evolve over time and how they are classified as reversible and irreversible according to a **severity scale**. Such a a context-specific analysis can be easily done with your local team or through focus groups with the different livelihood groups. It can be very useful to include it in a surveillance system to be able to anticipate the switch from reversible to irreversible strategies and to adapt our interventions accordingly.

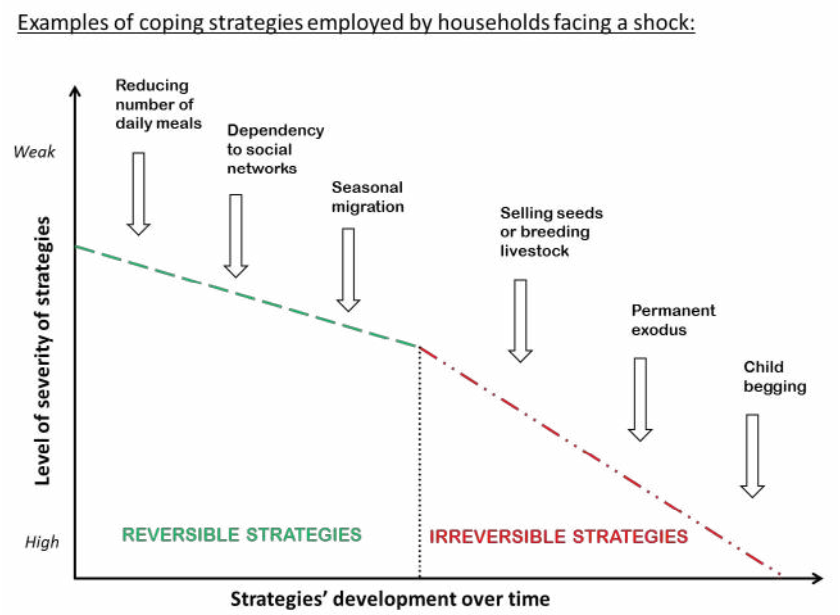


Figure 2: Example of coping strategies used by households facing a shock

LIVELIHOOD OUTCOMES

Livelihood outcomes are the **results or achievements of a livelihood strategy**. These can include:

- increased income - cash
- increased well-being - non material goods, self-esteem, health status, access to services, a sense of inclusion,
- reduced vulnerability - better resilience through increased capital,
- improved food security - food stocks, financial capital to buy food,
- sustainable use of natural resources.

It is important to note that two households living in the same context, in the same livelihood group and accessing the same assets can have recourse to different livelihood strategies because they have different goals (livelihood outcomes) in life. For example, one will choose to invest in one's children education while another will focus on improving the daily food ration of this family. Although a household per household analysis is impossible, it is important to keep in mind these disparities.

7. Kollmair *et al.*, p. 9

The table below resumes the information to be collected and the tools needed when conducting a livelihood assessment.

KEY ELEMENTS	KEY QUESTIONS	ASSESSMENT TOOLS
Contexts, conditions, trends	Which contextual features are important for livelihoods? Why? How have they changed?	- Historical archives - Government statistics - Life histories - Air photos - Time lines - Soil and vegetation surveys - Maps - Population census data
Livelihood assets	Which assets are available? To whom? In what combination?	- Asset surveys: household and individual - Seasonal calendars - Livelihood diagrams (pentagon) - Ranking of assets and capitals - Resource mapping
Institutions and organisations	What institutions exist? How do they mediate access to capital? For whom?	- Venn diagrams - Institutional histories - Flow charts - Key informant interviews - Actors network analysis - Social mapping
Livelihood strategies	Which combinations of livelihood strategies are being pursued? By whom?	- Income and expenditure survey - Individual migration histories - Field histories
Livelihood outcomes	Which livelihood strategies are sustainable? What are the trade-offs between strategies?	- Ranking: sustainability, wealth, well-being - Focus group discussions - Cause-effect diagrams

SPECIFIC ASSESSMENT METHODOLOGY FOR DISASTER VULNERABILITY AND CAPACITY ANALYSIS:

In disaster-prone countries, SI uses assessment methodologies that are adapted to such contexts and are **linked to Disaster Risk Reduction & Climate Change Adaptation approaches**. Such assessments will focus on identifying the main hazards and risks existing in the community and for the different livelihood groups, then how vulnerable those different groups are to those risks. It will next analyse the capacities at both household and community levels. Combining vulnerability and capacity analysis allows for proposing interventions that fill the gaps while building upon the existing local capacities. NGOs such as Care, Oxfam or IFRC have developed useful guidelines.

For more detailed information on livelihood assessment methodologies and tools, refer to the following documents:

- SI ToR of livelihood assessment in Nepal, 2015
- SI Tool sheet for wealth ranking, 2013
- Internal note - HEA at SI
- FAO, Livelihood Assessment Toolkit, 2009
- CARE, Household Livelihood Security Assessments, a toolkit for practitioners, 2002
- ACF, Participatory risk, capacity and vulnerability analysis: a practitioner manual for field workers, 2012
- Oxfam, 48h tool for FSL assessment
- Fewsnet, Guidance on livelihood zone maps and profiles, 2009

4. LIVELIHOOD PROGRAMMING AND IMPLEMENTATION AT SI

Based on the results of your livelihood assessment, you may define interventions supporting the most vulnerable livelihoods impacted by a crisis.

At SI, we have a number of examples of livelihood programming at mission level in our different sectors of intervention (WASH, food security and shelter).

Then why do we always talk about the Food Security and Livelihood sector only? FSL activities are indeed directly associated to households' means of living by allowing them to produce their own food or to access income to be able to buy the food. However, WASH interventions can also directly or indirectly impact peoples' livelihoods: for instance, if a well with drinking water is installed near a village, it increases the surrounding households' physical capital, as well as their human capital through the link with improved health and time spent drawing water (more time can then be dedicated to an economic activity).

When reflecting on your programmes, try to always keep in mind their effects on each of the 5 livelihood assets. This can help you to integrate livelihood multi-sectoral thinking in all aspects of your work.

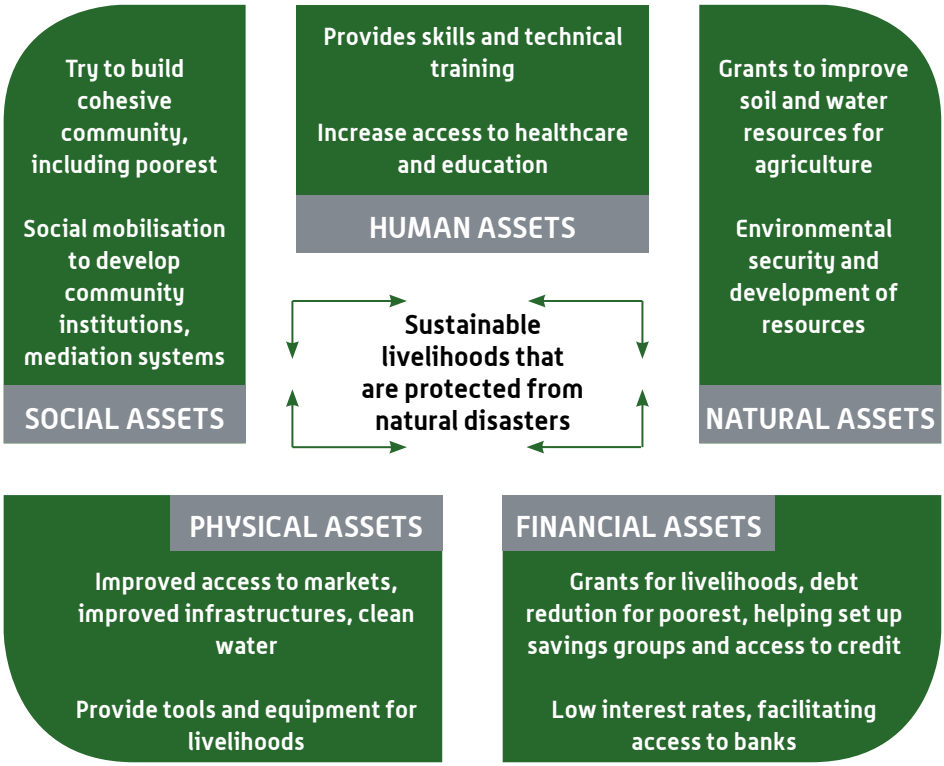


Figure 3: Examples of key programming aims and activities under each livelihood asset in order to reinforce their resilience to natural disasters.
Source: IFRC guidelines for livelihood programming, 2010

Generally, most livelihood interventions tend to fall into one of the three categories depicted in the diagram below:

- **Livelihood assets provisioning** (in a relief phase),
- **Livelihood assets protection** (in relief and recovery phases),
- **Sustainable livelihoods promotion and diversification**, and strengthening livelihood resilience (in recovery and development phases).

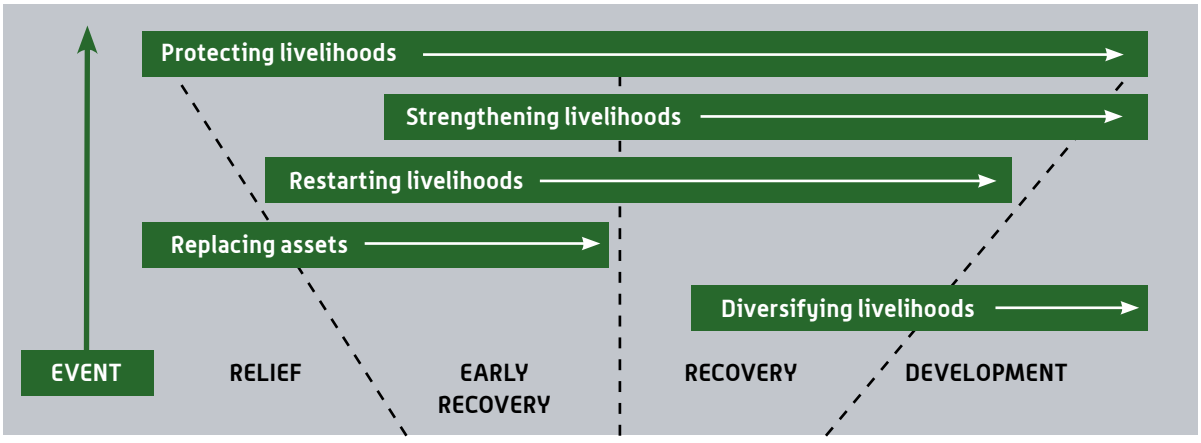


Figure 4: Categories of livelihood interventions
Source: adapted from IFRC guidelines for assessment in emergencies, 2006, p. 11

a. Livelihood programming in emergencies

Emergency interventions focus on life saving. In emergency livelihood activities, as demonstrated in the chart above, most interventions focus on **protecting livelihoods and replacing livelihood assets**. This can include distributions of cash, food, water, Non Food Items, shelter kits and productive assets like livestock, tools, seeds, etc.

Below are two examples of SI programmes that work to improve livelihoods in emergencies.

SI EXAMPLE 1: SYRIA
Food security and livelihood response initiatives and efforts for conflict affected populations

In North-Western District of Aleppo Governorate, a food security and livelihoods assessment was carried out and highlighted: 1) the need for the most vulnerable to rapidly access sources of income to cover their basic food needs and to avoid using negative coping strategies, 2) the need to rehabilitate key community infrastructures (roads, irrigation canals) that were partially destroyed during the conflict. The overall objective of the project was then defined as "contributing to increasing cash availability and reinforcing the local capacity and improving livelihoods of the most vulnerable populations affected by the complex Syrian crisis".

SI thereby implemented a number of livelihood activities, with the intention of increasing the purchasing power of the targeted population by access to direct cash through cash for work, and of providing the target population with complementary homestead (small gardening or poultry) and agricultural means of production for their own consumption and income. Through this programme, beneficiaries received cash and supplies to avoid negative coping strategies such as selling their livelihood assets and to restart or maintain their livelihood in an extremely volatile context. The cash injected into the economy helped to augment the financial capital of beneficiaries while the provision of productive assets such as poultry, seeds and gardening supplies increased their physical and financial capitals. The activities implemented included:

- Community mobilisation to identify the most vulnerable people
- Identification of the most vulnerable families in terms of livelihood opportunities
- Cash for work such as irrigation channel clearing, road rehabilitation
- Livelihood vouchers for small-scale vegetable gardening and poultry farming
- Technical support and training for households receiving livelihood assets vouchers.

SI EXAMPLE 2: EASTERN DRC
Multi-sectorial unconditional cash transfer programme for vulnerable populations affected by the crisis

In the Oriental Province and North Kivu Province that remain highly affected by the presence of numerous armed groups, the **ARCC** (Alternative Responses to Communities in Crises) programme seeked to provide assistance to the multitude of vulnerable households in this region. These households (IDP's, hosts communities, etc.) had lost their main livelihood assets (social, physical, natural…) and needed external support to recover them. The programme's specific objective was that "10,000 households affected by the humanitarian crises had the capacity to better meet their basic needs (food and non-food), had access to basic services (health, education) and could invest in livelihoods through cash transfer activities". The activities implemented included:

- Cash transfers or vouchers (depending on the context of each area) to cover immediate basics needs (food, shelter, health, education)
- Cash transfer and technical trainings to encourage households to engage in income generating activities (petty trade, vegetable production, etc.)
- Payment of vendors at fairs or markets in order to boost the local autonomy.

b. Livelihood programming in recovery

The term 'recovery' "refers to the medium to longer-term planning and implementation of reconstruction and rehabilitation activities in the first year or longer, following a disaster" (IFRC).

In early recovery and recovery livelihood programming, activities mostly aim at supporting vulnerable households to **protect, restart and strengthen their existing livelihoods**. Activities need to focus on empowering and increasing the resilience of populations affected by the disaster and capacity building activities therefore need to be included in those programmes. Below and on the next page are examples from the Philippines and Thailand programmes working to improve livelihoods in the recovery phase after a disaster.

SI EXAMPLE 3: THE PHILIPPINES
Responding to emergency needs and supporting the recovery process of vulnerable households in four municipalities of Leyte affected by typhoon Hayian

On the morning of November 8th 2013, the category 5 Typhoon Haiyan (locally known as Yolanda) struck the Philippines in its central region of Visayas, devastating 36 provinces and affecting an estimated 11.3 million people, over 10 per cent of the country's population. SI's early recovery livelihood assessment showed the need to restart people's livelihoods mostly based on agricultural activities by providing them with productive assets and

rehabilitating productive infrastructures. Regarding WASH issues, there was also a need to restore a healthy environment for households (mostly by removing debris from drainage canals in villages).

SI's project aimed at contributing to environmental risk reduction and at improving the living conditions of Typhoon Yolanda affected populations by clearing disaster affected communities of debris through cash for work activities, reducing health & environmental risks and repairing community infrastructures, while providing sources of income to affected populations.

Removing the debris from agricultural fields, especially from damaged coconut tree fields, was therefore vital for the beneficiaries to be able to restart their agricultural activities. In partnership with the Ministry of Agriculture, beneficiaries received coconut seedlings to replace the fallen coconut trees. They were also provided with vegetables seeds, tools and technical training in order to get rapid income while waiting for the coconut trees to produce again. Regarding the sanitation of the environment, debris were removed from drainage canals in order to avoid the propagation of diseases due to an overflow of dirty water, which protected and reinforced the physical and human capitals.

SI EXAMPLE 4: THAILAND
Contribution to the improvement of the living conditions of the refugees and thai host communities along the thai-burma border

The situation of refugees from Myanmar living in camps along the Thai-Burma border is one of the most protracted in the world. SI has identified a number of challenges in the context of Mae La Camp, such as the lack of hygiene due to poor infrastructures and high density population, putting the human capital of the population at risk with health issues (especially diarrhoea and dengue). SI thus designed a programme with the specific objective of sustainably improving the health status of refugees through the optimisation of basic WASH services (physical capital) and by ensuring a better living environment at the river catchments.

Activities implemented include:

- Development and empowerment of the Water Committee (WC),
- Maintenance of public places and sanitation facilities, construction of accessible latrines to referred cases, and decommissioning of old and unused latrines ,
- Support for the development of positive hygiene practices at schools and in the communities.

c. Livelihood programming in development

In more "stable" contexts, livelihood programming that works towards **strengthening and diversifying sustainable livelihoods** is possible. In the examples of Afghanistan and Kenya below and on the next page, those programmes are working to improve livelihoods in a development context. It is important to note that sustainable livelihoods programming in development contexts also supports community strength and resilience. Such programming needs an appropriate environment where government structures and local authorities are supportive and effective and where basic infrastructures already exist (roads, communication, markets, etc.).

SI EXAMPLE 5: AFGHANISTAN
Contributing to better management and sustainable protection of water and land use throughout the Panj-Amu Darya River Basin

Afghanistan faces a wide range of challenges in terms of security, governance, rule of law, human rights and social and economic development. Remote rural areas like Yakawlang, Saighan and Kahmard districts suffer more greatly than other areas as specific geographical constraints hinder the spread of new practices and overall economic development.
Today, the situation in these areas can be explained by two major factors:

- Firstly, the tremendous strain on the livelihood means (mainly agriculture and livestock) of the local population, who is constantly under threat (mainly by climatic and hydrological hazards). Coping mechanisms are persistently overstretched and the self-resilience of the local population is regularly failing.
- Secondly, the stagnation and degradation of practices and the significant demographic increase since the fall of the Taliban regime have led to the erratic and unsustainable exploitation of natural resources (mainly water and pastureland). This exploitation also causes an increased number of natural disasters (flash floods, landslides, reduced soil productivity, etc.). The population is thus trapped in a vicious circle of vulnerability.

In order to contribute to secured and enhanced livelihoods while respecting the natural resource base (in the Kunduz sub-river basin upper catchments), SI worked to set up a sustainable, equitable and efficient community-based Natural Resource Management (NRM) mechanism in the targeted areas.

The following activities contributed to improve human, natural, social and physical capitals, as well as individual and community resilience:

- Creation, registration, support and monitoring of Natural Resources User Associations (NRUA), especially on pasture and water (two of the most critical natural resources);
- Facilitation of workshops involving associations, institutions and other stakeholders;
- Proposition of an integrated watershed management plan;
- Training of farmers and livestock breeders on improved and sustainable practices, especially related to water and pasture management;
- Rehabilitation/construction of water works to mitigate risks of flood and to improve the sustainable management of water resources.

SI EXAMPLE 6: KENYA
Improving preparedness and prevention to drought in pastoralist and agro-pastoralist communities of northern Marsabit County

Kenya faces particularly heavy environmental pressure in addition to the ongoing political and economic instability of the country. Because of the absence of a solid set of social institutions for resource sharing (especially natural), households have become much vulnerable to climatic and economic shocks; pastoralist communities are facing a wide range of challenges that threaten their way of life and stifle their traditional ability to adapt to changes in their environment.

More particularly, the Northern Marsabit region, which is characterised as an Arid and Semi-Arid Land (ASAL), has faced 3 droughts over the past five years. Its population's coping strategies and their capacity to rebuild their assets against future shocks have been dramatically weakened. The main issues to tackle, in order to promote sustainable livelihoods, are:

- **The pastoralist and agro-pastoralists' vulnerability to environmental hazards and their ability to cope with shocks** by reinforcing their knowledge and by supporting community structures able to implement concerted actions to face disasters (conflict over water resources and pastures, livestock outbreak, etc.).
- **The pastoralist and agro-pastoralist revenues** are increased by orienting livestock, fisheries and fodder production to the market to obtain good prices at the right time.

To respond to these challenges, SI has used a **Community Managed Disaster Risk Reduction approach** which involves local leaders in the improvement of the quality and durability of the communities' livelihood assets. The teams organised the rehabilitation and construction of facilities and activities centred on the promotion of sustainable and productive agricultural techniques (water retention techniques, use of drought resilient seeds, etc.).

SI has also put in place some Livestock Common Interest Groups to raise awareness on good practices of livestock management and to promote value chains and has worked to diversify the communities' sources of income (selling home-made complementary food for livestock, growing and drying fodder to sell during the dry season, etc.).

Those activities helped the beneficiaries to improve their incomes and to have more resilient activities while keeping their rural way of life.

Refer to the following document:

- IFRC Livelihood programming guidelines, 1999
- Internal note - Mainstreaming DRR into SI programming
- Internal note - Targeting beneficiaries at SI

5. MONITORING AND EVALUATING LIVELIHOOD INTERVENTIONS

In this note, we have seen that livelihood and resilience are complex **multi-sectoral concepts** and are thus complicated to measure. Moreover, they can be measured at **two different levels: household and community**. They need **proxy or composite indicators** (see glossary) to be measured: evolution of different kind of livelihood assets, households and community dynamics, etc. This can concern context indicators, result indicators and impact indicators. They are mainly measured on a baseline/endline comparison basis because measuring the evolution of livelihoods and their resilience level takes time.

There are nowadays much ongoing discussions and reflections regarding concrete and simple ways to monitor and evaluate the impact of humanitarian interventions on the increase of livelihoods' resilience. NGO's, institutes and consulting firms have been trying to develop composite indicators and models to further guide and standardise resilience measurement. Another way to go is to locally develop your own indicators. **What follows are examples of the most commonly used indicators but we encourage the missions to follow the ongoing discussions in their contexts of intervention**.

There is no universal guidelines to measure the impacts of programs on livelihoods and their resilience. The reflection is still ongoing!

Keep in mind that to monitor and assess livelihood programs, your methodolody should take into account the specificities of the context (shocks, stresses) and of each livelihood group (vulnerabilities, capacities, coping strategies).

a. Proxy indicators

THE HOUSEHOLD ASSET SCORE (HAS)

The HAS measures the **socio-economic level** of households. We can commonly agree on the fact that the more the household owns livelihood assets (such as seeds, tools, vehicle), the more resilient he is to different shocks. We thus measure the increase in assets possession (possessed by the household or shared with small groups of households living in the same area). The score is calculated by the sum of the assets with a specific weight per asset. The weighing is based on the local prices of each asset (maximum 5 categories). What matters is to analyse the trend between the baseline and the endline (with the same households) and not the score in itself, this not being very significant.

Advice:

- **Select 10-15 relevant assets at the most.**
- **This indicator is only relevant if designed and analysed per livelihood group.**

The HAS is recent and we still lack feedbacks from practitioners in its design and use. Your design methodology must be rigorous for a proper data analysis.

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REDUCED CSI OR "CONSUMPTION-BASED CSI"

The rCSI is used as a **proxy indicator for household food security** but can also show **trends in terms of resilience to shocks** susceptible to provoke food insecurity. It measures behaviors adopted by households when faced with difficulties in meeting food needs and assesses whether these result in changes in their consumption patterns. A higher score indicates households have engaged in more frequent and/or more severe coping strategies. The rCSI is a sensitive indicator that can be included during regular monitoring activities. It is subject to seasonal biases and this has to be taken into consideration when interpreting the results of its measurement.

CONTEXT-SPECIFIC CSI OR "LIVELIHOOD CSI"

The livelihood-based CSI is used to better **understand the longer-term coping capacity of households**. In broad terms, household livelihood and economic status is determined through information gathered on income, expenditures and assets. Identifying the behaviors households have engaged in to adapt to recent crisis, such as selling productive assets, can help gain a better understanding of how difficult their current situation is and how likely it is that they would be able to meet future challenges. Similar to the rCSI, a higher score for the livelihood CSI indicates more severe coping strategies have been adopted, and/or coping strategies have been adopted in more frequently than usual. Again, this indicator is subject to seasonal biases.

When designing the livelihood CSI adapted to your context, you have to differentiate the different coping strategies as follows (and give corresponding weight depending on their severity, 1 for the neutral to 4 for the emergency ones):

- **Neutral strategies** (such as searching for a job, temporary migration);
- **Stress strategies** (selling household non-essential assets such as the radio, furniture, borrowing money or spending savings, etc.);
- **Crisis strategies** (selling productive assets, children drop-out from school, reducing health expenses, etc.);
- **Emergency strategies** (begging, eating the stock of seeds, engaging in illegal activities, selling one's land, etc.)

The livelihood CSI is usually calculated on the **use of those strategies in the last 30 days**. If the CSI decreases, it could mean that the households are more resilient. What is also interesting with this indicator is the analysis of the increasing and decreasing trends of each strategy depending on the livelihood group.

Advice: To define the context-specific strategies and their severity level, you can organize a workshop with your national staff and/or conduct focus groups discussions with communities.

ECHO AND ITS RESILIENCE INDICATORS:

ECHO suggests the following indicators which are more output/activity-level indicators:

- Number of people participating in interventions that enhance their capacity to face shocks and stresses
- Number of people reached through Information, Education and Communication on DRR
- Number of people covered by a functional early warning system
- Number of people covered by early action/ contingency plans
- Number of community small-scale infrastructures and facilities built or protected
- Number of people whose livelihoods and assets are protected from shocks and stresses
- Number of community groups or governmental local institutions that have been trained on disaster risk reduction
- Number of community groups or governmental local institutions which material and financial capacities have been increased

We advise you to complete these types of indicators with outcome and impact complex indicators, such as those presented in this chapter.

b. Composite indicators

PARTICIPATORY RESILIENCE ANALYSIS AND MEASUREMENT (PRAM) BASED ON THE 3-D RESILIENCE FRAMEWORK[8] – ACF

Objective: set program priorities, measure the change in resilience level (baseline/endline comparison).

Area to be considered: should be conducted over an entire area with livelihood, risk and administrative homogeneity.

Variables/indicators: around 60 (can be reduced after selection) variables measuring anticipatory, absorptive and transformation/adaptive capacities (derived from the 3-D Resilience Framework).

Scoring calculation: The scoring system for the variables is based on a 7-point scale, from -3 to +3. Households are being placed on a resilience ladder in 3 categories: collapse, survival and resilience. See figure 6 page 23.

Contextualization: Through weighting and selection of sub-variables by a group of local "experts", or local "knowledge" group.

Data collection method: for most of the variables, **Focus Group Discussions** (qualitative data) are identified as the preferred tool (mainly for the economic, social, human, natural and political dimensions). Expert-Judgment questionnaires are identified as the preferred tool for the variables for the physical dimension and some variables from the natural and political dimensions. **Households' survey** (quantitative data) was identified as the preferred tool for some of the variables of the economic dimension. However, because a survey could be quite time and resource consuming, the country team can decide to collect the data using FGDs instead.

Whatever the tool used, for each variable there is a series of short exploratory questions proposed by ACF methodology before asking the final question which will support in assigning a value to the variable.

Specificity: qualitative observation and analysis of shock/stress history and undernutrition data jointly (Comparison of monthly admission trends between years with or without shock and evolution of undernutrition over the year with reflection around past shocks).

Budget: between 5,000 USD and 10,000 USD per study area

Timing: about four weeks

RESILIENCE INDEX – HANDICAP INTERNATIONAL

Objective: set program priorities, measure the change in resilience level (baseline/endline comparison).

Area to be considered: one community.

Variables/indicators: for the household index, around 70 criteria (resilience assets and gaps) measuring livelihood viability, social and institutional capability, environment integrity, innovation potential and contingency resources. For the community index, around 40 criteria measuring economic dynamics, social and institutional capability, environment integrity, innovation potential and contingency resources.

Scoring calculation: The tool comprises a **Community Resilience Index** and a **Household Economic Resilience Index**. A household is given a total index score, which is the sum of the score of the community and the score of the household livelihoods. Scores per domain can be presented in a spider-web graph and the total index score can be placed on a resilience scale.

8. Click here to know more about the 3-D Framework

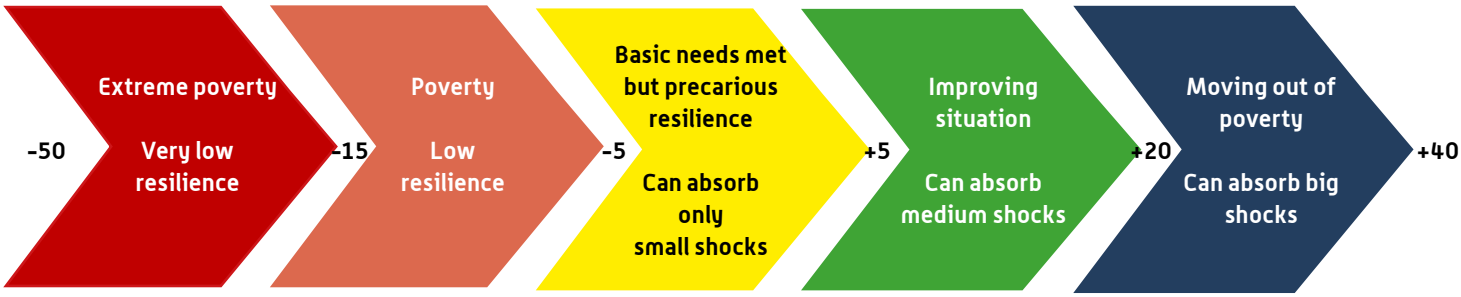

Figure 5: Proposed resilience scale

Contextualization: yes through weighting and adapting the community index through small groups of community representatives, field test with 4 to 5 households demonstrating different situations.

Data collection method: household survey (quantitative data) where the agent ticks the proposed indicators only when they are true (or perceived as 70% accurate), whether they are presented as assets (strengths) or gaps (weaknesses).

Budget: Not specified

Timing: Not specified

c. Complex locally-developed indicators

In long-term complex interventions, it might be worthwhile to develop a **context-adapted index** based on a statistical model gathering composite indicators that depend on several other measures.

STATISTICAL MODEL

Principal Components Analysis (PCA), or factor analysis, is generally used to construct an index. **Multivariate regression analysis** is then applied to investigate the structural relationships that are hypothesised to exist between the key variables of the analysis (well-being outcomes, shock exposure and resilience capacities) for the population under study (see SI example 7).

SI EXAMPLE 7
Construction of a resilience index in Democratic Republic of Congo

A resilience index was developed using FAO's Resilience Index Measurement and Analysis (**RIMA**) within the framework of the ARCC project. Household income was selected as a proxy for resilience. Core measurable dimensions of resilience were identified (aspects that directly affect a household resilience). Regressions were used to generate weights for all dimensions.

NON-STATISTICAL MODELS

These models are based on **qualitative** rather than statistical methodology. For example, SI Bangladesh mission developed a "Community Resilience assessment tool" inspired by the Knowledge, Attitude & Practice (KAP) Survey methodology. More specifically, the tool was developed to obtain a greater understanding of baseline community resilience levels within a specific working area. This tool can help design disaster resilience activities but can also be used to compare the evolution of community resilience between the baseline and the endline survey. Through focus group discussions done with representatives of the community, a table is filled in and ratings are given to different sections: disaster risk reduction general information, knowledge & practice, institutional support, infrastructure, community mobilisation/attitude and livelihood resilience.

Have a look at the following documents for more information about indicators and resilience measurements:

- WFP, Care, Coping Strategies Index
- WFP, Household asset score
- UNDP, Community-Based Resilience Analysis (CoBRA) - Conceptual framework and methodology for measuring and analysing resilience, 2014
- FSIN, A common Analytical model for Resilience Measurement - Conceptual models, conceptual framework, importance of context in resilience measurement, six components, 2015
- ActionAid, Measuring People's Resilience - A gender sensitive toolkit for practitioners to measure and compare women's and men's resilience to disaster risks at local levels, 2015
- IFRC, Livelihood key program indicators, 2016
- SI Activity form - Community Resilience Scale, Bangladesh, 2013

Useful websites for further information on livelihoods and resilience:

- IFRC Livelihoods Centre
- Prevention Web
- FAO KORE (Knowledge Sharing Platform on Resilience)

6. KEY CONCEPTS

▶ Coping strategies

Coping strategies are strategies that an individual, household or community adopt when facing a shock, in order to **preserve their livelihoods or basic assets**. Coping strategies can be classified as (i) **neutral/reversible**, causing no impact on livelihoods, such as the sale of non-essential goods, temporary migration for labour, changes in livestock migration routes, reduction in the number of meals per day, or
(ii) **negative/irreversible**, causing long term harmful changes on livelihoods such as the sale of productive assets (seeds, livestock), the overexploitation of natural resources, etc.

▶ Disaster Risk Reduction

DRR involves all local and global-level activities that minimize vulnerabilities and disaster risks in a society. Disaster risk reduction activities **prevent and limit the adverse impacts of shocks** including natural hazards (such as floods, earthquakes and droughts), man-made hazards (such as fires and road accidents) and health epidemics. The aim of disaster risk reduction is to **build safer communities and increase resilience** in a sustainable way[9].

▶ Food security

According to the FAO, food security exists when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food to **meet their dietary needs and food preferences** for an active and healthy life.

▶ Hazards (Shocks, Stresses, Seasonality)

Threatening event or probability of the incidence of a potentially harmful event (drought, war, flood, political turmoil, price inflation) within a given time and area, leading to impacts (reduced agricultural production, rise in food prices, loss of livestock) changing households' livelihood at short, medium or long term (and food security).

▶ Household

Socioeconomic unit, consisting of individuals who live and share meals together.

▶ Livelihood

A livelihood comprises the **capabilities, assets** (including both material and social resources) and **activities** used by a household for means of living. A household's livelihood is sustainable when it can cope with and recover from stresses and shocks, and maintain or enhance its capabilities and productive asset base[10]. **Livelihood strategies** comprise the range and combination of activities and choices that people undertake in order to achieve their livelihood goals.

▶ Livelihood group

A livelihood group is a collective of people who share the same food and income sources, share access to the same livelihood assets and are subject to similar risks.

▶ Livelihood zone

A livelihood zone is a geographical area within which people share broadly the same patterns of livelihood (activities, sources of food, and sources of cash).

▶ Proxy and composite indicators

Proxy: indirect measure or sign that approximates or represents a phenomenon in the absence of a direct measure or sign. Also called indirect indicator.

Composite: a composite indicator is formed when individual indicators are compiled into a single index, on the basis of a model of the multidimensional concept that is being measured.

▶ Resilience

The original usage of the term resilience referred to the elasticity of material, the flexibility or the ability to recover. With regards to a population, it refers to the **capacity of people and communities to resist, cope with, and recover from a disaster or conflict**. More resilience means less vulnerability.

▶ Risk

Risk is defined as the **likelihood of occurrence of external shocks and stresses plus their potential severity** whereas vulnerability is the degree of exposure to risk (hazard, shock) and uncertainty, and the capacity of households or individuals to prevent, mitigate or cope with risk.

▶ Vulnerability

An individual, household or group's vulnerability is determined by the relationship between their exposition to risk factors and their capacity to deal with crisis situations and to overcome them in a sustainable manner.

9. IFRC, Livelihoods Guidelines, p. 24
10. Chambers and Conway, *Sustainable rural livelihoods: practical concepts for the 21st century*, 1992.

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