FAO RFLP

SUSTAINABLE LIVELIHOODS APPROACHES (SLA) & BASELINE SURVEY DESIGN

Phuket, Thailand:

April 20th – 25th 2010

Workshop Report

Ben Cattermoul

IMM Ltd

The Innovation Centre

University of Exeter Campus

Rennes Drive

Exeter EX4 4RN

UK

CONTENTS

1. Introduction & Background 2

2. Workshop Objectives 3

3. Workshop Participants 4

4. Workshop Approach 4

5. Workshop Implementation 5

5.1 Workshop Introductions (Day 1 am) 6

5.3 Introducing Sustainable Livelihoods Approaches (Days 3&4) 6

5.4 Identifying programme output indicators and baseline guidance (Days 1,2 & 5,6) 11

6. Workshop Feedback 13

Annex 1: Outline Schedule for the Workshop 14

Annex 2: Workshop Participants 15

Annex 3: Sustainable Livelihood Framework for the FAO RFLP- English Version 16

Annex 4: Sustainable Livelihoods Framework for the FAO RFLP – Indonesia 17

Annex 5: Sustainable Livelihoods Framework for the FAO RFLP – Timor Leste. 18

Annex 6: Sustainable Livelihoods Framework for the FAO RFLP – Philippines 19

Annex 7: Sustainable Livelihoods Framework for the FAO RFLP – Sri Lanka 20

Annex 8: Sustainable Livelihoods Framework for the FAO RFLP – Vietnam 21

Annex 9: Sustainable Livelihoods Framework for the FAO RFLP – Cambodia 22

Annex 10: Draft Programme Output Indicators 23

Project Component 1: Co-management 23

Project Component 2: Safety at Sea 24

Project Component 3: Post-Harvest Fisheries 26

Project Component 4: Livelihood Enhancement and Diversification 27

Project Component 5: Micro-finance 29

Annex 11: Workshop Evaluation 30

1. INTRODUCTION & BACKGROUND

The Regional Fisheries Livelihoods Programme RFLP, which began activities in September 2009, is funded by Spain (US$ 19.54 million) and will operate for 4 years in Cambodia, Indonesia, Philippines, Sri Lanka, Timor-Leste and Viet Nam. RFLP management, including the Regional Manager and the Technical Advisor are based in the FAO Asia and the Pacific Offices in Bangkok, Thailand; while each country will have a national RFLP office located in the main area of RFLP geographic focus.

The RFLP addresses the following issues in south and south-east Asia:

- The failure to manage the interface between fisheries and the wider external environment;
- Over-fishing, declining stocks and catch per unit effort and threatened aquatic species;
- The vulnerability of poor small-scale fisher communities and their livelihoods;
- Spoilage of aquatic product along the distribution chain and low income for small-scale fishers for their product; and
- Limited development focus on poor small-scale fisher communities, limited access to micro-finance services and extremely limited supplementary and/or alternative livelihood options.

The primary stakeholders and target beneficiaries are (i) coastal fishers, processors, traders and their families, their organizations and their communities, including the local authorities and; (ii) government organizations and institutions responsible for the administration, management and development of the coastal fisheries at local, district/province and national levels.

The RFLP outcome will be:

'Strengthened capacity among participating small-scale fishing communities and their supporting institutions towards improved livelihoods and sustainable fisheries resources management'.

Major RFLP outputs will be:

- Co-management mechanisms for sustainable utilization of fishery resources;
- Improved safety and reduced vulnerability for fisher communities;
- Improved quality of fishery products and market chains;
- Diversified income opportunities for fisher families;

- Facilitated access to microfinance services for fishers, processors and vendors; and
- Regional sharing of knowledge in support of livelihood development and reduced vulnerability for fisher communities and of sustainable fisheries resource management.

The RFLP commenced activities on 01 September 2009. In January and February 2010, 2-day national inception workshops (NIW) were conducted in the 6 RFLP countries, during which draft national activity work plans and budgets for 2010 and reporting and monitoring and evaluation systems were discussed and drafted. Thereafter the outputs of the 6 NIW's were approved at 6 by National Coordinating Committee Meetings (NCCM), subject to certain modifications and the adoption of NCCM feedback.

The 6 RFLP countries are currently in the process of finalizing and getting national government approval for the 6 national RFLP 2010 work plans and budgets. The national plans and budgets will be approved finally at the RFLP Regional Inception Workshop (RIW) and RFLP Regional Steering Committee Meeting (RSCM) on 26-27 April.

The programme management team identified a need for all 6 countries need to have a comprehensive grounding in the following 3 things:

i. Sustainable Livelihoods Approach (SLA);

ii. Design of baseline surveys for the 5 RFLP outputs; and,

iii. Training on the development of output and activity indicators (including perception indicators) for the 5 outputs of each country.

In order to build the capacity of the project to address its challenges, in April, 2010, staff working on the project participated in a 6-day workshop in which they were introduced to the Sustainable Livelihoods Approach, undertook a process to develop indicators for the programme level outputs and identified requirements for the RFLP baseline survey.

2. WORKSHOP OBJECTIVES

The objectives for the workshop were:

1. To develop a common understanding of the Sustainable Livelihoods Approach for the RFLP and build the capacity of the participants to apply this in their work;
2. To develop indicators for the 5 programme outputs;
3. To design baseline surveys for the 5 RFLP outputs including livelihoods under output 4

Though not a formal objective, an important function of this workshop was also to strengthen the relationships of the project staff across the six countries.

3. WORKSHOP PARTICIPANTS

The workshop was attended by seventeen staff employed by, or attached to, the RFLP across the six countries including:

- National project coordinator (NPC - FAO contracted staff member – called the national project manager in Sri Lanka and Indonesia);
- M&E officer (full time FAO contracted M&E specialist); and,
- Part time senior government staff member responsible for RFLP activities, called the National Project Director (NPD - except in Sri Lanka and Indonesia where the post is called the NPC).

See Annex 2 for a list of participants.

The level of participation and interest among the participants was excellent throughout and the concepts presented generally seemed to be grasped very quickly by the group.

4. WORKSHOP APPROACH

The core approach used in the workshop focussed on facilitating the participants in building up an understanding of Sustainable Livelihoods (SL) based on their own experience. Emphasis was placed on valuing the existing knowledge and skills of participants and making as much use as possible of the wide diversity of experience present among participants. The approach used focussed on getting participants to create "their own SL framework" based on their own lives and experience. This approach helps to value people's own life experience as well as emphasising the fact that there is no "right" SL framework and, above all, that it is an approach to understanding and analysing that can be applied and adapted to many different situations. From this perspective the participants were then well placed to build a consensus around indicators for the RFLP programme level outputs and then develop guidance for the baseline.

Participant Reflections

- Though we didn't have a trainer for the first 2 days what we did during these days as distant training was a good starting point for us to learn later in the workshop. We came back to this work with more critical thinking.

The delivery of the workshop was disrupted by the late arrival of the trainer[1]. As a result the participants spent time on the first two days looking at the challenge of building consensus

[1] The IMM trainer arrived on the morning of Thursday 22nd January (Day 3) following the disruptions to European air travel caused by the volcanic ash from the Icelandic Volcano.

around the programme level output indicators, before moving onto the work on livelihoods on days 3 and 4. On the final two days the participants returned to their work on Programme level output indicators and baseline requirements and used their livelihoods knowledge to revise what they had done.

This process restricted the time available to address some of the practical skills relating to building the RFLP baseline, and focusing on national level output indicators. However, the process did provide a very clear indication of how the time spent learning about livelihoods had improved the quality of analysis of project outputs. This was highlighted by the participants in their workshop reflections.

The English language skills of the participants are generally very good. However, the concepts that were discussed at the workshop, relating to livelihoods and social development, are very complex. Participants from each of the countries were therefore encouraged to build their own Sustainable Livelihoods Framework in their mother language (see annex 3-9).

Participants were not provided with handouts in advance of the workshop and instead encouraged to draw from their own experiences. Handouts will be developed to reflect their learning and distributed after the workshop. However, each team was provided with a wide range of supporting literature on a CD that will help them to build on their understanding of SLA and Monitoring and Evaluation.

5. WORKSHOP IMPLEMENTATION

The workshop was implemented over the course of six days from April 20th - 25th 2010, and held at the Lagunna Beach Hotel in Phuket. See Annex 1 for the schedule.

The delivery order of the workshop was disrupted by the late arrival of the trainer. This meant that activities intended for days three to six were moved forward to days one and two. However, for convenience and accessibility the implementation process has been divided into three distinct parts:

- Workshop Introductions;
- Part 1: Introduction to Sustainable Livelihoods Approach (Days 3&4);
- Part 2: Finalising Programme Output Level Indicators and Baseline Survey Design (Days 1, 2 & 5, 6).

Each part is described below.

5.1 WORKSHOP INTRODUCTIONS (DAY 1 AM)

The first exercise involved the participants visualising how their lives may be in 10 years time, if all goes well. The exercise was primarily designed to be used to break the ice and help the participants to get to know each other better. This was to be an ongoing theme through the workshop as the teams from across the six RFLP countries will greatly benefit from sharing their ideas and experiences over the next four years.

Participant Reflections

- I am very pleased to be in this workshop because I have learned from other friends from other countries, through the skills and experiences that have been shared.
- Group discussions were constructive, critical ideas been shared, experiences that we have had when working with communities have been shared and we worked well as a team.

5.3 INTRODUCING SUSTAINABLE LIVELIHOODS APPROACHES (DAYS 3&4)

SLA is a way of thinking about development in order to enhance progress towards poverty elimination. The main objective of this holistic approach is to identify the strengths and capabilities of individuals, groups and communities and support them in identifying how they can contribute towards their own development and the advancement of development activities in their area. At the same time, the adoption of the SLA by agencies and institutions working in the area should help them to better understand what sort of support they should be providing to people.

WHAT IS A LIVELIHOOD?

Participants started the process of building a Sustainable Livelihoods (SL) Framework by exploring what is meant by the term "livelihood". They generated a list of factors that can all be considered to be aspects of a person's livelihood (Box 1). While discussions were initially dominated by the income/job aspects of livelihoods, the participants also identified a wide diversity of other aspects that form a livelihood. This helped to emphasis that it is misleading to consider a livelihood as being solely defined by one aspect alone (usually income) and indeed indicated just how complex the challenge of understanding and responding to "livelihoods" might be.

Participant Response Box 1

- Job: having work and source of income
- Money
- Form of living
- Earning for a living
- Welfare
- Standard of life
- Nutrition
- Long term/Sustainable
- Struggle for life
- Survival
- Family
- Link/Relationships between assets
- Social, Economic and Environment
- Tradition and Culture
- Passive (car) and active assets (kids)

BUILDING THE LIVELIHOODS FRAMEWORK.

Focusing on their own lives, the participants then worked together to build their own version of a Sustainable Livelihoods Framework. In doing so, the participants developed an agreed terminology and understanding of the different components that come together to make up a person's livelihood (see Annexes 3-9). Key stages in this process included:

Participant Reflections

- The framework allowed participants to think by themselves. It was easy to understand and remember
- The way the framework was developed by the participants in a gradual and participatory way was good.

- **Identifying What You Do**: e.g. "*productive activities*" involved in generating income; "*reproductive activities*" – concerning family and living; "*social activities*" – concerning friends and building social networks; "*individual activities*" – concerning personal enjoyment.
- **Identifying Who You Are**: Or the things you cannot change about yourself e.g. Age, gender, parents, personal history etc.
- **Identifying What Assets You Have**: Or the things you are able to use e.g. Human, Facilities / Infrastructure, Social, Philosophical, Environmental & Financial.
- **Identifying the Service Providers**: Those organisations public, private or NGOs who provide services e.g. traders, banks, NGO projects, government service etc.

SL Framework as generated by the workshop participants

- **Identifying the Controllers**: Those organisations who set the rules of the game e.g. Government ministries, religious leaders, donors etc.
- **Understanding Relationships**: Between Service Providers, Controllers and People. Analysing factors such as: accountability, transparency, choice, feedback, influence etc.
- **Understanding the Direct Influencing Factors**: The forces that mediate how you can use your assets e.g. Power, politics, religion, values, mass media etc.
- **Identifying Vulnerability & Challenges:** Including the external threats or opportunities that come from shocks (e.g. natural disasters and war), trends (e.g. globalisation, global warming, and culture) and seasons.

- **Identifying Hopes & Opportunities**: The goals people see for themselves based on their own livelihood experiences and their perceived access to opportunities.

- **Identifying Actions and Choices***:* The actions and choices that people take "to make their lives run smoothly" and considering why actions and choices vary between different people.

- **Defining Livelihood Outcomes**: Discussing how aspirations affect the way we view outcomes and how actual outcomes influence aspirations and opportunities and considering how you would define a satisfactory livelihood outcome for other people.

A very important aspect of the process of developing the SL Framework was the focus on what people **have** and what people **do** rather than what people **don't** have and what they **don't** do. This focus forms the basis of one on the key principles for SL approaches, which is **"building on strengths"** and experience has shown that it represents an important innovation in SLA.

LEARNING ABOUT LIVELIHOODS

The process of "constructing" a livelihoods framework based on participants' own lives occupied day three and the morning of day 4. On the afternoon of day 4 the participants undertook a short field visit to a community near to the training venue.

Keeping the SL framework in mind and using it to guide their questions, participants spoke to people and households in a nearby village. As an entry point for the discussions, it was suggested to the participants that they ask villagers about recent changes (positive or negative) that had affected their livelihoods, how they had coped with these changes and what hopes they had for the future. Following the field discussions the group discussed some of their findings. Of note was the fact that in a community that looked relatively homogenous there were significant differences between the livelihoods of different households. The trip also served to emphasis that even without PRA tools it is possible to communicate with people in villages and that PRA tools should only ever be employed where they add value to this process. The participants noted that with more time and more chances to work in the field they would become more confident and able to use the SL framework to influence their field discussions and analysis.

Unfortunately the time available for more detailed analysis was restricted due to the rescheduled workshop programme.

PRINCIPLES FOR ACTION.

Considering their knowledge of the SL Framework and their experience in the field, participants developed a set of principles for how they should act to be consistent with the SL Framework (see table below). These principles are intended to be used by the RFLP teams to reflect on the quality of the work that they are undertaking over the course of the four year programme.

Livelihoods Principles for Action

Empowerment • Voice and choice • Communication • Participation	Any action aiming at promoting Sustainable Livelihoods of the poor should also aim to empower poor by increasing their **voice** and **influence** and giving them greater **choice** about how they make a livelihood for themselves and their households.
Facilitation / Partnership	Interventions that are empowering are likely to be implemented using **participatory approaches**, with their intended "beneficiaries" or "target groups" playing at least an equal role in both identifying what sorts of interventions are appropriate and in managing their implementation. This means that development agencies are more likely to adopt a more **catalytic** and **facilitating** role, sharing the responsibility for implementation with the people who are they are working with.
Focus on strengths and potential	**Building on people's strengths** is also likely to be an essential part of empowerment - simply making new assets available to the poor is not empowering and usually increases their dependence and powerlessness. Interventions should aim to build on the **strengths** of the people they are working with (and not just satisfy their needs and give them what they lack). The importance of this cannot be over-emphasised. Everyone, even the poorest of the poor, has particular capacities or strengths and these should become the starting point for working towards sustainable, positive change. The approach commonly taken in the past of providing the poor with the things they lack or need has constantly been shown to interventions that create dependency and unsustainable development.
Empathy – put people and the effects of your actions on those people at the centre of you plans and actions.	People, with their characteristics, their capacities, their differences, their priorities, and their concerns, should always be at the centre of every intervention. This means that any action for change must focus on what matters to the **people at the centre** of the intervention and appreciate the fact that different interventions are liable to be appropriate for different people.
Build Linkages – be **holistic, collaborative**	Being holistic in development interventions means being aware of the complexities of people's livelihoods and the complexities of poverty. It doesn't necessarily mean trying to address all those complexities, but it does mean understanding how the different aspects of people's livelihoods, and actions at different levels, are linked and can affect each other. The decision about how to support these different complex aspects of poverty and people's livelihoods is strategic. Development interventions

	should not try to address all the different issues that a thorough livelihoods analysis is likely to reveal, but they need to identify those interventions that will have the most positive impact and which may help other sets of issues to be addressed more effectively in the future.
Be **flexible and adaptable**	No one approach can be applied as a blue print for all development challenges. Practitioners should always look to shape the process so that it responds to the local social, cultural and institutional context.
Respect for culture	The particular culture in which people live will strongly influence the way in which they are able to make a livelihood. In its most extreme form, the culture may actually determine what sort of occupation different groups of people can engage in – the caste system. But even where such extreme examples of cultural influence are not apparent, culture is always an important influence on people's livelihoods. External agencies need to shape their development interventions to reflect cultural context.
Transparency – accountability	Where programmes deliver aid resources to governments and communities they should be accountable, to the people (beneficiaries), for the actions that they take. This accountability can only exist in a meaningful way where there is transparency in the relationship. Helping the people to see how and why they have arrived at decisions is key to this.

5.4 IDENTIFYING PROGRAMME OUTPUT INDICATORS AND BASELINE GUIDANCE (DAYS 1,2 & 5,6)

Prior to the workshop, the field teams had developed activity plans and indicators which were based around the national level outputs and activities (see figure 1 for an illustration of the programme planning hierarchy). However, they did not yet have a clear understanding of the "programme level" output indicators that provide the wider basis for assessing the actual impacts of the RFLP (i.e. the area enclosed by red dotted line in figure 1).

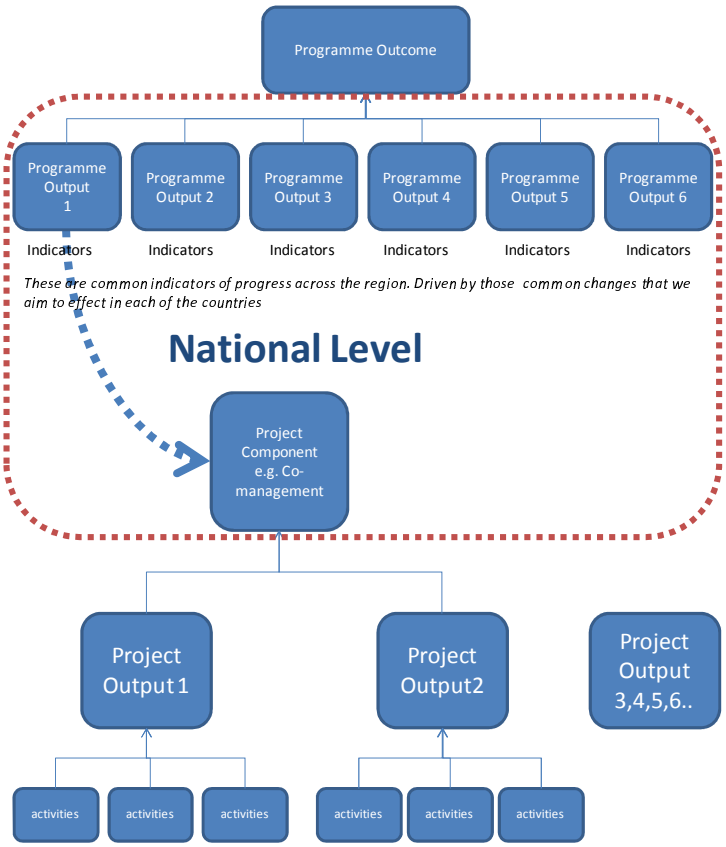


Figure 1: RFLP planning hierarchy

The challenge was therefore to build a consensus around what positive changes the RFLP is hoping to bring within the six countries. From this point the participants would then be in a position to identify the indicators that would show progress towards these changes and ultimately provide a framework for the design of the baseline surveys. The key elements of the workshop process are illustrated in figure 2.

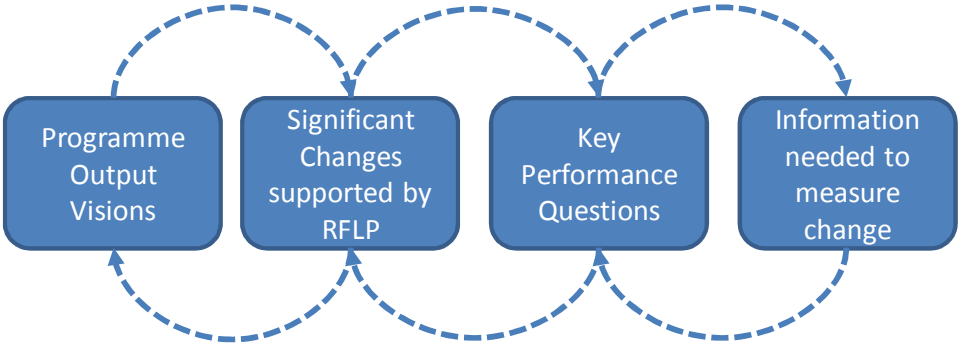


Figure 2: Workshop Process for Identifying Indicators and Information Requirements for the RFLP.

The steps are summarised as follows:

1. **Identifying the Programme Output Visions:** The participants were firstly asked to develop visions around each of the five programme level outputs. The visions provided a picture of a fully functional system where, for example, fisheries co-management was being effectively implemented, or where micro-finance is supporting fishers to improve their lives. An example of a vision developed is:

   "Key Stakeholders, in particular fishers and government departments share the responsibilities and benefits from sustainably managed resources. Fishers have voice and influence in decision making and are working together to manage their resource".

2. **Identifying the Significant Changes Supported by the RFLP:** Recognising the wide-scale of the visions that they had developed the participants then focused on the most significant changes that the RFLP would bring about. For each vision the participants identified those changes that were both achievable by the RFLP and which they felt would be common across the six countries.

3. **Selecting the Key Performance Questions:** The performance questions are designed to focus attention on the specific information requirements. Before identifying the performance questions the participants took time to reflect on the purpose of M&E for the RFLP (see box2). This helped them to understand who would be asking the performance questions and from what perspective they may be interested.

   Working in groups the participants then took each of the "significant changes" and identified the types of questions that need to be asked to find out about those changes.

Participant Response Box 2 – The Purpose of M&E

- To help donors/project staff / govt / stakeholders to track the progress of the project
- To help us to be responsive to the changing needs
- To learn lessons and improve how we implement the project from stakeholders
- Celebrate success for us, govt and community
- To know where we have come from
- To track inputs for audit
- Transparency and accountability
- Update FAO statistics

4. **Identifying the Information Needed to Measure Change:** For the final step in the process the participants identified the information that would be needed to answer the performance questions. Where possible this was expressed both in terms of an indicator and in terms of information required for a baseline survey.

A draft of the results from this process is shown in Annex 10. Following the workshop this draft was distributed to the participants for comment before being finalised in a Manual for Baseline Survey Design (not included in this report).

Due to the delayed arrival of the trainer, the participants went through these steps firstly on day 1 and 2 and then used their learning about livelihoods to refine their brainstorming and refine the guidance for the RFLP on days 5 & 6. While this process was not as efficient as

had been hoped for it did enable the participants the extra time to reflect on the issues that will fundamentally drive their work over the next four years.

6. WORKSHOP FEEDBACK

At the end of the workshop the participants were asked to review the workshop in terms of the content and delivery. In general, the response to the workshop and the methods used were positive and most participants reported that they felt they had gained a good understanding of the SL framework. Participants felt they had benefited from the chance to discuss complex development challenges with their colleagues from other RFLP countries. The participants generally appreciated the discussions around the programme level indicators although felt that more time for consideration and skills development would of been useful. This was reflected in calls for further time to refine national level indicators and to develop skills in participatory processes.

A full copy of the participant evaluation form is included in Annex 11.

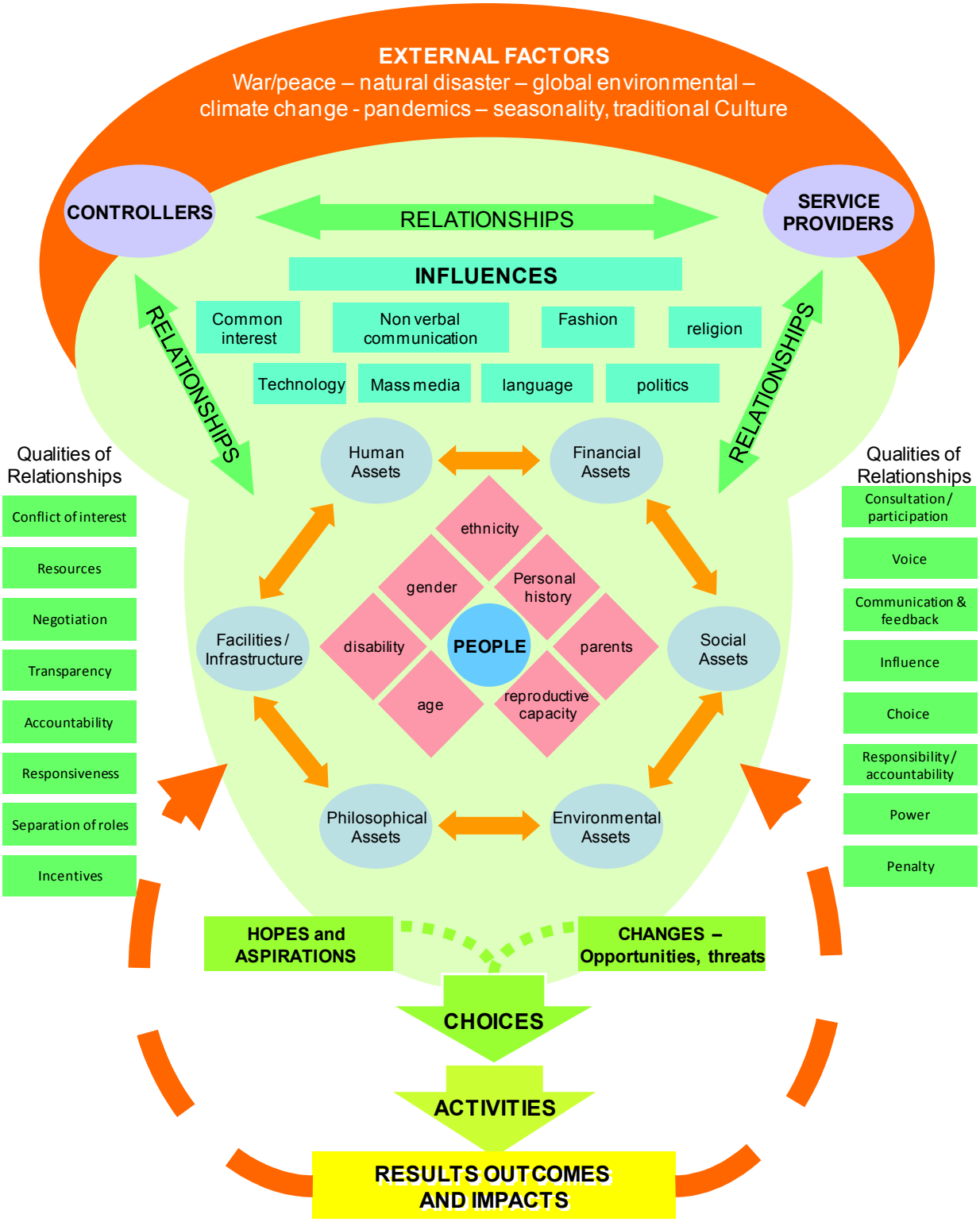
ANNEX 1: OUTLINE SCHEDULE FOR THE WORKSHOP

Time	Day 1	Day 2	Day 3
8.30 – 10.30	Workshop Introduction	Presenting RFLP Significant Changes	Presenting Information
10.30	*Tea*	*Tea*	*Tea*
10.45 – 12.30	Building Visions for Programme Outputs	Identifying measures of progress	Building a livelihoods framework – Assets and Activities
12.30	*Lunch*	*Lunch*	*Lunch*
14.00 – 15.30	Building visions for Programme Outputs	Identifying Measures of progress	Building a livelihoods framework- Controllers and Service Providers
15.30	*Tea*	*Tea*	*Tea*
15.45 – 17.00	Identifying RFLP Significant Changes	Identifying Sources of Information for Baseline	Building a livelihoods Framework – relationships and influences
Time	**Day 4**	**Day 5**	**Day 6**
8.30 – 10.30	Building a livelihoods framework – vulnerability	Reviewing RFLP output visions	Identifying progress / impact indicators
10.30	Tea	Tea	Tea
10.45 – 12.30	Building a livelihoods framework – hopes, opportunities and outcomes	Reviewing RFLP significant changes	Agreeing Progress indicators and baseline requirements
12.30	Lunch	Lunch	Lunch
14.00 – 15.30	Principles for Action	Identifying progress / impact indicators	Agreeing progress indicators and baseline requirements
15.30	Tea	Tea	Tea
16.45- 17.00	Field trip	Identifying the programme planning hierarchy. The purpose for M&E	Workshop close

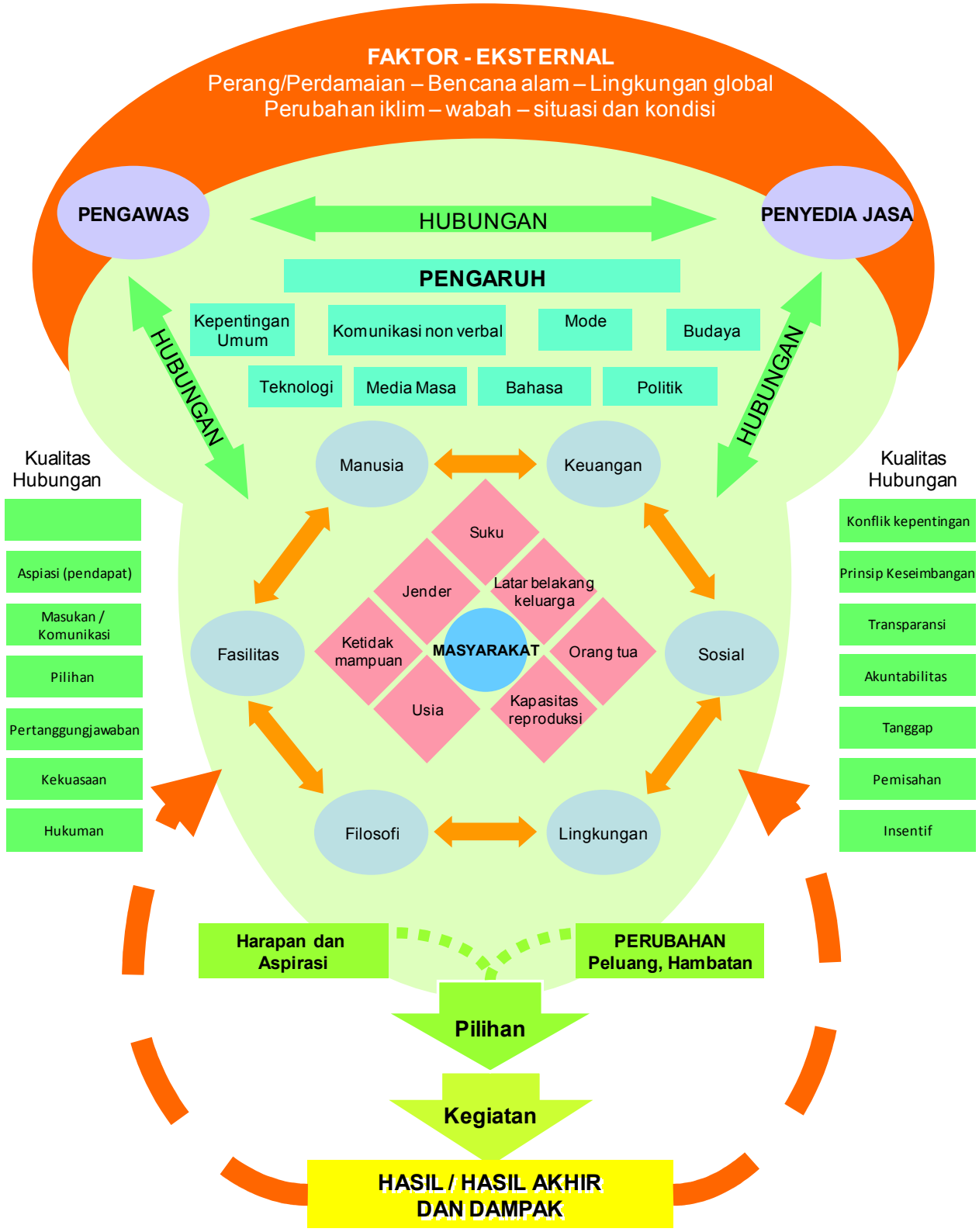
ANNEX 2: WORKSHOP PARTICIPANTS

Title	F. Name	Surname	Country	Title
Mr.	Thay	Somony	Cambodia	National Project Coordinator for Cambodia
Mr	Nom	Sophearith	Cambodia	M&E Officer – Cambodia
Mr	Lieng	Sopha	Cambodia	Acting Director of the Department of Community Fisheries Development (CFD), FiA
Mr	Mario	Cabral	Indonesia	National Project Manager for Indonesia
Mr	Suhendra	Suardi	Indonesia	M&E Officer – Indonesia
Ms.	Elia	Suwardi	Indonesia	Deputy Director for Business Management under Directorate of Fishing Business Development, Directorate General of Capture Fisheries, Ministry of Marine Affairs and Fisheries
Ms.	Jessica C	Munoz	Philippines	National Project Director for Philippines
Mr.	Alfredo	Isidro	Philippines	National Project Coordinator for Philippines
Mr.	Alex	Maaliw	Philippines	M&E Officer - Philippines
Mr.	Aleixo Leonito	Amaral	Timor-Leste	National Project Coordinator for Timor Leste
Mr.	Enrique	Alonso Poblacion	Timor-Leste	Advisor to the NPC for Timor Leste
Ms.	Maria	Soares	Timor-Leste	M&E Officer - Timor Leste
Mr	Nishan	Dissanayake	Sri Lanka	M&E - Sri Lanka
Ms.	Champa	Amarasiri	Sri Lanka	National Project Manager for Sri Lanka
Ms	Hoang	Thi Phuong Thao	Vietnam	M&E - Viet Nam
Mrs.	Tran Thi Thanh	Ha	Vietnam	National Project Coordinator for Viet Nam
Mr.	Pietro	Stopponi	Italy	International Consultant
Mr.	Benjamin Hase	CATTERMOUL	UK	International Consultant
Mr.	Jose	Parajua	Thailand	RFLP Regional Management
Mr.	Don	Griffiths	Thailand	RFLP Regional Management
Ms	Angela	Lentisco	Thailand	RFLP Regional Management
Ms	Chanphen	Bhawangkananth	Thailand	RFLP Regional Management

ANNEX 3: SUSTAINABLE LIVELIHOOD FRAMEWORK FOR THE FAO RFLP- ENGLISH VERSION

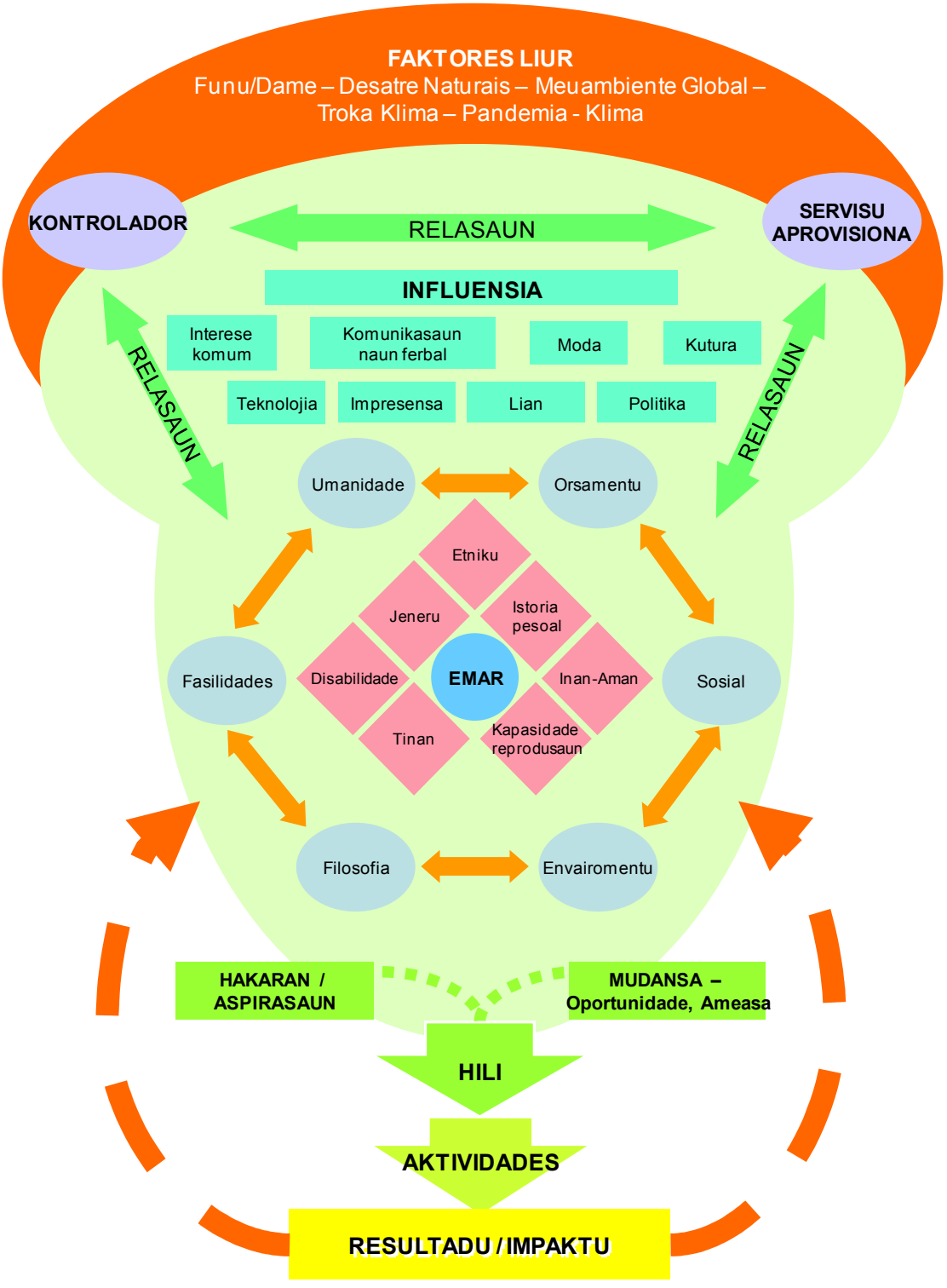


ANNEX 4: SUSTAINABLE LIVELIHOODS FRAMEWORK FOR THE FAO RFLP – INDONESIA



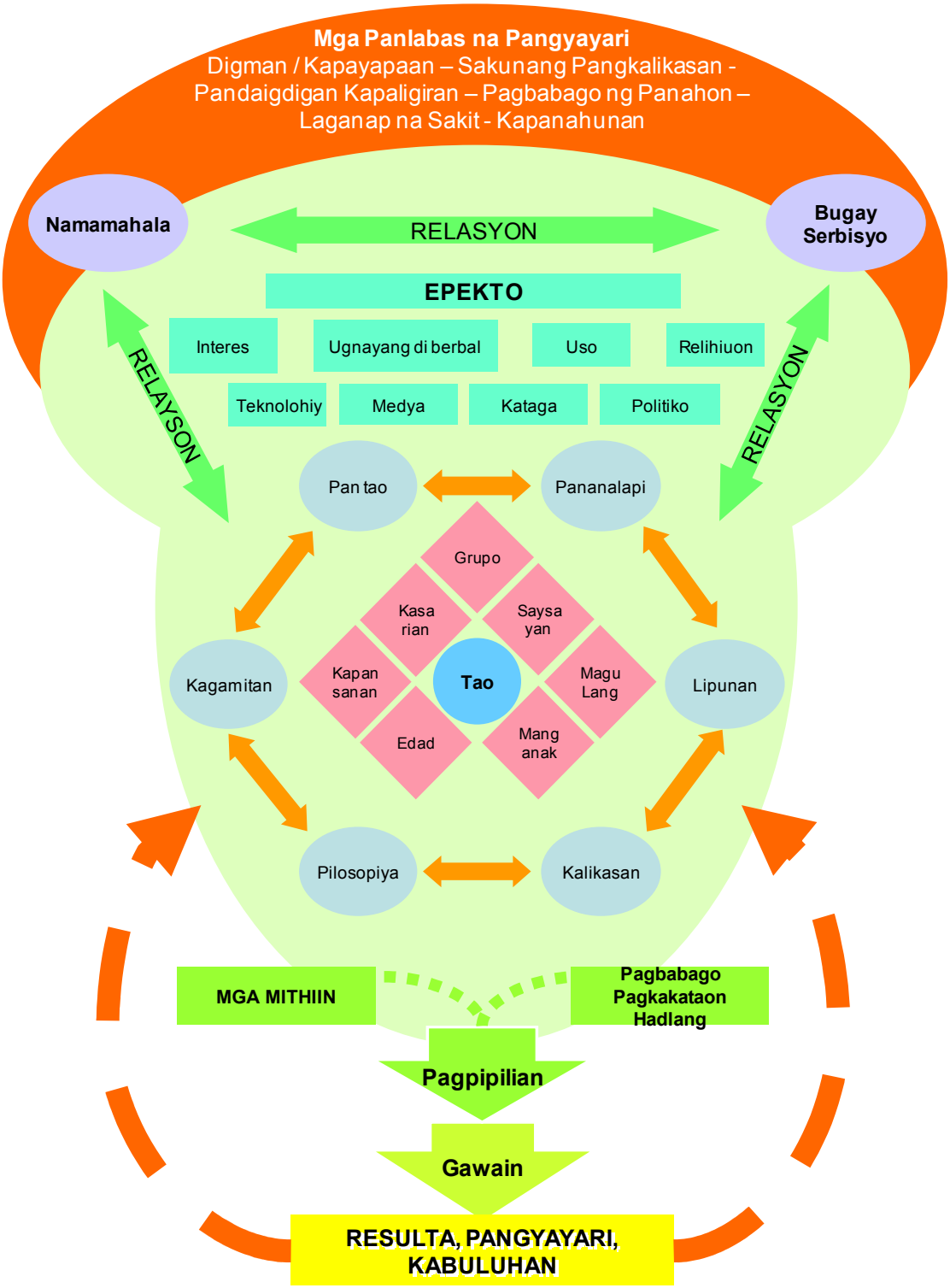
ANNEX 5: SUSTAINABLE LIVELIHOODS FRAMEWORK FOR THE FAO RFLP – TIMOR LESTE.

Dalan halao knar Lor-loron

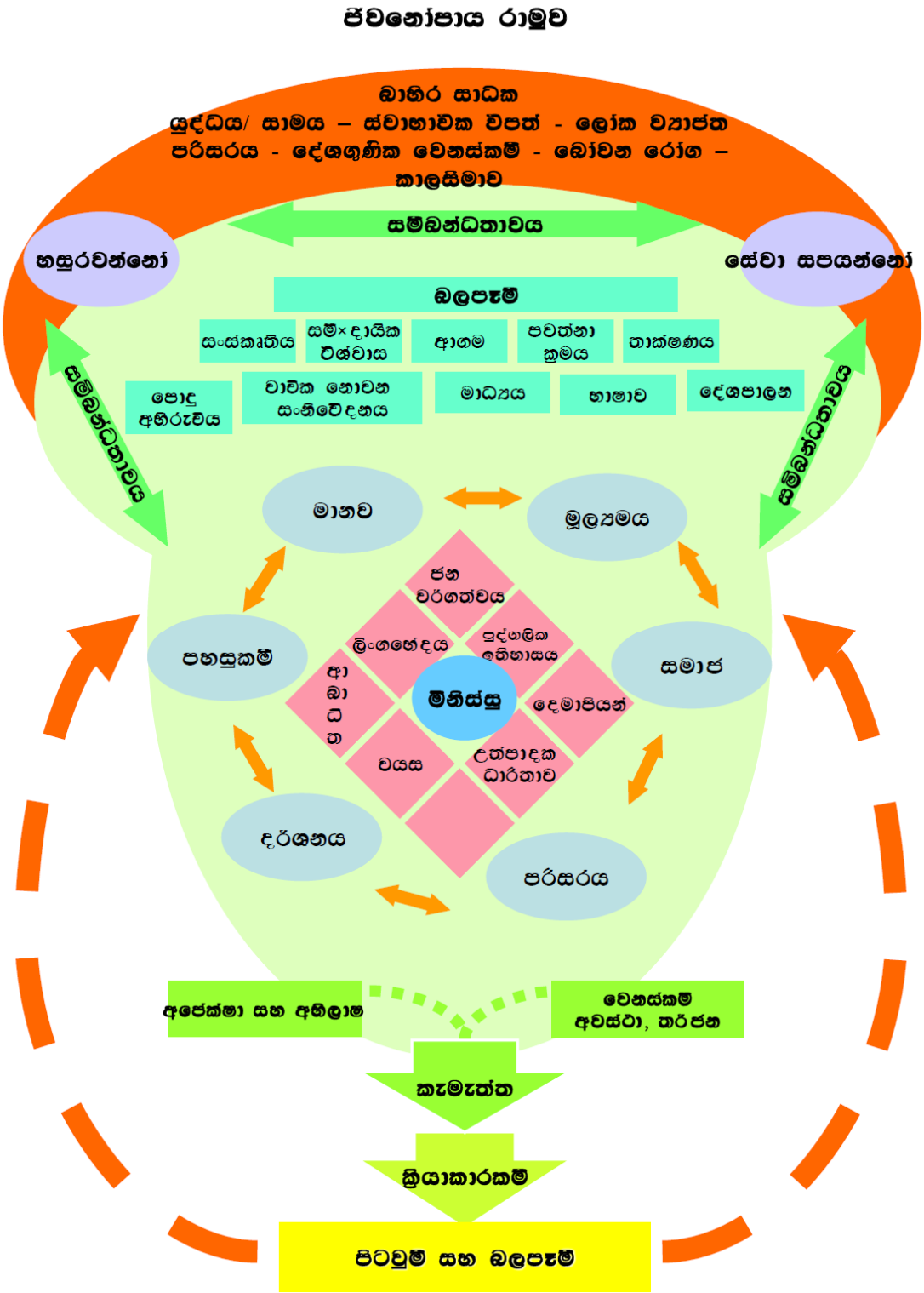


ANNEX 6: SUSTAINABLE LIVELIHOODS FRAMEWORK FOR THE FAO RFLP – PHILIPPINES

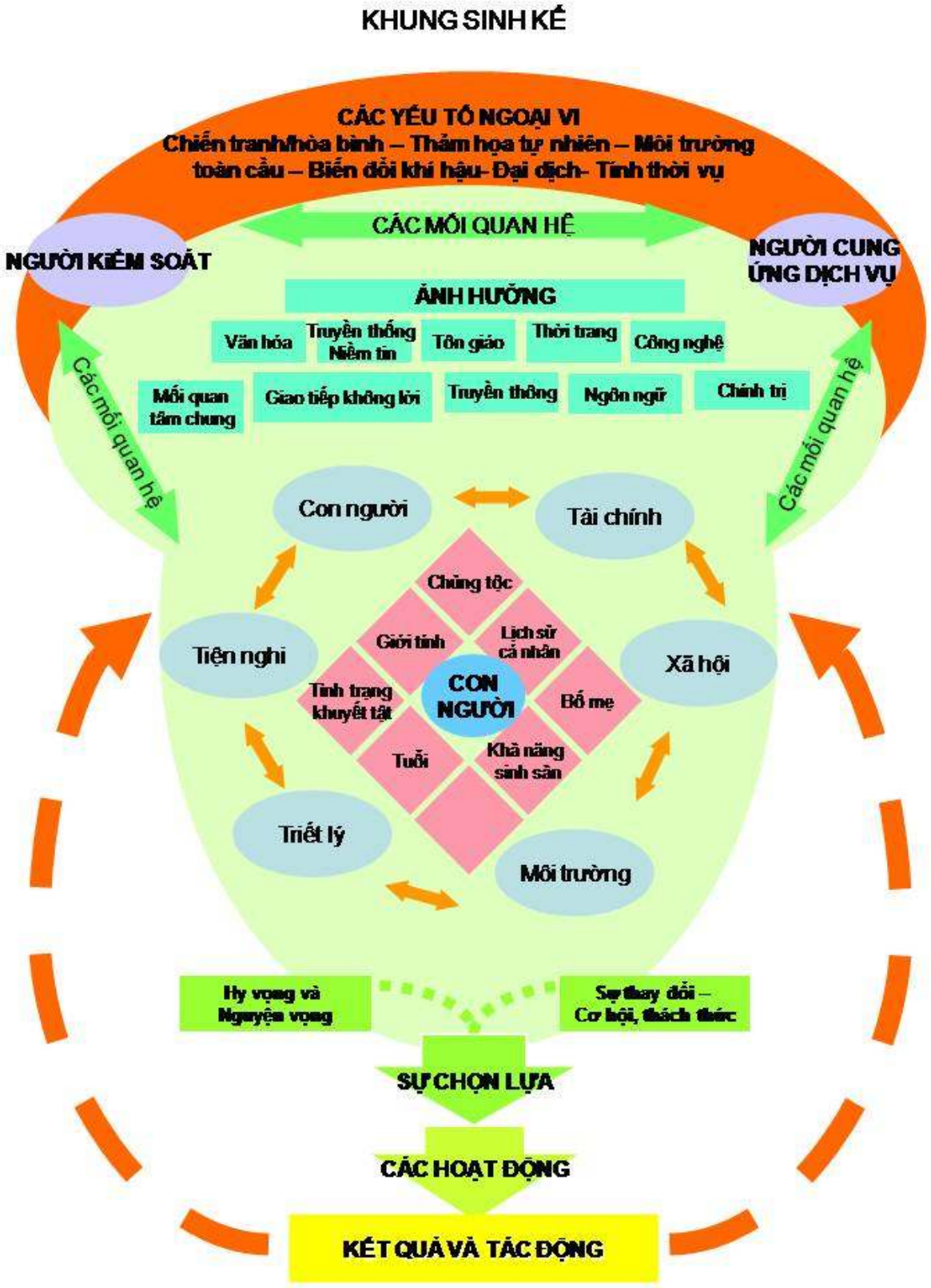
Batayang Pangkabuhayan



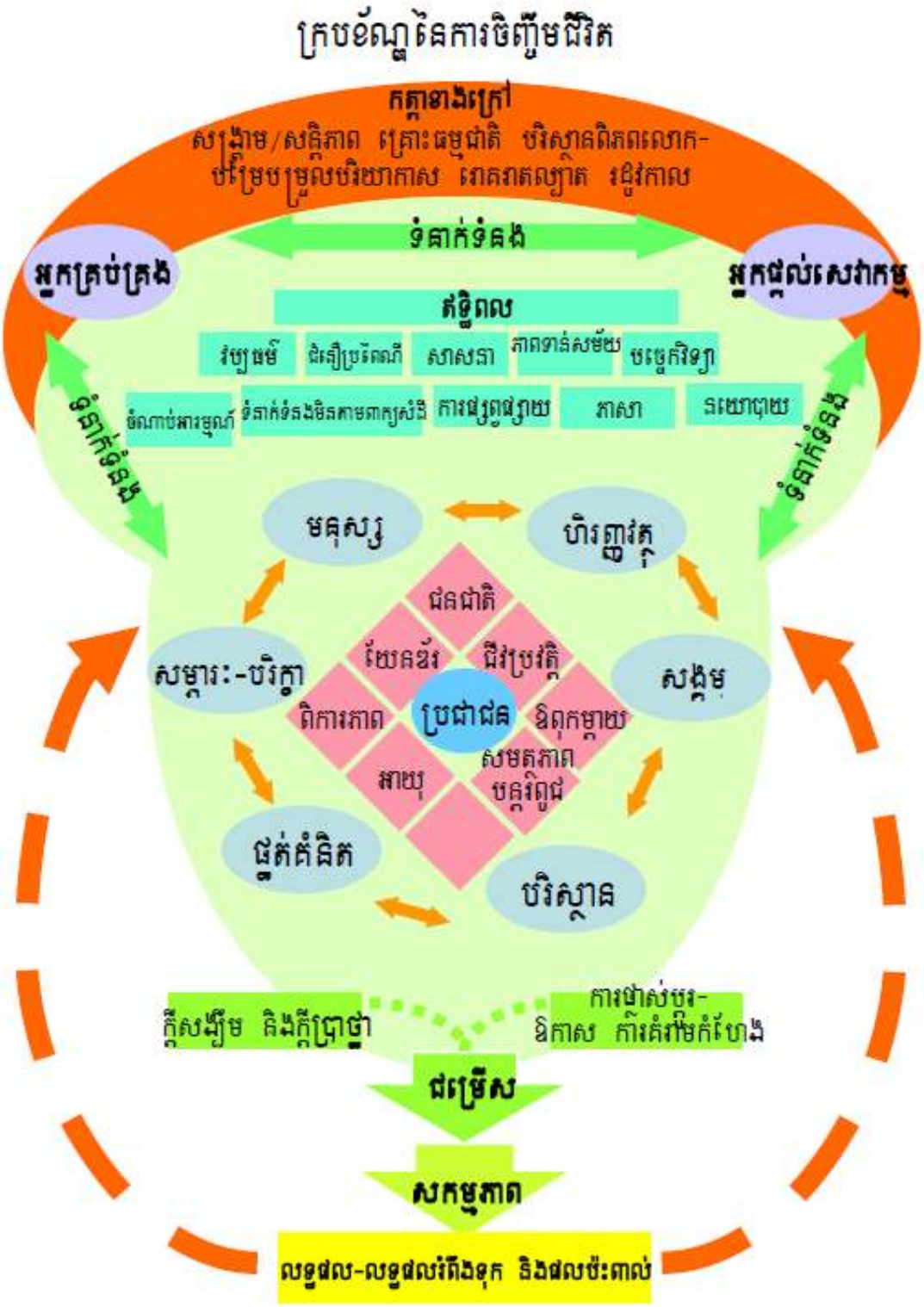
ANNEX 7: SUSTAINABLE LIVELIHOODS FRAMEWORK FOR THE FAO RFLP – SRI LANKA



ANNEX 8: SUSTAINABLE LIVELIHOODS FRAMEWORK FOR THE FAO RFLP – VIETNAM



ANNEX 9: SUSTAINABLE LIVELIHOODS FRAMEWORK FOR THE FAO RFLP – CAMBODIA



ANNEX 10: DRAFT PROGRAMME OUTPUT INDICATORS

The following table is a Draft version of the programme output level indicators developed by the participants at the workshop. This will be refined following further consideration by the field teams, after the workshop. The table will then be included in a manual for undertaking the baseline survey for the RFLP.

PROJECT COMPONENT 1: CO-MANAGEMENT

Vision: Key Stakeholders, in particular fishers and government departments share the responsibilities and benefits from sustainably managed resources.

Fishers have voice and influence in decision making and are working together to manage their resource

MOST SIGNIFICANT CHANGE	PERFORMANCE QUESTION	MEASURE OF PROGRESS
Policies and processes strengthened to support the benefits of co-management.	• Are there any new policies or changes to existing policies that strengthen co-management? • Are there any policies that conflict with the aims of co-management? • Have the systems for conflict resolution been improved? • Are the community members more aware of and active in the process of influencing the new, or modified, policies and management measures?	***Performance Indicators*** • A total of at least X co-management mechanisms have been established / strengthened in the project areas in the six countries. • Acceptance, by fishers, of the legitimacy and potential of the formal management process (as measured by a scorecard) increased by year 4. ***Baseline Information Requirements*** • The sorts of existing policies and institutions that support or inhibit co-management and identification of areas for strengthening. • The attitudes of fishers to formal management systems and conflict resolution systems. • Stakeholder recommendations for improvements to current management practices. • Current systems for conflict resolution – including details of how systems are currently used.

The roles and functions of key fisheries stakeholders (including fishers, fisher households, processers, traders, managers etc.) in the community have been improved to more effectively manage resources sustainably	• How have the roles and functions of fisheries stakeholders, involved in management decisions, become more effective? • How have the fisheries resources benefited from the changes in management? • What, who and how have the management changes influenced within the community? • How have the changes practically benefited the lives of the fishers?	***Performance Indicators*** • Average number of fishers attending resource management planning meetings increased by X% by year 4 compared with baseline levels. • The extent to which fisher's outlook and actions have improved to strengthen fisheries management and development. • Perceptions of fishers and resource managers relating to the status and availability of fisheries resources indicate improvements by year 4 (Score card, trend analysis). ***Baseline Information Requirements*** • Stakeholder analysis within fisheries within pilot communities. • The current numbers and types of stakeholder involvement in fisheries management. • The attitudes and responses to current resource management. • The perceptions of fishers and resource managers relating to the state of the resources and allocation of benefits state of the resource and allocation of benefits.

PROJECT COMPONENT 2: SAFETY AT SEA

Vision: Communities, controllers and service providers who are aware, have the knowledge and tools to mitigate the effects of and respond to safety issues. We see actors with increased confidence to carry out their livelihood activities and who have reduced vulnerability at work and home. People have capacity to cope with and recover from natural hazards.

MOST SIGNIFICANT CHANGE	PERFORMANCE QUESTION	MEASURE OF PROGRESS (INDICATORS AND BASELINE INFORMATION REQUIREMENTS)
Fishers, fisheries managers, and emergency response agencies accessing and using	• To what extent and what kind of information is being used by the key stakeholders for safety issues– and how has this changed?	**Performance Indicators** • 80% of relevant government staff and key stakeholders aware of and using the safety at sea information systems by the end of the project.

safety at sea information	• What are the sources and types of data preferred by the stakeholders?	• The percentage of fishers demonstrating adequate knowledge of safety at sea measures increased by x% by year 3 • Fishers feel that they have improved the way they access and use safety information as a result of the project? **Baseline Information Requirements** • The safety at sea information and disaster preparedness information that is currently produced. • What information stakeholders (govt to community) use and how they access this. • The levels of awareness of safety at sea measures in fishing communities.
Legal framework adapted and applied for boat construction. Communities have improved safety practices and so have reduced vulnerability in coastal areas	• What safety regulations were adopted in the communities? • How many boats were built in accordance to the safety regulations?	***Performance Indicators*** • The percentage of boats / fishing operations with basic safety equipment across all pilot sites increased to x% from the baseline value by project year 4. ***Baseline information*** • Current legal frameworks / guidance for safety at sea measures • Current levels of awareness / compliance with safety regulations. • Compliance with safety measures in boat construction yards.
Communities have the capacity to link to and access early warning systems together with the coast guard, police, navy, mass media and other emergency response agencies.	• How many accidents were reported and how many rescue operations were conducted with cooperation across rescue services (police, navy, media etc.)?	***Performance Indicators*** • By the middle of the second year accidents are being systematically reported in target communities. • By the end of the 4th year perceptions about number and severity of accidents indicate a decline. ***Baseline Information*** • The systems for recording accidents and details of the numbers (where recorded). • The systems set up to coordinate responses to safety issues and disasters • Perceptions about numbers and severity of accidents in target communities.
Communities and stakeholders have the confidence to deal with	• How have the level of confidence and attitudes of the communities with respect to safety at sea and disaster preparedness?	***Perception Indicator*** • An increase in x % (above baseline) of people who developed awareness, confidence and changed attitude to perform disaster preparedness and improved

safety issues and undertake disaster preparedness measures.		safety actions in coastal areas. ***Baseline Information Requirements*** • The current disaster preparedness systems in use. • The confidence of fishers to avoid accidents and if necessary to recover from them.

PROJECT COMPONENT 3: POST-HARVEST FISHERIES

Vision: Sustainable development of post-harvest and marketing of fishery products through which access to markets by both fishers and consumers have increased, losses have reduced making the industry profitable and consumer satisfaction has been enhanced. Government and service providers are responsive to needs.

MOST SIGNIFICANT CHANGE	PERFORMANCE QUESTION	MEASURE OF PROGRESS
Fishers are using their skills, knowledge and facilities within the community	• What skills have been learned? • What facilities are available and being used? • To what extent and in what ways have fishers, traders and processors put in practice their newly learned post-harvest skills?	***Performance Indicator*** • The % of fishers demonstrating adequate knowledge of quality improvement measures improved by x% through the programme. ***Baseline Information Requirements*** • The current levels of post-harvest skills, knowledge and practices. • Post-harvest facilities available and being used by fisher communities.
Post-harvest losses have been reduced	• To what extent has the quality of fish handling, processing and storage been improved?	***Performance Indicators*** • % of fish in selected market chains meeting agreed national standards of quality increased by X% above the baseline level by year 4. ***Baseline Information*** • Quality of selected fish products in selected market chains against national (or international if needed) standards.
Consumers satisfaction has	• Do consumers eat more fish?	***Performance Indicators***

been increased in terms of quality and accessibility of products	• Do more people have access to fish? • Do consumers think that the quality has improved?	• Perceptions of fish traders on the quality of fish improved against baseline level by year 4. ***Baseline Information*** • Current per capita consumption of fish locally and nationally. • The distribution and use of fisheries products within communities undertaken
Fishers have more access and influence in the supply chain	• How has the fishers influence on the market chain increased the price of fish in the market?	***Performance Indicators*** • Fishers have increased their influence over the market chain as defined in the participatory market chain analysis by project year 4. ***Baseline Information*** • Participatory market chain analysis within fishing communities
Government capacity to support post-harvest fisheries enhanced	• How has the government improved its support for post-harvest fisheries?	***Performance Indicators*** • Government funding and staff resources for fisheries post-harvest increased by x% by project year 4. ***Baselines Information*** • Existing policies related to post-harvest fisheries and institutions that influence post-harvest fisheries.

PROJECT COMPONENT 4: LIVELIHOOD ENHANCEMENT AND DIVERSIFICATION

Vision: Coastal communities have enhanced confidence and skills and initiative to take up new options through income generation activities with support from responsive service providers and within an enabling policy environment

MOST SIGNIFICANT CHANGE	PERFORMANCE QUESTION	MEASURE OF PROGRESS

Existing livelihoods enhanced and opportunities for different activities introduced and supported to create more and better opportunities for livelihood development	• How have fishers incomes increased from enhancement and diversification activities? • How many households have taken up new activities or improved what they are already doing?	***Performance Indicators*** • Fishers have a strengthened a consensus that changing their livelihood is both necessary and possible. • Fisher's assessment of the factors that have improved or reduced their ability to improve the quality of their livelihoods assessed in year 3 and 4. • % of fishers in pilot communities who feel they have improved their wealth increased by year 4 above baseline levels. ***Baseline Information*** • Current livelihood activities in pilot communities. • Perceptions of wealth of fishers in pilot communities. • Attitudes towards changing livelihoods in pilot communities. • Factors that help or inhibit livelihood change in target communities.
Improved capability of service providers and policy makers in order to support livelihood enhancement and diversification	• What are the forms of support provided to both create the opportunities and help people to access them? • How has the support improved?	***Performance Indicator*** • Fisher's awareness of and access to supporting services increased through the project. ***Baseline Information*** • Supporting services for livelihood enhancement and diversification available to pilot communities.

PROJECT COMPONENT 5: MICRO-FINANCE

Vision: Fishers have developed their capabilities to be bankable through appropriate training, saving mobilization, installing credit consciousness and self help. Government and private sector institutions are providing financial services to coastal fishers.

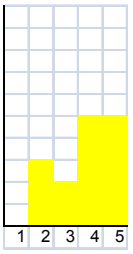
MOST SIGNIFICANT CHANGE	PERFORMANCE QUESTION	MEASURE OF PROGRESS
Increased awareness of credit availability am terms and saving mobilisation (increased savings)	• To what extent have people improved their awareness of financial services? • How has this affected the way people access financial services?	***Performance Indicator*** • Level of awareness of savings and credit facilities, rights, responsibilities has increased by X% above the baseline level. ***Baseline Information*** • Current levels of awareness and practices for accessing financial services in baseline communities • Assessment of current levels of awareness for financial services in pilot communities.
Improved delivery of credit by government and private bankers to fisher communities	• How has credit provision been improved for fishing communities?	***Performance Indicator*** • At least x% of families in the pilot communities have increased their use of the financial services compared with the baseline value. • Fisher families have increased their confidence and willingness to utilise formal financial services by X% by year 4. ***Baseline Information*** • Assessment of the current formal financial services that are potentially (if not actually) available to communities.

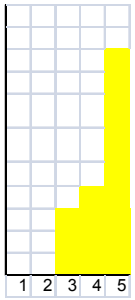
ANNEX 11: WORKSHOP EVALUATION

For each section rank your thoughts on the workshop on a scale of 1-5 and provide your comments in the box below.

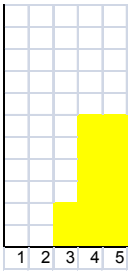
Scale:

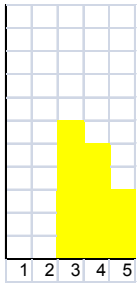
1 – insufficient 2 – could be better 3 – OK 4 – good 5 – very good

CATEGORY		RATING
WORKSHOP PLANNING and ORGANISATION (av. Score 3.8)		
What went well? • Though we didn't have a trainer for the first 2 day but we did during these days as distant training is a good starting point for us to learn the next day. We can come back to our first exercises more thinking critically • Workshop organisers to fill in gaps while resource speaker had not arrived • Good introduction • Ability to address cross national and cross cultural issues • Ample time to enable our presentation of ideas • Time arrangements and interaction among the participants	• Went well with formulation of vision, change, indicators, questions for change, M&E and outputs • Group discussions, critical ideas been shared, experienced that we have had when working with communities have been shared and group and team work • Good lessons learned on participatory approaches system, stakeholder analysis, visioning and partnerships • Interaction and cooperation with the group work • To some extent the venue • Good logistics arrangements for participants • Partnership and mutual understanding of the broad outline of creating the framework	
What could have been better? • Supplementary materials will be appreciated • The output of discussions is scattery and may overlap activities. There should be Vision, Objective, Output, Input, Activities, risk OVI... • Should prioritise the more important task should do first , otherwise we wasted time • Visual aids, office supplies, venues and lighting • Should improved in organising activities	• Time not adequate to meet our priorities • Timing • It is better if you give an agenda in advance • The topics within the session should be clearly and precisely informed • The training plan / agenda sent before training • Give agenda day by day • The agenda should have been sent out before the workshop	

WORKSHOP FACILITATION (avg. Score 4.5)	

What went well? • Clear explanations and examples • Presentations and participants interest • Giving sufficient time in presenting issues and discussing with participants • Good facilitation where participants contribution and interaction were great • Participatory • Good listening and feedback from the trainer and participants • Instruction to participate good participation in discussions • Encouraging actively mobilise group and create active environment for discussion	• Creating spontaneous of brainstorming / sharing mechanisms with other participants Listen and accommodate the views of everyone • Interaction and facilitation of facilitator and participants • Good time management to achieve expected results of training • Good way to be trainees to work in groups • Teambuilding and knowledge sharing • The tools and materials provided • Delivering of materials • Delivering materials • The facilitation was ok with time to put things in proper perspective • Food snacks were good
What could have been better? • It would be great if there was no volcanic eruption where trainer could be with us from start • More exercises • Reality of exercises (need visuals film / documentary) • Better to be clear instructions for group work	• Clear schedule / plan on activities Need to send the agenda beforehand • In some cases it is better if you influence a bit to make clear decisions • If internet is available it is good • Facilitating the workshop • Time management by providing free time to participants to rest and tour around

BUILDING RFLP Livelihoods Framework and Principles (avg. score 4.3)	
What went well? • Patience in eliciting ideas from diverse nationalities • Allowing participants to think by themselves and summarised – it was easy to understand and remember • This is very logical and well done new way of presenting the livelihoods framework. • The way the framework was developed by the participants in a gradual and participatory way • We built the SL framework and principles with facilitator • Good explanation built on participants experiences	• Participation of all members is excellent tool the new consultant used Conceptual framework is good • New concepts on livelihood framework • Facilitation on how to build the framework to be relevant and specific to the areas of project concern over • Simple examples to understand then applied to the RFLP project • Ability to focus and give direction to the RFLP framework • Good start on creating a log frame and understanding livelihoods principles • Understanding on essential things related • Summarised and presented well • Simple example • Relationship framework
What could have been better? • Actual planning for the activities is still not clear • Apply time to expound through case studies/ testimonies • Principles will be created in advance • Relating the framework to project log frame • Guidelines for national activities	• Give the materials 1 day before • More on project design • Make assignment examples • Since of word written on the CARDs is too small and some is imprecisely understood. So the word written on the card should be facilitated to write clear on the concept and meaning to make it easy to understand

Agreeing Programme Level Indicators and Requirements for the Baseline Survey (avg. score 3.8)	

What went well? • Better application of indicators and requirements at the regional programme level • Potential to appreciate regional indicators vis-a-vi national indicators • Process was ok • Good explanation of regional and national levels of requirements for indicators • Lot of indicators • Showing connections between national and regional levels	• Develop participating countries common purpose • Each country well agreed the baseline survey • The discussions • Interactions and comments to the points • From the regional levels outputs and national level outputs are different. However, the participants got very good knowledge to set up national indicators • Better in general but it had more focus on local need
What could have been better? • More discussion on indicators to be able to develop a general regional indicators acceptable to the countries • It should of been announced in the first place that our work in the workshop is taken as the Regional agreement. At first we were told it is just an exercise for practice only • Since unclear from the beginning of flows and concept / knowledge developed cause a lot of mistake so the flow of concept and ideas should be framed in the beginning.	• Need modification to reflect the actual situation • Programme level indicators could be simplified More detailed guidelines for baseline for each country • Need more expertise • Well done and keep up the good work • It would be good if we have detailed idea or details on country plans • Spend more time to discuss on this • Building concepts and examples at national level • Explaining the terminology of M&E for instance performance questions

ANY OTHER COMMENTS

- I am very pleased to be in this workshop because I have learned from other friends from other countries, through the skills and experiences that have been shared. However, we should have to prioritise the important topic or matter to start with in regard to our project.
- It would be better to conduct this activity before drafting the work plan. Therefore, the work plan can be designed in a proper way.
- Suggest a 1-2 day workshop to refine national level indicators that correspond and give support to regional programme level indicators to avoid redundancy and waste of resources
- Propose an in country indicators development in relation to the regional indicators.
- More qualitative research is needed
- Materials should be given in advance for participants to study
- Facilitator has done great effort, however too much to cover and explore.
- Facilitator should sometimes limit the unnecessary / unrelated issues that arose.