

Improving access to natural resources for the rural poor

The experience of FAO and of other key organizations from a sustainable livelihoods perspective



Lorenzo Cotula

August 2002



FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

Livelihood Support Programme (LSP)

An inter-departmental programme for improving support for enhancing livelihoods of the rural poor.

Improving access to natural resources for the rural poor

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from a sustainable livelihoods perspective**

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This paper was prepared under contract with the Food and Agriculture Organization of the United Nations (FAO). The positions and opinions presented are those of the author alone, and are not intended to represent the views of FAO.

The Livelihood Support Programme

The Livelihood Support Programme (LSP) evolved from the belief that FAO could have a greater impact on reducing poverty and food insecurity, if its wealth of talent and experience were integrated into a more flexible and demand-responsive team approach.

The LSP, which is executed by FAO with funding provided by DfID, works through teams of FAO staff members who are attracted to specific themes being worked on in a sustainable livelihoods context. These cross-departmental and cross-disciplinary teams act to integrate sustainable livelihoods principles in FAO's work, at headquarters and in the field. These approaches build on experiences within FAO and other development agencies.

The programme is functioning as a testing ground for both team approaches and sustainable livelihoods principles.

Email: lsp@fao.org

Access to natural resources sub-programme

Access by the poor to natural resources (land, forests, water, fisheries, pastures, etc.), is essential for sustainable poverty reduction. The livelihoods of rural people without access, or with very limited access to natural resources are vulnerable because they have difficulty in obtaining food, accumulating other assets, and recuperating after natural or market shocks or misfortunes.

The main goal of this sub-programme is to build stakeholder capacity to improve poor people's access to natural resources through the application of sustainable livelihood approaches. The sub-programme is working in the following thematic areas:

- 1. Sustainable livelihood approaches in the context of access to different natural resources*
- 2. Access to natural resources and making rights real*
- 3. Livelihoods and access to natural resources in a rapidly changing world*

This paper serves to provide a base for work in these three thematic areas by presenting the experiences of FAO and other key organizations with sustainable livelihoods approaches and access by the poor to natural resources.

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LIST OF ABBREVIATIONS

ANR	Access to natural resources
BIDS	Bangladesh Institute of Development Studies
CANARI	Caribbean Natural Resources Institute
CEPAL	UN Economic Commission for Latin America and the Caribbean
CICAFOC	Coordinadora Indígena Campesina de Agroforestería Comunitaria
CLADES	Consortio Latinoamericano sobre Ecología y Desarrollo
DfID	Department for International Development
ENDA	Environnement et Développement du Tiers Monde
GADEC	Groupe d'Action pour le Développement Communautaire
GRET	Groupe de Recherche et d'Échanges Technologiques
IDL	In Development Ltd
IDS	Institute of Development Studies
IFAD	International Fund for Agricultural Development
IIED	International Institute for Environment and Development
IISD	International Institute for Sustainable Development
IRAM	Institut de Recherches et d'Applications des Méthodes de Développement
IUCN	World Conservation Union
LSP	FAO Livelihood Support Programme
M&E	Monitoring and evaluation
MAELA	Movimiento Agroecológico de América Latina
NGO	Non-governmental organization
NLC	National Land Committee (South Africa)
NR	Natural resources
NRI	Natural Resources Institute
ODG	Overseas Development Group
ODI	Overseas Development Institute
PIPs	Policies, institutions and processes
PRA	Participatory rural appraisal
PRSPs	Poverty Reduction Strategy Papers
SFLP	Sustainable Fisheries Livelihood Programme
SL	Sustainable livelihoods
SLA	Sustainable livelihoods approaches
UNDP	United Nations Development Programme
WFP	World Food Programme

INTRODUCTION

Object of the report

This report identifies FAO's activities concerning access to natural resources (ANR), and identifies other organizations that use explicitly or implicitly a sustainable livelihoods approach in relation to ANR. The report constitutes Output 2.1 of the work plan of the FAO LSP Sub-programme 3.1 ("Building Stakeholder capacity to improve access to natural resources for the rural poor").

Definitions

Access to natural resources

In this report, activities relating to access to natural resources (ANR) are defined broadly to include different NR (land, water, fisheries, forests, wildlife, genetic resources) and two different types of activities:

- ∉ Programmes and projects strengthening existing ANR, e.g. through greater tenure security and improved management (co-management arrangements, etc).
- ∉ Programmes and projects expanding the NR base, e.g. through the granting of new land titles.

In reality, the border line between the two types of activities may be blurred, and both types may be present in the same programme or project.

Sustainable livelihoods approaches

A conceptual definition of SL approaches (and of their relationship with ANR) is provided in Output 1.1 of Sub-Programme 3.1 (Baumann, 2002). In this report, reference is made to "sustainable livelihood approaches" (SLA), rather than to a single SL approach. This is because although the theoretical foundations of SLA have a common root, their operationalization results in a bundle of similar but different approaches (e.g., with different SL frameworks, with emphasis on different elements of SLA, etc.).

Pure SLA projects (i.e., projects explicitly designed, implemented and evaluated on the basis of SL analysis, taking into account the vulnerability context, addressing access to the five capitals of the asset pentagon, exploring macro-micro links, etc.) are extremely rare. On the other hand, a large number of projects has adopted, explicitly or implicitly, to a differing degree, SL analysis, concepts and tools. Moreover, as SLA build on and systematize pre-existing concepts and practices, numerous organizations and activities make use of similar approaches without referring to SLA. This report includes not only organizations and activities explicitly employing SLA, but also those that have "implicitly" used SLA principles and tools. Moreover, it includes activities where SLA have been used at any stage of the project cycle (diagnostic analysis, project design, project implementation/reorientation, monitoring and evaluation, etc.).

In this regard, conceptual difficulties arose while writing this report, particularly in relation to:

- € The relationship between SLA and ANR. While SLA entails a holistic, multi-sectoral approach, this report is to focus on ANR activities (i.e., activities relating to one of the five capital assets). This tension is partly eased by the fact that recent SLA literature accepts that SLA projects may have a “sectoral anchor” (e.g., Ashley and Carney, 1999).
- € The extent to which an SLA may be said to be “implicitly” employed by an organization. If a narrow interpretation is followed, the inventory would be limited to actors and activities adopting a DfID-type SL framework (i.e. mainly to the Anglophone world), thereby unduly restricting the scope of any actions that Sub-programme 3.1 may decide to take on the basis of this inventory. On the other hand, if too broad an interpretation is adopted, most ANR projects may be considered as implicitly SLA, as they usually involve also training (human capital), credit provision (financial capital), institutional support (social capital), etc.

In order to address these conceptual problems, some key characteristics of SLA need to be identified, so as to determine the scope of this report. Namely, this inventory includes organizations and activities characterized by the following elements (even if no SL framework is adopted and no reference is made to SLA):

- € People-centred approach, focusing on what matters to people and on existing livelihood strategies (thus building on strengths and opportunities rather than satisfying needs);
- € Participatory and holistic analysis of livelihood strategies (including e.g. access to capital assets, and considered in their dynamic nature), of the vulnerability context (defined as encompassing shocks, trends and seasonality), and of priority areas (which may result in “sectoral anchors” such as ANR);
- € Multi-level approach, considering the links between micro, meso and macro levels (considering how micro-level activities may feed into macro-level policies, institutions and processes, and how macro-level policies, institutions and processes affect livelihood strategies at local level);
- € Emphasizing partnership between different actors;
- € Recognition of the importance of sustainability, defined in the four dimensions of economic, institutional, social and environmental sustainability.

Methodology

This report is based on research work undertaken in Rome (FAO Headquarters) and in London. The information included in this report was obtained from the Internet, from interviews and e-mail exchanges with key actors within FAO and other organizations (a complete list is included in Appendix 2), and from papers and project documents. Unfortunately, due to time constraints (one-month assignment) and to the period of the year in which the work was undertaken (when many persons were on leave), many important stakeholders could not be reached. The research did not involve any field work on evaluation of the projects and programmes described.

Acknowledgements

The author wishes to acknowledge and express gratitude for the excellent cooperation and support received from FAO staff and from many external stakeholders contacted.

Organization of the report

The report is organized in two parts and in a conclusion. Part 1 “identifies FAO’s current and future activities related to ANR and its relevant actors”. Due to the breadth of the subject, the report contains a brief overview of FAO’s ANR activities by department, with particular regard to those that are most relevant for SLA, and focuses on some case studies.

Part 2 “identifies other relevant organizations and their current and future activities where a SLA approach to ANR has been explicitly or implicitly used, and their relevant actors”. This part is organized in the form of an inventory of relevant organizations, briefly describing the nature of the organization, its relationship with SL approaches, examples of ANR activities, its links with other organizations, and providing contact details.

A conclusion “identifies the strengths that Sub-programme 3.1 can build on and the gaps to be filled”, and “makes recommendations for the development of strategic partnerships within FAO and between FAO and external stakeholders”. An analysis of the roles and responsibilities of, and linkages between, identified stakeholders is dealt with in parts 1 and 2, in relation to each stakeholder.

1. ANR ACTIVITIES WITHIN FAO

1.1 Introduction

This part reviews ANR activities underway within FAO. Although very few of these activities explicitly refer to SLA, many present key SLA principles (participatory, holistic, cross-sectoral, inter-disciplinary, multi-level, etc. approaches).

Given the considerable breadth of the subject, this part is organized in a brief overview of relevant departments and activities, and in three case studies. The purpose of the case studies is to illustrate how ANR is built in FAO's activities and the relationship between SLA and ANR. They involve projects concerning different NR, with different emphasis in the objectives, at different stages of the project cycle, and with different degrees of relevance to SLA.

It is important to note that due to time constraints, many important activities and stakeholders could not be included. In any case, it should be kept in mind that this report constitutes only a first step for future activities of Sub-programme 3.1. Projects and stakeholders not included in this report may be involved in those future activities.

1.2 The Strategic Framework and the Medium Term Plan

The Strategic Framework for FAO 2000-2015 contains strategic objective "sustainable rural livelihoods and more equitable access to resources" (strategic objective A.1); resources are defined as encompassing both natural and other resources. Activities within this strategy include "supporting efforts to strengthen local institutions and to enact policies and legislation that will provide for more equitable access by both women and men to natural resources (particularly land, water, fisheries and forest) and related economic and social resources" (paragraph 39). Strategy D concerns "supporting the conservation, improvement and sustainable use of natural resources for food and agriculture", including "integrated management of land, water, fisheries, forests and genetic resources". Moreover, the Strategic Frameworks presents other important features of SLA, e.g. emphasis on inter-disciplinarity, on cross-departmental cooperation and on working in partnership.

The Medium Term Plan 2002-2007 includes "Local Institutions Building to Improve Capacity for Achieving Sustainable Rural Livelihoods" among the Priority Areas for Inter-disciplinary Action, entailing cross-department cooperation.

1.3 Brief overview of ANR activities

Ongoing ANR activities are reviewed by department. This inevitably creates problems, as projects often involve cooperation between different departments. Notwithstanding these shortcomings, classification by department enables to create some "order" in the analysis (rather than merely listing a series of unrelated projects), and to more clearly identify what resources in the relevant departments, divisions and services may be drawn on.

Sustainable Development

In the SD department, the Rural Development Division (SDA) carries out a large number of ANR-related activities. The Land Tenure Service provides assistance in the area of land tenure and rights, including to improve access to land by disadvantaged groups. For example, the Service has been involved in the implementation of the Land Law of Mozambique, cooperating with the Mozambican government to draft implementing legislation (Land Regulations and Technical Annex thereto) and supporting implementation of the delimitation of community lands. Interesting features of the Mozambican land law reform programme include co-titling, i.e. the issuance of land certificates to communities for community lands, and a participatory approach (both in policy and law formulation, with considerable involvement of civil society, and in implementation, with community participation in co-titling). [Contact details: Paolo Groppo (SDAA)].

In the Philippines, SDA has been involved in a programme to support the agrarian reform programme (CARP). The programme was originally funded by the Italian government (TSARRD), then by the government of the Netherlands (SARC), and the Australian government is now stepping in. Interesting features of the programme include its participatory and holistic approach. The programme targets agrarian reform communities (ARCs), i.e. a cluster of villages (*barangays*) where 60% or more of the population has received land within the land reform programme. The SARC/TSARRD project intervenes *after* land distribution and supports ARCs in raising agricultural productivity by:

- € Supporting farmer-led development teams within ARCs to identify problems, needs and priorities and to incorporate these in community development plans. This activity is carried out in a participatory and holistic way through the farming systems development (FSD) approach. Development plans may be used as basis to source funds from farmer's organizations own savings, from national and local government agencies, from institutional donors and from the private sector.
- € Post-FSD training in a variety of areas (including farm and non-farm activities, accounting and book-keeping, gender issues).
- € Promotion of the establishment of linkages between agrarian reform beneficiaries and agribusiness, so as to provide the former with market outlets.
- € Facilitation of access to credit, by fostering matches between agrarian reform beneficiaries and financial institutions.

[Contact details: Paolo Groppo (SDAA); Doyle Baker (AGSP)].

SDA is also a major player in the Pastoral Risk Management Strategy in Mongolia, which is described more in detail below.

[Contact details: Stephan Baas (SDAR)].

Finally, several persons that have been long been involved in SLA work within FAO are at SDA (e.g., Jennie Dey-Abbas, Jan Johnson, Eve Crowley, etc.).

The Gender and Population Division (SDW) addresses *inter alia* issues relating to women's access to resources. For instance, a TCP in Brazil supported the integration of a gender perspective in the Brazilian agrarian reform. The programme involved the elaboration of thematic technical reports (e.g., a report identifying existing legal and other constraints to women's access to land; Barsted, 2002) and training materials,

and support to the relevant Brazilian government agency (INCRA) for the elaboration of a gender strategy for two pilot districts.

[Contact details: Zoraida Garcia (SDWW); Marcela Ballara (RLC)].

The SEAGA (Socio-Economic and Gender Analysis) programme has developed a set of handbooks and guides offering tools and methods for integrating gender analysis at macro, intermediate and field levels and in specific sectoral areas. It may be drawn on for the purposes of carrying out SL analysis (vulnerability context, livelihood strategies, etc.) disaggregated by gender.

[Contact details: Ilaria Sisto (SDWW)].

The Research, Extension, and Training Division (SDR) has also been involved in relevant projects, e.g. the Bolivian Upper Pirai project (see below, under Forestry and TC). A follow-up project to the SDRE component of this project has recently been approved, including capacity-building at municipal level for participatory resource use mapping and planning (“Information, Communication and Training for Sustainable Natural Resource Management”).

[Contact details: Mario Acunzo (SDRE)].

Forestry

Within the Forestry Department, the Forestry Policy and Institutions Branch (FONP) has longstanding experience with participatory forestry, including community forestry (particularly through the – now completed – Forestry, Trees and People Programme, FTTP).

[Contact details: Olivier Dubois (FONP)].

Work on “Participatory Processes in NFP” (National Forest Programmes) is being undertaken with a view to institutionalizing participation at national level. The first main activity is an expert consultation to take place in November.

[Contact details: Jorieke Potters (FONP); Dominique Reeb (FONP)].

The programme “Strengthening Participatory Approaches in Forest Management in Uganda, Ghana, and Guyana” (2002-2005) supports the integration of participatory approaches in forestry departments and promotes capacity building on participatory approaches for district forest officers. This indirectly relates to ANR, as it is ultimately aimed at increasing the involvement of forest-dependent communities in the management of forest resources.

[Contact details: Eduardo Mansur (FONP)].

In Cambodia, the project “Participatory Natural Resource Management in the Tonle Sap Region – Phase III” supports the development and consolidation of community-based NR management systems, with particular regard to community forestry and community fisheries. The project builds on two previous phases working on participatory NR management and supports government efforts to incorporate community NR management at policy level. The government has released for community management lands previously used under a concession system as commercial fishing grounds. The project supports this process by developing community fisheries (through the establishment of community fishery management committees, etc.), by strengthening existing community forestry sites (e.g., by

working on policy and legislation formulation to grant legal recognition to them), and by developing guidelines and standards for community NR management.

[Contact details: Jean-Claude Levasseur (FACMB); Dominique Reeb (FONP); Dominique Di Biase (TCAP)].

FONP hosts LSP sub-programme 3.4 (NR conflict management), which deals with issues that may overlap with ANR.

[Contact details: Erik Nielsen (FONP)].

In 2001, a DfID-funded interagency Forum on the Role of Forestry in Poverty Alleviation was held, resulting in the publication of a policy brief that, although not mentioning SLA explicitly, contains the main elements of SLA (recognizing the importance of forest resources for local livelihoods, strengthening forest access and control rights, reducing vulnerability, adopting a cross-sectoral approach, reforming policies, promoting participation) (FAO/DFID, 2001, “How Forests can Reduce Poverty”).

The work of FORC may also be drawn on. For instance, the Upper Pirai participatory and integrated watershed management project (a component of a broader programme involving activities in five different countries) progressively incorporated SL issues in the implementation phase, broadening its scope to issues like poverty alleviation, community development, participation in local governance, and scaling up at macro level (through institutionalization of the project approach in national policies).

[Contact details: Tage Michaelsen (FORC); Patrizio Warren (ESAE)].

Fisheries

The Fisheries Department (particularly the Fishery Policy and Planning Division) is involved in SLA programmes having fisheries as entry point, and is working on integrating SLA with the principles of the Code of Conduct for Responsible Fisheries, which is particularly relevant for the PIPs part of the SL framework (Sustainable Fisheries Livelihoods Programme). The programme is one of the three case studies for this part of the report, and is examined more in detail below.

[Contact details: Richard Coutts (FIPL)]

Technical Cooperation

A large number of activities of the TC department are directly relevant for ANR. For instance, the Investment Centre (TCI) provided the Chief Technical Adviser (CTA) for the forestry leasehold project in Nepal [Contact details: Frits Ohler (TCIL)] and was involved in the Mongolian TCP [Contact details: Alice Carloni (TCII)]; both projects are described more in detail below.

The Investment Centre is/was also involved in the preparation of investment programmes to improve ANR in Burkina Faso and Guinea [Contact details: Marc Moens (TCIL)]; in the preparation (together with SDAA) of three World Bank projects to promote access to land in Central America (e.g., through a Land Fund project in Guatemala) [Contact details: Aidan Gulliver (TCIU)]; and in projects supporting land titling programmes in Thailand and Laos.

TCOC had overall responsibility for the “Inter-regional Project for Participatory Upland Conservation and Development” (PUCD project), aimed at testing new approaches and methods for participatory and integrated watershed management in five different countries (Bolivia, Burundi, Nepal, Pakistan and Tunisia).

[Contact details: Luca Fè d’Ostiani (TCOC, now ESAF)].

The Emergency Operations and Rehabilitation Division (TCE) has been involved in ANR activities in emergencies. In Afghanistan, FAO has been designated as Programme Secretariat for Natural Resources Management until 31 May 2003 (although there are no NR programmes at the moment)

[Contact details: Agnès Dhur (TCEO)].

In Sudan, FAO has been involved in addressing ANR (particularly access to land) in the context of longstanding conflict. A technical report made recommendations with regard to a variety of ANR issues, including conflict-driven tenure insecurity and ANR for internally displaced persons. With regard to the latter, the report analyzed two pilot experiences: resettlement on registered government land and negotiated resettlement on community land (De Wit, 2001).

[Contact details: Dominique Burgeon (TCEO)].

Economic and Social

While few (if any) programmes of ES have an ANR component, several activities are of interest for Sub-programme 3.1. For instance, the Nutrition Programme Service (ESNP) promotes strategies to ensure the availability and consumption of nutritionally adequate food, including during and after emergencies. Its work on understanding the root causes of malnutrition often raises ANR issues, as lack of ANR is a major factor for malnutrition; post-conflict situations raise problems of both ANR (due to displacement, etc.) and malnutrition, and contacts have been established in this regard with some persons from SDA.

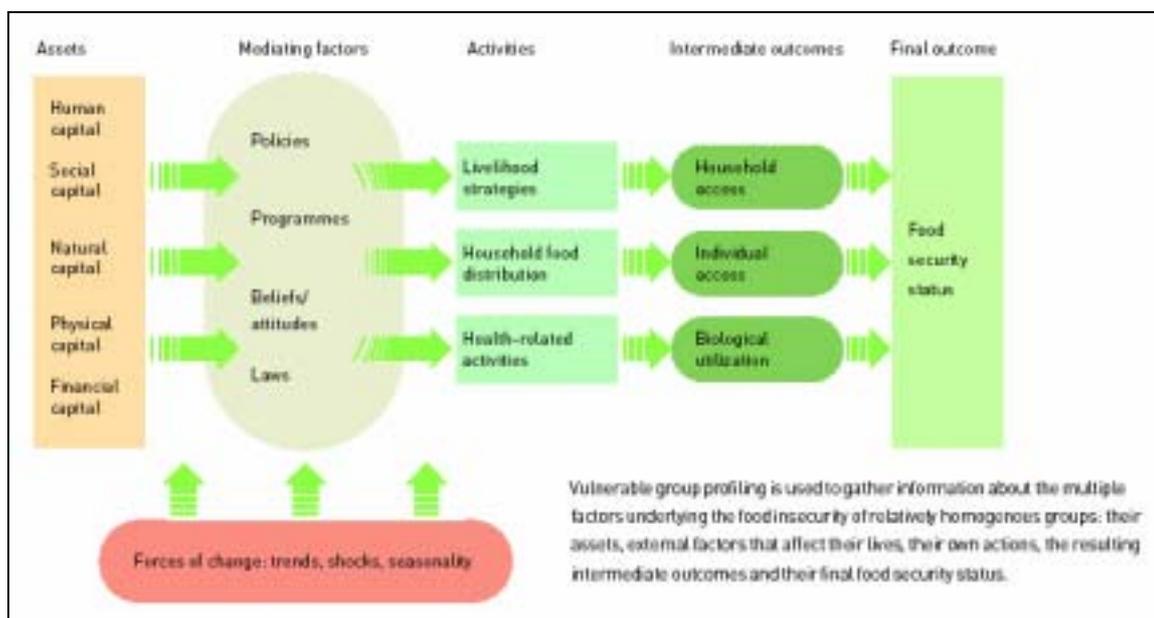
[Contact details: Florence Egal (ESNP)].

An example of ongoing programme where ANR issues may arise (as lack of ANR is a major problem faced by beneficiaries) is the Belgium-funded project “Improving Nutrition and Household Food Security in Northern Shoa & Southern Zone of Tigray”.

[Contact details: Karen Callens (ESNP)].

Moreover, work on vulnerability group profiling being done within FIVIMs (hosted at ES) may be drawn on for the vulnerability analysis within SLA. Vulnerability group profiling using an adaptation of the SL framework (Figure 1) was carried out in 1999 in a variety of countries, and the results have been incorporated in the SOFI (State of Food Insecurity in the World) of 2000 and 2001 (e.g., on Benin, see FAO, 2000b).

Figure 1. Framework to gather information about vulnerable groups.
Source: FAO (2000b).



Agriculture

The Agriculture Department is also involved in a number of ANR activities, particularly with regard to access to animal genetic resources [Contact details: Ricardo Cardellino (AGAP), and Irene Hoffmann (AGAP)] and to plant genetic resources [Contact details: Clive Stannard (AGD)].

For instance, a programme in Mali and Zimbabwe (with IFAD and the International Plant Genetic Resources Institute) investigates the dynamics of on-farm conservation and sustainable use of plant genetic resources, including analyzing the role of plant genetic resources in the livelihood strategies of smallholder farmers. [Contact details: Linda Collette (AGPS)].

The Land and Water Development Division (AGL) has developed an integrated land-use planning approach (Integrated Planning and Management of Land Resources). Although integrated land-use planning is very different from SLA (as it is focused on NR management, rather than being a holistic approach to development including ANR, and on environmental sustainability, rather than on poverty alleviation), it presents interesting commonalities that may be explored by Sub-programme 3.1 (integrated approach considering all significant factors relating to land resources; involvement of all stakeholders; intervention at micro, meso and macro levels; etc.).

Legal Office

Within the Legal Office, the Development Law Service (LEGN) provides technical assistance to member states in developing their legal system. Access to natural resources (as well as to other capital assets) is affected by the legal framework, which

has direct bearing e.g. on land tenure security, on the extent of community NR rights, on NR dispute resolution, etc.

LEGN has been involved in a variety of projects concerning support for drafting NR legislation, in relation to land, forestry, fisheries, water, etc. In Mali, for instance, a TCP supported government efforts to adopt a *Charte Pastorale* (approved in 2000) by carrying out research on existing statutory and customary norms relating to pastoral rights and by elaborating a draft of the *Charte Pastorale* on the basis of that research. The *Charte Pastorale* is an innovative approach to pastoralists' ANR, as it aims at securing pastoral NR rights while reconciling them with competing land uses and rights, particularly those of farmers.

Also directly related to ANR are LEGN projects e.g. in Honduras (drafting forestry legislation) and in Vanuatu (drafting forestry legislation reconciling the rights of commercial forestry operators with those of local communities). Among ongoing projects, a TCP just started in Djibouti, involving drafting a pastoral (or rural) code. These projects seek to balance the need for technical expertise required by legislative drafting with participation, *inter alia* through consultation of stakeholders before drafting activities and through workshops where drafts are presented and discussed. [Contact details: Jon Lindsay (LEGN); Ali Mekouar (LEGN)].

Informal Working Group on Participatory Approaches and Methods to Support Sustainable Livelihoods and Food Security (IWG-PA)

This is an informal Working Group bringing together, on a voluntary basis, staff from several divisions and units of FAO as well as from WFP and IFAD. It was established to encourage cross-sectoral and multidisciplinary collaboration to mainstream participatory approaches. The areas covered by the Group include participatory approaches to promote SL and participatory approaches in NR management.

A database of participatory field tools, methods and approaches developed or applied by FAO is available online at www.fao.org/participation/. The website is supported by SDAR.

In March 2000, the Working Group organized an interagency Forum on SLA (Pontignano, Siena), where experiences, lessons and issues on SLA were examined using eight case studies (with projects from FAO, IFAD, UNDP, WFP, DfID). The Forum was instrumental in catalyzing momentum for SLA within FAO. People who participated in the organization of the Forum include Jennie Dey-Abbas (SDAR), who was the Forum Project Manager, Vanda Altarelli (now at IFAD), Stephan Baas (SDAR), Alice Carloni (TCII), Eve Crowley (SDAR), Jan Johnson (SDAR), Alberta Mascaretti (TCII), Berndt Seiffert (SDAR), Patrizio Warren (ESAE).

Many of these persons are still involved in SLA work, including by participating in other LSP Sub-programmes. The case studies discussed at the Siena forum may provide important lessons on SLA. As these projects are already addressed in the publications of the Siena forum (FAO/DfID, 2000 and 2000b), they are not dealt with in detail here. Projects with a specific NR component include the Lempira Sur project in Honduras [Contact details: Compton L. Paul (FLHON)] and the Upper Piraí project in Bolivia (see above).

Even where ANR is not a project component (e.g., “Improving Household Food Security and Nutrition in Nuapula Valley, Zambia”), these projects may provide insights on the application of SLA to field programmes and on how SLA may help improve the livelihoods of the poor, including through ANR.

1.4 Case study: Hills Leasehold forestry and Forage Development Project in Nepal

The Hills Leasehold Forestry and Forage Development Project (HLFFDP) aims to raise the income of families below the poverty line and to improve the ecological conditions of hill forest lands. To achieve these objectives, the project involves the leasing of degraded forest lands to groups of poor farmers. These lease arrangements allow to expand the natural resource base of poor households and to better manage and rehabilitate degraded lands.

The project is mainly funded by IFAD, and is implemented by the Department of Forests (DoF), which is the lead agency and coordinates project activities, the Department of Livestock Services (DLS), the Agricultural Development Bank of Nepal (ADBN), and the Nepal Agricultural Research Council (NARC). The project has also involved a number of NGOs, acting as facilitators. FAO has carried out a technical assistance component, funded by the Government of the Netherlands.

The Loan Agreement between IFAD and His Majesty’s Government of Nepal was signed in 1990. Although the loan became effective for disbursement in 1991, implementation started only in 1993, after an amendment to the Loan Agreement. The amendment made DoF (rather than ADBN) the lead agency. The completion of the project is currently envisaged for June 2003. FAO’s component was articulated in two phases (1992-1997 and 1997-2001); the second phase ended in July 2001.

The project area was progressively expanded from four to ten districts, and efforts are currently being made to scale up the project by institutionalizing its approach in government agencies (DoF).

The interesting aspects of this project relate to two main factors: the fact that it explicitly focuses on expanding the natural assets of the poor, and the innovative approach adopted to do so (lease arrangements); and the fact that it has been implemented for nearly ten years, and studies on its impact on both the environment and on livelihoods have been carried out. Some of these studies explicitly use SL analysis (e.g., Ghimire, 2000).

The innovative ANR strategy used by the project is using lease arrangements (originally intended in Nepali legislation for commercial operators), rather than community forest (implemented in Nepal since the 1970s), as the tool to enable the poor to gain access to land. While community forestry involves handing over forest management to local communities (which are often captured by elites), community-based leasehold forestry has the explicit aim of both improving ecological conditions and alleviating poverty. It therefore targets particularly disadvantaged groups, first and foremost in terms of ANR (beneficiaries must have less than 0.5 ha of private

arable land and must be below the national poverty line), while attention is also paid to other factors (e.g., disadvantaged ethnic groups) and to gender concerns (some 25% of the beneficiaries are women).

Under the project, degraded forest lands are given on lease for 40 years to a group of usually ten eligible beneficiaries. The project promotes livelihood and ecological improvements among others through support to crop, fuelwood and timber production, through support to fodder and livestock development, through micro-finance, and through training and extension.

The leading studies on the impact of the project are Thompson (2000) and Ohler (2000). These studies documented positive changes in both environment and livelihoods. As for SLA methodologies, Ghimire (2000) is particularly interesting, because it explicitly uses SL framework and analysis, and because it conducts disaggregated livelihood analysis (focusing on women and, among these, examining livelihood assets and outcomes for different categories of women – namely those involved in community forestry, those involved in community-based leasehold forestry, and those not involved in either).

The study found that women involved in leasehold forestry had expanded their natural assets; had improved access to human assets by taking literacy classes and training courses, which was made possible by saving time on fuelwood and fodder collection (resulting from improved ANR); had improved their access to financial assets, both through increased access to credit and through NR-based income-generating activities (selling seedlings, fruit and livestock products). All these activities in turn improved their social assets. Moreover, Ohler (2000) developed a graphic representation of the linkages between project interventions, (complex, interlinked, sometimes unexpected) effects, and livelihood impact. In addition, the WRAP project (Women's Resource Access Programme) of the Popular Coalition to Eradicate Hunger and Poverty gave voice to the rural women affected by the project through community workshops, and provides useful insights on how the project has affected women's livelihoods.

Contact details

Within FAO

Frits Ohler (TCIL), former Chief Technical Advisor for the project

At IFAD

Nigel Brett (n.brett@ifad.org)

At the Popular Coalition to Eradicate Hunger and Poverty

Richard Trenchard (r.trenchard@ifad.org)

Sources

Ghimire (2000); Ohler (pers.comm); Ohler (2000); Popular Coalition (2001); Sterk (2002); Thompson (2000).

1.5 Case study: The Sustainable Fisheries Livelihoods Programme in West Africa

The Sustainable Fisheries Livelihoods Programme (SLFP) is funded by DfID and implemented by FAO (Department of Fisheries) in partnership with 25 West African countries (Angola, Benin, Burkina Faso, Cameroon, Cape Verde, Central African Republic, Chad, Congo, Côte d'Ivoire, Democratic Republic of Congo, Equatorial Guinea, Gabon, the Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Sao Tome and Principe, Senegal, Sierra Leone and Togo). Started in November 1999, the SFLP was originally designed for a period of five years but has recently been extended to seven years.

The purpose of the SFLP is to improve the livelihoods of artisanal fisheries communities and reduce their vulnerability and poverty, through activities focusing on: (i) the development of social and human capital in fisheries-dependent communities (e.g., capacity-building for fisheries planning and management); (ii) the enhancement of the natural assets of those communities; (iii) the development of appropriate fisheries policy and institutional environments, which take into account the principles of the Code of Conduct for Responsible Fisheries (CCRF) and use SLA. The activities of the SFLP are articulated in community projects (low-cost community-based initiatives focused on small-scale activities) and in pilot projects (large initiatives taking place at regional or sub-regional level).

The SFLP explicitly employs a SLA, making use of the SL framework as applied by DfID, and combines this approach with the principles and criteria embodied in the CCRF. For instance, the Guidelines for the Formulation of the Community Projects developed by the SFLP explicitly require SLA to be adopted in community projects. Major SLA features of the Programme include its holistic approach, its participatory nature (considering and responding to local communities' demands), the fact of emphasizing strengths and opportunities rather than needs, and the attention to links between micro, meso and macro levels. The Programme also includes SLA training for its staff.

Consistently with SLA, the SFLP takes a holistic approach. While the entry point is sectoral (fisheries), the programme has broadened its scope both to other NR (trees, water, land) and to non-NR issues. As for other NR, since fish processing activities have a bearing on tree resources (fuelwood for cooking), tree-planting activities have been undertaken for instance in Ghana. Moreover, projects on inland fisheries in artificial lakes in Burkina Faso, Côte d'Ivoire, Ghana and Mali concern, beyond fisheries, water management and access to land (especially fertile land formerly covered by the lakes). As for non-NR issues, upon demand by beneficiary communities, the Programme has intervened in sectors not strictly relating to fisheries. In Niger, a micro-credit project facilitated access to institutional credit, both because some beneficiaries deposited in local banks the money borrowed within the project (thereby gaining access to greater local financial resources) and, more generally, because the credit-worthiness of beneficiaries was improved (both in real terms and in the perception of local bank officers). In the same project, the Programme facilitated the organization of literacy courses by intervening with the Ministry responsible for education.

Box 1. SLA and the CCRF

An interesting feature of the SFLP is that it combines SLA with another strand of principles developed within FAO, the CCRF. This may provide lessons for integrating SLA principles and tools with other valuable approaches already used within FAO.

The CCRF, adopted in 1995, establishes guiding principles for the conservation, management and sustainable development of fisheries.

The SLA and the CCRF present several commonalities and differences. Commonalities mainly relate to the overarching principles underlying both the SLA and the CCRF. Both instruments are people-centred; they both focus on desired fisheries-based livelihood outcomes; they both aim at a more sustainable use of the resource base; and they both promote greater participation by fisheries communities in NR-related decision-making.

Differences mainly relate to nature, emphasis and scope. While the SLA is an approach/tool, the CCRF is a prescriptive body of principles. While the SLA is cross-sectoral in nature, the CCRF is inherently sectoral. Moreover, while the SLA focuses on livelihood outcomes, the CCRF is mainly concerned with the process of arriving at the outcome. While the SLA focuses on the livelihoods of the poor, the CCRF more broadly considers the needs of all different actors involved in fisheries.

The SLA and the CCRF can be combined to mutually strengthen their application. The CCRF may guide the implementation of the SLA, particularly in what relates to transforming structures and process, i.e. to the PIP part of the SL diagram. In turn, the SLA may facilitate the implementation of the Code, particularly by addressing the livelihood needs of artisanal fish workers.

Source: SFLP (2000a)

Numerous community projects are centred on ANR. Rather than focusing on access to additional NRs, projects usually mainly concern both improving management of existing resources and defending existing resource access.

An example of the first category of activities is the promotion of co-management arrangements with regard to water and fisheries resources. For instance, in Boalin village (Burkina Faso), a three-day participatory diagnostic was carried out to identify strengths, assets and aspirations of a community depending on fisheries in an artificial reservoir; on the basis of the results, a community project was prepared by the community with the help of the NCU; the project aims at allowing fishers to effectively participate in the management committee of the reservoir, the decisions of which have direct bearing on their livelihoods. Another participatory NR management project is being undertaken in Mapé Lake (Cameroon), and is centred on the setting up of a co-management committee; this is to enable participation of fishers in the management of fisheries resources as well as to undertake community infrastructure projects (wells, schools, health centres, etc.).

The second category of activities relates to protection of existing ANR, i.e. of the access guaranteed under fisheries legislation. Given the competition between

industrial and artisanal fishing vessels and the disadvantaged position faced by artisanal fishers, legislation often reserves fishing zones for artisanal fishers. A project in Guinea involves local fisheries communities in the surveillance of the reserved fishing zone, envisaging surveillance by fisherfolk (using their own vessels), with support from the local Surveillance and Fisheries Protection Centre.

As for the social and human capital components of the Programme, this are in turn intertwined with ANR. Activities concerning the human capital concern capacity-building. Those concerning social capital relate to the setting up of groups and associations, e.g. women's groups. Both have revealed to be instrumental for improved ANR. In Ghana, for instance, a women's group was able to press on the local authority to obtain the allocation of land.

The SFLP is also undertaking activities concerning the impact of macro-level policies, institutions and processes (PIPs) on the livelihoods of artisanal fisheries communities. The rationale for this is twofold:

- € Improvements can be achieved at macro level by making PIPs more responsive to the livelihood needs of fisheries communities, so as to benefit a large number of fisheries communities (compared to community projects);
- € Commitment to improving the livelihoods of fisheries communities must be shared by competent national and decentralized institutions in order to be sustainable in the longer term.

Field studies on the livelihood impact of fisheries-related PIPs were carried out in Ghana and Senegal, and the outputs were discussed in two national seminars. A sub-regional workshop was later carried out in Banjul (the Gambia). Features of this process that are interesting for SLA include:

- € The very nature of the studies, focusing on the impact of PIPs on livelihoods, consistently with the SL framework;
- € The holistic approach taken in the seminars and in the workshop: although focusing on fisheries, these considered the diverse PIPs having a bearing on the livelihoods of fisheries communities (including for instance not only the ministries responsible for fisheries, but also those responsible for decentralization);
- € The discussion at the workshop of some key SLA elements, such as: greater emphasis on participation; assessment of the contribution of fisheries to livelihoods at both community and national level; livelihood diversification; and macro-micro linkages.

The study on Senegal identified specific limits in PIPs impacting livelihoods, including missions of public institutions focusing on improvements in production (e.g., on technical solutions emphasizing catch capacity) rather than on the living conditions of fisheries communities, lack of cross-sectoral coordination, and inadequate participation by local communities.

Other PIP-related activities include the promotion of the integration of the CCRF and of SLA in national policies.

Finally, the Guidelines for Programme and Project Monitoring and Evaluation incorporate SLA in the M&E process, e.g. by requiring a holistic approach ("to adopt a holistic perspective, monitoring a wider range of livelihood indicators so that

positive and negative, intended and unintended, direct and indirect links between livelihoods and intervention are understood”) and a people-centred approach (considering changes in peoples’ livelihoods rather than focusing on ANR per se); by providing for dynamism in M&E (considering the dynamic nature of livelihood strategies); by adopting a participatory approach to M&E, by including consideration of macro-micro linkages (rather than conventionally considering PIPs as exogenous assumptions; e.g., considering institutional change in service provision and participation). The Guidelines also contains proposals for the development of indicators to assess the impact of SFLP activities on livelihoods, namely: process indicators, in terms of both quantity (number of meetings, etc.) and quality (e.g., extent of participation); outcome indicators (e.g., assessing whether participatory co-management systems have been established); and leading indicators, concerning what is expected to happen (e.g., indicators of behavioural change). Possible indicators are proposed for a wide array of NR-related issues (e.g., land erosion and sedimentation, trawling).

Contact details

FAO

Richard Coutts (FIPL), Programme Coordinator

Benoit Horemans, Team Leader (Benoit.Horemans@sflp-pmedp.firstnet.bj).

DfID

Neil MacPherson, Senior Fisheries and Aquatic Resources Advisor (N-MacPherson@dfid.gov.uk).

Sources

SFLP website (www.sflp.org); Aboubakry, 2001; Blake, 2001; Blake *et al.*, 2001; Coutts, pers.comm; FAO/DfID, 2000c; SFLP, 2000a, 2000b and 2000c; Talhatou, 2000; Teixeira, 2000; Yeboah and Blake, 2001.

1.6 Case Study: FAO Pastoral Risk Management Strategy / World Bank Sustainable Livelihoods Programme, Mongolia

The FAO Pastoral Risk Management Strategy aims at strengthening pastoral risk management strategies in Mongolia, so as to better respond to natural shocks (drought and *dzud*). It does so through a comprehensive approach, encompassing the elaboration of pastoral risk management plans for three pilot *aimags* (provinces) as well as the analysis and testing of key risk management strategies (haymaking, etc.), including ANR.

Differently from the Leasehold Forestry project in Nepal, the project focuses on managing risk rather than on providing ANR for the assetless, and ANR is mainly addressed as a component for effective risk management strategies. NR activities are aimed at improving pasture management, among others by: mapping seasonal pasture use and rights (including land possession certificates); supporting the process of issuing possession certificates in forms providing greater tenure security, e.g. for periods of up to 60 years renewable (as envisaged by legislation); supporting the revision of regulations on protected areas, to allow access for grazing to these areas during serious emergencies; etc.

The scaling up of project outputs at national level is to be undertaken by the government with the support of other internationally-funded programmes, particularly the World Bank Sustainable Livelihoods Programme. This was approved by the World Bank in June 2002 and is to be implemented over 12 years, in three phases. Phase I (four years) is referred to as the Sustainable Livelihoods Project. The Project is national in scope, with pilot-testing of the innovative aspects in eight *aimags* (provinces); phases II and III of the Programme are to build on these innovative elements of the Project to replicate them and scale them up. The Programme has four components: Pastoral Risk Management; Micro-Finance Outreach; Local Initiatives Fund; and Management and Policy Support. The Pastoral Risk Management component is based on the FAO TCP. FAO also carried out a field mission (September 2001) and wrote the Project Implementation Plan and a first draft of the Project Appraisal Document (November 2001).

An SLA was followed throughout the Programme, although the SL framework is not specifically included in the project documents. SL is included in the development objective of the World Bank Programme, which is: “target beneficiaries adopt improved livelihood strategies that build on and maintain human, social, financial, physical and natural capital while reducing vulnerability to shocks”. The Project Implementation Plan follows the definition of livelihood developed by Chambers and Conway (1992). Both the Programme and the TCP include components on improved grazing management (natural capital), micro-finance (financial capital), community organization (social capital) and capacity building (human capital); aim at reducing the vulnerability context, mainly determined by natural shocks, by identifying and testing risk management strategies (community-level risk reduction strategies, access to under-utilized pastures, etc.); act on PIPs at micro level (pasture management), at meso level (provincial risk management plans) and at macro levels (supporting the scaling up of piloted strategies through the adoption of national policies). An SL perspective is also employed in a paper that FAO is preparing to feed into the government’s Rural Development Strategy.

Contact details

FAO

Stephan Baas (SDAR)

Alice Carloni (TCII)

World Bank

Robin Mearns, Team Leader (Rmearns@worldbank.org)

Government of Mongolia, Household Livelihoods Support Programme Office

Mr. Ch. Khurelbaatar, Director (mopl@magicnet.mn)

Sources

FAO (2000 and 2001); World Bank (2000a, b and c).

2. OTHER ORGANIZATIONS EXPLICITLY OR IMPLICITLY USING SLA IN RELATION TO ANR

2.1 Introduction

This part identifies organizations using explicitly or implicitly SL analysis, concepts and tools in relation to ANR. Organizations that are particularly relevant and for which it was possible to obtain sufficient information are presented in alphabetically ordered sheets. Other relevant organizations for which it was not possible to obtain sufficient information on their link with SLA and/or on their ANR activities are listed at the end of this part. To allow cross-references, organizations having their own sheet are marked with a (=>).

The organizations included in the inventory are extremely diverse, encompassing intergovernmental organizations, government agencies, NGOs, private companies and consultancies, research institutes, etc. Each type of organization can provide important insights on ANR and SLA. For instance, while intergovernmental organizations and NGOs may provide insights on how to incorporate SLA into ANR operational projects, research institutes may provide insights on SLA concepts and methodology as well as on the analysis and development of innovative ANR strategies.

2.2 CANARI (Caribbean Natural Resources Institute)

Nature of the organization

Independent technical and research organization analysing and promoting participatory management of natural resources in the Caribbean region.

Relationship with SLA

While CANARI has not explicitly adopted an SLA, one of CANARI's central research themes is the analysis of NR-based livelihood strategies. CANARI has also been involved in SL research activities as local partner of UK-based institutions. Moreover, it has published papers (available online) concerning sustainable livelihoods (although no SL framework is used).

Examples of ANR activities

With technical assistance from IDS (=>) and funding from DfID (=>), CANARI has been working on a research programme on coastal livelihoods in a village in St. Lucia (the "People and Sea" programme). The programme started in 2000 and is for a three-year period. It entails: research on the current status of natural resources and on the role of these and of social, human and financial resources in the livelihood strategies of the village; testing of NR management arrangements to improve participation, the livelihoods of local communities and resource use sustainability; and analysis of results and of lessons learned.

Links with other organizations

CANARI has worked on research programmes with DfID, IDS, IIED and ODI.

Sources

CANARI website; Renard *et al.* (2000).

Contact details

New Dock Road P O Box 383 Vieux Fort St Lucia
Tel: + 758 454 6060 Fax: + 758 454 5188
Email: canari@candw.lc Web site: www.canari.org

Yves Renard, Executive Director.

2.3 CARE

Nature of the organization

International relief and development NGO. This sheet focuses on CARE International UK.

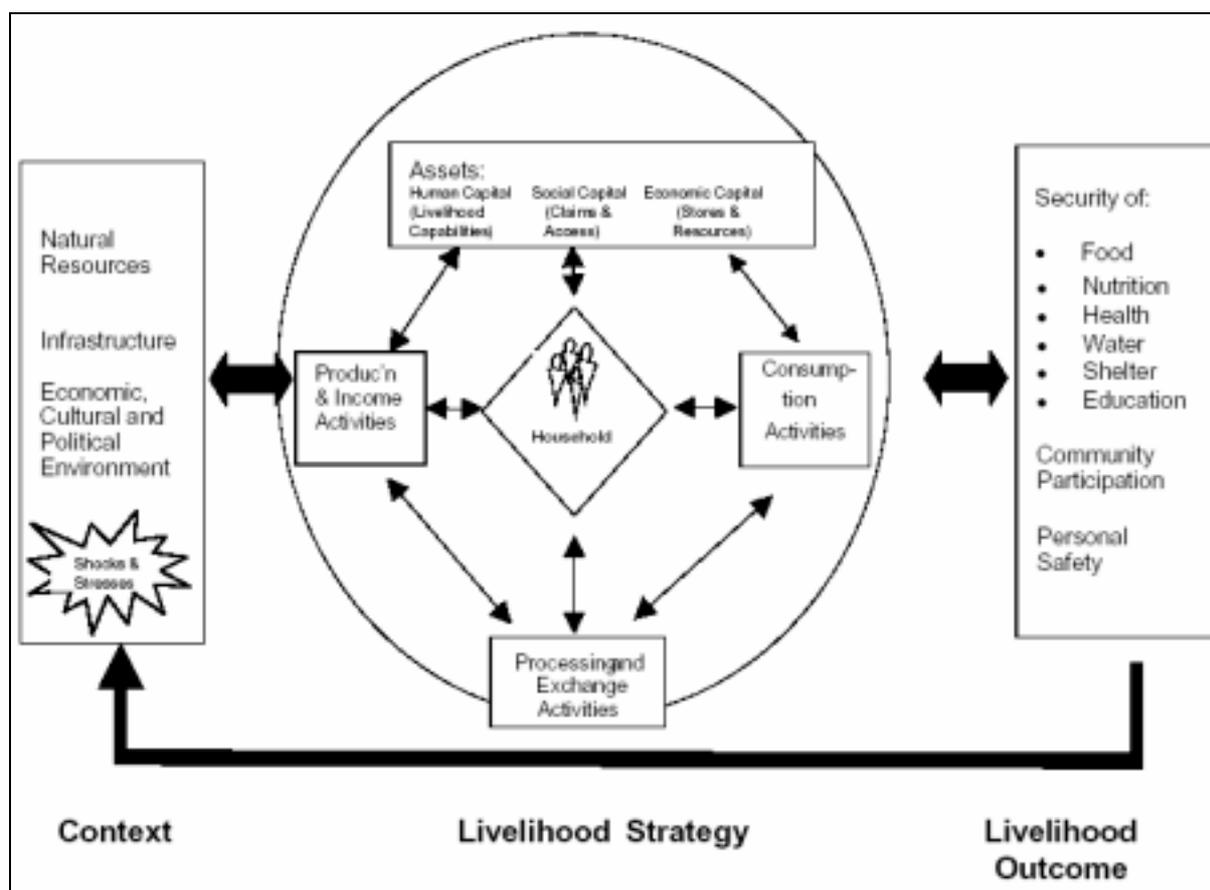
Relationship with SLA

CARE adopted a livelihoods approach (the Household Livelihood Security approach, HLS) as a programming framework in 1994 (Figure 2). The HLS follows the definition of livelihood given by Chambers and Conway (1992), and is increasingly combined with a number of other approaches, including the right-based approach.

CARE uses the HLS as a means to understand complex issues, to increase inter-sectoral coordination, and to improve the impact of its activities. While in some cases it results in truly multi-sectoral activities, in others holistic livelihood analysis leads to more focussed projects.

CARE has devoted substantial energies to institutionalize the HLS in its programmes, by promoting holistic diagnostic analysis, HLS programme design (using versions of the framework reproduced in Figure 3), reorienting ongoing programmes towards a more livelihood-centred perspective, and developing appropriate M&E tools. Compared to DfID and UNDP, CARE tends to put less emphasis on PIPs.

Figure 2. CARE's livelihoods framework. Source: Carney et al., 1999.



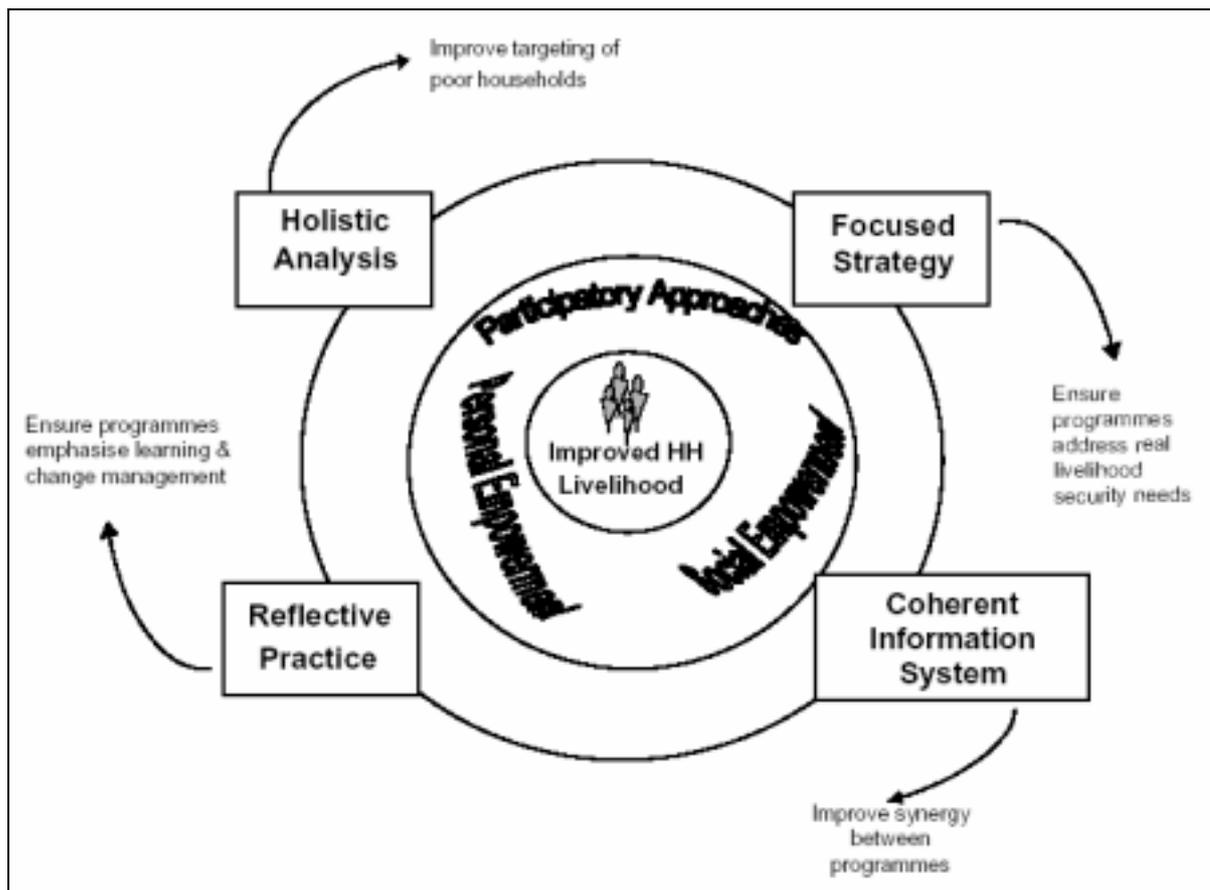


Figure 3. CARE's programme design framework for livelihood projects. Source: Carney et al., 1999.

Examples of ANR activities

Many projects that have been designed or reoriented in the light of the livelihood approach and that are most often referred to in the literature do not have an ANR focus. For instance, CARE has applied the livelihoods approach in urban contexts (PUSH, PUSH II and PROSPECT projects in Lusaka, Zambia).

As for rural areas, the Interfish/Go-Interfish projects provide integrated pest management extension and training (through the Farmer Field School model) and promote rice cultivation and aquaculture; started as sectoral technology-delivery projects, they have evolved towards a more holistic and participatory approach, considering broader livelihoods gains (e.g., through greater attention for human and social capital). The projects were discussed at the Siena forum; their strengths and weaknesses are therefore discussed in the documents produced by the forum (FAO/DfID, 2000 and 2000b). The livelihood impact of Go-Interfish has been measured through the CARE/DfID Livelihoods Monitoring Project, which brings the livelihoods approach into M&E by using both quantitative and qualitative tools.

Specifically on ANR, CARE has several projects. For instance, the Forestry Partnership Project in Nepal assists the Ministry of Forest and Soil Conservation of Nepal in transferring forest management to community forests groups in the Mid Hill and Terai area.

Links with other organizations

The Interfish/Go-Interfish projects and the Forest Partnership Project are funded by DfID (=>).

Sources

CARE website; DfID website (www.dfid.gov.uk); Carney *et al.*, 1999; Frankenberger *et al.*, 2000.

Contact details

10-13 Rushworth Street London SE1 0RB UK
Tel. 020 7934 9334 Fax 020 7934 9335
Website: www.careinternational.org.uk

Michael Drinkwater (drinkwater@caresa.co.za);
Tamara Rusinow (rusinow@uk.care.org).

2.4 Development Alternatives Group

Nature of the organization

Non-profit organization based in India.

Relationship with SLA

Innovation and dissemination with a view to creating sustainable livelihoods are among the corporate objectives of the organization. Development Alternatives runs a joint module on “Sustainable Livelihoods”, in partnership with ENDA (Senegal) and with support from IISD (=>). The approach followed by Development Alternatives is not uniform (varying across projects and across regions) nor static (evolving with the improved understanding of livelihoods strategies). Due to time constraints, it was not possible to ascertain the extent to which the use of SL language is reflected in SL analysis and projects.

Examples of ANR activities

NR management is among the core activities of the organizations. In Madhya Pradesh (India), a longstanding project has improved access to water for women and the poor through infrastructure improvements (particularly the construction of a check-dam). From the information available on the website, it was not possible to establish to what extent the project made use of SL concepts and tools.

Links with other organizations

Development Alternatives has worked with several international and national donors and with India government agencies at both federal and state level. It has also worked with NGOs using SLA, such as IISD. Its SL project is jointly run with the Senegalese organization ENDA.

Sources

Website of the organization:

SD Gateway website: (<http://sdgateway.net/livelihoods/default.htm>);

DAINET website (www.dainet.org/livelihoods/about.htm).

Contact details

B-32 Tara Crescent Qutab International Area New Delhi 110 016, India

Tel.: +91 11 69677938 Fax: +91 11 6866031

E-mail: tara@sdalt.ernet.in Website: www.devalt.org

2.5 DfID (Department for International Development)

Nature of the organization

International development agency of the UK government.

Relationship with SLA

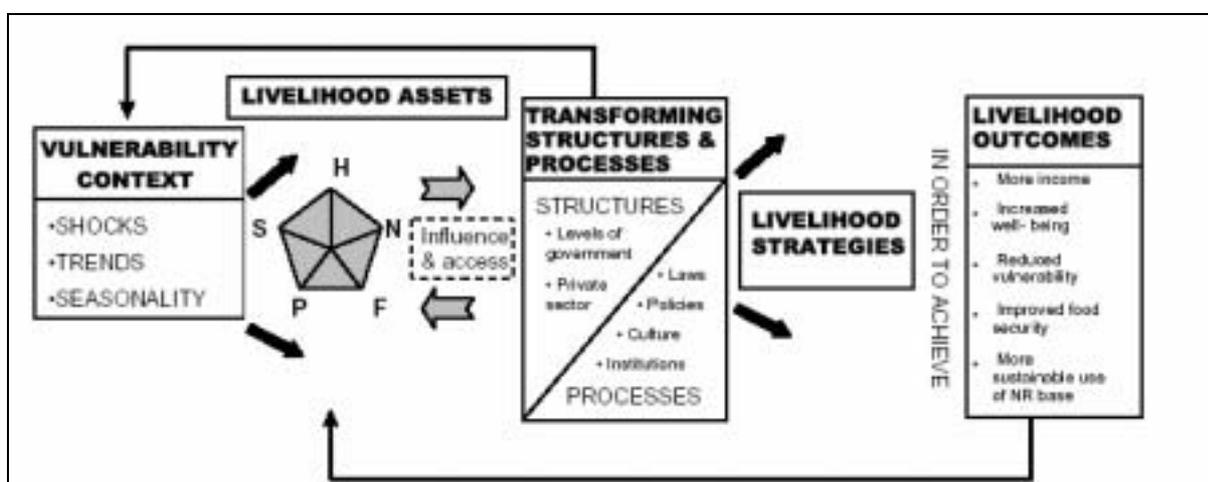
The White Paper on International Development of 1997 (“Eliminating World Poverty: A Challenge for the 21st Century”) institutionalized the adoption of an SLA as a means to eliminate poverty. The White Paper states: “We shall refocus our international development efforts on the elimination of poverty and encouragement of economic growth which benefits the poor. We will do this through support for international sustainable development targets and policies which create sustainable livelihoods for poor people, promote human development and conserve the environment” (page 8). “Policies and actions which promote sustainable livelihoods” explicitly include “access of poor people to land, resources and markets” (panel 3). Building on work by IDS (=>) and Oxfam (=>), DfID has developed its own SL framework (Figure 4).

DfID has integrated SL thinking into planning, particularly in some Country Strategy Papers. In preparing the Cambodia Country Strategy Paper, a study using SL analysis was carried out (Turton, 2000a); the Country Strategy Paper subsequently developed makes use of SL analysis and concepts (DfID, 2000).

DfID supports SLA projects in a variety of developing countries (some examples of ANR projects are provided below).

In addition, DfID promotes the development of SL project methodologies. For instance, DfID supports a programme coordinated by the University of Bradford (“Goodbye to projects?”, 2001-2003) which analyzes the challenges posed by SLA for project design and implementation, and a project by CARE to integrate SL into project evaluation (Livelihood Monitoring Project, 2001-2005).

Figure 4. DfID’s SL framework. Source: Carney et al. (1999).



Examples of ANR activities

Within DfID, a major thrust for the adoption of the SLA came from the divisions responsible for natural resource management. SLA issues are currently dealt with by the Rural Livelihoods Department. The following are some examples of ANR-related activities that adopt, to a very diverse degree, SL concepts and tools. While in some cases SL analysis was present in the programme/project since the conceptualization phase, in most cases SL concepts and tools were used in the implementation phase.

The **Sustainable Fisheries Livelihoods Programme** was designed using the SL framework, complementing it with the Code of Conduct for Responsible Fisheries. The programme is implemented by FAO, and is described more in detail in Part I of this report.

The **Western Orissa Rural Livelihoods Project** (WORLP, implemented by the Indian Ministry of Rural Areas and Employment and by the Orissa State Government) and the **Andhra Pradesh Rural Livelihoods Project** (APRLP, implemented by the Indian Department for Rural Development and by the State Government of Andhra Pradesh) are both watershed projects. Although neither project was explicitly conceptualized with an SL framework, both projects present interesting features for SLA/ANR. In the WORLP (1999-2009), SL concepts and principles were incorporated at the end of the design process through a workshop and a series of team meetings; the asset pentagon provided useful insights on the nature of poverty in the project area. In the APRLP (1999-2006), SL analysis and framework were not explicitly adopted, although the project presents important SL-type tools and concepts.

Both projects are the result of the convergence between two parallel strands of thinking: SL on the one hand, and watershed development thinking on the other. Watershed development thinking emphasizes that a narrow technical approach to NR degradation cannot succeed, and that social, financial and institutional aspects must also be taken into account; it formed the basis for the adoption by the government of India of guidelines for watershed programmes.

The projects go beyond the traditional scope of watershed projects to address the needs of marginalized groups (landless, etc.), by providing irrigation, water and sanitation, credit, etc. They are flexible, so as to enable local communities to prioritise interventions according to their own development needs, including in non-land-based activities. In the light of these features, they have been termed “watershed-plus” projects.

The **WILD** (Wildlife Integration for Livelihood Diversification, 1999-2002) project in Namibia helps communities to exploit the possibilities to access and use wildlife resources opened by the Nature Conservation Amendment Act 1996 (devolution of wildlife use rights to community bodies). It does so by analyzing and documenting the livelihood impact of wildlife access and use, as well as micro- and macro- level factors influencing wildlife access and use and their livelihood impact; and by assessing and promoting appropriate methodologies to develop policies and community-level land uses to integrate wildlife into livelihood strategies.

The **Nepal UK Community Forestry Project** (1993-2001) was not designed as an SLA project (it predates DfID's adoption of the SL framework), although livelihood analysis has been incorporated in the project after 1998, mainly by using the SL framework to assess the project impact on livelihood assets, including NR, and to refocus the project on poverty. On the basis of this analysis, a follow-up programme (the **Nepal Livelihoods and Forestry Programme**) was designed. The new programme aims at reducing vulnerability and improving livelihoods for poor rural people.

In South Africa, DfID supported the Oxfam GB **Sustainable Livelihoods Programme** in Nkandla District, KZN (1999-2001). The programme identified policy and practice changes which would enable poor people to have improved and more sustainable livelihoods based upon local NR. Moreover, DfID's **Sustainable Coastal Livelihoods Programme** supports the South African Department of Environmental Affairs and Tourism in implementing the Plan of Action contained in the South African White Paper for Sustainable Coast Development. The programme uses SL concepts and tools and aims at establishing an equitable and sustainable coastal development process that promotes sustainable livelihoods, particularly for poor coastal communities.

In Nigeria, DfID has a project (**Jigawa Enhancement of Wetlands Livelihoods, JEWEL, 2002-2005**) to demonstrate successful approaches to more equitable and sustainable management of common property resources in Jigawa, neighbouring states and at a federal level, using SL concepts and tools.

The **Botswana Sustainable Livelihoods Programme** (2001-2003) is to develop and implement policies, programmes and projects which support the sustainable improvement of rural livelihoods whilst conserving the environment. While previous UK aid to Botswana was channelled through a great number of small projects, the programme sets up a fund to support SL projects, including ANR projects.

In Bangladesh, DfID supports the local NGO **Samata** (Samata Samaj Kalyan Samity), which helps the landless to gain access to government land ("*khas*") through leases. This activity meets strong resistance on the part of local elites illegally occupying government land, and involves campaigns and mobilization, training, support in filing applications for land assignments, support in participation in local decision-making institutions, etc. The DfID-funded project (2001-2008) goes beyond ANR to involve also micro-finance and technical support and broader micro-macro linkages (greater representation of the landless in local government; advocacy at local, regional and national level).

In the Caribbean, a project implemented by **CANARI** (=>) is testing and documenting strategies for the management of coral reef resources so as to improve participation, the livelihoods of local communities and resource use sustainability.

Finally, DfID supports periodic **Sustainable Livelihoods Seminar Series** to share experiences on the operationalization of SLA, including on SL and water, SL and the environment, and SL and NR. In November 2001, a seminar of this series was held in Edinburgh on "Rural Poverty and Natural Resources".

DfID has projects supporting land reform programmes in a variety of countries (e.g., Russia and other CIS countries, Kenya, etc.) and projects supporting community forest arrangements (e.g., Cameroon, India, etc.).

Links with other organizations

DfID supports SLA projects undertaken by a variety of actors, including NGOs (e.g., CARE, Oxfam; =>), research institutes (ODI, IDS; =>), and international organizations (FAO). Early SLA thinking within DfID built on conceptual work developed by institutions like IDS (=>) and Oxfam (=>). DfID also supports programmes that address ANR without explicitly adopting an SL framework (e.g., IIED, =>).

DfID has established a Sustainable Livelihoods Resource Group (SLRG), grouping institutions working on SL mainly in the Anglophone world (members include IDL, IDS, Khanya, NRI and ODI; =>). The core objectives of the Group are to exchange information on SL, provide expertise on SL, constitute a team for the effective implementation of the SL framework, and help influence other donors.

In developing and implementing its SLA projects, DfID has also established partnerships with national and local governments in developing countries (e.g., as for the APRLP, the government of Andhra Pradesh).

In July 2002, DfID agreed to finance the setting up of a fund – the Poverty Reduction Cooperation Fund – managed by the Asian Development Bank, which will presumably fund SLA projects.

Sources

DfID website; Livelihoods Connect website (www.livelihoods.org); website of the Andhra Pradesh Rural Livelihoods Project (www.aplivelihoods.org/introduction.html); DfID (1997); DfID (2000); DfID (2001); Carney *et al.* (1999); Carney (2002); Turton (2000a and 2000b).

Contact details

1 Palace Street London SW1E 5HE UK
Tel.: +44 (0)20 70230643 Fax: +44 (0)20 70230016
Website: www.dfid.gov.uk.

Sam Bickersteth, Nepal UK Community Forestry Project, NR Adviser (S-Bickersteth@dfid.gov.uk);

Jane Clark, coordination of the SL Resource Group (j-clark@dfid.gov.uk);

Simon Croxton, APRLP, (s-croxton@dfid.gov.uk);

Chris Henderson, WILD project, (C-Henderson@dfid.gov.uk);

Neil MacPherson, Senior Fisheries and Aquatic Resources Advisor, Sustainable Fisheries Livelihoods Programme (N-MacPherson@dfid.gov.uk);

Peter Reid, DfID, Senior Livelihoods Adviser, UK Permanent Representation to the UN (Rome) (p-reid@dfid.gov.uk; tel.: 06 68400914).

2.6 GADEC (Groupe d'Action pour le Développement Communautaire)

Nature of the organization

Senegalese NGO operating in Senegal.

Relationship with SLA

GADEC does not make use of SLA. However, building on the *Gestion des Terroirs* experience, it has developed a methodology that presents several commonalities with SLA. The *Gestion et Réhabilitation des Terroirs Villageois* (GRTV) is a comprehensive framework for the programmes of the organization. While *Gestion des Terroirs* was centred on NR management, the GRTV broadens its scope, by focusing on ten thematic areas which include, beyond NR management, support and strengthening for farmer associations and local authorities, education and training, income diversification, infrastructure, research, etc. NR management is centred on the adoption and implementation of *plans de gestion des terroirs* and on other activities. Commonalities with SLA include:

- € The holistic and cross-sectoral approach, considering the economic, social, cultural and political factors affecting the livelihoods of the poor;
- € The explicit consideration of existing resources (both natural and human), and the building on their potential while considering their constraints;
- € The participatory approach (through various forms of participatory diagnostic);
- € The emphasis on the (environmental) sustainability of development;
- € The stress on interactions between resources, activities and actors;
- € The consideration of relevant factors at all levels (micro and macro).

Examples of ANR activities

The GRTV approach has been applied in a project in Sinthiourou village (Kolda region, Senegal). The project included a NR component, centred on the definition and implementation of a *plan de gestion des terroirs*, aimed at promoting peaceful and concerted management of sylvo-pastoral resources shared by four villages, easing pre-existing tensions.

Links with other organizations

GADEC has worked with the Belgian Cooperation, with the Belgian Survival Fund, and with international NGOs (including Oxfam US).

Sources

GADEC (2002).

Contact details

B.P. 123 Tambacounda Sénégal
Tel. +221 981 12 20 Fax + 221 981 17 20
E-mail gadectba@sentoo.sn

Alassane Guisse, Executive Secretary.

2.7 IDL (In Development Ltd.)

Nature of the organization

UK-based firm providing consultancy and research services.

Relationship with SLA

SL is a major focus of the activities of IDL, which include consultancies on policy and institutional reform (to ensure that policies and institutions respond to livelihood realities) and project cycle management (employing SLA in project identification, design, monitoring, review and evaluation; e.g., Turton, 2001). In its SL analysis, IDL pays particular attention to transaction costs affecting the efficiency of using, substituting, trading and creating assets, and to action at all levels (international, national, local) to reduce those costs.

Examples of ANR activities

IDL uses livelihood-based approaches to the reform of agricultural policies and institutions. It reviewed the project design of two DfID (=>) watershed management projects in India (Orissa and Andhra Pradesh) (Turton, 2000b).

Links with other organizations

IDL has worked with DfID (=>) (e.g., Cate Turton carried out a study for the preparation of the DfID Cambodia Country Strategy Paper, and reviewed the project design in the Indian watershed management projects). IDL is member of the DfID Sustainable Livelihoods Resource Group.

Sources

Livelihood Connect website (www.livelihoods.org); Carney (2002); Turton (2000b).

Contact details

P.O. Box 20 Crewkerne Somerset TA18 7YW UK

Tel. +44(0)1460 279900 Fax +44(0)1460 279911

Website (under construction): www.theidlgrou.com

Steve Ashley (livelihoods@theidlgrou.com).

Other core team members: Peter Bazeley, Sarah Holden, Dil Peeling, Cate Turton, Catherine Arnold, Karen Iles.

2.8 IDS (Institute of Development Studies)

Nature of the organization

Research institute, part of the University of Sussex (UK), carrying out development-oriented research, training and consultancies.

Relationship with SLA

IDS has been one of the major contributors to the very concept of SL. The definition of livelihood most often referred to was developed at IDS by Chambers and Conway (1992). Over the years, IDS has gained considerable expertise on SL issues.

Within SLA, IDS focuses on the role played by institutions, policies and organizations. For instance, the DfID-funded Sustainable Livelihoods Research programme (1997-1999) analyzed what institutions (formal and informal) enable poor people to achieve SL and what policies may support the SL efforts of the poor. The programme focused on four case studies: Bangladesh, Ethiopia, Mali and Zimbabwe. It involved the elaboration of a graphic representation of the SL framework (Figure 5).

IDS is also a major centre of information (studies published are available online), and runs ELDIS (gateway for development-related information) and the DfID-funded Livelihoods Connect website (gateway for SL information). IDS is involved in a DfID-funded programme to foster SL lesson learning and sharing within DfID (=>), particularly the Sustainable Livelihoods Support Office.

Examples of ANR activities

Several research programmes have a specific ANR focus. For instance, a major research programme is “Sustainable Livelihoods in Southern Africa (SLSA): Natural Resources, Governance and Policy Processes”. Started in 2000 for a three-year period, this programme examines issues concerning land, water and wildlife in Southern Africa, focusing on livelihoods, institutions and policy processes. It has resulted in the publication of country papers and of thematic papers on the link between natural resources and livelihoods in South Africa, Mozambique, and Zimbabwe, as well as of research briefs and other papers.

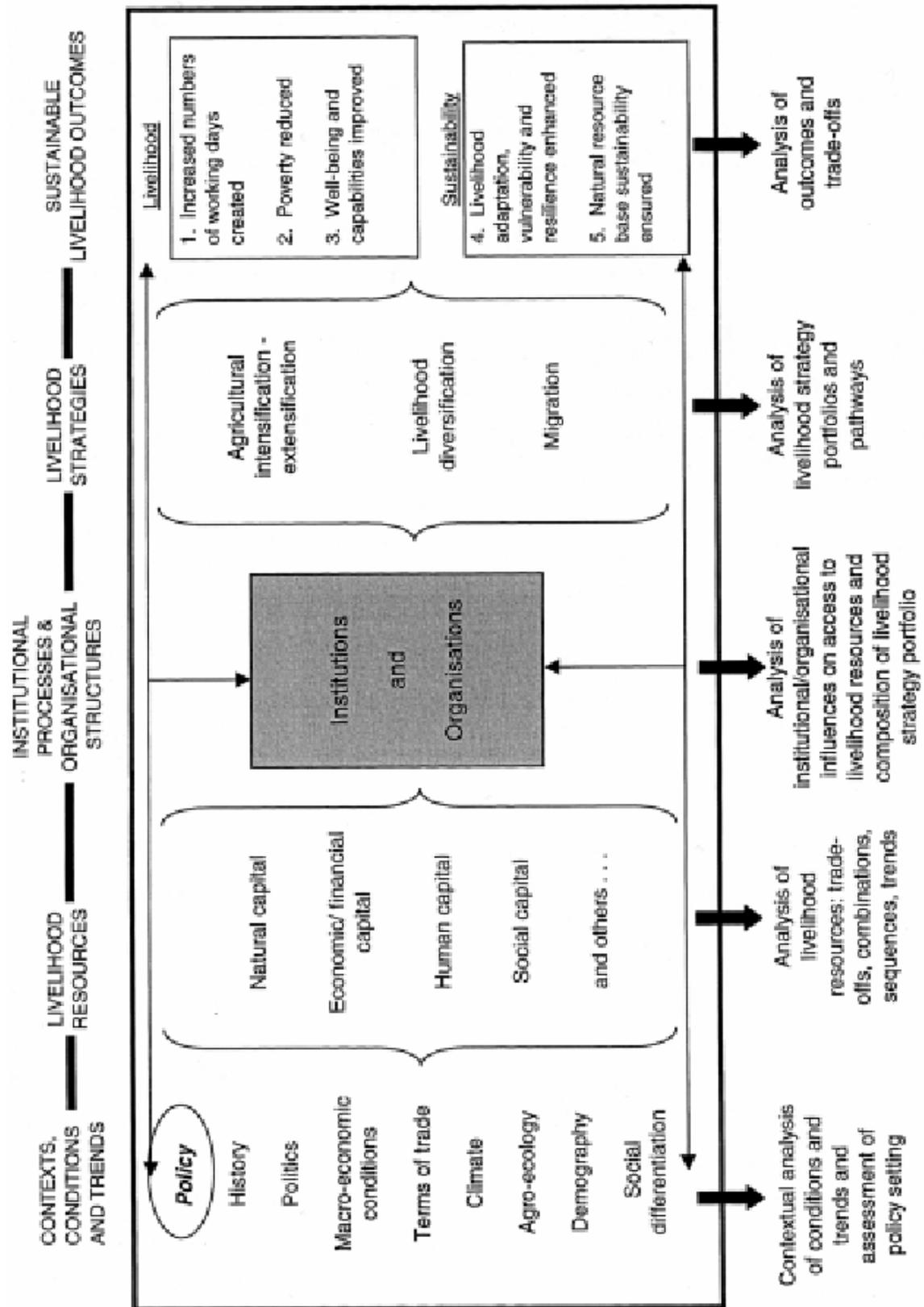
Moreover, in partnership with CANARI (=>), IDS has been working on the “People and Sea: Coastal Livelihoods in Laborie, St. Lucia” programme.

IDS also carries out DfID-supported research on the interaction between legal institutions and access to land in Ghana and Cote d’Ivoire.

Links with other organizations

IDS’s conceptual work influenced early SL thinking in DfID and in the UK in general. IDS is member of the DfID (=>) Sustainable Livelihoods Resource Group. Several IDS research programmes (including the SLSA) are funded by DfID. IDS has developed strong links with local partners *inter alia* in Ethiopia, Mali, Zimbabwe and Bangladesh. The SLSA programme is carried out in collaboration with other actors both in the UK (including ODI, =>) and in the covered countries (e.g., in South Africa, the Programme for Land and Agrarian Studies – PLAAS – of the University of Western Cape).

Figure 5. The SL framework developed by IDS. Source: Scoones (1998).



Sources

IDS web site; Brock (1999); Scoones (1998).

Contact details

Brighton BN1 9RE UK

Tel. +44(0)1273606261 Fax: +44(0)1273621202/691647

Website: <http://www.ids.ac.uk/ids/>

Ian Scoones (contact for research activities) (i.scoones@ids.ac.uk);

Carl Jackson (contact for information) (c.jackson@ids.ac.uk);

Kate Hawkins (contact for information) (k.hawkins@ids.ac.uk);

Other core team members: Jutta Blauert, Stephen Devereux, Martin Greely, Lyla Mehta, Jeremy Swift (who was involved in the FAO Pastoral Risk Management Strategy in Mongolia, see Part I), Kath Pasteur, James Keeley, Geoff Barnard.

2.9 IFAD (International Fund for Agricultural Development)

Nature of the organization

International financial institution mobilizing resources to alleviate rural poverty and improve nutrition.

Relationship with the SLA

Although IFAD has not formally adopted an SL framework, it makes use of SL concepts and tools. IFAD's Rural Poverty Report 2001 states that increasing access to assets is crucial for poverty reduction, including human assets (education and health), social assets (organizations), natural assets (land, water and forests), technological assets (processing and marketing methods), infrastructural assets (roads, communications, health and education facilities, housing) and financial assets (crop sales, off-farm revenue, credit). The Strategic Framework for IFAD 2002-2006 contains three strategic objectives, including "Improving Equitable Access to Productive Natural Resources and Technology". Without explicitly referring to SLA, these strategic objectives present commonalities with the SLA capital asset pentagon (Figure 6). A DfID-funded SL adviser was appointed for the period 2001-2003.

Figure 6. IFAD's strategic objectives. Source: IFAD website.



Examples of ANR activities

IFAD has supported a variety of projects containing innovative ANR components. In Nepal, IFAD runs the Hills Leasehold Forestry and Forage Development Project (1993 on), for which FAO implemented a technical assistance component (the project is described in greater detail in part I of this report).

In Bangladesh, the Oxbow Lakes Small-Scale Fisheries Project (1991-1998) had a major ANR component (alongside components on training, infrastructure, credit and extension). The entry point was the New Fisheries Management Policy adopted by the Government of Bangladesh in 1985, envisaging granting of fishing rights to fishers as individuals or groups. The project had specified criteria for beneficiaries (e.g., the

landless and those owning less than 2.5 acres of land, etc.). It promoted the acquisition of access and management rights over common property resources (lakes) by fishers through:

- € Lease agreements (50 years overall, 10 years at a time) between the Ministry of Land and the Ministry of Fisheries, handing over the management of specified lakes from the former to the latter;
- € The setting up of community-based Lake Management Groups (LMG), carrying out day-to-day fisheries management and holding user rights under the lease agreements; an annual lease fee is paid by the LMG to the Ministry of Land (through the Ministry of Fisheries);
- € The issuance of fishing licences by fisheries officers to each approved fisher.

Links with other organizations

Sources

IFAD website; DfID website (www.dfid.gov.uk); Brett (pers.comm); IFAD (1998).

Contact details

Via del Serafico, 107
00142 Roma Italy
Website: www.ifad.org

Vanda Altarelli, contact for SLA (v.altarelli@ifad.org);
Nigel Brett, contact for Oxbow Lakes and Leasehold Forestry projects (n.brett@ifad.org).

2.10 IIED (International Institute for Environment and Development)

Nature of the organization

UK-based independent research institute, with decentralised offices *inter alia* in Senegal.

Relationship with SLA

Without following a specific SL framework, IIED has long used livelihood analysis, concepts and tools and emphasised participatory approaches, particularly with regard to research on the interaction between NR and livelihoods. SL principles have been incorporated to different degrees in several IIED projects, in most cases using SLA as a checklist to identify issues and priorities.

The Biodiversity and Livelihoods Group (BLG) has carried out research *inter alia* on the livelihood impact of wildlife trade regulations and on the multiple forms of biodiversity's livelihood contribution; as for the latter, a book published in 2001 includes papers explicitly using SL analysis, and a paper developing a biodiversity-focused SL framework (Cromwell *et al.*, 2001).

The Sustainable Agriculture and Livelihoods Programme (SARL) has used SL concepts and tools in a variety of research activities, and has contributed to the SL debate through publications e.g. emphasizing social and *cultural* capital (Bebbington, 1999) and proposing a broadening of the SL framework from local/national to global level.

The Drylands Programme uses SL concepts, with particular regard to participatory approaches, holistic approaches (encompassing social, economic, environmental and institutional issues), and micro-meso-macro links (e.g., analyzing the impact of laws and policies on ANR at local level).

Examples of ANR activities

IIED works extensively on ANR-focused research; here are just some examples that may be particularly relevant for Sub-programme 3.1.

The Drylands Programme has carried out extensive research on access to natural resources (particularly land) in both Anglophone and Francophone West Africa, documenting the diverse institutional forms (both formal and informal/customary) through which people gain ANR. Drylands is involved in policy debates concerning land tenure issues in West Africa. It has also carried out research on pastoral land tenure issues in West and East Africa.

The SARL is working, among others, on the scaling up and institutionalization of participatory NR management approaches from the local to the national level, particularly by examining ways in which participation may be mainstreamed in government agencies and their policies, programmes and projects.

IIED is also part of a project "Improving Policy - Livelihood Relationships in South Asia", coordinated by the University of Leeds (School of Geography) and supported by DfID. The project uses the SL framework, and aims at developing and promoting policy options to support rural livelihoods through a range of research, development

and advocacy activities, focusing on participatory forestry, on water resources management, and on integrated coastal zone management policies.

Links with other organizations

IIED has worked with DfID (=>), and obtains funding from a variety of other donors. It has worked with a variety of UK-based institutions using SLA (e.g., IDS, ODI; =>). Moreover, IIED (particularly the Drylands Programme) was involved in the Franco-British Initiative, aimed at sharing approaches, experiences and lessons between Francophone and Anglophone West African countries, and has established strong links with Francophone organizations, both in France (e.g., GRET) and in West Africa. IIED is also supporting a network of African experts on land tenure and rights (LandNet Africa).

Sources

IIED website; Bebbington (1999); Huq (pers.comm); Pimbert (pers.comm); Roe (pers.comm); Thompson (pers.comm); Toulmin (pers.comm).

Contact details

(London Headquarters)

3 Endsleigh Street London WC1H 0DD UK

Tel.: +44(0)2073882117 Fax: +44 (0)2073882826

Website: www.iied.org.

Camilla Toulmin, Drylands Programme (camilla.toulmin@iied.org);

John Thompson, Sustainable Agriculture and Rural Livelihoods Programme, Director (john.thompson@iied.org);

Dylis Roe, Biodiversity and Livelihoods Group, Research Associate (dilys.roe@iied.org);

Sameemul Huq, Climate Change Programme, Director (contact also for the South Asia Project with the University of Leeds) (saleemul.huq@iied.org).

2.11 IISD (International Institute for Sustainable Development)

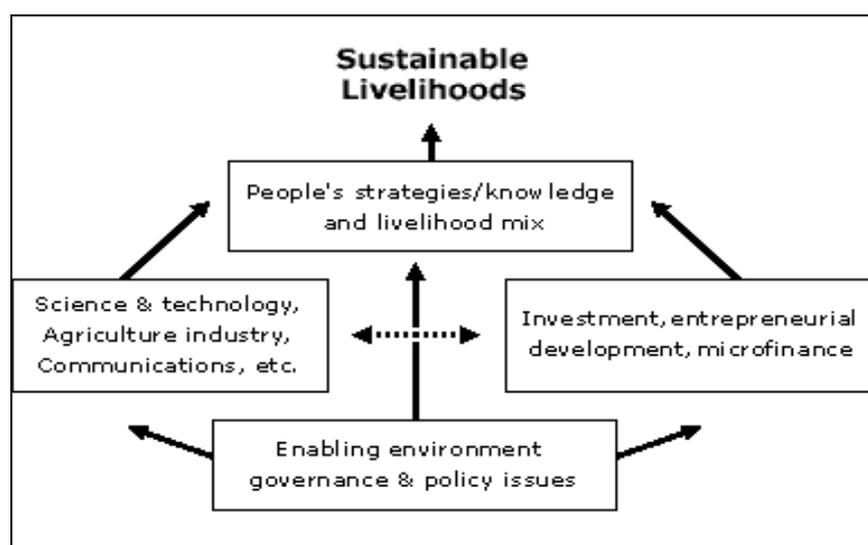
Nature of the organization

Canadian research institute promoting sustainable development and advancing policy recommendations in several areas, including NR management.

Relationship with SLA

IISD is a major promoter of SLA. Since 1991, IISD's Community Adaptation and Sustainable Livelihoods (CASL) programme has employed SL as a holistic means to understand complex livelihoods strategies in developing countries. While "livelihood" is defined along the lines of the Chambers and Conway (1992) definition, CASL has developed its own SL framework, which differs considerably from the framework used by DfID and by other UK-based institutions (Figure 7). Using SLA entails identifying assets, entitlements, activities and knowledge bases upon which beneficiaries based their livelihoods; carrying out a cross-sectoral, micro-macro linked analysis of policies and of their livelihood impact; assessing the contribution of key technology to livelihoods; and identifying opportunities and projects.

Figure 7. IISD's SL framework. Source: Agobia (1999).



The programme has also developed and is testing a method called "appreciative inquiry", which focuses on strengths and achievements (particularly identifying and building on existing adaptive strategies) rather than problems, and promotes participation at grassroots level. Moreover, IISD's CASL has published a guidebook for SL participatory research (Rennie and Singh, 1996). IISD has undertaken research work on "Adaptive strategies and sustainable livelihoods" in Burkina Faso, Ethiopia, Kenya and South Africa.

Examples of ANR activities

Although ANR is not explicitly included in IISD's SL framework, IISD carries out a great variety of NR-related activities. In Southern India (Andhra Pradesh and Karnataka), IISD has a two-year programme using "appreciative inquiry" to help rural

people plan and implement community NR management projects that contribute to sustainable development and to secure livelihoods (MYRADA Appreciative Inquiry Project). In Manitoba (Canada), IISD is working on a pilot project to determine how local communities value the forest during each season of the year (through a holistic valuation of forest's livelihoods contribution) and to integrate Aboriginal values into land use and resource planning (Integrating Aboriginal Values into Land Use and Resource Management Project).

The project Enhancing Sustainable Livelihoods in Drought-Prone Areas: Building on Adaptive Strategies (in two rural districts of Zimbabwe), now completed, explicitly adopted an SLA and included among its objectives to “apply the sustainable livelihoods approach to land and biodiversity conservation in arid and semi-arid lands”; project activities included the establishment of community gardens and boreholes, both to provide communities with nutritious vegetables and to demonstrate appropriate technologies, and the provision of indigenous and improved seed varieties.

Links with other organizations

The project in Southern India is funded by DfID (=>) and implemented in partnership with local NGOs, principally Bangalore-based MYRADA. The project in Zimbabwe was funded by the CIDA Community Drought Mitigation Program.

Sources

IISD website; Agobia (1999).

Contact details

(Head Office)

161, Portage Avenue East (6th Floor) Winnipeg

Manitoba Canada R3B 0Y4

Tel.: +1 204 9587700 Fax: +1 204 9587710

Website: <http://www.iisd.org>.

IISD also has offices in Ottawa, New York and Geneva.

Jo-Ellen Parry, India project and Canada project, Project Manager (j.parry@iisd.ca).

Other staff in the NR management sector includes: Arthur J. Hanson (Interim Director); Jennifer Castleden (Project Officer, Community Development); Kyle Fargey (Project Officer); and Jennifer Bryant (Project Assistant).

2.12 Khanya – Managing Rural Change CC

Nature of the organization

South African company owned by its employees and addressing issues related to rural poverty. Its mission is “to promote sustainable livelihoods for the rural poor, providing advice, facilitation, research, and training, in partnership with government, business, and civil society”. Khanya operates mainly in Africa (particularly the SADC region).

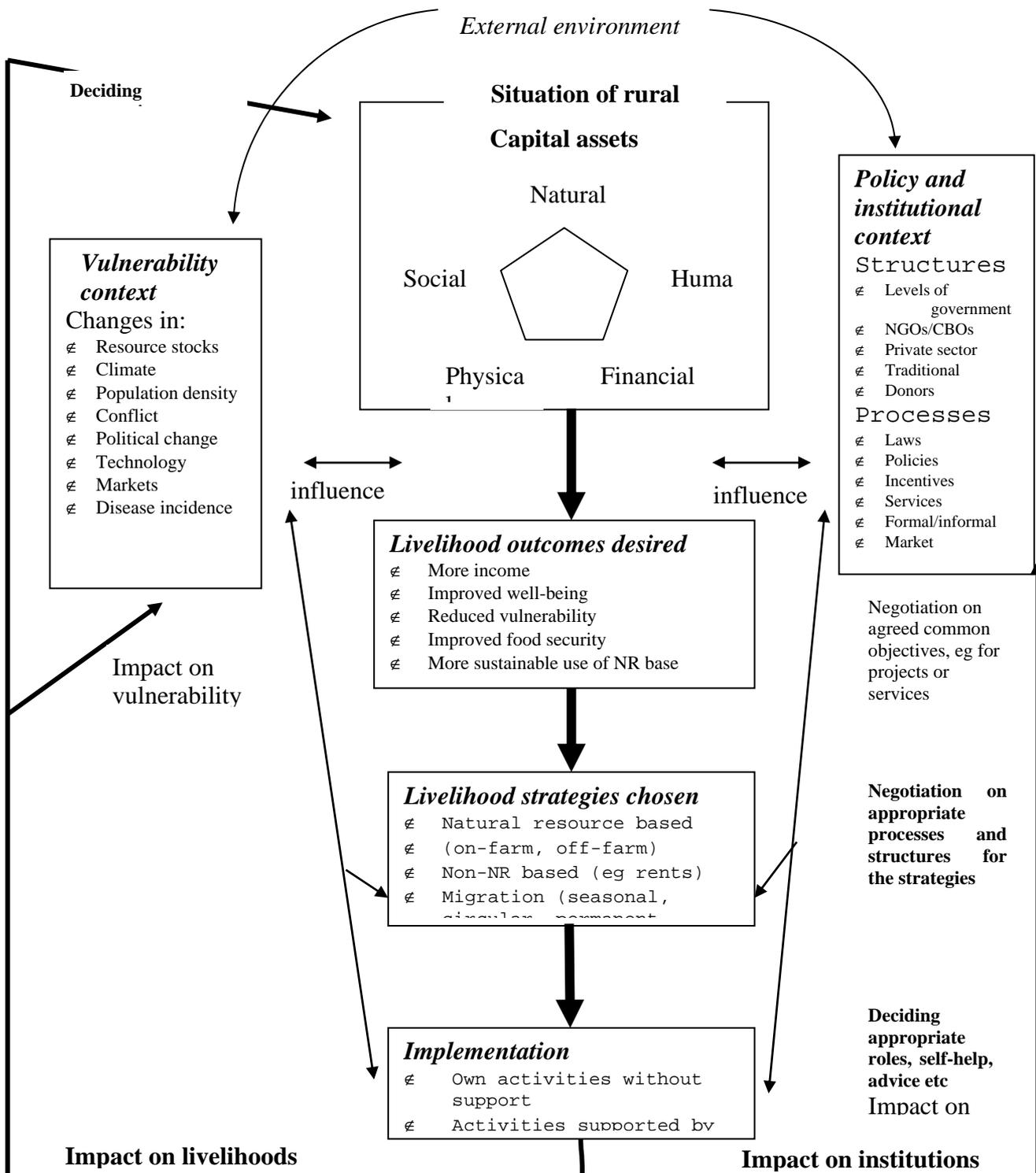
Relationship with SLA

SL is one of Khanya’s focus areas of work. Khanya has developed its own SL framework, which differs from DfID’s framework (Figure 8), and has explicitly used an SLA in a vast number of activities, including: analysis for institutional and service delivery reform (e.g., a project on institutional support for SL in the Eastern Cape; analysis for community-based service delivery in Uganda); SL project design (e.g., design of an SL project for UNDP in Limpopo Province, South Africa); design of a fund for DfID to support livelihoods project in Botswana (where SL is used to conceptualise what projects are to be supported); project review (e.g., of CARE’s TEAM project in Lesotho); SLA training (e.g., training of social foresters in Lesotho in PRA and SLA; training in SLA in Botswana for a resource management project); municipality-level development planning (design of the Integrated Development Plan for Mangaung Local Municipality); etc.

Khanya has explored links between micro (community) and meso (local government) levels, e.g. in a project on institutional support for SL in Southern Africa and in a project on community-based planning in South Africa, Uganda, Ghana and Zimbabwe (reviewing the status of community-based planning and developing improved community-based planning mechanisms).

Khanya is also part of a consortium working on the project “Goodbye to Projects? The Institutional Impact of a Livelihood Approach on Projects and Project Cycle Management”, started in 2001 and coordinated by the University of Bradford.

Figure 8. Khanya's SL framework. Source: Khanya (2000).



Examples of ANR activities

Khanya has explicitly used SLA in a variety of NR projects. Many of the projects mentioned in the previous paragraph had a NR component (e.g., the community-based planning project, the development plan for Mangaung municipality, etc.). Here are just some examples of Khanya's activities.

In Uganda, Khanya has developed a methodology for the Forestry Secretariat, aimed at undertaking livelihoods analysis in 10 districts. The analysis focused on the actual and potential livelihood contribution of forestry, and has led to the development of a range of services to support forestry extension, which are currently being piloted.

Khanya worked for the DfID-supported Sustainable Coastal Livelihoods Programme in South Africa and Sustainable Livelihoods Programme in Botswana (briefly described under DfID, =>).

Khanya has also worked on ANR projects involving SLA only implicitly (Addo Elephant National Park project – support for a community neighbouring the park to use livelihood opportunities from the park, using a participatory and holistic approach) and ANR projects not involving SLA (review of the Lefika land reform project, Free State, and of the S'bongile land reform project, Free State – evaluations of land reform projects in South Africa).

Links with other organizations

Khanya has worked in several projects supported by DfID (=>), and has worked with international organizations (UNDP, =>) and with several UK-based research institutes (ODI, =>) and NGOs (CARE, =>). It is member of the DfID Sustainable Livelihoods Resource Group. It has links with partners (including government agencies) in Africa.

Sources

Khanya web site; Livelihoods Connect website (www.livelihoods.com); Khanya (2000); Carnery (2002); Goldman (pers.comm).

Contact details

17, James Scott Street Brandwag Bloemfontein 9301 South Africa
Tel: +27 (0)51 430 0712 Fax: +27 (0)51 430 8322
Website: www.khanya-mrc.co.za

Within Khanya

Ian Goldman, first contact (goldman@khanya-mrc.co.za);
Joe Marumo, contact for projects using SL explicitly (UNDP project in Limpopo, South Africa) or implicitly (Addo Elephant National Park project) (moscow@khanya-mrc.co.za);

Outside Khanya

Neil Malan, contact for further details on the Sustainable Coastal Livelihoods Programme (DMALAN@sfri.wcape.gov.za);
Jo Abbott, CARE, contact for the TEAM project (JoAbbott@care.org.ls);
Tom Barrett, DfID, contact for further details on the Botswana SL project (at-barrett@dfid.gov.uk).

2.13 NRI (Natural Resources Institute)

Nature of the organization

Research institute of the University of Greenwich (UK). Research is primarily focused on NR issues in developing and emerging economies.

Relationship with SLA

The Centre for Sustainable Development of the NRI integrates SLA in a variety of poverty-focused research, consultancy and training contexts, including: studies using the SL framework to assess the policy and institutional environment and coping strategies; assessments of the livelihood impact of ethical trade and of globalization; integration of SL approaches into teaching and training; and studies using the SL framework to assess the livelihood impact of road construction.

Examples of ANR activities

The “People, Natural Resources and Livelihoods” programme adopts a livelihoods perspective to achieve a holistic understanding of the role of NR use within livelihood strategies (exploring also issues relating to human, social and financial capitals), and to identify ways in which NR-related development can contribute to poverty reduction. SL is mainstreamed within NR research projects and programmes (e.g., in Tanzania and Uganda). Work focuses on sharing of information and experience, on capacity-building and on promoting innovative approaches, policies and practices. NRI also contributed to the incorporation of the SL framework into the M&E system of the FAO/DfID Sustainable Fisheries Livelihoods Programme (see part I), including through a livelihood assessment procedure for artisanal fisherfolk.

Links with other organizations

NRI has worked in close cooperation with DfID (=>), and is a member of the DfID Sustainable Livelihoods Resource Group. Among DfID-funded projects, NRI has worked in the FAO SFLP.

Sources

NRI website; Livelihoods Connect website (www.livelihoods.org).

Contact details

Medway University Campus

Central Avenue Chatham Maritime Kent ME4 4TB UK

Tel. +44(0)1634 883055 Fax: +44(0)1634 883377

Website: www.nri.org.

Adrienne Martin, Head of the Livelihoods and Institutions Group
(a.m.martin@gre.ac.uk).

Ansen Ward, NRI consultant involved in the Sustainable Fisheries Livelihoods Programme (A.R.Ward@gre.ac.uk).

Other core team members: Martin Hebblethwaite, Liz Kiff, John Morton, Daniel Ticehurst, Jeremy Stickings.

2.14 ODI (Overseas Development Institute)

Nature of the organization

UK-based independent research institute focusing on international development and humanitarian issues.

Relationship with SLA

ODI has worked extensively on SL. Although the Rural Policy and Environment Group is the main branch explicitly using SLA, other departments are also relevant. The Rural Policy and Environment Group (RPEG) promotes positive changes in livelihoods through policy research and through its networks for information dissemination and exchange. Its areas of work include SL, particularly by carrying out research on livelihoods strategies to guide donors and NGOs, by monitoring and evaluating existing projects, by examining the livelihood impact of policies and institutions, by reflecting on lessons learned and by working on the development of SL concepts and methodologies (project impact assessment, SLA and rights-based approach, SLA and PRSPs, politics and SLA, etc.).

The Forest Policy and Environment Group (FPEG) also incorporates SL in its work.

Examples of ANR activities

ODI's SL work has a strong NR focus. ODI produced a DfID-funded series of Working Papers on sustainable livelihoods, with studies mainly concerning access to and management of natural resources. The series includes papers developing impact assessment methodologies for project M&E (e.g., Ashley and Hussein, 2000). Substantial work has also been carried out on assessing early experiences in SL projects, particularly with regard to ANR projects. For instance, Ashley (2000) examines four DfID-supported NR projects in Namibia and Kenya, and draws useful lessons on the integration of SLA in projects. Details for some of the covered projects are available under DfID (=>) (e.g., the WILD project in Namibia). ODI has also published papers on including the political dimension of ANR (Baumann, 2000; Baumann and Sinha, 2001).

A Working Paper (subsequently published in an IIED book, =>) developed a series of frameworks to analyse the link between agricultural biodiversity and sustainable livelihoods, identifying vulnerability context, structures and processes, various forms of biodiversity assets (plants, insects, soil biota, and animals), livelihood strategies based on those assets, and livelihood outcomes (Cromwell *et al.*, 2001).

The work of FPEG focuses on understanding the livelihood values of forests and on identifying opportunities for the rural poor to obtain greater benefits from the commercial use of forest products.

ODI disseminates SL lessons and experiences with ANR through publications (Natural Resource Perspectives, ODI Working Papers, Forestry Papers) and networks.

Links with other organizations

ODI has worked extensively with DfID (=>) and is member of the DfID Sustainable Livelihoods Resource Group.

Sources

ODI website; Livelihoods Connect website (www.livelihoods.org);

Contact details

111, Westminster Bridge Road London SE1 7JD UK
Tel.: +44(0)2079220300 Fax: +44(0)79220399
Web site: www.odi.org.uk.

Caroline Ashley, Research Fellow (c.ashley@odi.org.uk).
Other core team members: John Farrington, David Brown.

2.15 Oxfam

Nature of the organization

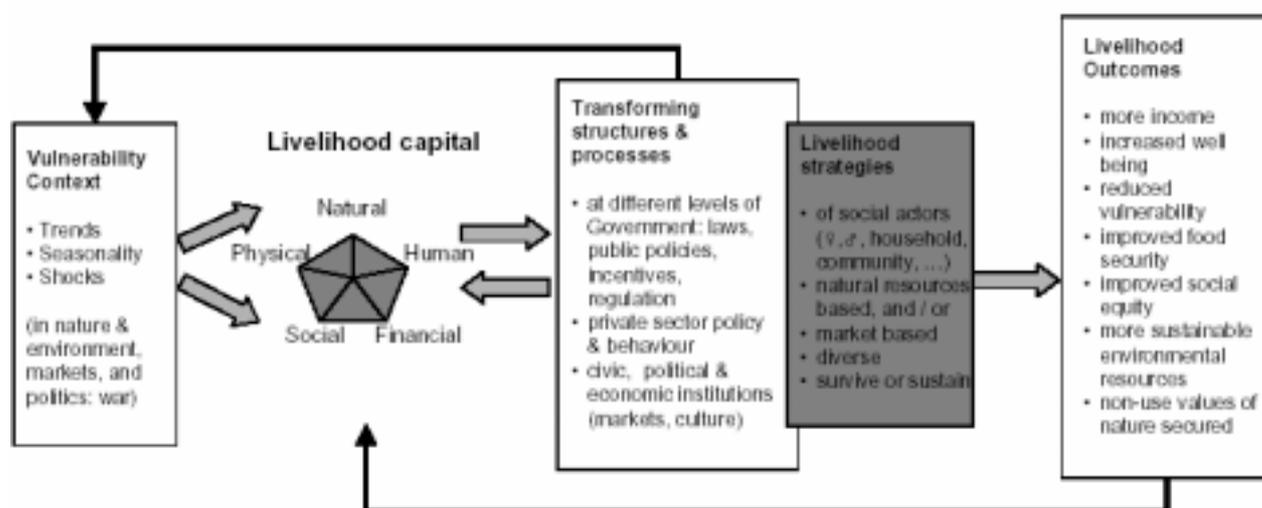
International non-governmental relief and development organization. This sheet focuses on Oxfam GB.

Relationship with SLA

Oxfam uses SLA as a tool to bring together issues concerning environmental sustainability, globalizing markets, gender, inequality and participation. It adopted an SL approach in the early 1990s, and since 1994 it has integrated it with the rights-based approach. Realizing the “right to a sustainable livelihood” is one of Oxfam’s five aims included in the Strategic Plan to 2005. Oxfam follows the definition of livelihoods developed by Chambers and Conway (1992), and has developed its own SL framework (Figure 9). Since Oxfam has influenced DfID’s early SL thinking, the SL approaches and frameworks of the two organizations present strong similarities.

Oxfam flexibly uses the SL framework as a point of departure, together with other approaches. SL concepts are used as a checklist in project appraisal, planning and review, focusing on five checklist elements: vulnerabilities/opportunities, assets, strategies, PIPs and outcomes.

Figure 9. Oxfam’s SL framework. Source: Carney et al. (1999).



Examples of ANR activities

Many of Oxfam’s SL activities have ANR components. In the Philippines, for instance, Oxfam has a longstanding community-based coastal NR management programme, which supports the establishment of community-based organizations to exercise ownership and management rights over fishing waters and coastal land, and supports livelihood diversification. In the Philippines, Oxfam is also supporting indigenous peoples to claim land tenure rights over ancestral lands.

In Cambodia, a programme aims at improving livelihoods through micro-credit and savings schemes, training, community-based NR management (including tree planting) and land-related advocacy.

In South Africa, the Sustainable Livelihoods Programme (Nkandla District, KwaZulu Natal) aims at identifying policy and practice changes which would enable poor people in Nkandla to have improved and more sustainable livelihoods, including by addressing land use issues.

Besides programmes making explicit use of SLA elements, Oxfam carries out a large variety of ANR activities, including an extensive campaign (and resource bank) on access to land in Africa.

Links with other organizations

Several projects of Oxfam GB, including the SL programme in South Africa, are supported by DfID (=>). As for land rights, Oxfam supports LandNet Africa, a network of African experts and researchers on land rights.

Sources

Oxfam website; Livelihoods Connect website (www.livelihoods.org); Carney *et al.* (1999); Carney (2002); Hill (pers.comm).

Contact details

274, Banbury Road
Oxford OX2 7DZ UK
Website: www.oxfam.org.uk.

Antonio Hill, Policy Advisor – Environment, Markets and Sustainable Livelihoods
(ahill@oxfam.org.uk; tel. +44 01865 312392);

Thalia Kidder, Policy Advisor – Gender and Sustainable Livelihoods
(tkidder@oxfam.org.uk; tel. +44 01865 312401).

2.16 UNDP (United Nations Development Programme)

Nature of the organization

Programme of the United Nations system.

Relationship with SLA

Within its broader sustainable human development mandate, UNDP uses SL as a holistic approach to poverty reduction, bringing together issues of poverty, governance and environment. UNDP's SL agenda stems from the Copenhagen World Summit on Social Development. Commitment 3 of the Copenhagen Declaration states that "governments accept responsibility for promoting full employment, as well as the attainment of sustainable livelihoods for all through productive employment and work". While under this Commitment SL is strictly linked to employment, subsequent work by UNDP has broadened its scope, building on the work of IDS (=>) and IISD (=>).

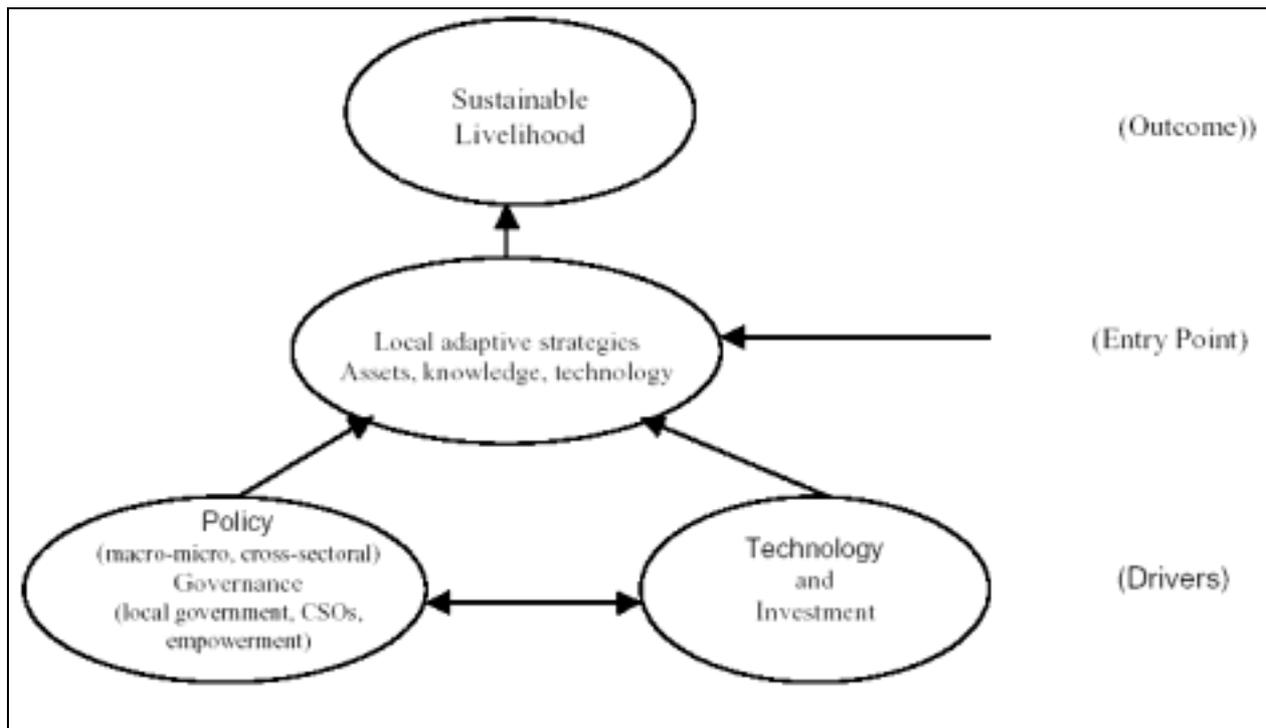
UNDP defines livelihoods as "the assets, activities and entitlements which people utilize in order to make a living". The capital assets slightly differ from the DfID framework, as they include "natural/biological" capital and "social and political" capital. Sustainable livelihoods are defined as "able to cope with and recover from shocks and stresses" (cf. the vulnerability context in DfID's framework), economic effective, ecologically sound, and socially equitable.

While UNDP does not have a specific SL framework, it has developed a five-stage process to apply SLA (Figure 10), articulated in: participatory assessment of risks, local adaptive strategies, assets and knowledge; analysis of policies affecting livelihoods; assessment of the potential contribution of technology to improve livelihoods; identification of social and economic investment mechanisms helping or hindering people's livelihoods; development of a monitoring and evaluation system, with accompanying indicators. The five components are not sequential, but are undertaken simultaneously and interactively. More than other organizations, UNDP places great emphasis on the importance of access to technology as a means of improving livelihoods.

UNDP makes use of SLA both in activities relating to policy formulation and in project design and implementation. In Kenya, the Country Cooperation Framework (CCF) focuses on poverty eradication and recognizes SLA as the major strategy; SLA programmes within the CCF include good governance, employment, NR management, women empowerment, etc.

UNDP has a Sustainable Livelihoods Unit, which is part of the Social Development and Poverty Elimination Division (SEPED).

Figure 10. UNDP's approach to promoting SL. Source: Carney et al. (1999).



Examples of ANR activities

UNDP has used SL concepts and tools within agriculture and natural resources activities. In this context, its entry point is existing adaptive/coping strategies, and its objective is to promote access to and sustainable use of natural assets.

The Sustainable Livelihoods Programme in Malawi was discussed at the Siena Forum (FAO/DfID, 2000 and 2000b). Building on the Country Cooperation Framework for 1998-2000, the programme used SL as an overarching framework to bring together three areas: household food security, sustainable NR management and enterprise development. FAO was given responsibility to review and analyze key policy, strategic and institutional activities to be considered in the food security component of the programme, as well as other responsibilities. The Environmental and Natural Resource Management component encompasses many diverse activities (e.g., restoration and maintenance of ecosystems and ecological processes, awareness promotion, promotion of NR-based income-generating activities, etc.), including the promotion of NR management committees and of co-management arrangements. To operationalize participation within the programme, a Participatory Assessment and Planning for Sustainable Livelihoods (PAPSL) was developed, building on pre-existing participatory tools and approaches (PRA, etc.).

Links with other organizations

UNDP has worked on SLA with FAO in the Malawi SL Programme. It has also worked with other organizations making use of SLA, including Khanya (=>), which evaluated UNDP's Global Sustainable Livelihoods Programme in Malawi, Egypt and South Africa (2000).

Sources

UNDP website; Carney *et al.* (1999); Pauli and Bjerregaard (1999).

Contact details

Website: www.undp.org/sl

Naresh Singh (naresh.singh@undp.org);

Samir Wanmali (samir.wanmali@undp.org).

2.17 WFP (World Food Programme)

Nature of the organization

Programme of the UN system.

Relationship with SLA

WFP is very interested in SLA. Some WFP staff attended the Siena interagency SL Forum in 2000. Several key SLA principles are already included in the activities of the organizations (see e.g. below on NR activities).

Examples of ANR activities

WFP Policy Issue “Enabling Development” (1999) includes, within the focus of WFP programming, “make it possible for poor families to gain and preserve assets” (priority No. 3) and “enable households which depend on degraded natural resources for their food security to make a shift to more sustainable livelihoods” (priority No. 5). The implications of the latter objective are clarified in a WFP DfID-funded publication (2002), which addresses NR issues through an SL lens and develops an analytical framework.

A particularly interesting project is the Participatory Rural Land Rehabilitation project in Ethiopia, which was discussed at the Siena Forum (FAO/DfID, 2000 and 2000b). The project falls within priority No. 5, and builds on a longstanding WFP activity in Ethiopia (started in 1980). The long-term objective of the activity is to improve food security through the conservation and development of agricultural lands affected by severe land degradation. Rather than expanding the NR base of the beneficiaries, the activity mainly improves the quality of NR to which local communities have access and on which their livelihoods depend.

Over twenty years, the activity has evolved from a traditional soil and water conservation (technical) approach to a participatory and integrated/holistic approach (including greater attention to socio-economic problems). The Local Level Participatory Planning Approach developed by the programme supports local communities to define needs, rank them and draft action plans to address them. Food aid is used as compensation for labour provided and as incentive for the adoption of new techniques and practices. In beneficiary selection, priority is given to the poorest and most vulnerable, particularly those having insufficient land.

Links with other organizations

Sources

WFP website; FAO/DfID (2000 and 2000b); WFP (1998); WFP (1999); WFP (2002).

Contact details

Marloes Van der Sande, for the WFP/DfID publication
(Marloes.VanderSande@wfp.org).

2.18 World Bank

Nature of the organization

International financial institution.

Relationship with SLA

Although the World Bank has not formally adopted an SL framework, SL concepts and tools have been employed in some of its activities, especially in the area of ANR (see below). Proposals to incorporate SL in Poverty Reduction Strategy Papers (which eligible countries have to prepare to access World Bank concessional loans) have been put forward, although recent research on the extent to which this has actually been done in sub-Saharan Africa found little evidence of SL analysis (Thin *et al.*, 2001).

Examples of ANR activities

ANR is one of the key areas where SL concepts have been used. For instance, within the process of reviewing the Bank's forest policy, a paper explored forestry-related issues from a SL perspective and identified implications for the forest policy of the Bank (Stepherd *et al.*, 1999). The Bank's revised approach to forest issues is to be finalized soon. While not specifically adopting an SLA, the current draft (World Bank, 2002) goes beyond sustainable forest management to include livelihood aspects of forests (e.g., "harnessing the potential of forests to reduce poverty"), and to adopt a multi-sectoral approach.

The Sustainable Livelihoods Programme in Mongolia, approved in June 2002 and to be implemented over 12 years, has made explicit use of SLA since its conceptualization. Improving livelihood strategies based on the five capital assets is the very objective of the programme, while the potential of the programme to yield lessons on how to translate the SL concept into concrete programme activities is explicitly mentioned in the rationale for the involvement of the World Bank. FAO has been involved in the programme in a variety of ways. More details on the programme are available in part I of this report.

Links with other organizations

The World Bank has extensive contacts with member governments, with other international organizations, and with NGOs. Cooperation with FAO on SLA/ANR was developed through the Mongolian programme.

Sources

World Bank website; Thin *et al.* (2001); World Bank (2002a, b and c); Carloni (pers.comm).

Contact details

1818 H Street, NW Washington D.C. 20433
Tel. 202 458 4010 Fax 202 4772733
Robin Mearns, Team Leader, Rmearns@worldbank.org.

2.19 Other relevant organizations

This section lists some organizations which may be relevant for the activities of Sub-programme 3.1 but for which it was not possible to gather sufficient information allowing to draw up a separate sheet. This section includes organizations from non-Anglophone countries. Indeed, while SL frameworks and concepts have mainly been developed and used by organizations based in the UK (and, in some cases, in other Anglophone countries), SLA build on and systematize pre-existing tools and concepts that are used in both Anglophone and non-Anglophone countries. The relevance of the organizations may be explored within future activities of Sub-programme 3.1, and many more relevant organizations may be identified.

BIDS (Bangladesh Institute of Development Studies)

Research institute based in Bangladesh, carrying out development research, with a focus on Bangladesh. The institute was the local partner of IDS (=>) for the Bangladesh component of the Sustainable Livelihoods Research programme. In Bangladesh, emphasis within the programme was given to understanding the institutional processes related to migration and access to common property resources. The Institute has also produced papers e.g. on the complementarity between SLA and the right-based approach.

E-17, Agargaon, Sher-E-Bangla Nagar, Dhaka 1207, Bangladesh

Website: <http://www.bids-bd.org/>

Kazi Ali Toufique, project director for the Bangladesh SL research programme (E-mail: lintu@sdnbd.org; Tel.: 880-2-8123654).

BSF (Belgian Survival Fund)

The Belgian Survival Fund (established by the Parliament of Belgium) aims to improve household food security in countries experiencing chronic food deficits. The policy directives for the BSF are contained in the 1999 BSF Act. The BSF is organised around five programmes, including a Joint Programme with IFAD and a Partnership Programme with FAO.

Since the 1990s, the BSF has followed a comprehensive, integrated, participatory and multi-sectoral approach, and has worked to develop a Comprehensive Participatory Planning and Evaluation. The strategic approach of the BSF-FAO Partnership Programme emphasizes participation, empowerment, community-centred action planning, project design based on a comprehensive livelihood analysis, etc., presenting interesting commonalities with SLA.

CEPAL (UN Economic Commission for Latin American and the Caribbean)

Institution of the UN System. The website of the organization reveals that SLA/ANR work is being done. For instance, the 1998 Implementation Strategy for Poverty Eradication in Belize (elaborated in collaboration with the Caribbean Development

Bank) envisages activities on SL for small farmers, ranging from extension to micro-credit and to ANR. As for the latter component, activities envisaged include the development of a national land reform policy and community participation in NR management.

Av. Dag Hammarskjöld s/n Vitacura, Santiago de Chile, Chile
Tel.: +56-2 471-2000 - 210-2000 – 2085051
Website: www.eclac.cl

CICAFOC (Coordinadora Indígena Campesina de Agroforestería Comunitaria)

Network of organizations of indigenous peoples and of farmers in Central America. It has no explicit link with SLA. Its strategic objectives include: promoting the voice of rural organizations within policy and institutional processes; promoting local initiatives for NR access, use and management; promoting access to training and credit; and promoting environmental sustainability. CICAFOC has carried out work on community forestry.

Barrio Gonzalez Lahmann San José, Costa Rica
Tel.: (506)221-10-21 / (506)221-04-02 Website:
<http://www.acicafoc.org/02/02.html>
Alberto Chinchilla Cascante (oficinaregional@acicafoc.org).

CLADES (Consortio Latinoamericano sobre Ecología y Desarrollo)

Consortium of NGOs based in several Latin American countries. The Human and Sustainable Rural Development Strategy of the organization contains interesting elements, including: addressing improvements in diverse capital assets (natural, social, human and produced); and making institutions and policies responsive to the needs and demands of the poor. In any case, being a consortium of NGOs, Clades may constitute a valuable entry point for the purposes of involving Latin American organizations.

Europa 2008 Providencia Santiago de Chile Chile
Executive secretary: Andrés Yurjevic, E-mail: clades@terra.cl
Website : www.clades.org

ENDA (Environnement et Développement du Tiers Monde)

Non-profit organization based in Senegal. Together with the Development Alternatives Group in India (=>), it runs a joint module on SL (“*Modes de vie durables*”). SL in the Senegalese context (in both rural and urban areas) is defined as encompassing a broad range of issues, ranging from environment degradation and desertification to employment and to the establishment of partnerships. From the information available on the website, and due to lack of reply to the e-mail sent, it was not possible to include additional information on the SLA followed and on ANR projects.

73, rue Carnot, BP 3370, Dakar, Senegal
Tel.: +221 8 217037 Fax: +221 8 235157
E-mail: syspro2@enda.sn Website : www.enda.sn

GRET (Groupe de Recherche et d'Échanges Technologiques)

French NGO with a strong focus on policy- and project- oriented research. Its component Environnement et Développement Rural includes activities on access to and management of natural resources in Latin America, Africa and Asia. The Scientific Director of GRET (Philippe Lavigne Delville) is a major expert on ANR in West Africa. GRET has worked with UK-based organizations (IIED, =>) on programmes on ANR in West Africa, which included among their very objectives bridging divides between Anglophone and Francophone countries. Further research is needed to assess commonalities between GRET's approaches and SLA.

211-213, Rue La Fayette 75010 Paris
Tel.: +33 (0)1 40056161 Fax: +33 (0)140056110
E-Mail: gret@gret.org Website: <http://www.gret.org>

Institute of Development Management (Mzumbe University, Tanzania)

Academic institution based in Tanzania, working on teaching, training, researching and consultancy. The Institute trains development practitioners in a variety of development-related fields, including NR management. The Institute is involved in the DfID-funded (=>) project "Goodbye to projects?", which analyzes the impact of SLA on project cycle management. It has carried out research to evaluate development interventions using SLA. It is also planning to incorporate SLA in undergraduate and graduate teaching.

PO Box 397, Morogoro, Tanzania
Tel.: +255 (0)23 4382
Faustin Kamuzora, national coordinator for "Goodbye to projects?"
(frkamuzora@yahoo.co.uk).

IRAM (Institut de Recherches et d'Applications des Méthodes de Développement)

Action-research institute that has worked on *gestion des terroirs*, broadening it so as to encompass broader non-NR local development issues. Further research is needed to assess commonalities between IRAM's approaches and SLA.

49, rue de la Glacière - 75013 PARIS
Tél : (33 1) 44 08 67 67 Fax. : (33 1) 43 31 66 31
Website : www.globnet.org/iram
Marie-Jo Demante, NR management and local development (mj.demante@iram-fr.org).

IUCN (World Conservation Union)

Within its Commission on Environmental, Economic and Social Policy (CEESP), IUCN has established a Working Group on Sustainable Livelihoods (WGSL). The Group promotes community-based, equitable and sustainable management of natural resources. Among others, the Group examines from an SL perspective issues concerning land tenure and common property resources (particularly with regard to the transformation of common property resources into state or private property or into open-access resources).

Website: www.iucn.org/themes/ceesp/wkg_grp/SL/SL.htm
Mariam Vafa, Coordinator of the WGSL (vafa@cenesta.org).

MAELA (Movimiento Agroecológico de América Latina)

Network of 87 Latin American NGOs. Its areas of activity include NR management. It has worked with FAO (RLC) in a number of occasions. It may constitute a useful contact to involve Latin American organizations.

Jackson 900, Edif. Turquesa 2, depto. 41 Viña del Mar, Chile
Tel.: 56-32-673064 Website (under construction): www.maela.org
Coordinator: Mario Ahumada (maa@ctcreuna.cl).

NLC (National Land Committee, South Africa)

South African NGOs comprising a national office and eight affiliated organizations, working on access to land in South Africa through lobbying and advocacy and through support to local communities. In 1998, the NLC organized training sessions for fieldworkers of its affiliates. The course was organized by PLAAS (Programme for Land and Agrarian Studies, University of the Western Cape) and by Developmental Service (South African independent consultancy specialized in training, including in SL training), and involved training on SL and land use, covering SL framework, concepts and tools. It was not possible to ascertain whether this resulted in shifts in the approach followed by the Committee in its activities.

Ground Fl Everite House, 20 de Korte Street, Braamfontein, Johannesburg, South Africa
Tel: 011-403-3803 Fax: 011-339-6315
Website: www.nlc.co.za
Zakes Hlatshwayo, Director (zakes@nlc.co.za).
On the training programme, see
http://www.devserve.co.za/sustainable_livelihoods.htm.

ODG (Overseas Development Group, University of East Anglia)

Research institute, part of the University of East Anglia. It has carried out work on SL, particularly with regard to livelihood diversification. ODG has worked with DfID (=>), and is member of the DfID Sustainable Livelihoods Resource Group.

Norwich NR4 7TJ UK
Tel.: +44 (0)1603 457880 Fax: +44 (0)1603 505262
Website: www.uea.ac.uk/dev/ODG/
Frank Ellis (f.ellis@uea.ac.uk).

Samata (Samata Samaj Kalyan Samity)

NGO helping the landless to gain access to government land (“*khas*”) through leases. This activity meets strong resistance on the part of local elites illegally occupying government land, and involves campaigns and mobilization, advocacy at national and local level, training, support in filing applications for land assignments, support in participation in local decision-making institutions, etc. Donors supporting Samata’s efforts include DfID (=>). Due to time constraints, it was not possible to ascertain whether and to what extent this entails the use of SL concepts and tools.

Vill: Bishnupur, PO: Dulai, Pabna, Bangladesh
Tel.: 017521135

Via Campesina

International movement coordinating peasant organizations from Africa, America, Asia and Europe. While it seems to have no links with SLA, it carries out ANR activities (particularly proposals and lobbying for land reform policies). Since it brings together a large number of organizations working on access to land, it may constitute a useful entry point for involving non-Anglophone organizations, especially from Latin America.

Tegucigalpa, MDC - Honduras, C.A. Apdo. Postal 3628
Tel.: + 504-239 4679 Fax: + 504-235 9915
E-mail: viacam@gbm.hn Website: <http://ns.rds.org.hn/via/>
International Operative Secretary: Rafael Alegria.

Local partners in SLA/ANR programmes: governments and NGOs

As organizations based in donor countries usually work with local partners, relevant governmental and non-governmental organizations from developing countries may be reached through the organizations listed in part II of the report.

Within SL programmes, some governments have explicitly used SL concepts and tools. For instance, the government of Mongolia has adopted a holistic approach to understanding poverty; in 2001, the Minister-level National Poverty Alleviation

Committee was renamed National Committee on Household Livelihood Capacity Support (see the World Bank Sustainable Livelihoods Programme, =>). In India, the central government and some state-level governments (e.g., Andhra Pradesh) have sought innovative solutions to watershed development to address the needs of marginalized groups, and are implementing “watershed-plus” projects in partnership with DfID (=>).

3. SUMMARY OF MAIN FINDINGS

FAO has considerable expertise on ANR to build on, with regard to different NR (from land to water, from fisheries to water, etc.) and to different geographical environments. Several fundamental SLA principles are already implicitly used in FAO's ANR activities. Moreover, numerous organizations have employed, explicitly or implicitly, SL analysis, concepts and tools in projects involving ANR, and partnerships with them may be explored. While organizations explicitly using SLA are mainly concentrated in the UK (with important exceptions, mainly for international organizations and for organizations based in other Anglo-phone countries), several organizations in French and Spanish speaking countries use approaches that present important commonalities with SLA.

This chapter seeks to identify strengths that Sub-programme 3.1 can build on and gaps that need to be filled. It also makes recommendations for the development of strategic partnerships within FAO and between FAO and external stakeholders. In so doing, it makes reference to the findings of Output 1.1 of Sub-programme 3.1 (Baumann, 2002). In many cases, the recommendations made in this chapter build on the discussion of the Siena Forum (FAO/DfID, 2000 and 2000b).

3.1 Integrating SLA in FAO's ANR activities

This report shows that SL is not a single approach but a bundle of approaches presenting strong similarities but also differences (in emphasis, in the framework, etc.), depending among others on the nature of the organization concerned. Therefore, in incorporating SLA in ANR activities, some reflection is needed on what aspects SLA (if any) are to be given particular emphasis.

Integration of SLA does not necessarily mean that a specific SL framework needs to be adopted, as many of the organizations included in this report have not developed any; nor that a special category of (SLA-labelled) projects needs to be created. Many other institutions flexibly use SL analysis, concepts and tools in policy-related activities and in various stages of the project cycle. FAO may therefore flexibly integrate the six core principles of SLA (people-centred, responsive and participatory, multi-level, conducted in partnership, sustainable and dynamic) into its activities, and if appropriate combine them with other approaches already used within the organizations (as the principles of the Code of Conduct of Responsible Fisheries in the SFLP).

In so doing, FAO may build on substantial work that has already been done by its departments, divisions and services, with or without specific reference to SLA. This work includes participatory forestry and institutionalizing participatory approaches in forest government agencies; holistic approaches within the context of agrarian reform programmes (e.g., the farming system development approach); inter-sectoral integration of ANR into projects not focusing on NR; vulnerability analysis (cf. FIVIMs); explicit use of SLA into ANR projects (e.g., the Sustainable Fisheries Livelihoods Programme); etc.

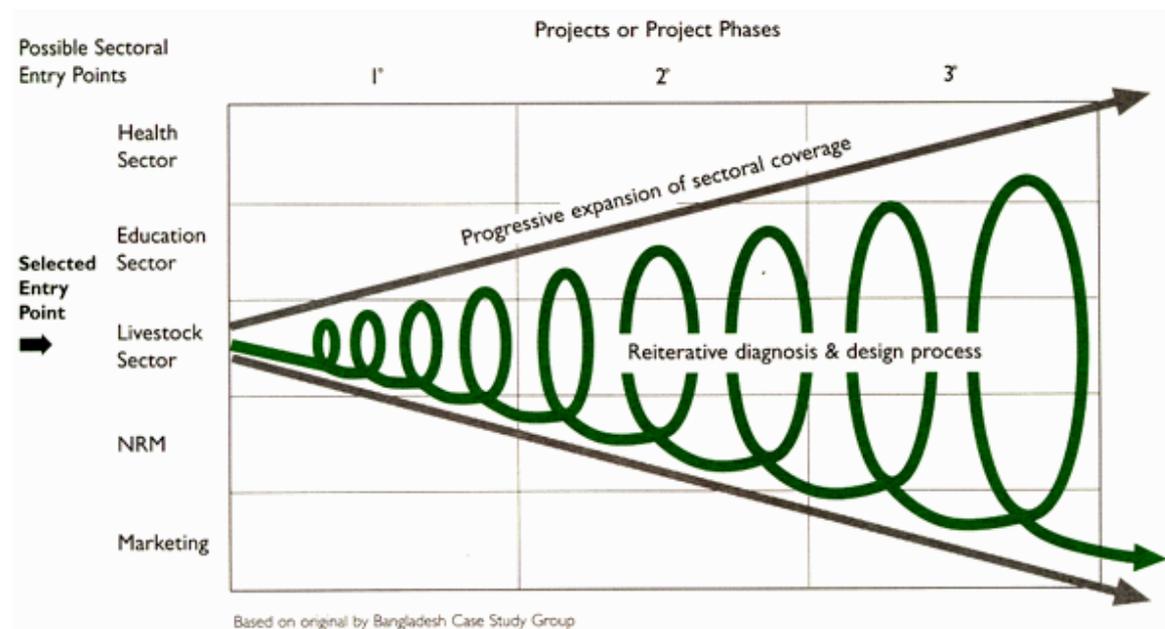
3.2 SLA and ANR entry points

The tension between the holistic SL approach and ANR activities was highlighted among the conceptual difficulties met during this work. In the light of the literature reviewed (e.g., Ashley and Carney, 1999) and of the SL projects analyzed in this report (most of which have sectoral entry points), it is possible to say that while requiring a holistic approach, SLA are compatible with “sectoral anchors”. These are often made necessary by practical factors (limited resources, organizational specialization, etc.).

SLA does not entail that a single project is to address all livelihood issues at all levels. However, within SLA, entry points acquire a new meaning:

- ∄ Entry points are carefully chosen in the light of a holistic livelihood analysis enabling to identify the priority areas where to focus interventions.
- ∄ Where ANR is identified as a priority area, the holistic analysis enables to identify all factors affecting ANR and livelihoods at all levels, and to understand how ANR is to be accompanied by access to credit and training, by infrastructure, institutional support, etc.
- ∄ Holistic SL analysis may also entail different ways of working on ANR (e.g., ANR activities may be structured differently in communities with NR-based livelihoods and in communities with greater income diversification; NR management decisions may be based on the real livelihood contribution of NR rather than on – usually underestimated – monetarized values).
- ∄ SLA also entail a more holistic approach *within* ANR, by considering different but interrelated NR and by considering competing uses of the same NR.
- ∄ ANR may constitute a component of projects that have a non-NR entry point (e.g., nutrition, etc.) but that involve NR issues, and/or of projects that while having a NR management entry point do not necessarily target the poorest of the poor.
- ∄ Interventions of sectorally anchored projects may be broadened to address issues that may emerge through the iterative diagnosis and reorientation process characterizing SLA (Figure 11; FAO/DfID, 2000).

Figure 11. Sectoral entry points and SL projects. Source: FAO/DfID (2000).



3.3 SLA and ANR project design, implementation and M&E

Reflection is needed on how to integrate SLA into ANR field programmes. Indeed, using SLA poses important challenges for several aspects of the project cycle, requiring:

- ∄ A participatory and holistic diagnosis of vulnerability context, capital assets, PIPs, livelihood strategies and livelihood outcomes, going well beyond the NR sector;
- ∄ ANR projects developed on the basis of this diagnosis (rather than of standardized approaches), and possibly including non-NR components (conversely, non-ANR projects may include an ANR component);
- ∄ Flexible projects enabling to respond to demands from beneficiaries and to refocus interventions on the basis of changes in livelihood strategies;
- ∄ Cross-sectoral choice of local partners, possibly involving not only the ministries/government agencies most directly concerned (e.g., the Ministry of Land), but also other relevant government agencies (e.g., environment, decentralization, etc.), thereby promoting inter-departmental cooperation within the government.
- ∄ New methodologies to assess the impact of ANR projects (within M&E), moving towards more holistic indicators enabling to assess broader livelihood outcomes; towards more participatory approaches; and towards a dynamic “learning” process enabling, if necessary, project reorientation.
- ∄ Appropriate exit strategies, e.g. to scale up project interventions by promoting the integration of their approach in national institutions and policies (cf. the micro-macro linkage aspect of SLA).

These elements (as they relate to ANR projects) are gaps to be addressed by Sub-programme 3.1, building on the substantial work already done on this both within FAO (e.g., integration of SL into M&E in the Sustainable Fisheries Livelihoods Programme) and by external stakeholders (e.g., CARE, DfID, ODI, etc.).

For instance, an issue to be addressed is how to incorporate in practice participation in project design as well as in M&E (how to ensure that the poorest of the poor are effectively involved in participatory processes? How to reconcile conflicting needs and priorities emerging from participatory processes? Etc.). The experience of the organizations identified by this report shows that well-established participatory methods (PRA, etc.) are used within an SLA context, either as such or after adaptation to the SL context (e.g., PAPSL by UNDP). This issue deserves further reflection within the activities of Sub-programme 3.1.

Other challenges include for instance identifying appropriate indicators for livelihood impact assessments, and reconciling the need for greater project flexibility with accounting and reporting requirements by donors. More generally, a holistic and participatory approach may entail that the project cycle becomes more costly and time-consuming.

3.4 ANR and the assetless

This report has found that while there are a large number of (SLAish) projects focusing on, or having components on, ANR or NR management (which also entails issues of access), much fewer projects have a ANR component explicitly targeting the assetless (landless, etc.). It was noted at the Siena Forum that SLA projects may not reach the poorest and most vulnerable groups, and that NR management programmes may leave out those without ANR (FAO/DfID, 2000).

Important examples of targeted ANR projects nonetheless exist, and lessons learned from them should be taken into account. Among the interesting ANR strategies that were identified in this report are:

- € the use of lease arrangements to enable ANR for the poor (e.g., IFAD/FAO leasehold forestry project in Nepal);
- € the allocation of use and management rights to fisheries communities (e.g., the IFAD Oxbow Lakes project in Bangladesh);
- € the granting of land titles to communities (e.g., FAO's involvement in the Mozambican land law reform programme);
- € the development and consolidation of community fisheries and community forestry (e.g., FAO project in Cambodia);
- € the promotion of participatory NR co-management and the involvement of local communities in monitoring compliance with reserved zones established for them by legislation (e.g., the FAO/DfID SFLP);
- € the strengthening of communities benefiting from land reform programmes, so as to enable them to address needs complementary to ANR (e.g., the SARC/TSARRD project in the Philippines).

ANR for the rural poor is the very core of Sub-Programme 3.1's mandate. Further work on this is needed, particularly analyzing the ability of different ANR strategies to include the assetless and the poorest of the poor. Consistently with the Work Plan of the Sub-programme, the projects identified in this report may be explored more in depth within Output 3 (the analysis of SLA/ANR typologies and strategies).

In the longer term, possible activities within Sub-programme 3.1 may include using particularly relevant field programmes as "laboratories" to analyze their effectiveness in supporting ANR for the poorest of the poor and ways to improve them (where an ANR component is present); to analyze ways in which an ANR component may be (or might have been) included, so as to improve livelihood impacts (in programmes where no specific ANR component is present); to assess whether the adoption of SLA improves (or would improve) the capacity of the programme to positively affect the livelihoods of poorest groups (through their greater ANR); etc. This activity may entail field studies by sub-programme members and the writing of assessments using the SL framework. Clear understandings with personnel working on the studied programmes and appropriate institutional arrangements need to be devised to ensure the maximum frankness in the assessment reports.

3.5 ANR in specific contexts

A gap that emerged, and that deserves attention by Sub-programme 3.1, is addressing the issue of ANR in specific contexts, e.g.:

- € In natural or man-made disasters. This requires addressing ANR in the context of conflict, displacement and/or resettlement, etc.
- € In urban contexts, in the light e.g. of the importance of garden farming for household food security in many urban areas.

For both cases, this report has identified work on which it is possible to draw (e.g., with regard to ANR in emergencies, cf. FAO's work in Sudan).

3.6 Development of SLA in relation to ANR: Socio-economic differentiation

An issue that was raised in Siena was to revise/integrate the SL framework so as to enable greater understanding of intra-community differentiation. This is linked to the issue of targeting the assetless in ANR activities. Indeed, it is well-known that, within communities, ANR is strongly differentiated along gender, age, status, class, caste, etc lines. This area deserves closer attention. This report identified FAO resources that Sub-Programme 3.1 may draw on (e.g., SEAGA).

3.7 Development of SLA in relation to ANR: Rights-based approach

Baumann (2002) explored the relationships between SLA and rights-based approaches (RBA) at a conceptual level. This report has identified actors already combining the two approaches (e.g., CARE, Oxfam). Livelihood strategies depend among others on bundles of rights, and several such rights directly relate to ANR (e.g., the right to own land and other property; land rights of indigenous peoples; etc.). The potential of RBA to contribute in practice to ANR for the rural poor may be further analyzed. In this context, exchanges with organizations already combining the

two approaches may be considered. Moreover, the experience of organizations helping the poor to implement their NR rights (e.g., Samata in Bangladesh) may be considered.

3.8 Partnerships within FAO

The main thrust of SLA is working in a holistic, interdisciplinary, and hence interdepartmental way. This entails strengthening cooperation between different departments, divisions and services e.g. by building on contacts already in place and by developing informal cross-departmental networks. This is fully in line with the directives embodied in the Strategic Framework and in the Medium Term Plan.

As for Sub-programme 3.1, the departments, divisions and services which should be approached, and the specific issues on which they should be approached, are identified in detail in part I of this report. Cooperation with them may involve first and foremost sharing of information, especially on uses of SLA, so as to enable lesson learning. It may involve also sharing of information on ongoing or pipeline projects where inter-sectoral needs arise. For projects having ANR as an entry point, the holistic approach may entail the inclusion of non-NR components. Conversely, non-NR projects may identify ANR problems and address them.

The LSP itself constitutes a very important tool to strengthen cross-departmental links, as it brings together SLA-minded staff from all departments. Cooperation with other sub-programmes should be deepened, so as to focus on ANR without losing the holistic picture and the linkages between the various sub-programmes. For instance, cooperation with sub-programme 3.4 (NR conflict management) may be particularly fruitful, as there may be some overlapping issues. Cooperation with 2.2 (SLA in different cultural contexts) may also be useful, particularly in relation to broadening the scope of the analysis to the non-Anglophone world (identifying relevant actors, etc.).

Lists of persons within FAO interested in SLA are already available to Sub-programme 3.1 through a variety of channels: the e-mail list for Sub-programme 3.1; members of other sub-programmes; the list of participants at the Siena forum (included in FAO/DfID, 2000b), which includes persons having a longstanding interest in SLA; etc. These persons may act as “bridges” for Sub-programme 3.1 to approach their divisions and services.

Partnerships within FAO should fully involve regional offices and field staff. While due to time constraints it was not possible to adequately include them in this report, their involvement is necessary and may enrich the work of Sub-programme 3.1 (by providing insights on relevant projects implemented at regional level, by enabling to identify additional partners in developing countries, etc.). If Sub-programme 3.1 determines to carry out field studies, selecting programmes located geographically close to regional offices may enable cost-effective involvement of staff at regional level.

Available IT resources also allow to strengthen cross-department cooperation, e.g. with regard to the Field Programme Management Information System (FPMIS),

which enables to have information on pipeline and ongoing projects with a view to proposing partnerships and contributions.

While partnerships with external stakeholders are extremely important (see below), Sub-programme 3.1 should fully make use of the wealth of in-house resources, which may constitute a speedy and cost-effective way of learning lessons and may help strengthen contacts that may be built on for future activities.

3.9 Partnerships with external stakeholders

For the purposes of Sub-Programme 3.1, two different types of partnerships with external stakeholders may be established.

Partnerships with organizations already using SLA/ANR

These partnerships would involve for instance: building capacities in SL analysis, concepts and tools, and in their application to ANR (e.g., DfID, World Bank, UNDP, etc.); building on lessons learned on institutionalizing SL in the organization and in the project cycle (e.g., CARE, Oxfam, UNDP¹); drawing on the SL expertise of research institutes for conceptual work (methodology development, etc.) and for livelihood analysis (e.g., with regard to the livelihood contribution of ANR and/or for the assessment of the livelihood impact of projects and programmes, so as to identify best practices) (CANARI, IDS, IIED, IISD, Khanya, ODI, etc.); exploring funding opportunities for FAO SLA/ANR projects (cf. the FAO/DfID SFLP); etc.

Particular attention should also be devoted to:

- € IFAD and WFP, in relation to their experience on innovative SLAish ANR approaches (Nepal and Bangladesh for IFAD, Ethiopia for WFP);
- € Using contacts with organizations using SLA/ANR to reach their local partners (governments, NGOs, etc.), so as to identify additional potential partners. Institutions and programmes “bridging” language divides may be particularly useful in this, within the LSP (particularly Sub-programme 2.2, SLA in Different Cultural Contexts), within FAO (e.g., the SFLP covers Anglophone, Francophone and Lusophone countries; regional offices), and among external stakeholders (e.g., IIED).

Partnerships with organizations using approaches having commonalities with SLA

Baumann (2002) highlights the commonalities between SLA and current ANR thinking. This report has identified organizations that although not using an SL framework, use similar principles and tools, including many organizations from non-Anglophone countries.

Partnerships with this type of organizations may result in fruitful exchange of ideas and cross-fertilization, contributing to the dissemination of SLA principles as applied to ANR on the one hand, and enriching SLA with contributions from culturally

¹ Lessons relate e.g. to the attitude of regional and field officers towards approaches promoted from the centre; problems in designing and implementing multi-sectoral programmes and interacting with donors (that may have a sectoral orientation) and local partners (usually government agencies have sectoral mandates); etc.

different contexts. As noted by Baumann (2002), the value of SLA is precisely incorporating lessons from other approaches in a systematic framework.

For instance, it has been noted that SLA provides few insights on the political dimension of ANR (Baumann, 2002). Indeed, in many societies, ANR touches the very foundation of the social structure, and ANR activities may not result just in win-win situations. Therefore, some form of political analysis is required. On this, lessons may be learned from Latin American organizations working on access to NR (e.g., CICAFOC, MAELA, Via Campesina, etc.).

Similarly, lessons learned in the context of *gestion des terroirs*, and their relevance to SLA/ANR, may be considered (e.g., ENDA, GADEC, GRET, IRAM, etc.).

APPENDIX 1: INTERVIEWS AND E-MAIL EXCHANGES

This is the list of the persons that provided inputs for this report. The degree of cooperation varies widely, ranging from interviews to supply of documents and to e-mail exchanges. I would like to express my gratitude to all these persons for their excellent cooperation, without which this report would not have been possible. Due to time constraints and to the period of the year in which the research was undertaken (when many people were on leave), it was not possible to reach many other key stakeholders.

Within FAO

Mario Acunzo (SDRE)
Alice Carloni (TCII)
Lawrence Christy (LEGN)
Linda Collette (AGPS)
David Cooper (AGPS)
Richard Coutts (FIPL)
Dominique Di Biase (TCAP)
Agnès Dhur (TCEO)
Olivier Dubois (FONP)
Florence Egal (ESNP)
Ilaria Firmian (SDAA)
Paolo Groppo (SDAA)
Keith Hammond (AGAP)
Sadie Mackintosh-Walker (SDAR)
Eduardo Mansur (FONP)
Ali Mekouar (LEGN)
Erik Nielsen (FONP)
Frits Ohler (TCIL)
David Palmer (SDAA)
Jorieke Potters (FONP)
Sophie Robin (RLC)
Ilaria Sisto (SDWW)
Patrizio Warren (ESAE)

Outside FAO

Vanda Altarelli (IFAD)
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Pari Baumann (Social and Economic Research Associates)
Nigel Brett (IFAD)
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Ian Goldman (Khanya)
Gerti Hesselting (African Studies Centre, University of Leiden)
Antonio Hill (Oxfam)
Faustin Kamuzora (Institute of Development Management – Mzumbe University)
Michel Pimbert (IIED)
Peter Reid (DfID)

Dilys Roe (IIED)
Martina Spisiakova (IFAD)
John Thompson (IIED)
Laura Thornton (DfID)
Camilla Toulmin (IIED)

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APPENDIX 3: INTERNET RESOURCES ON SLA

This Appendix includes some useful websites that were identified during the research. Websites already referred to in Output 1.1 (Baumann, 2002: Livelihoods Connect, IDS, DfID, UNDP, OneWorld, ODI, IIED and Deliveri) are not included.

www.careinternational.org.uk/reports/livelihoods.html, on CARE's SL activities and approach.

www.sdgateway.net/livelihoods/default.htm, on the joint SL module run by ENDA and by the Development Alternatives Group, as well as other useful links.

www.iisd.org/communities.htm, on the SL approach and activities of IISD.

www.khanya-mrc.co.za, on Khanya's SL approach and activities.

<http://www4.worldbank.org/sprojects/project.asp?pid=P067770>, on the World Bank Sustainable Livelihoods Programme in Mongolia.

www.enda.sn, on ENDA's SL activities in Senegal.

http://www.iucn.org/themes/ceesp/wkg_grp/SL/SL.htm, on the SL activities of IUCN.

Further information about the LSP

The Livelihood Support Programme (LSP) works through the following sub-programmes:

Improving people's access to natural resources

Access of the poor to natural assets is essential for sustainable poverty reduction. The livelihoods of rural people with limited or no access to natural resources are vulnerable because they have difficulty in obtaining food, accumulating assets, and recuperating after shocks or misfortunes.

Participation, Policy and Local Governance

Local people, especially the poor, often have weak or indirect influence on policies that affect their livelihoods. Policies developed at the central level are often not responsive to local needs and may not enable access of the rural poor to needed assets and services.

Livelihoods diversification and enterprise development

Diversification can assist households to insulate themselves from environmental and economic shocks, trends and seasonality – in effect, to be less vulnerable. Livelihoods diversification is complex, and strategies can include enterprise development.

Natural resource conflict management

Resource conflicts are often about access to and control over natural assets that are fundamental to the livelihoods of many poor people. Therefore, the shocks caused by these conflicts can increase the vulnerability of the poor.

Institutional learning

The institutional learning sub-programme has been set up to ensure that lessons learned from cross-departmental, cross-sectoral team work, and the application of sustainable livelihoods approaches, are identified, analysed and evaluated for feedback into the programme.

Capacity building

The capacity building sub-programme functions as a service-provider to the overall programme, by building a training programme that responds to the emerging needs and priorities identified through the work of the other sub-programmes.

People-centred approaches in different cultural contexts

A critical review and comparison of different recent development approaches used in different development contexts is being conducted, drawing on experience at the strategic and field levels in different sectors and regions.

Mainstreaming sustainable livelihoods approaches in the field

FAO designs resource management projects worth more than US\$1.5 billion per year. Since smallholder agriculture continues to be the main livelihood source for most of the world's poor, if some of these projects could be improved, the potential impact could be substantial.

Sustainable Livelihoods Referral and Response Facility

A Referral and Response Facility has been established to respond to the increasing number of requests from within FAO for assistance on integrating sustainable livelihood and people-centred approaches into both new and existing programmes and activities.

For further information on the Livelihood Support Programme,
contact the programme coordinator:
Email: LSP@fao.org

LSP WORKING PAPERS to June 2004

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