GCP/RAF/441/GER

"Enhancing the contribution of Non-wood Forest Products to Poverty Alleviation and Food Security in Central African countries"

An annotated review of livelihood assessment methodologies for use by the project

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List of Acronyms

CIFOR	Centre for International Forestry Research
DFID	Department for International Development (UK)
FAO	Food and Agriculture Organization of the United Nations
FIVIMS	Food Insecurity and Vulnerability Information and Mapping System
GAAF	Gender Analysis and Forestry
MA&D	Market Analysis and Development
NTFP	Non-timber forest products
NWFP	Non-wood forest products
PRA	Participatory rural appraisal
RRA	Rapid rural appraisal
PWR	Participatory wealth ranking
PROFOR	Program on Forests (World Bank)
SEAGA	Socio-economic and Gender Analysis
SLF	Sustainable Livelihood Framework
SME	Small and medium enterprises
UNEP	United Nations Environment Programme
USDA	United States Department of Agriculture
WR	Wealth ranking

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1 Introduction

Non-wood forest products (NWFP) contribute to a major part to household income and livelihood security of forest dependent local people (Belcher & Schreckenberg, 2007). Many development projects focus on commercializing NWFP to generate higher income for low income groups often living in marginal forest areas. The question is: How can benefits of development projects be assessed? How can these benefits be statistically visualized to report back to donors or other involved stakeholders that the project was overall successful or failed in improving the livelihoods of the rural poor?

This is the question the following study aims to clarify. It should give an idea to the project team of how to assess the impact of the project: “livelihoods of forest dependent communities are improved”.

The report is divided in two major parts. The first part shows the research methodology used for this study and introduces the most appropriate methodologies for livelihood assessment so far applied in practice with references were to find online and whom to contact for further information.

The second part discusses, how discrete parts of the methodologies selected fit together to form an effective scheme for evaluating the livelihood improvement in the 6 field pilot sites foreseen to start from 2010 onwards under the German funded project **“Enhancing the contribution of Non-wood Forest Products to Poverty Alleviation and Food Security in Central African countries”** in three Central African countries (Republic of Congo, Central African Republic, Gabon) by FAO (GCP/RAF/441/GER).

The recommendations given in the second part are also valid in other geographical areas as they provide a framework of what to take care of and what is needed to assess livelihood improvement through NWFP commercialization on the field level.

The Annexes present a digest of shortened version of tools mentioned in the recommendations as well as further readings recommendable to get to know more about how to assess livelihood improvement, especially about the application in practice.

2 What to evaluate?

The project GCP/RAF/441/GER will contribute to poverty alleviation and sustainable forest management in Central Africa through the valorisation of NWFP by local people. At pilot sites, the project will strengthen NWFP-based small and medium scale enterprises to benefit poor, local communities and particularly the most vulnerable groups such as ethnic minorities or women by promoting added-value processing, marketing and by capacitating producer's support networks. The logical framework states the impact the project aims to achieve:

"**The livelihoods of targeted forest dependent communities of Central Africa are improved.**"

Appropriate evaluation methodologies should be used to assess livelihoods at the household level within the pilot areas in order to report on the achievement of project outcomes to donor, FAO and participating countries.

Livelihoods are not just assessable by looking at the financial asset of a household but by including non-monetary components into the evaluation such as degree of education, access to credits, social structures in the community etc. (Frankenberger et al. 2000, Freeman et al. 2004, Marshall et al. 2006). Therefore the evaluation needs to tackle both, monetary and non-monetary values affected by promoting forest-based small and medium enterprises (SME).

Text box 1: Defining households

The project team has to define the term 'household' according to the specific conditions in the pilot areas. It should be taken into consideration that the conditions in the pilot areas may vary, as the project GCP/RAF/441/GER will intervene in 3 different countries.

In general the term 'household' refers to all individuals, who live in the same dwelling. For the purpose of the study, the project team might specify this term according to:

- the number and age of household members,
- the head of the household,

3 Methodology

To find appropriate evaluation methodologies to assess livelihoods at the household level within the pilot areas, a literature study and several expert consultations were conducted from August till November 2009.

The table shows databases and full text resources used and presents a short explanation for each. Most of these text resources require licensed access, which was for this study provided by FAO. As not every reader may have access to these restricted databases, online resources containing more general information on the text resources are provided additionally.

The Forestry Information Centre of the FAO Forestry Department provides an overview of existing online text resources, too http://www.fao.org/forestry/library/en/.

Table 1: Overview of text resources used for literature research

	Annotation	Online source
CAB Abstracts	• Bibliographic database created by CABI, a non-profit science-based development and information organization • Covers all aspects of agriculture, i.a. forestry and forest products, rural development, sociology, human nutrition • Contains more than 5 million records with abstracts	Direct link: http://www.ovid.com/site/catalog/DataBase/31.jsp?top=2&mid=3&bottom=7&subsection=10 CAB Direct: http://www.cabdirect.org/
AGRICOLA	• Bibliographic database created by the USDA National Agricultural Library • Subjects include agricultural economics, rural sociology, food and human nutrition, forestry and natural resources • Contains more than 3.7 million records to agricultural literature beginning in 1970	Direct link: http://agricola.nal.usda.gov/ USDA National Agricultural Library: http://www.nalusda.gov/
Science Direct	• Compendium of scientific, technical, and medical literature from Reed Elsevier, one of the world's largest publishers • Covers physical sciences, applied sciences, life sciences, social sciences, business and economics • Contains 1700 full text electronic journals	Direct link: http://www.sciencedirect.com Elsevier: http://www.elsevier.com/wps/find/homepage.cws_home
ProQuest Direct	• Database developed by the private company ProQuest specialized on information resources and technologies • Subjects include sustainable development, social sciences, nutrition, economics, forestry and agriculture • Contains summaries of articles from over 8,000 publications, with many titles in full text	Direct link: http://proquest.umi.com/pqdweb/?RQT=302&cfc=1 ProQuest: http://www.proquest.co.uk/en-UK/

	Annotation	Online source
PubMed Central	• Free digital archive of biomedical and life sciences journal literature from the US National Library of Medicine • Covers all topics related to nutrition • Contains nearly 2 million articles	Direct Link: http://www.ncbi.nlm.nih.gov/sites/entrez?db=pmc&itool=toolbar PubMed Home: http://preview.ncbi.nlm.nih.gov/pubmed

Reviewing different types of literature helped to identify the topics, which have to be taken into account to address livelihood improvement resulting out of NWFP commercialization. Relevant publications, which were used to gain a deeper insight into NWFP commercialization, are indicated in *Annex 1: Further readings on NWFP commercialization*. As they do not offer a clear coherence to an assessment of livelihoods related to NWFP commercialization they are not presented in more detail in this report. *Annex 2: Further readings on evaluation designs* shows helpful publications dealing with the concrete application of evaluation schemes at the community or household level.

Besides the literature research, consulting experts in interdisciplinary fields related to NWFP commercialization and livelihood assessments was crucial to develop an enhanced understanding of what the evaluation needs to cover and what major constraints have to be faced when assessing complex livelihoods. The following table lists chronologically the professionals interviewed and provides contact details in case further consultation is required.

Table 2: Details of expert consultation

Date	Name	Profession	Contact details
18.08.-15.11.09, ongoing consultation	Paul Vantomme	Senior Forestry Officer, NWFP, Forest Product and Industries Division, FAO	Paul.Vantomme@fao.org
20.08.-15.11.09, ongoing consultation	Sophie Grouwels	Forestry Officer, Community-Based Enterprises Programme, Forest Policy and Economics, FAO	Spohie.Grouwels@fao.org
27.08.09	Adrian Whiteman	Senior Forestry Officer, Economic Analysis, Forest Product and Industries Division, FAO	Adrian.Whiteman@fao.org
08.09.-15.11.09, ongoing consultation	Juliane Masuch in collaboration with Ousseynou Ndoye	Associate Professional Officer Regional Project Coordinator FAO regional Project GCP/RAF/441/GER, Yaoundé, Cameroon	Juliane.Masuch@fao.org Ousseynou.Ndoye@fao.org
15.09.09	Marco Boscolo	Forestry Officer, Economic Analysis, Forest Policy and Economics, FAO	Marco.Boscolo@fao.org
05.10.09	Patricia Colbert	International Gender and Development Consultant, Equity and Rural Employment Division,	Patricia.Colbert@fao.org

Date	Name	Profession	Contact details
		FAO	
09.10.09	Mark Smulders	FIVIMS Coordinator, Agriculture and Development Economics Division, Economic and Social Development Department, FAO	Mark.Smulders@fao.org
12.10.09	Marie-Claude Dop	Nutrition Officer, Nutrition and Consumer Protection Division, FAO	MarieClaude.Dop@fao.org
20.10.-30.10.09	Prof. D.D. Tewari	Natural Resource Economist	Tewari@ukzn.ac.za

4 Quality criteria for evaluation methodologies

This section discusses fundamental quality criteria each data acquisition relating to the evaluation of livelihoods should fulfil in order to produce an output of high quality.

When the survey is still in the planning phase, it is necessary to consider under which conditions at pilot sites and resource requirements (budget, time, staff, and equipment) the evaluation needs to be conducted to gather appropriate and reliable data. Data reliability is the basis for any further processing of the information, including viability, accuracy, and precision.

Following the requirements for gathering reliable data when assessing livelihoods are briefly explained:

- **Interdisciplinary appraisal team**

Today it is widely recognised that livelihoods consist out of many different aspects forming a complex system of in- and outputs. Therefore the evaluation needs to be overall interdisciplinary, including both monetary and non-monetary values. The best way of gathering this multitude of data is through participatory approaches (see chapter 6). To minimise the possibility of subconsciously influencing the participants the appraisal team should, first of all, consist of people with different occupational backgrounds. Secondly the team members need to have the ability to build trust between communities and themselves, otherwise people will not be willing to talk about such sensitive issues as income or gender inequality.

In short the appraisal team should consist of:

  - people of different occupational backgrounds (e.g. ecology, economy, social sciences, forestry, agriculture)
  - at least 3 core members

    → Core members are seen as people, who continuously conduct the assessment of livelihoods within a certain pilot area.
  - at least 1 woman
  - translators if needed
  - a combination of local and external workers

The characteristics of an appraisal team are based on the recommendations given in the SEAGA Field Manual Handbook (see section 5.2)

- **Data consistency**

To get a picture of how the real situation looks like one should at least include 15-20 % of a village into the sample. In total the number of participants should not be below 30 people, 50 is more recommendable (figures according to Adrian Whiteman, 2009). This means also, that villagers not as easy to reach as others should be equally included into the sample like those living near roads in order to avoid bias. Generally wealthier people have better access to infrastructure than those with less income. Therefore choosing the sample according to accessibility can cause serious bias.

Depending on the resources available to spend, the survey should take place in every village the project had activities in and were the project team wants to statistically visualize the project outcome.

- **Data relevance**

Indicators to assess income based on NWFP should be carefully chosen so that they are in line with and relevant for the overall project indicators from the project's logical framework.

- **Availability of baseline data**

When interpreting the performance of the project there needs to be baseline data to provide a comparison with the initial situation before the project started. For this reason a baseline survey should be conducted in each area where a statistically proven outcome shall be provided, before starting with any activity promoting development. The survey can likely be part of the first activities in the communities as participatory approaches serve as a good trust building practice to build upon in the future.

- **Data comparability**

It is advisable to use a standardised set of descriptors and absolute measures wherever possible in order to see the broader picture of how livelihoods within the different pilot sites evolve. Once the survey is developed, it should be applied for any further data collection without major changes in the core content.

- **Data correctness**

Data collected in the pilot areas should reflect the real changes in current living standards of people dealing with NWFP. Especially when assessing the economic situation, it is necessary to consider the actual value instead of the nominal value of NWFP. Otherwise the information gathered might overstate or underestimate the real contribution of NWFP to people's livelihoods (Tewari in personal consultation, 2009).

The difference between real and nominal value is elucidated in **Error! Reference source not found.**.

- **Gender sensitivity and age classification**

Communities are not a homogeneous group in which resources are distributed equally.

There are several factors determining the access to resources such as wealth class, ethnicity, gender and age. Certainly gender and age belong to the most predominant factors causing distinctively structured livelihood conditions. To promote activities enabling younger and older people from both genders to participate and benefit equally, the evaluation needs to clearly identify what factors determine the access to and the responsibility over which resources.

Paying carefully attention to the distribution of responsibilities and rights related to gender and age is fundamental to draw an exact picture of the livelihood strategies used within a community.

Text box 2: Real vs. nominal value

When asking villagers for their regular income per month, they will name a certain amount of money. This number assigns the nominal value of a good. However, the nominal value will in most cases not reflect reality. People living in remote areas do not need to count their income on a monthly scale, therefore they will not be able to recall correctly. Thus, it is necessary to assess the real value of a good. To do so, the villagers should be exclusively asked for things they can recall properly.

Following an example of questions relating to the use of honey:

- How many months a year do you collect honey?
- Within these months, do you collect honey every day?
- How many days to you take off a week?
- How much honey do you collect each day?
- How often do you go to the market and sell the honey (within a week/ month)?
- How much money do you earn when you go to the market?

5 Evaluation methodologies selected

This section presents a pool of methodologies that are suitable for the assessment of livelihoods in the framework of development activities. These methodologies have been selected from the huge number of already existing toolboxes, manuals and methods, applying a list of criteria (see below). Each methodology is briefly described, followed by online references and contact details.

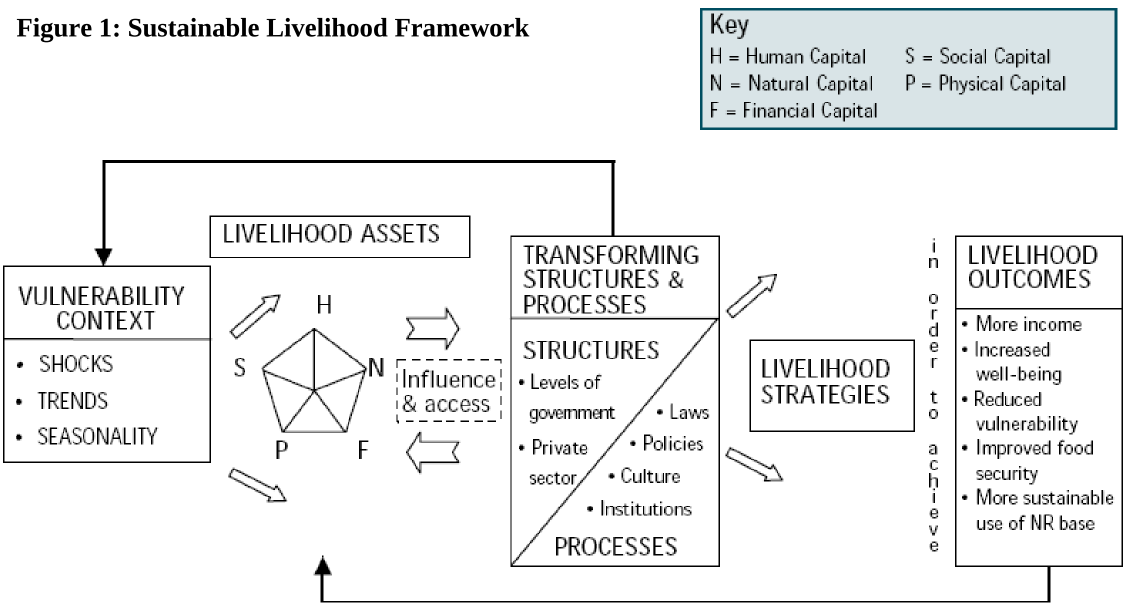
The methodologies selected were chosen according to following criteria:

- applies wealth ranking exercise,
- uses Sustainable Livelihood Framework for indicator development (see Text box 3 below),
- assesses monetary values,
- assesses non-monetary values,
- uses participatory approaches (e.g. PRA, RRA, focus group discussions),
- is gender sensitive,
- addresses food security and
- provides a field handbook.

An overview of how each methodology selected responds to these criteria is given in *Annex 3: Overview of methodologies presented in Chapter 5* , pointing out their particular suitability to the project GCP/RAF/441/GER.

The SLF, mentioned in **Error! Reference source not found.** and described by Figure 1 below, is used as a selection criteria for evaluation methosologies. It provides a framework for the methodologies mentioned in this chapter but does not work as stand-alone application. One should take the SLF as a lead when designing an evaluation for livelihood assessment.

Figure 1: Sustainable Livelihood Framework



Text box 3: Sustainable Livelihood Framework - DFID

"The Sustainable Livelihoods Framework (SLF) presents the main factors that affect people's livelihoods and typical relationships between these. It can be used in both planning new development activities and assessing the contribution to livelihood sustainability made by existing activities. (...) The framework is intended to be a versatile tool for use in planning and management. It offers a way of thinking about livelihoods that helps order complexity and makes clear the many factors that affect livelihoods."

The SLF uses five assets to assess the well-being of people's livelihood: human, social, natural, financial and social assets. As rural people often have only very limited access to financial resources they need to use other assets such as social networks or natural resources to cope with missing financial capacity. Using the SLF helps capturing the household's well-being, taking into account natural, social, human and physical assets, whose effects are often neglected when the improvement of livelihoods is measured only in regard to pure income generation.

Online source: http://www.eldis.org/go/topics/dossiers/livelihoods-connect/what-are-livelihoods-approaches/training-and-learning-materials

mailto: livelihoods@dfid.gov.uk

5.1 Market Analysis & Development (MA&D) – FAO

MA&D aims at identifying and implementing micro and small-scale tree and forest product enterprises in order to strengthen existing livelihood strategies through increased income to male and female entrepreneurs in rural communities, while at the same time ensuring sustainable use of natural resources.

MA&D is based on one preliminary planning phase and three successive main phases.

- Phase one identifies potential enterprises; inventories existing resources and products; identifies products that are already providing income for local people; and eliminates non-viable products. The financial objectives are determined by local people interested in developing enterprises.
- Phase two includes selecting the most promising products, identifying potential markets and discussing the means to commercialise the products.
- Phase three consists in preparing the enterprise strategy and business plan. Future entrepreneurs are guided through a pilot phase and training, and learn to monitor progress and to adapt when change is needed.

Online source: http://www.fao.org/forestry/enterprises/25492/en/

Contact person: Sophie Grouwels, Forestry Officer (Community-Based Enterprises Programme), Forest Policy Service (FOEP)

mailto: Sophie.Grouwels@fao.org

5.2 Socio-Economic and Gender Analysis Programme (SEAGA) – FAO

SEAGA is a holistic approach to development based on an analysis of socio-economic patterns and participatory identification of women's and men's priorities. The objective of the SEAGA approach is to close the gaps between what people need and what development delivers.

The SEAGA publications offer practical tools and methods for integrating socio-economic and gender issues at different levels and within different technical areas.

Of special interest is the Field Manual Handbook, which provides toolkits specifically designed to support a participatory process that first, focuses on an analysis of the current situation and second, focuses on planning for the future. The toolkit consists of a number of rapid and participatory rural appraisal tools and includes also a series of SEAGA Questions to facilitate and deepen analysis.

Online source:	http://www.fao.org/sd/seaga/index_en.htm
Contact person:	Patricia Colbert, International Gender and Development Consultant, Equity and Rural Employment Division (ESW)
mailto:	SEAGA@fao.org
	Patricia.Colbert@fao.org

5.3 Gender Analysis and Forestry, International Training Package (GAAF) – FAO

The International Training Package on Gender Analysis & Forestry draws from the experiences and suggestions of the participants of the Gender Analysis & Forestry in Asia Programme. It was prepared with extensive input from trainers and foresters in Bangladesh, Bhutan, India, Nepal, Sri Lanka and Thailand.

The package provides detailed advice on how to apply the Gender Analysis & Forestry Framework, which is a step-by step tool for carrying out gender analysis in forestry issues.

There are four steps in the Frameworks which help trainees to raise questions, analyse information, and develop strategies to increase women and men's participation in and benefits from forestry programmes.

		Leading questions
Step 1:	Assessing the development context or patterns in an area	What is getting better? What is getting worse?
Step 2:	Carrying out women and men's activities and roles	Who does what?
Step 3:	Identifying women and men's access to and control over resources	Who has what? Who needs what?
Step 4:	Planning the programme actions needed to equally promote development	What should be done to close the gaps between what women and men need and what development delivers?

GAAF is designed as a training programme for field workers and does not offer advice on HOW to gather the information within the community. Nevertheless one should consider, if staff is sufficiently sensitised for gender issues in forestry topics.

If this is not the case, GAAF serves as a detailed and easily understandable training manual for staff members or extension workers and tells in detail which information they have to gather to get a holistic view of the different livelihood strategies within a community.

Online source:	http://www.fao.org/forestry/gender/10590/en/	
Contact person:	Patricia Colbert	Sophie Grouwels
	International Gender and Development Consultant, Equity and Rural Employment Division (ESW)	Forestry Officer (Community-Based Enterprises Programme), Forest Policy and Economics (FOEP)
mailto:	Patricia.Colbert@fao.org	Sophie.Grouwels@fao.org

5.4 Poverty-Forestry Linkage Toolkit – PROFOR (Program on Forests)

The Poverty-Forestry Linkage Toolkit provides a framework, fieldwork methods and analytic tools to understand and communicate the contribution of forests to the incomes of rural households. It is presented in two parts:

Part 1: The National Level

Part 1 discusses and guides the networking and research that is needed at national level to understand and communicate the contribution of forest products to rural livelihoods.

Part 2: The Field Manual

Part 2 gives detailed guidance on carrying out fieldwork at village-level to assess the contribution of forest products to rural livelihoods. It gives suggestions for site selection, pre-field planning and organization of the field visits. It goes on to describe the field tools, with instructions for their use, providing all the charts needed together with examples illustrating the data they generate. There are full explanations of the purpose of each tool, the materials needed for each, and problems to look out for. The language and explanations have been made as simple and clear as possible.

Online source:	http://www.profor.info/profor/node/103
Contact:	http://www.profor.info/profor/node/74
mailto:	profor@wordlbank.org

5.5 Methods Manual for Fieldwork – LADDER, DFID

LADDER is a research project funded by the Policy Research Programme of the UK Department for International Development (DFID) that aims to identify alternative routes by which the rural poor can climb out of poverty.

The Manual gives a detailed description on how the field work is organised and conducted, including group methods on how district and village profiles are performed and how village livelihoods are analysed in a historical context. Furthermore it explicitly focuses on identifying different livelihood strategies and their relevance for people's livelihoods. For each topic (farming, livestock, forestry, wildlife, tourism and fishing) a range of specific leading questions is given.

The first section of this manual is very significant and shows how districts and villages were selected as pilot areas. This could form a helpful lead for developing criteria for the pilot sites selection in the project GCP/RAF/441/GER.

Online source: http://www.uea.ac.uk/dev/research/currentprojects/LADDER

Contact: Prof. Frank Ellis, LADDER team leader, Overseas Development Group

mailto: f.ellis@uea.ac.uk j.mims@uea.ac.uk

The following two methodologies focus on livelihood assessment explicitly related to market activities and NWFP commercialization.

5.6 A method to assess the outcomes of forest product trade on livelihoods and the environment – Belcher et al., CIFOR

The method is an output of a multi-collaborator research project by CIFOR on the potential of non-timber forest products (NTFP, used similar to NWFP) trade for conservation and development. To estimate this potential, tools to assess the effects of NTFP trade on people's livelihoods and the environment were designed using the SLF developed by DFID (see above).

Belcher et al. developed indicators assessing the effects on NTFP trade on household and community level, which are of special interest for measuring impact related to livelihoods. These indicators are addressed by using a system in absolute measures (totally true=2, partly true=1....). Unfortunately the system with absolute measures is applicable AFTER successful NTFP commercialisation. However, the indicators can be used for a baseline study.

All indicators are given in *Annex 4: Shortened version of tools mentioned.*

Online source: http://www.cifor.cgiar.org/Knowledge/Publications/wkpapers/

mailto: cifor@cgiar.org

5.7 Practical Tools for Researching Successful NTFP Commercialization: A Methods Manual – Marshall et al., CEPFOR, UNEP

The manual draws on the experience of the project 'Commercialization of Non-timber Forest Products (NTFPs) in Mexico and Bolivia: Factors Influencing Success' (CEPFOR), a multidisciplinary research initiative involving partners from the UK, Mexico and Bolivia.

The manual describes the applied and most appropriate tools for similar projects to successfully enhance NWFP commercialization.

The document basically focuses on how to perform a sufficient Value Chain Analysis (VCA) in order to successfully involve NTFP into the market system. Amongst other tools, it describes how participatory analysis at community level is applied as a first step in order to prioritize NTFP for commercialization.

Online source:	http://quin.unep-wcmc.org/forest/ntfp/outputs.cfm	
Contact of authors:	Elaine Marshall UNEP World Conservation Monitoring Centre	Kathrin Schreckenberg Overseas Development Institute (ODI)
mailto:	Elaine.Marshall@unep-wcmc.org marshallelaine@googlemail.com	k.schreckenberg@odi.org.uk

Addressing Food Security:

None of the methods introduced above tackle the aspect of how to assess food security which is an important aspect for the project GCP/RAF/441/GER. Consequently, below a particular method is suggested to show how this topic can be covered instead.

5.8 Guidelines for Measuring Household and Individual Dietary Diversity – FAO

Food Security is a very complex issue comprising different dimensions determined by a broad range of external factors interacting between each other and shaping the vulnerability of people to food insecurity.

To determine people's vulnerability to food insecurity it is likely to use indicators which address people's nutritional well-being such as the diversity of the daily dietary. For this reason FAO developed the dietary diversity questionnaire as a tool providing a more rapid, user-friendly and cost-effective method to measure changes in dietary quality at the household and individual level. Dietary diversity is a qualitative measure of food consumption that reflects household access to a wide variety of foods.

The dietary diversity tool uses scores, which are simply a count of food groups that a household or an individual has consumed over the past 24 hours to reflect the economic ability of a household to consume a variety of foods. The guidelines describe the use of the dietary diversity questionnaire at both household and individual level, including a description what needs to be taken into account before applying the survey and how to treat the data afterwards.

Online source: http://www.foodsec.org/tr/nut/guidelines.pdf

Contact: Marie-Claude Dop, Nutrition Officer, Nutrition and Consumer Protection Division (AGNA)

mailto: MarieClaude.Dop@fao.org

6 Recommendations

Every development project is distinct in its implementation because approaches to reach the desired outcome differ and socioeconomic and geographical conditions vary from country to country. Although the methodologies mentioned above all tackle the assessment of livelihoods related to development promoting activities they do not exactly fit into the design of the NWFP and food security project in the Central African region (GCP/RAF/441/GER).

The recommendations given in this chapter will guide the project team when it designs its own evaluation methodology adapted for the use in selected pilot sites in Gabon, Central African Republic and the Republic of Congo.

This chapter takes discrete parts of the methodologies introduced in chapter 5 and puts them together to clarify the question of how to measure livelihood improvement in the framework of the project GCP/RAF/441/GER or, in other words, how to assess the project impact on local level.

According to the project document the improvement in living conditions will be achieved i.e. through creating and strengthening capacities of forest-based SME in the selected pilot sites by applying, among other tools, MA&D. More than any other approach mentioned, MA&D presents a holistic framework for empowering forest dependent local people as it focuses on transferring knowledge of how to successfully run an enterprise through continuous participation of the target group and ongoing facilitation by the project.

However, not all villagers will be engaged into market activities and will participate in MA&D. Therefore some will not be included into the analyses performed during the programme. Concluding data gathered within MA&D is not necessarily representative for people living in the pilot areas. Assessing livelihoods of people not taking part in MA&D requires an alternative methodology, which can be applied separately.

For this reason the following chapter presents two ways of assessing livelihoods:

- assessing livelihoods as a stand-alone survey to gather data from villagers **not** taking part in MA&D, and
- assessing livelihoods within MA&D to gather data from villagers taking part in MA&D

Section 6.1 covers the steps to assess livelihoods using a stand-alone survey. They give a detailed understanding of what is needed to conduct a proper livelihood analysis.

Section 6.2 details how the livelihood analysis can be included into MA&D.

Section 6.3 gives the application of a method to assess the contribution of NWFP to food security.

6.1 Assessing Livelihoods as stand-alone survey

This section provides an overview of what is needed to assess livelihoods without being part of a surrounding framework like MA&D. It gives an idea of what steps have to be taken to successfully connect with communities and to exchange information of interest for all stakeholders included in the process. The recommendations of how to conduct a field level analysis are based on the guidelines given in the SEAGA Field Manual Handbook (see section 5.2).

1. Build an appraisal team

The needs for an interdisciplinary appraisal team were discussed in chapter 4. Team members should be selected according to these criteria.

Because many rural women are uncomfortable with male interviewers it is important to include female team members, preferably in equal proportion to male team members. All in all, team members should number not less than 3 and not more than 6 persons. If teams are too large they become difficult to manage and may be overwhelming or threatening to the community.

Synergies with members of FAO project "Mobilisation and Capacity Building for SMEs involved in the production and commercialisation of NWFP in Central Africa" (GCP/RAF/408/EC) should be explored, as they are already familiar with the local conditions as well as with participatory appraisal methods.

2. Train the team on gender issues

Once the team is build make sure that every team member is aware of gender issues related to forestry. If this is not the case, conduct a training workshop using the Gender Analysis and Forestry Training Package (see section 5.3). This ensures that the team is able to detect different livelihood strategies of both genders and draws a comprehensive picture of the community.

3. Review of secondary data

One of the first things to be done is to review all existing sources of information about the pilot areas to understand the geographical and socio-economic factors that affect NWFP commercialization.

Sources of information usually include:

- Statistics and reports from government departments and ministries
- Programme and project documents from government agencies, international organisations (FAO, CIFOR, UNEP), cooperation agencies and NGOs,
- Studies and surveys from universities and research institutions

4. Ensure authorisation of assessment

In many cases permission from local authorities (provincial-, district- and village-level) is necessary before any assessment conducted by "outsiders" can take place. Due to the fact that a follow-up assessment will have to be cleared by local authorities, too, it is essential that they are involved from the beginning. They should be contacted in time before the assessment takes place. Moreover, visits with the local authorities are not only important as a matter of courtesy but also as a source of information.

Additionally an initial visit to the selected villages is necessary to explain the purpose and methods of the evaluation and to find out whether people are actually interested in participating or not.

Therefore it is advisable, that government officials at all levels are dully informed by project staff about the forthcoming livelihood assessment, which will be conducted in the pilot areas.

5. Introduce the team to the target group

The quality of the data gathered depends crucially on the willingness of the villagers to participate.

Therefore the appraisal team should first try to win the confidence of the village leader or other authorities present in the community. If the chief of the village is convinced about the importance of the study, enhancing trust between the team and the villagers will be much easier.

Once the village chief and informants agreed upon their participation in the evaluation, the appraisal team introduces itself during a village meeting to the whole community. The team explains its role in the survey and the importance of the survey for the project team and for the villager. Try to increase awareness of the positive effects people can gain while participating in the survey but stay truthful. Do not raise expectations of the village people, which cannot be fulfilled by the project. A lack of sustained interest of the villagers can dilute the quality of the results and will harm the willingness of the community to participate in future development activities.

The team contributes to a friendly and open atmosphere conducive to participatory planning and allows efficient time-use during the fieldwork, if it stays overnight in the village during the participatory exercises.

6. Choose a representative sample within the community

Conducting a wealth ranking with village leaders and key informants helps to select participants for the survey, who are representative for the local population. The Field Manual of the Poverty-Forestry Linkage Toolkit by PROFOR (see section 5.4) provides among others a detailed guidance sheet on how to conduct a wealth ranking including estimates of time and resources needed (see *Annex 4: Shortened version of tools mentioned*). Instructions for the selection of households, which should be included in the sample, are also given in detail.

As the project focuses on improving the livelihoods especially of the most vulnerable groups, the appraisal team should during this and the following exercise clearly identify all existing minorities or marginal groups resident in the village.

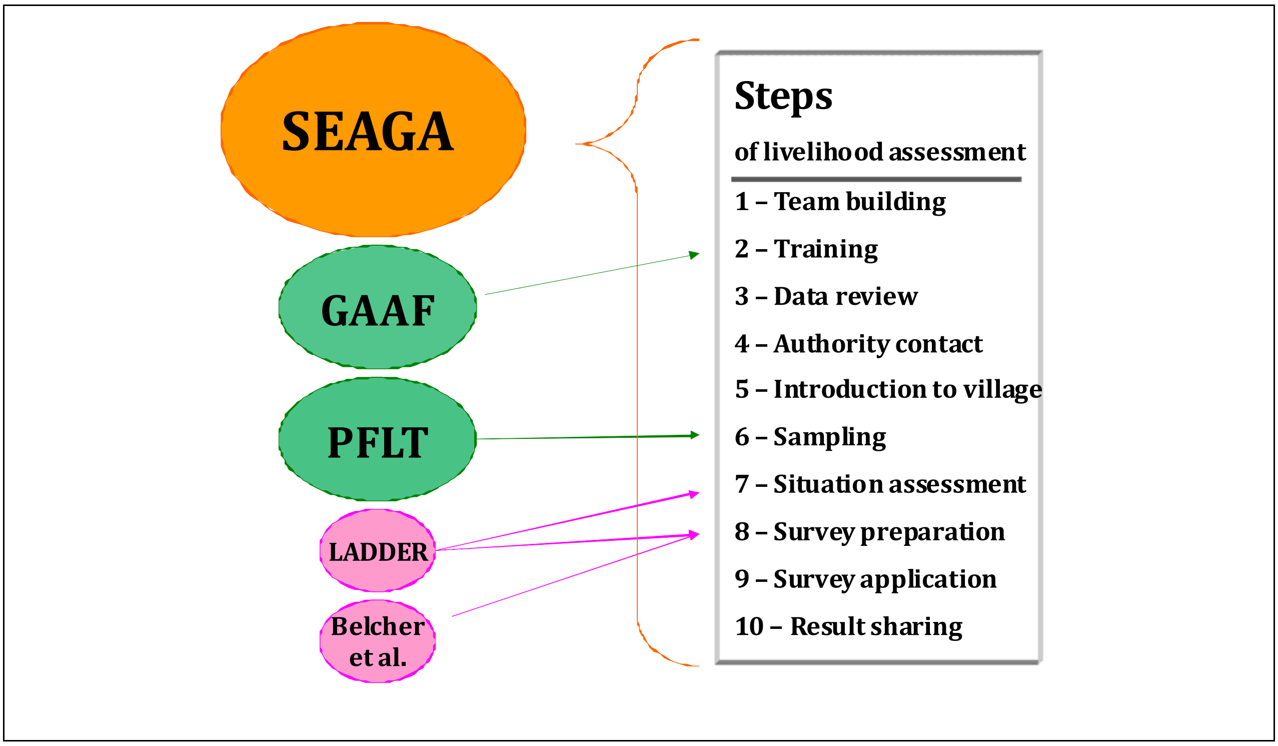


Figure 2: Schematic diagram of how different components are ordered

7. Assess the existing situation

After classifying the population in wealth classes the team needs to get an overview of how the existing socio-economic situation in the village looks like. The LADDER project (see section 5.5) uses for this exercise village group meetings, which represent a reasonable cross-section of the community, easily feasible when inviting the same number of participants out of every wealth class. The total number of participants should not exceed 30 people.

During the meetings the appraisal team has the possibility to ask open questions. The information gathered will form the basis to develop indicators on major assets contributing to the villagers' livelihoods and how these will be affected by the project.

LADDER as well as SEAGA provides a set of questions for analysis but as the project focuses on the use of NWFP it is advisable to develop additional questions to figure out, which NWFP contribute the most to villager's livelihoods.

Examples of the tools used in LADDER and SEAGA as well as leading questions for village group meetings are given in *Annex 4: Shortened version of tools mentioned*.

When the team has advanced and gained more experiences to estimate, that the conditions within a certain area are similar, the village group meetings may be skipped.

8. Design the survey

When defining indicators for measuring livelihoods it is highly recommended to use the SLF (see chapter 5) as a lead. A good example of indicators applicable and already adjusted to the 5 assets mentioned in the SLF is given by Belcher et al. (see *Annex 4: Shortened version of tools mentioned*). As the indicators were developed in order to consider how forest product trade affects people’s livelihoods, they fit well for assessing livelihoods related to NWFP commercialization.

Although it is advisable to use a standardised set of descriptors and absolute measures wherever possible, the team should take into consideration that the conditions will vary between pilot sites or even between single villages. Some changes in the set of indicators and leading questions will be necessary but the broad context should stay the same in order to ensure data comparability among the pilot sites.

The evaluation should address among others following aspects/ leading questions provided by the project team:

- Which NWFP and in which quantity are used directly in the households for food production? What is the share of NWFP use in comparison to agricultural products?
- Which NWFP and in which quantity are sold within the village and outside the village? Here, the focus from household and village level has to move to markets along the value chain. There might be no need to go the markets to collect data there; data could be collected in the villages.

  Concerning the economic contribution to people’s livelihoods the project team should focus on 3 to 4 NWFP per pilot area.

  An example of a survey measuring income generation from NWFP commercialization in Cambodia by Adrian Whiteman is given in Annex 2.
- How is the income generated by selling NWFP used (e.g. health, education, food, fertilizer and seeds etc. for agriculture…)?
- What is the share of NWFP incomes in comparison to other incomes e.g. agriculture, fishery, livestock, external salaries, external transfers e.g. from family members)?

> These economic questions are very important in order to see how NWFP contributes to people’s livelihoods. However, villagers are not able to give correct answers, especially concerning shares in income. In the field appraisal teams should ask for the information and calculate the real value so as to get authentic data (see **Error! Reference source not found.**, chapter 4).

- The project aims as well at changing the legal framework for NWFP which should have an impact on NWFP collectors and traders as well. Is there any impact measurable on the pilot sites or are the people aware of their rights and possibilities for commercializing NWFP in general?
- If so, what is the influence of capacity building through the project on the contribution of NWFP to food security?
- Health issues (medicinal plants and income through NWFP used for health)

9. Apply the survey

It is advisable to apply the surveys in rapid rural appraisals (RRA) or participatory rural appraisals (PRA) using focus group discussions. The focus groups should be conducted according to following instructions:

Establish different focus groups with approximately 8-10 participants and classify them according to:

- gender
- wealth class
- age

Apply the stratification according to these three categories as they are the major factors determining how livelihoods are structured, including the way right of and access to resources are distributed. Use the indicators and leading questions developed during the preparatory phase in each group.

It saves money and time to make sure that all participants deal with NWFP either in a commercial way or for subsistence before inviting them to the meeting.

The advantage of doing focus group discussions in small groups compared to conventional household surveys is that much fewer resources are needed and an immediate picture of the perspective of a certain representative group of the community is provided. SEAGA uses the term "On-the-spot analysis" because the information is immediately available for analysis. Information can be reviewed, analysed and added continually throughout the process, allowing team members to modify questions and review the focus of the study, as needed.

When doing focus group discussions the participants can discuss the questions asked within a rather homogeneous group, which leads in general to a higher degree of accuracy in the response.

One should avoid enlarging the group over 10 participants as more dominant participants will tend to lead the discussion and the group response will not reflect the existing situation anymore.

Another practical advice is to use beans or gravels when people are asked to simulate a ratio between certain income groups or when they have to prioritize a certain option over others. An example how such a group exercise can be organised is given in the Poverty-Forestry Linkage Toolkit, Tool 4: Livelihood Analysis.

Make sure that the information is immediately recorded and that fact sheets or digital data are stored safely.

10. Analyse the data gathered

The appraisal team should carefully analyse the data gathered after applying the survey. The SEAGA Field Manual Handbook provides a particular chapter explaining how to process and interpret the data gathered in the field.

11. Share the outcome

In order to let people benefit from participating in the group discussions the information gathered needs to be shared among all participants. Furthermore this information is vital for many potential users, inside and outside of the community. Together with the participating women and men, decisions must be taken about who will receive the information. Whenever results leave the community, this should be done with respect for the 'owners' of the information, and their input should be acknowledged.

Constraints

One of the most important requirements to collect useful data is the professionalism of the facilitator guiding the participatory meetings (see chapter 4). To get to know people's livelihood strategies it overall needs trust. This does not just refer to the relation between the facilitator and the respondent but also to the group context. The facilitator therefore needs to be very sensitive towards social structures and unspoken rules. Consolidating the village chief or reliable informants can help understanding the structures of every village. Once understood they can be easier overcome in order to get reliable data.

However, this sort of trust building takes time and resources.

Overall, conducting a stand-alone survey to collect baseline data for assessing livelihoods forms a fruitful base for further activities in the community.

6.2 Assessing Livelihoods within the framework of MA&D

In Central Africa, the MA&D approach is currently conducted in the FAO project "Mobilisation and Capacity Building for SMEs involved in the production and commercialisation of Non-wood forest products in Central Africa" (GCP/RAF/408/EC) funded by the European Commission in Cameroon and in the Democratic Republic of Congo since 2007 .

GCP/RAF/441/GER project document defines several activities to collect data appropriate for an evaluation of livelihoods according to Phase 1 of MA&D: *Assess the Existing Situation*.

The following table shows, how the steps undertaken in MA&D fit to similar steps recommended for a stand-alone survey (see previous section). In addition, the third and fourth columns list for each step of the survey necessary data to be gathered and project activities to be implemented.

Table 3: Steps of MA&D relevant for data collection on livelihoods and actions foreseen to implement

Steps of stand-alone survey	Phases and steps in MA&D	Information gathered necessary for livelihoods evaluation	Activities foreseen, stated by the project document
1. Build an appraisal team 2. Train the team 3. Review of secondary data 4. Ensure authorisation of assessment	Preliminary planning phase 1	• profiles of pilot areas containing economic, socio-economic, cultural, environmental information	1.2.5.: Regional training workshop on applying MA&D 1.2.: Consolidate technical knowledge and best practices for developing NWFP and on food from forests related issues in

			Central Africa; Conduct awareness raising, outreach and lobbying efforts, and act as a regional information point on NWFP
	Phase 1 Assess the Existing Situation		2.5.1.: Analyze factors in the pilot zones affecting an impact on development of forest-based SME on the access to NWFP
5. Introduce yourself 6. Choose a representative sample 7. Assess the existing situation 8. Prepare the survey 9. Apply the survey	*Step 1: Identify the target group*	• wealth ranking, • identification of number of households involved in NWFP commercialization, • socio-economic & economic profile of the community	2.1.2.: Conduct disaggregated analysis on the food insecurity, vulnerability and nutritional status of different groups in society, assessing any form of discrimination that may manifest itself in greater food insecurity and vulnerability to food insecurity. The project will make sure that gender issues are addressed in these reviews, focusing on vulnerable people **2.5.1.:Commissioning of socio-economic studies**
9. Apply the survey (similar to two steps of MA&D)	*Step 2: Determine the financial objectives of the target group*	• Information on savings, how much money does the target group need to secure their livelihoods	
7. Assess the existing situation (similar to two steps of MA&D)	*Step 3: List existing resources and products*	• List of NWFP with an important contribution to subsistence use and income generation	
10. Share the outcome	*Step 6: Raise awareness of the benefits of working together*		

Table 3 helps to understand how effectively MA&D could be used as a framework for including an explicit livelihood analysis of the participants, at least as a baseline for follow-up surveys. Moreover, the project activities to gather data on livelihoods and how these activities are connected to the steps of a comprehensive livelihoods analysis are given.

Concluding the table demonstrates that:

- An appraisal team will be build as part of the preparatory phase of MA&D.
- The team will be trained, at least in 1 workshop per year (according to the phases in MA&D).
- Secondary data will be reviewed and disseminated by the project acting as regional information point for NWFP.
- Authorities on different levels will be engaged in the project.
- The project foresees to conduct socio-economic studies (see activity 2.5.1.), of which the livelihood assessment can be part of.

It is highly recommended to include a livelihoods analysis in the methodology of MA&D to visualize the outcomes at the end of the project.

Another supportive factor is that with the application of MA&D a project facilitator will be in contact with the village and coordinate all the different activities, also being a contact person for the villagers – building a long-term cooperation as well as a solid base of trust between the community and the project team.

Having a trustful setting is essential to gather information about people's livelihoods and usually takes many resources to be created. This is why including an analysis of livelihoods as a baseline in MA&D could act as fertile start for further activities in the communities and will be due to the availability of the required means (appraisal team of MA&D, communication material, etc.) in comparison to a stand-alone survey much more cost- and time efficient.

Including livelihood analysis in MA&D in a nutshell:

This paragraph shows how the MA&D approach could be modified to include the aspects of livelihood analysis and evaluation of changes in livelihoods.

Insert another step in phase 1 after the first step: exemplified as Step 1a

Step 1 a Assess livelihood aspects of the community:

- Make sure that the appraisal team received appropriate training related to participatory appraisal methods and gender issues in forestry. If this has not taken place so far use the Gender Analysis and Forestry Training Package to enhance the trainees' sensitivity towards gender and forestry.
- Follow the instructions given in the last section (see 6.1) regarding the steps:

    5. Introduce yourself
    6. Choose a representative sample
    7. Assess the existing situation
    8. Prepare the survey
    9. Apply the survey

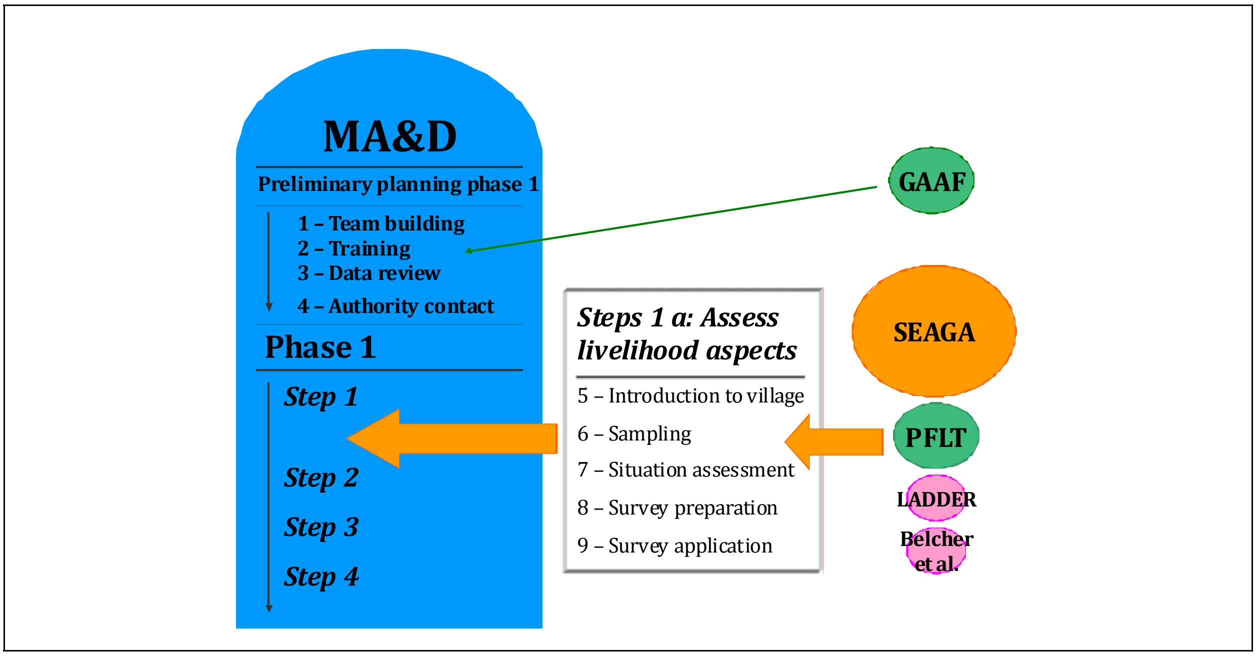


Figure 3: How to embed livelihood analysis into MA&D

Afterwards the team can continue to identify the target group as the livelihoods analysis gives an on-the-spot picture of what are the problems within the village, who are the vulnerable groups, how people determine themselves an improvement of living conditions and how can the project contribute to that.

At the end of phase 1 of MA&D the team should share the outcome of the livelihood analysis with the participants (see previous section for more detailed explanation).

Constraints

MA&D focuses on enabling people to become involved in NWFP commercialization. However, not all villagers will participate in MA&D

In Phase 3 of MA&D: *Plan enterprises for sustainable development* some powerful tools to assess the economic output of NWFP commercialization process such as business plans are developed (see *Annex 5: Linking the phases of MA&D with future project activities in Central Africa*). It should be mentioned that these tools are designed to be used at the end of MA&D, which means that they can surely not be applied at the beginning of the process. Usually the implementation of MA&D lasts 18 month. If these tools are developed late within the project, the time left will be too short to use these tools to assess income generation.

For this reason the project team should use alternative methods/ survey designs to assess the economic situation of the villagers as baseline. Examples of such alternative methods are given in *Annex 2: Further readings on evaluation designs.*

Nevertheless the business plan, including a financial plan which estimates expenditures and earnings by forecasting market development, is a capable monitoring system for the participants to detect changes in market development and to make adjustments. Phase 3 of MA&D should therefore be accurately put into practice to ensure that villagers can maintain their business activities after the project ends.

6.3 Assessing the contribution of NWFP to food security

The project wants to achieve, that NWFP contributes to enhance food security as part of improving the livelihoods of poor forest dependent people in the Central African region. Again there is the question of how this outcome can be measured and visualized.

To clarify this question it is recommended to use the Guidelines for Measuring Household and Individual Dietary Diversity developed by FAO, which were already introduced in chapter 5.8.

The following paragraphs explain how to apply the questionnaires in the field and what needs to be considered beforehand.

First of all the tool needs to be adapted to local conditions. A nutritionist has to observe the area first to set up a list of available foods because the questionnaire is based on a list of food groups the villagers will be asked for later on. Names of these food items have to be translated into local language to ensure that people can respond properly.

The questionnaires asking for dietary diversity need to be applied in a household survey in order to get a magnitude of the dietary status of an area. Therefore dietary diversity needs to be assessed separately from livelihoods.

What the project team should definitely take into account is that nutrition or the availability of foods is strongly dependent on many external factors such as weather extremes, seasonality of goods and changing food prices, which are not linked with any project activity.

Household surveys should be applied twice a year during the project duration to especially cover changes due to seasonality of food.

To estimate the impact of external factors on food security, a control group of households not engaged in any project activity should be interviewed as well.

The integration of an educational aspect to promote healthy nutrition for the target group must be encouraged by the project. See section 7 for examples of educational aspects promoting healthy nutrition.

Summarizing the previous paragraphs, the project team should:

- include a nutritionist, who observes the foods available at pilot sites
- accurately translate the names of foods into local languages
- apply the survey separately from the assessment of livelihoods
- include approximately 300 households per pilot area into a household survey to estimate the quantity of insufficiently diverse dietaries
- conduct the household surveys twice a year throughout the project duration
- include a control group to detect changes not related to project activities
- educate people in healthy nutrition

6.4 Frequency of assessing livelihoods

Livelihoods should be assessed in the villages at the beginning of project activities in order to have a baseline. A follow-up survey should definitely be applied near the end of the project to reveal project impact by using the same methodologies as for the baseline assessment (data comparability, see chapter 4).

Constraints

The project aims at contributing to livelihood improvement on the long-term although the project duration is defined for 3 years only. However, livelihoods cannot change in such a short time frame, at least not to a considerable amount. Therefore the evaluation aims to identify trends rather than measuring the impact on the long-term to visualize a direction for future development.

7 Further issues to be considered when designing a survey

Following, some general concerns are mentioned, which should be taken into account before applying the survey.

- **Measurement units**

In developing countries, people will not have standardized measurement units when it comes to addressing a specific amount of money to a certain amount of a good sold in remote areas. Figure out what the general amount of one good sold accounts and try to find the equivalent in kg. Otherwise it will not be possible to interpret the results in a broader context.

- **Problem of Recall**

In remote areas, where people rather seldom if at all leave the village there is not such a strong need to manage and calculate the money they have at their monthly disposal. This is why people will not remember easily or exactly when they are asked for their general income, especially when it is generated by different activities such as farming and off-farm gathering of NWFP. Therefore try to break questions down when asking for their total income per time unit. See also **Error! Reference source not found.** for more information.

Often people have a false understanding of how much money they earn but a way more realistic knowledge of how much they have to pay for each month (school fees, food, fuelwood...). It might be useful to ask women for the expenditures as they are often in charge of caring for the household to get data of how much money each household has at its monthly disposal

- **Trust building takes time**

Although it was already several times mentioned above it is stated again as trust forms the basis for gathering reliable data. People will not be willing to respond to questions properly if they do not understand the reason for doing so. They necessarily have to see their personal benefits from participating in the evaluation.

The risk of missing trust is significantly lower when MA&D is applied as the village facilitator is steadily in contact with the community during the project duration.

- **Need for a educational aspect promoting healthy nutrition**

As stated in section 6.3, the project should include an educational aspect, promoting proper nutrition among poor forest dependent people to strengthen the aspect of enhancing food security.

Especially to the poorest of the community, who often might be illiterate and not familiar with conventional learning methods, appropriate activities to transmit the knowledge of *how to feed oneself nutritiously* could include:

  - preparing joint dinners with households showing the most important aspects and ingredients of nutritious food;
  - artistic activities dealing with the topic of healthy nutrition (paintings, sculptures, village theatre, handicrafts, etc.).

- **Migration/ Nomadic lifestyle of pygmies**

Relating to data consistency and data comparability, which were identified as key quality criteria for an evaluation, the project team should take into consideration that certain tribes resident in the pilot zones (e.g. pygmies) live traditionally nomadic or migrate according to certain environmental changes. On account of this, it might become difficult to include the same group of participants in the baseline as well as in the follow-up survey, which is necessary to draw conclusions of how livelihoods have changed because of the project.

- **Taxation/ Fees**

It is not uncommon that villagers even in very rural areas with limited accessibility have to pay taxes, either legal or illegal ones as well as fees e.g. for getting an exploitation permit. One should think about if and how to incorporate this factor into the evaluation as taxes can considerably affect the household budget.

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9 Annexes

Annex 1: Further readings on NWFP commercialization

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Annex 3: Overview of methodologies presented in Chapter 5

Table 4: Key components of selected methodologies

Methodo-logies / Key components	MA&D	SEAGA	GAAF	Poverty Forestry Linkage Toolkit	LADDER Project	Belcher et al.	Marshall & Schreckenberg
Overall focus	Enable local people to successfully and sustainable commercialize NWFP	Gender and livelihood analysis	Train facilitators/ field workers to analyse livelihoods focusing on gender issues related to forestry	Provide tools to assess the contribution of forests to the incomes of rural households	Identify routes, by which the rural poor can climb out of poverty	assess the outcomes of forest product trade on livelihoods and the environment	Provide practical tools for researching successful NTFP commercialization
Participatory Wealth Ranking (PWR)	-	uses triangulation: classify people according to gender, wealth class, age group	-	**YES** plus detailed description how to apply WR	**YES** plus description how to apply WR	-	-
Sustainable Livelihoods Framework (SLF)	-	almost: demogra-phic, sociocultural, institutional, polit-ical, economic, environmental aspects included	almost: social, political, economic, physical aspects included	-	-	**YES**, defines detailed indicators according to SLF	**YES**
Assessment of monetary values	**YES**, develops enterprise plans, business plans etc.	**YES**, sets up income expenditure matrix	**YES**	**YES**, but very complex	**YES**	**YES**, given as indicators	**YES**, defines income and expenditure calendar
Assessment of non-monetary values	less, only aspects directly related to income generation	**YES**, provides detailed livelihood analysis toolkit	**YES**	**YES**, livelihood analysis tool examines the proportion of cash/ non-cash products	**YES** but focuses on changing livelihoods compared to past	**YES**, given as indicators	-

Methodo-logies / Key components	MA&D	SEAGA	GAAF	Poverty Forestry Linkage Toolkit	LADDER Project	Belcher et al.	Marshall & Schreckenberg
Participatory Approaches	**YES**, training workshops etc.	**YES**, focus groups, village meetings etc.	not for data gathering in the community, only for training	**YES**, PWR, workshops etc.	**YES**, focus groups, village group meetings	-	**YES**, PRA, focus groups
Gender sensitivity	**YES**	**YES!**	**YES!**	**YES**	**YES**	**YES**, but not exhaustive	**YES**, but not exhaustive
Food security	Non of the methodologies mentioned deals with the assessment of food security. To cover this aspect Guidelines for measuring dietary diversity are suggested.						
Field handbook/ toolkit	**YES**	**YES**	**YES**	**YES**	**YES**, including site/ village selection criteria	**YES**	**YES**
Annotation	Does not assess livelihoods in detail but provides appropriate setting to include an evaluation of livelihoods easily.	Gives maybe too detailed livelihood analysis toolkit; using Farming System Diagram and Income & Expenditure Matrix might be sufficient.	Does not assess livelihoods but gives detailed, practical advice for trainees on how to do so.	Too detailed in total; use PWR and livelihood analysis only to estimate non-cash contribution of NWFP- measure for food security?	Very detailed, but not clearly related to NWFP commercialization, more focused on general land-use systems such as agriculture, fishery, forestry.	Provides indicator easily adaptable to the project conditions! Note: based on a 10 year time frame	Does not assess livelihoods in detail, but gives helpful tools for successful NWFP commercialisation. Note: already part of MA&D, which is recommended as framework.

Explanation of the phrase “almost” relating to SLF: Methodologies cover similar perspectives to the 5 assets used in SLF (human, social, financial, natural, physical asset)

Annex 4: Shortened version of tools mentioned

Tool 1: Wealth Ranking (Poverty-Forestry Linkage Toolkit, PROFOR)

Aim: To select participants who are representative of the local population for the toolkit exercise

Wealth ranking is firstly a tool to discuss the attributes of "rich", "average", "poor" and "very poor" people in the selected area, and then to rank all the households in the area against these criteria, into the categories selected. Since wealth ranking takes several hours and only involves a small subset of villagers (usually village leaders and sub-village heads who know the households they are responsible for, and their wealth levels, pretty well) this is essentially a pre-tool that needs to be undertaken a day or two before the main exercise. This gives time for leaders to locate the household representatives who will be selected, to make sure they are able to come on the chosen day, or to find a same category substitute.

STEP 1: LOCAL DEFINITIONS OF "EXTREME POVERTY", "POVERTY", "AVERAGE" AND "WEALTHY".

The objective is to identify three or four key indicators or criteria for each on which there is agreement among informants that adequately define the broad economic categories. Key informants include community leaders as well as households. Criteria may include the number of months a year that a household can normally grow its own food, the numbers of animals it owns, the amount of land it holds, the materials out of which the house is built, and the valuables it is known to own (such as a plough, a bicycle, a cart, a tractor or other vehicle). Being old and alone and living on the charity of non-relatives may be a sign of extreme poverty.

Materials needed: Flip charts, blank walls or a display area to pin or stick them up where they can be seen, marker pens.

STEP 2: WHICH HOUSEHOLDS?

After the criteria are agreed upon, a sample frame is needed to generate a complete list of all households. This information may come from the village register, or it may be accessible by simply obtaining a listing from each sub-village head of the households in his/ her quarter of the village. A technique that enables a quick ranking is to put the names of each household onto a card or piece of paper. The village committee then uses the criteria already generated to sort the cards into tins, boxes or baskets which represent the four categories selected.

Materials needed: Small index cards and marker pens; four big tins, boxes or baskets for sorting into.

STEP 3: SELECTING HOUSEHOLDS TO INTERVIEW

The team then selects 40 households to request to provide a male or female adult household member.

The team needs to select:

- a wealthy/average male group drawing five names from each category - 10 in all
- a wealthy/average female2 group drawing five names from each category - 10 in all
- a poor/very poor male group drawing five names from each category - 10 in all
- a poor/very poor female group drawing five names from each category - 10 in all

ANNOTATION: Include age classification additionally to gender and wealth class

Tool 2: Livelihood indicators by Belcher et al.

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Natural assets

- Access to target resource by household (physical)
- Access to target resource by household (rights)
- Control over target resource / ability to exclude others
- Equitable access to target resource within household

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Physical assets

- Shelter and household possessions
- Means of transportation
- Ownership/access to production and processing equipment
- Equitable access within household

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Human assets

- Health and nutritional status
- Endogenous skills: traditional knowledge and skills that have been passed on from generation to generation.
- Exogenous skills: Exogenous skills are non-traditional skills, for example coming from formal education.
- Access to information
- Empowerment of women
- Equitable access within households

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Social assets

- Endogenous social resources: factors such as cohesion (bonding/unity) and confidence among the household members.
- Exogenous social resources: factors such as contacts with the 'outside world' (e.g. traders) and bargaining power.
- Political power

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Financial assets

- Household income level:

  Question: Has commercial production of the NTFP target species led to much reduced (-2); reduced (-1); increased (+1); much increased (+2) cash income for the producer households or no impact (0)?

  Example of negative outcome: A boom in NTFP trade resulted in other income earning activities (e.g. farming) being neglected, which led to decrease in income when the NTFP trade collapsed.
- Regularizing income: whether commercial NTFP production has led to a more equal distribution of income over the whole year.
- Household savings
- Access to credit
- Safety net value: When producers turn to the NTFP in times of hardship they may earn less than before, but the NTFP ensures survival. NTFP trade may for example give households a means to earn income in the face of few alternatives.
- Equitable access within households

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Tool 3: LADDER: Qualitative data components plus leading questions

Conduct District profile

Methods: Secondary data collection, supplemented as required by key informant interviews

The purpose of this component is to be able to place the village and household level fieldwork in the context of the district and agro-ecological zone where the research took place.

Key items required were:

- district and sub-district maps showing location of survey villages, roads, towns, etc.
- district and sub-district demographic data
- location, number, and level of schools in the sub-district where survey villages are located
- location, number, and level of health facilities in the sub-district where villages are located
- agro-ecological data for the district or sub-district where fieldwork took place: areas under forest reserves, cultivation, main crops or farming systems
- any other features of special or notable interest with respect to that district or sub-district, e.g. recent road upgrades, major public works (dams, etc.), new industries that have come into the district, major problems that are well-known for that district (cattle rustling, etc.)
- change in the district: what are the main things that have been changing in this district over the past five years or so – is it getting richer or poorer? are income or wealth differences widening or narrowing between different parts of the district? are people migrating away from or into this district? are there any events in the last five years for which this district is well-known e.g. environmental change, drought, civil unrest, etc.
- price data for agricultural commodities compiled at district level, including for major fish species in Zomba District (time series)
- supplemented by sales price data (including for fish at Lake Chilwa) collected during the fieldwork period
- visit to revenue collection authorities at district level to obtain accurate information on different taxes levied on inhabitants of the district (property taxes, poll taxes, commodity taxes or cesses, market levies, transaction taxes, etc.): detail is needed on the official level of these taxes and how they are collected

Conduct Village profile

Methods: Secondary data and key informants, supplemented where necessary by informal group or individual discussions

Key items required were:

- name of community and ward; its location; sketch map showing key features of village and surrounding area
- number of households; village population
- ethnic affiliations, linguistic groups, main religions
- significant migrations into area over the past two or three decades

- main current sources of livelihood in the village
- change in the village: what are the main things that have been changing in this village
- over the past five years or so – is it getting richer or poorer? are people migrating away from or into the village?
- institutions and organisations in the village; what institutions exist *within* the community?
  - what *outside* organisations are represented or active within the community?
  - what traditional institutions exist (e.g. traditional chieftancy: is there a traditional
  - chief? how is he selected? what is his role? what other 'traditional' institutions exist?)
  - what political institutions exist (village chairman, elected councils, etc.)?
  - what formal organisations exist (e.g. community-level branches of development agencies, official cooperatives)?
  - what community-based organisations (CBOs) exist (farmers groups, farmer-led
  - cooperatives, credit associations, social/religious organisations)?
  - what production services exist (e.g. agricultural extension, credit, input supply, marketing)?
  - what social services exist (e.g. health clinics, schools)?
  - how far away are the nearest clinics and schools, or other important facilities? how long does it take to reach these facilities?
  - what non-government organisations (NGOs) exist?
  - what credit groups or savings associations exist? what is their membership and what are they called?
  - what significant private businesses operate in the locality
- what development initiatives have taken place within this community in the last ten
- years? how were they implemented? what happened? (probe for history, attitudes, comments).
- common property: what key productive resources are held in common by the community?
- what criteria, rules and institutions govern access?
- land tenure: what is the main type of land holding in the village (e.g. private ownership,
- customary tenure);
  - if someone wants more land or to start-up farming here, how is access to land obtained?
  - how is ownership, access, control over land distributed between men and women
- what has been the impact of AIDS/HIV in this village? what proportion of households have been affected?; how big is the problem of orphans created by this illness? (checks with health clinic records, etc. may be useful in this context)
- what is the security situation in this village? what are the main security problems? how

- long have they been going on? what is being done to try to solve these problems?

Assess Village livelihoods, past and present

Method: village group meeting, which aims to be a group representing a reasonable cross-section of the community.

The purpose of the discussion is to discover activity patterns of the village and how they had been changing over the past ten years, including things that have got worse or better, and some general points on environmental change.

Suggested discussion points are:

- what are the main sources of income in the village now? is this the same as five years go? the same as ten years ago? are those sources of income as important now as they ere five and ten years ago?
- what new activities are commonplace now, that were rare or did not exist before? activities that have started in the last ten years? the last five years? how important are these new activities now for the incomes of people in the village? what activities have stopped?
- what do villagers consider to have got worse in the last five years? last ten years? for those whose standard of living has deteriorated, what are the main things that have caused their lives or livelihoods to go down in the last five or ten years?
- what do villagers consider to have improved in the last five years? last ten years? for those whose standard of living has increased, what are the main things that have got better in the last five or ten years?
- what have been the main agricultural problems in the village over the past five or ten years? what has been happening with maize? other food crops? livestock? milk?, etc. both production and marketing problems can be discussed here
- what has happened to people's access to natural resources over the past ten years? access to land for cultivation? fragmentation of holdings? distance of holdings from homestead? access to forests and forest products? timber? woodfuel? water for agricultural and household purposes? hay for cattle, etc.?
- how has the status of women changed in this village over the past five or ten years? are there more women that are heads of households than before? are there activities that women do now that they did not usually do before? what livelihood activities are women still not permitted to do in this community?
- what is the security situation in this village? what are the main security problems? how long have they been going on? what is being done to try to solve these problems?

Tool 4: SEAGA Field Level Handbook: Village Resources Maps

Purpose

The Village Resources Map is a tool that helps us to learn about a community and its resource-base. The primary concern is to get useful information about local perceptions of resources. Participants should determine the contents of the map focusing on what is important to them. Maps may include:

- infrastructure (roads, houses, buildings)
- water sites and sources
- agricultural lands (crop varieties and location)
- agro-ecological zones (soils, slopes, elevations)
- forest lands
- grazing areas
- shops, markets
- health clinics, schools and religious facilities
- special use places (bus stops, cemeteries, shrines)

Process

Plan and organise a meeting for the entire community. Make sure that it is scheduled for a time when both women and men can attend and that all socio-economic groups have been invited. The Village Resources Map is a good tool to begin with because it is an easy exercise that initiates dialogue among the community members and RA (Rapid Appraisal) team members. A large open space should be found and the ground cleared. It is easiest to start by placing a rock or leaf to represent a central and important landmark. Participants are then asked to draw other things on the map that are important in the village.

When the map is completed, facilitators should ask the participants to describe it and to discuss the features represented. Ask questions about anything that is unclear.

Finally, the facilitator may want to ask participants to indicate some things they would like to see in their village that are not currently on the map -- in other words to draw a picture of what they would like the future to look like. This allows for some preliminary planning ideas and encourages people to begin contributing their thoughts at an early stage in the participatory process.

Materials

Sticks, pebbles, leaves, sawdust, flour, dung or any other local material. Flip chart paper and markers also may be used.

Notes to the RA team

All RA team members need to observe the mapping exercise because,

1. it provides an overall orientation to the spatial features of the community and its key resources and
2. it is the first RA exercise and therefore the first opportunity for everyone to join the participatory process.

Be sure that the final map includes direction indicators (North, South, East, and West) and an outline of the village borders.

Annex 5: Linking the phases of MA&D with future project activities in Central Africa

Annex 2 points out how project activities derived from the project document fit to the steps undertaken in MA&D. Furthermore it gives annotations, whether the planned activities are sufficient to gather the required information or if additional activities should be considered to provide consistent data. The last column shows financial resources foreseen in the project budget for the specific phase and mentions adjustments, if needed.

Table 5: Linking MA&D to project activities

STEPS of MA&D	Activities foreseen in the project document	Annotations	Resource needs/ Adjustments
Preliminary planning phase 1	Regional training workshop on applying MA&D 1.2.: Consolidate technical knowledge and best practices for developing NWFP and on food from forests related issues in Central Africa; Conduct awareness raising, outreach and lobbying efforts, and act as a regional information point on NWFP	• includes representatives from each pilot zone • conduct 1 workshop for gender analysis (2-3 days) • conduct 1 workshop for each MA&D phase (3 in total) directly before phase starts, either 3 × 3 on national level or 1 × 3 on regional level (each lasting 2-3 days) • eventually merge workshops for phase 1 & 2 of MA&D • material needs to be translated in local languages/ adapted as pictograms for illiterate communities • once chosen, village facilitator needs to organize team of informants from pilot sites → depending on homogeneity of population numbers vary from 1 per 50 households to 1 per 100 households or more	• compare costs of training/ facilitators to travel costs for trainees → decide whether 3 × 3 training workshops on national level without travel costs or 3 × 1 workshop on regional level with travel costs is more efficient • if 9 national workshops, appoint either more than 1 main facilitator or let 1 facilitator do the workshops after another • BUDGET for 3 regional training workshops: 90 000 in total; 30 000 per project year (BL5023) • BUDGET for material needed: 7 200 in total; 2 400 per project year (BL5024)
PHASE 1 **ASSESS THE EXISTING SITUATION**	2.5.1.: Analyze factors in the pilot zones affecting an impact on development of SMFE on the access to NWFP	• conduct livelihood analysis as part of socio-economic studies • need one appraisal team for each	• is it possible to appoint trainers/ trainees from EC project? → are already familiar with procedure of

STEPS of MA&D	Activities foreseen in the project document	Annotations	Resource needs/ Adjustments
STEP 1 Identify the target group	2.1.2.: Conduct disaggregated analysis on the food insecurity, vulnerability and nutritional status of different groups in society, assessing any form of discrimination that may manifest itself in greater food insecurity and vulnerability to food insecurity. The project will make sure that gender issues are addressed in these reviews, focusing on vulnerable people 2.5.1.: Commissioning of socio-economic studies	pilot site (6 in total) • appraisal team should consist of 3-5 people (see section ...for more information oh who to include as trainees) • 1 facilitator permanent resident in each village participating in MA&D or at least several consultations per week • in order to assess food security a nutritionist has to observe the pilot zones: what food groups are to local people's disposal? What are the local names of foods? Translation needed • to conduct participatory activities the village needs to have a meeting room or something similar	MA&D, just need refreshing workshop • appoint nutritionist to observe the contribution of NWFP to food security • conduct 2 surveys/ questionnaires of dietary diversity each year in to draw picture of NWFP contribution to food security; include approx. 300 households per pilot site into sample; apply questionnaire additionally to control group • one mobile phone per village facilitator to secure communication • 1 laptop per appraisal group → reduce the risk of loosing information from participatory workshops • BUDGET for 6 motor bikes: 15 000, each per pilot site (BL5025) • BUDGET for 3 4x4 vehicles: 75 000, each per country (BL5025)
STEP 2 Determine the financial objectives of the target group			
STEP 3 List existing resources and products			
STEP 4 Identify key constraints of the existing market system	2.5.2.: Analyze products' immediate constraints and identify priorities for support action 2.4.1.: Facilitate studies/meetings in the pilot zones to identify and analyse key opportunities and constraints of the main actors engaged with the selected NWFP		
STEP 5 Shortlist a range of products	2.5.2.: Assist producers and traders to select key NWFP		
STEP 6 Raise awareness of the benefits of working together	1.2.5.c: Sustain capacity building and Training efforts at regional level on the use of NWFP and food from forests/right to food related matters by conducting one study tour/year in the region for key project stakeholders to sites of significant importance regarding management, use and processing of NWFP		
Preliminary planning phase 2		• team conducting Phase 2 consists	• BUDGET for NWFP Market

STEPS of MA&D	Activities foreseen in the project document	Annotations	Resource needs/ Adjustments
PHASE 2 **IDENTIFY PRODUCTS, MARKETS AND MEANS OF MARKETING**		out of those villagers identified in final workshop of Phase 1 (not more than 12 people) • team of informant gatherers includes members of target group currently involved in NWFP commercialization of shortlisted products • costs involved in Phase 2 relate to staff time, transport and communication as survey team has to follow products along the market channels physically or by using telecommunication → budget depends whether the market system of a product is limited to the district or if the final consumers are located far from the production site	Information System: 30 000 in total (BL5014) • BUDGET for Pilot area activities: 200 000 in total (BL5014) • BUDGET for local staff travel (to pilot sites): 33 000 in total; 3 × 30 p/days in year 1= 9 000; 3 × 40 p/days in year 2 & 3 = 12 000 each
STEP 1 Analyse the four areas of enterprise development			
STEP 2 Select the most promising products	2.3.1.: Consolidate available information on the identification, selection, multiplication and management of priority NWFP species (selected in partnership with gatherers, users, traders and enterprises). 2.5.3.: Selection of products		
STEP 3 Create interest groups for the selected products			
Preliminary planning phase 3	2.5.4.: Guide producers and traders by providing them technical support and training to monitor their business activities	• team comprises representatives of interest groups formed at end of Phase 2, assisted by facilitator and if required by business analysts experienced in financial planning for small enterprises • time required depends on the complexity of process → Phase 3 can take at least two month if several interest groups and formal registration are involved • main expenses in Phase 3 involve organising planning workshops, and, in some cases, contracting expertise needed to develop the financial plan	• BUDGET for NWFP processing equipment for pilot sites: 90 000 (45 000 each for year 2 & 3) (BL5025)
PHASE 3 **PLAN ENTERPRISES FOR SUSTAINABLE DEVELOPMENT**			
STEP 1 Examine the business environment of the selected products/enterprise	2.3.4.: Conduct market studies for key NWFP selected by communities/markets. 2.5.3.: Analyze potential/ actual markets for the selected NWFP		
STEP 2 Define the enterprise mission, goals and objectives			

STEPS of MA&D	Activities foreseen in the project document	Annotations	Resource needs/ Adjustments
STEP 3 Develop strategies in each of the four areas of enterprise development	2.3.1: Consolidate and disseminate knowledge and appropriate techniques on participatory and sustainable management of NWFP species in the forests and/or on their cultivation by farmers 2.3.3.: Consolidate and disseminate appropriate processing techniques for key NWFP 2.3.4.: Contribute to the development of market strategies for the selected NWFP that will optimize benefits for all concerned stakeholders in the pilot areas, particularly for the poorest of the forest dependent communities.	• interviews with key direct/indirect actors needed to confirm information obtained on the product in Phase 2	
STEP 4 Formulate the action plans to implement the strategies			
STEP 5 Calculate financial projections for the enterprise			
STEP 6 Obtain financing as specified in the capital needs statement of the financial plan			
STEP 7 Initiate the pilot phase and training			
STEP 8 Monitor progress and deal with change	2.5.4.: Train them to learn to adjust to market/ supply changes		