

**Proceedings of the**  
*Learning Workshop on Livelihoods Analysis*

**19-20 November 2002**  
**Long An, Vietnam**

**Sustainable Aquaculture for Poverty Alleviation (SAPA)**  
**Support to Regional Aquatic Resources Management (STREAM)**

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## Acronyms

CBCRMRC	Community-Based Coastal Resource Management Resource Centre
CBNRM	Community-Based Natural Resource Management
DARD	Department of Agriculture and Rural Development
DFID	Department for International Development (UK)
DOF	Department of Fisheries
FSRDI	Farming System Research and Development Institute
GB	Great Britain
HCMC	Ho Chi Minh City
HEPR	Hunger Eradication and Poverty Alleviation Program
HH	Household
INGO	International non-governmental organization
IMA	International Marinelife Alliance
IO	International organization
IUCN	International Union for Conservation of Nature
LA	Long An Province
LHA	Livelihoods analysis
MPA	Marine Protected Area
MOFI	Ministry of Fisheries
NACA	Network of Aquaculture Centres in Asia-Pacific
NGO	Non-governmental organization
PC	People's Committee
PRA	Participatory Rural Appraisal
PPA	Participatory Poverty Assessment
QT	Quang Tri Province
R&D	Research and Development
RIA	Research Institute for Aquaculture
RO	Regional Office
SAPA	Sustainable Aquaculture for Poverty Alleviation
STREAM	Support to Regional Aquatic Resources Management
SUMA	Support to Brackish Water and Marine Aquaculture
TN	Thai Nguyen Province
VSO	Voluntary Service Overseas
VWU	Vietnam Women's Union

## Background

This *Learning Workshop on Livelihoods Analysis* was held in Long An Province from 19-20 November 2002. It was part of an ongoing series of activities that will inform the implementation of the Ministry of Fisheries (MOFI) Strategy on Sustainable Aquaculture for Poverty Alleviation (SAPA) under the Vietnamese Government's Hunger Eradication and Poverty Reduction (HEPR) Program.

The workshop program (Appendix 1) was jointly drafted by the SAPA Office and the STREAM Regional Office (RO). Barbara Fortunato, the VSO volunteer posted to SAPA-STREAM, took responsibility for organizing the workshop, with supervision from the STREAM RO. The recruitment in October of Nguyen Song Ha, STREAM Vietnam Communications Hub Manager, improved preparations within the Vietnamese national context.

Participants (Appendices 2 and 3) included representatives from LHA workshops held in 2001 and groups identified by partners of international organizations. Additional participants were referred to SAPA-STREAM by the participants themselves. In some cases, organizations that had heard about the workshop through partners asked to join in. This resulted in a mix of participants from commune to provincial level DARD, Women's Union, People's Committees, international organizations, university-based extension programs, and research institutions.

Following last year's workshops, it had been suggested that the next workshop would be held in Long An Province. SAPA then asked the Long An team leader, Mr Tuong of the DARD, if they could co-sponsor the workshop in Tan An town. Permission to hold the workshop was later obtained from the Provincial People's Committee.

## Day One<sup>1</sup>

### Introduction

The workshop opened with a statement of its objectives:

- Familiarizing each other with livelihoods analysis work (using PRA-PPA methods) in Vietnam
- Identifying lessons from effective practices
- Developing recommendations for livelihoods analysis work within the SAPA Strategy

### Opening Remarks

Special guests making opening remarks included Dr Nguyen Viet Thang, Vice Minister, Ministry of Fisheries; Mr Nguyen Thanh Nguyen, Vice Chair, People's Committee of Long An Province; and Mr Pedro Bueno, Director General, NACA. The texts of their remarks appear below.

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<sup>1</sup> From this point on, headings in the report correspond to activities in the workshop program (Appendix 1).

*Dr Nguyen Viet Thang, Vice Minister, Ministry of Fisheries*

Dear Mr Pedro Bueno from NACA, ladies and gentlemen,

Sustainable Aquaculture for Poverty Alleviation (SAPA) is a strategy under the overall national program for hunger eradication and poverty reduction. This reflects high attention by the MOFI to the poor. Since the strategy was initiated, several actions have been taken. Recently, conferences and meetings were conducted in Hanoi, Thai Nguyen and Quang Tri. Consequently we also have workshops on a regional basis, and today we are pleased to conduct a workshop in Long An on livelihoods analysis. Now at the Ministry, there are more than 340 projects in aquaculture to attack poverty. The launch of SAPA has been given a high priority among support agencies. Recently Mr Gill of the World Bank and the Ministry agreed that they would act to strengthen aquaculture for poverty reduction. So today with the support of the Long An People's Committee, NACA and STREAM we have a workshop to strengthen learning about livelihoods analysis. The Ministry will be concentrating its task in relation to LHA from the center to the provinces.

The government should promote its international strength and also encourage support from others. We would like to thank NACA-STREAM and also DFID for their long standing support in this important task.

At this workshop there will be reports from our provinces on livelihoods analysis as well as from external agencies and we are deeply grateful for all of their efforts towards poverty alleviation.

So far, although the strategy has been activated for long, no specific projects or programs have been formed to support the poor. I hope that in this workshop there will be increased understanding of SAPA and the contribution that can be made to SAPA. We hope to encourage significant support from the outside and also government sources for efforts towards concretization of poverty alleviation. Also that our partners overseas will understand more about the work in Vietnam in this regard.

I would like to express my thanks to all the organizers and supporters of this workshop and hopes for its success.

*Mr Nguyen Thanh Nguyen, Vice Chair, People's Committee of Long An Province*

Distinguished Vice Minister Dr Thang, Mr Pedro Bueno, Director General NACA, on behalf of Long An People's Committee, I would like to offer my warm regards for health and for this workshop. Because the workshop is held in Long An, I would like to introduce the province. Long An occupies 435,000 ha in the Mekong Delta. This is a flood-prone area. Near to HCM City this is an important economic area. More than 80% of the total population of 1,300,000 live in rural areas and are involved in agriculture. Fifty-four percent of the income of the province comes from agriculture. In the last five years, annual GDP increased by 5.7% on average. We have progressed a lot in the development of livelihoods and living standards of people. The poverty rate has been reduced to 8.9% in 2001. Fisheries have contributed a lot to poverty

alleviation in the province. We have concentrated on two areas and the southern part of the province. Aquaculture has improved the living standards of people. Five years ago 80% of houses were temporarily made; today concrete and semi-concrete houses account for 60%. Facilities have also improved. Aquaculture area has increased by five times compared to rice area, and in flood-prone areas we are actively promoting fresh water aquaculture, which includes basa catfish. If the problems of the market are not solved we will meet with great obstacles. Shrimps are mostly for export and fresh fish mainly for local consumption. Now we have great lessons via the basa catfish within the American markets. This learning has been good and we hope that via this workshop we can learn lessons and we wish to have the opportunities to build capacity in terms of livelihoods analysis. Once again I would like to wish the vice minister, delegates and representatives a pleasant and successful workshop.

*Mr Pedro Bueno, Director General, NACA*

Vice Minister Nguyen Viet Thang, Mr Nguyen Thanh Nguyen, Dr Graham Haylor, ladies and gentlemen, good morning,

I should like to begin by recalling that Vietnam was one of the founding members of NACA, and expressing my gratitude for the Government's steadfast support to the Organization. Vietnam has hosted and facilitated a number of NACA initiatives. Among these are the 3rd Technical Advisory Committee Meeting in 1993 and the 9th Governing Council Meeting in 1997 which is remarkable in the history of NACA in that it was in that meeting that the Governing Council of NACA endorsed an activity to focus aquaculture on poverty issues. More recently, the Government of Vietnam hosted the regional conference on aquaculture education and a smaller follow-up expert consultation that developed the implementation and business plan for a regional consortium on aquaculture education. And only last month, RIA No. 1 facilitated in Ha Long City a workshop of NACA's regional marine finfish research and development network.

I first visited Vietnam more than 13 years ago, in April 1989, as a member of a NACA mission. We consulted the government on the focus of assistance that Vietnam's aquaculture development required. As you might expect, the priorities then were on the biological and technical requirements of Vietnam's cultured fish, crustaceans and seaweeds.

Five years later in 1994, NACA was asked by the Government to help organize a national workshop on the theme "aquaculture and the environment". That workshop marked the beginning of Vietnam's emphasis to pursue aquaculture development goals that are compatible with environmental sustainability.

Another six years after that landmark workshop, Vietnam embarked on a series of exercises that culminated in the formulation of a coherent strategy that integrates aquaculture into a national poverty alleviation program. NACA's link to this program is STREAM, and we have been privileged to be enlisted, along with other international organizations, and given a number of important roles by the Government in carrying out the efforts that produced the Strategy on Sustainable Aquaculture for

Poverty Alleviation (SAPA). NACA and STREAM take pride in being a part of this exemplary and huge undertaking.

(On a personal note, and on behalf of the NACA and STREAM staff, I take this opportunity to say how extremely privileged I feel to share this morning's proceedings with Vice Minister Thang. Dr Thang was in charge of the overall direction to develop the SAPA strategy. Dr Thang, I wish to record NACA's gratitude to the Government of Vietnam and its concerned constituents for having been strongly supportive of NACA).

In coming up with SAPA, Vietnam has gifted the Network organizations with a concrete example of a national scheme that exemplifies the strategy that NACA has adopted – which is aquaculture for rural development. SAPA would be a model for other NACA countries to address their own food security and poverty alleviation concerns through the integration of aquaculture and fisheries in rural development.

Vietnam's shifts in emphasis in aquaculture development and aquatic resources management from technological to environmental to social parallel the broadening of the regional program of NACA. The NACA organization had a mandate to expand aquaculture development in the Asia-Pacific region. It is rather proud to have played some part in the rapid growth of aquaculture from 1980 when it was established as an FAO/UNDP project on to 1990 when it became an independent organization and to these early years of the new century.

The intensified development efforts that went into aquaculture has made aquaculture a better organized sector with increasing state support but also greater private sector participation. Productivity has increased faster than any other agricultural commodity largely from better application of technology and upgrading of technical and management skills; aquaculture development has improved the availability of protein food to the population, increased the export earnings of national economies (for some nations, export earnings from fish, shrimp or seaweeds have helped to pay import bills), contributed to better health and nutrition of people, created more rural jobs and improved rural incomes.

Happily, there is also now a growing sensitivity to the fact that practicing socially and environmentally responsible aquaculture makes good business sense.

On the other hand, intensified production has begun to stress the land, water and biological resource bases impairing their capacity to continue to support production. Occasional conflicts over resource use have begun to strain the management and regulatory capacities to deal with them. There is yet to be a clear understanding and unified action to better address the difficult issues faced by the production and marketing of products in highly competitive markets where it is essential to assume responsibility not only for the quality of the product but for the actions taken, or not taken, to produce it.

Finally, higher production has not been shown to significantly reduce rural poverty. And even more crucially, promoting social harmony in the face of diverse interests, with the poor and the weak often getting ignored, has begun to expose weaknesses in policy-making and governance.

It is this increasing complexity of the problems in aquaculture and resources management that has prompted NACA and STREAM to actively initiate or take part in numerous activities that include this latest one – this *Learning Workshop on Livelihoods Analysis* in which you are joined.

We are grateful for your participation, and to your organizations for enabling you to take part in this workshop and share. From NACA's perspective, on top of being a direct service to a member government, activities like this build up the organization's capacity to provide better assistance to its member governments. The results and the processes are shared throughout the Network.

I should like to close with a heartfelt expression of gratitude for the facilitation of this workshop provided by the Department of Agricultural and Rural Development and the hospitality of the People's Committee of Long An Province. Good morning.

### **Overview of the Workshop**

Bill Savage, the facilitator, set the workshop in the context of the SAPA Strategy by making the following points.

In the document entitled *Sustainable Aquaculture for Poverty Alleviation (SAPA): Strategy and Implementation* (Socialist Republic of Vietnam, Ministry of Fisheries, 2001), one challenge identified in developing pro-poor strategies includes, among others: "capacity building amongst service providers to identify and support poor people's livelihood objectives" (Section 1.1.6).

In Section 1.2.2 "SAPA Approach", the first indicated activity is 1.2.2.1 "Building capacity for poverty alleviation":

*The SAPA Strategy emphasizes the need for strengthening of capacity among institutions, particularly local institutions, to understand and support livelihood objectives of people in inland and coastal communities, who depend on or who could benefit from aquaculture. The capacity of local institutions to understand poor people's needs and participatory skills are the basis for guiding interventions that support and are based on poor people's needs. The capacity for livelihoods analysis will therefore be given a high priority during the early stages of implementation of SAPA.*

The STREAM Initiative of NACA is supporting the SAPA Implementation Office to co-organize this *Learning Workshop on Livelihoods Analysis*.

The previous DFID-funded Aquatic Resources Management Program in NACA provided support for capacity-building workshops in Thai Nguyen in February 2001 and Quang Tri in August 2001, a National SAPA meeting in November 2001 in Hanoi, and a SAPA planning meeting in February 2002 at RIA No. 1, Bac Ninh.



In October 2001, pilot livelihoods studies were supported in Long An, Quang Tri and Thai Nguyen, with teams drawn from DARD, VWU, People's Committees, and supported by RIA No. 1 and HCM City University of Agriculture and Forestry.

Now that the SAPA Implementation Unit is functioning, it was decided that it was time for the three provincial livelihoods teams to learn from other organizations, and for others to learn more about SAPA.

The final workshop session will focus on recommendations and actions for livelihoods analysis within the SAPA Strategy, and how to follow up in the three provinces.

### **Presentations on Approaches to Livelihoods Analysis**

*Note: All papers are included in Appendix 4 in the sequence in which they were presented during the workshop. In addition, three papers submitted but not presented during the workshop are also included in this report, by Pham Thi Minh Tam (page 42), Trinh Quang Tu (page 44) and Le Canh Dung and Nguyen Tri Khiem (page 47).*

The purpose of these presentations was to highlight experiences and practices using PRA-PPA, and to make comparisons with previous practices. The two presentations were (see Appendix 4, pages 21 and 23):

- *Hon Mun MPA Pilot Project on Community-based Natural Resources Management* by Bernard Adrien and Nguyen Thi Hai Yen (IUCN)
- *Exchanging Experience in Participatory Research in Tam Giang Lagoon, Thua Thien Hue* by Ton That Chat (Hue University)

### **Groupwork and Poster Session: Differences in Experiences and Practices, and Workshop Expectations**

Following the first presentations, participants worked in mixed groups to respond to two questions:

- What is the difference between working with PRA/LHA and how you worked before?
- What do you expect to learn from attending this workshop?

Their responses appear in Appendix 5. In terms of working with PRA/LHA, the “before” and “after” statements were summarized as shown in the table below.

<b>Before</b>	<b>Now</b>
MOLISA assessed poverty, MOFI decided on programs and provided funds and direction to provinces	MOFI assesses poverty, SAPA supports capacity-building with provincial staff to assess livelihoods with local people, and provides support
Limited contributions from community	Farmers share knowledge and experience
Little or no participation of local women and men	More participation in defining interventions
Simple understanding of people in communities, stakeholders have little knowledge of each other	Improved understanding of people's livelihoods, brings together range of stakeholders
Information came from individuals (normally leaders and officials), passive, inaccurate	Community groups involved, more accurate information
Analyses not detailed and included single participation opportunity, top-down and little sharing of outcomes	More comprehensive analysis and more participatory, characterized by a respect for a range of voices, more relevant activities
Short time, little training needed	More time-consuming and requires experienced staff
	Closer relationship between governments and people
	More difficult to analyse statistical data

Participants' expectations of the workshop were summarized as:

- Learn and share experiences with others doing livelihoods analysis
- Learn about methods and tools
- Learn about improving project design
- Learn about policy and other contexts in which livelihoods analysis can be applied
- Improve skills for better understanding of people's needs
- Networking
- Propose a comprehensive livelihoods approach for the SAPA strategy

### **Presentation on Benefits of Livelihoods Analysis**

Mike Reynaldo of the CBCRMRC gave a presentation (see Appendix 4, page 25) entitled *Benefits of Livelihoods Analysis: What difference has it made to communities? How has it changed the way we work and our understanding of people's livelihoods?*

## Individual Work and Poster Session: Significant Changes in Communities, Organizations and Selves

Participants worked individually to respond to the question: *Since you began using participatory livelihoods approaches, what is the most significant change you have seen in a) a community, b) your organization or agency, and c) yourself?* Their responses appear in Appendix 6.

## Day Two

### Review of First Day and Overview of Second Day

The second day of the workshop was begun by reflecting on a summary of what participants had indicated their perceived significant changes were at community, organizational and self levels.

Community	Organisation	Oneself
<ul style="list-style-type: none"> <li>• More confident</li> <li>• Better relationships</li> <li>• More understanding</li> <li>• Increased income</li> <li>• More opportunities</li> <li>• Less pressure</li> <li>• Better understanding and awareness</li> <li>• More self-determination</li> <li>• Stronger roles</li> <li>• More involvement and participation</li> <li>• More capacity</li> <li>• More co-operation</li> <li>• Greater voice</li> </ul>	<ul style="list-style-type: none"> <li>• More sustainable methods</li> <li>• More effective policies</li> <li>• Improved staff ability</li> <li>• More practical knowledge disseminated</li> <li>• More supportive</li> <li>• Stronger capacity</li> <li>• Improved collaboration</li> <li>• Better understanding</li> <li>• More confident</li> <li>• More two-way information exchange</li> <li>• Improved democracy and solidarity</li> </ul>	<ul style="list-style-type: none"> <li>• More confident</li> <li>• More friendly</li> <li>• Improved capacity</li> <li>• More understanding and learning</li> <li>• More context specific</li> <li>• More appreciative of farmer experience and knowledge</li> <li>• More engaged in advocacy and policy influence</li> <li>• More respectful and hopeful</li> <li>• More pro-active</li> </ul>

### Presentations on Doing Livelihoods Analysis in Vietnam

The two presentations were (see Appendix 4, pages 29 and 32):

- *Lessons from Implementation of PRA Activities and Establishment of Coastal Aquaculture Development Plan* by Nguyen Thi Thuy (SUMA)
- *Lessons Learnt from Livelihoods Analysis and PRA in Locally Managed Trao Reef Marine Reserve* by Nguyen Viet Vinh (IMA)

### **Presentation on Following Up from Livelihoods Analysis**

Le Quang Binh of Oxfam GB gave a presentation (see Appendix 4, page 36) entitled *Information Use after Participatory Poverty Assessment (PPA) in Tra Vinh Province*.

### **Presentation on Doing Livelihoods Analysis in Vietnam**

Nguyen Van Tu of HCMC University of Agriculture and Forestry presented the final paper of the workshop (see Appendix 4, page 38), entitled *Application of Sustainable Livelihoods Approach for Fisheries Development for Poverty Alleviation in Southeastern Provinces*, and co-authored with Nguyen Minh Duc.

### **Groupwork: Lessons and Recommendations for Livelihoods Analysis within the SAPA Strategy**

The final session of the workshop was spent with two provincial groups, one of research institute and university colleagues, and one of international organizations accomplishing two tasks:

- Giving feedback on the emerging “lessons learnt” from the workshop presentations, and
- Making recommendations for taking SAPA forward.

The “**lessons learnt**” were categorized after the workshop and include:

#### *Communities*

- Empowerment of the community should be the focus of development interventions.
- Communities are busy with their livelihoods.
- Should not make the poor community hope too much for immediate benefits.
- Be cautious about raising expectations.

#### *Community Participation*

- Should we provide budget for local community so that villagers participate in activities?
- In cases where villagers are taken away from their communities, they should be compensated for income lost because of extended participation in the project. This does not, however, include participation in PRA activities which are conducted within the village.
- It is important for communities to inform regulations about their own livelihoods.

### *Groups in Communities*

- Formation of farmer or fisher groups is important.
- Self-regulating and self-initiating groups function best with support from appropriate agencies.
- We should respect existing group structures that are functioning effectively.

### *Local Government*

- The local governments are not familiar with PRA.
- Local government should conduct PRA/LHA with assistance from professionals.
- Enhance the awareness of local government by perspectives of local people.

### *PRA/LHA*

- Fishers and farmers are new to PRA/LHA as are provincial and national authorities.
- Participatory research and processes take time and cannot be rushed. Organizations should be flexible and be prepared to invest time rather than expect fixed timetables.
- Livelihoods analysis should be flexible but planned clearly and in a detailed manner.
- Training and confidence building among livelihoods teams is important. Support people (e.g., from academia) who have training and experience working with livelihoods teams can successfully pass on their learning.

### *Conducting LHA*

- Integrated teams have a wide range of different views.
- It is important to develop shared understanding of the issues.
- People conducting livelihoods analysis should have hands-on training in the tools.
- Time taken in communities should be long enough to collect and validate information.
- It is important to try not to be too ambitious in the scope of information collection in livelihoods analysis.

### *Following up LHA*

- An understanding of livelihoods should be turned into programmes and projects.
- Farmer to farmer dissemination is valuable.
- Projects which are only aimed at generating income, and not linked to natural resources management, are generally unsuccessful.

### *Policy and Advocacy*

- It is important to raise awareness about policy issues among people and different levels of government.
- It is important that systems are put in place (negotiated) which allow the outcome of livelihoods studies to inform policy development of support services at national

and local levels (e.g., national approaches like Comprehensive Poverty Reduction of Growth Strategy, government programmes like HEPR, and provincial programs of, for example, DARD and banks).

- It is important to be aware of government's resistance to change and the need to work with government in long-term constructive ways (e.g., providing qualitative and quantitative results of research, capacity building and networking).

**Recommendations** on taking SAPA forward included:

*Long An and Tay Ninh Provinces*

- It is necessary to develop a mechanism to implement the strategy, using participatory approaches and detailed framework and guidelines.
- The strategy should be brought into play as soon as possible at local level.
- The already existing network which has been strengthened in terms of capacity should be expanded to other localities.
- Financial support from STREAM is needed for SAPA stakeholders in the provinces to build capacity and expand the provincial and regional network.

*Quang Tri and Thai Nguyen Provinces*

- Before conducting LHA, it is important to widely inform local governments and communities of action plans.
- The most appropriate tools should be selected for specific areas and in line with SAPA's targets.
- Establish livelihoods analysis teams and expose them to suitable skills and knowledge.

*RIA-1, HCMC UAF, Hue University*

- Continue supporting Long An, Quang Tri and Thai Nguyen provinces to enable them to improve livelihoods analysis practices.
- On the basis of livelihoods analysis results from the three provinces, continue supporting capacity-building for aquaculture and fisheries development projects aimed at poverty reduction and for replication of good models in other provinces.
- MOFI should consider livelihoods analysis a prerequisite task before formulating poverty reduction projects and programs.
- MOFI should urgently conduct training courses on livelihoods analysis and help carry out participatory planning, firstly in the 26 provinces that have already joined SAPA since 2001.

*International Organizations*

- SAPA should find an appropriate balance between establishing and coordinating a network of aquaculture-related government and non-governmental organizations and agencies (to learn lessons and share experiences), and implementing pilot projects to get its own experience. (A first activity could be organizing roundtable discussions on topics such as land and water resources allocation.)

- Local partners should have full ownership of the project and not wait for outsiders to give them opportunities.
- SAPA should be implemented within an integrated resource management framework and not purely aquaculture development.
- Acknowledge that PRA takes time, but it is best practice to involve people in trying to understand what's happening in the area.
- Empowerment of the more vulnerable should be the first priority of livelihoods analysis (e.g., ethnic minorities, women, landless, poor).
- There should be no budget allowance for participation in PRA, but be sensitive to loss of income opportunity (in terms of compensation) in further activities.
- Local institutions and agencies should be involved in the livelihoods analyses.

### **Evaluation**

At the end of the workshop, participants were asked to complete a set of evaluation questions. Their responses appear in Appendix 7.

*Appendix 1 Program***Tuesday, 19 November**

0800	Arrival and registration	
0830	Introduction: Workshop objectives, guests and participants	
0845	Opening remarks	<i>Dr Nguyen Viet Thang</i> (Ministry of Fisheries), <i>Mr Nguyen Thanh Nguyen</i> , Long An Provincial People's Committee, and <i>Mr Pedro Bueno</i> (Network of Aquaculture Centres in Asia-Pacific)
0930	Overview of the workshop	<i>Nguyen Song Ha</i> , <i>Tran Ngoc Mai</i> , and <i>Bill Savage</i> , Co-facilitators
1000	Break	
1015	Presentations: Approaches to livelihoods analysis <i>Experiences and practices using PRA-PPA, comparison with previous practices</i>	<i>Bernard Adrien</i> and <i>Nguyen Thi Hai Yen</i> (IUCN) and <i>Ton That Chat</i> (Hue University)
1200	Lunch	
1330	Groupwork and poster session: Differences in experiences and practices, and workshop expectations	
1500	Break	
1530	Presentation: Benefits of livelihoods analysis <i>What difference has it made to communities? How has it changed the way we work and our understandings of people's livelihoods?</i>	<i>Mike Reynaldo</i> (Community-Based Coastal Resource Management Resource Centre)
1600	Individual work and poster session: Significant changes in communities, organizations and selves	
1645	Finish	

**Wednesday, 20 November**

0830	Review of first day, overview of second day	
0915	Presentation: Doing livelihoods analysis in Vietnam	<i>Nguyen Thi Thuy</i> (SUMA-FSPS)
1000	Break	
1030	Presentation: Doing livelihoods analysis in Vietnam	<i>Nguyen Viet Vinh</i> (IMA)
1130	Lunch	
1300	Presentation: Following up from livelihoods analysis <i>Translating findings into practice</i>	<i>Le Quang Binh</i> (Oxfam GB)
1400	Presentation: Doing livelihoods analysis in Vietnam	<i>Nguyen Van Tu</i> (HCMC University of Agriculture and Forestry)
1500	Break	
1530	Groupwork: Identifying lessons from effective practices and drawing out recommendations and actions for livelihoods analysis within the SAPA Strategy	
1700	Workshop evaluation and closing	
1730	Finish	



*Appendix 2 Participants***INTERNATIONAL ORGANIZATIONS**

	<b>Name and Organization</b>	<b>Mailing Address</b>	<b>Telephone</b>	<b>Fax</b>	<b>E-mail Address</b>
1-2	Nguyen Thi Hai Yen and Bernard Adrien Community-based Natural Resource Management Specialists IUCN Hon Mun Marine Protected Area Project	80 Hoang Van Thu Nha Trang	058-827897 827895	058-825174	community@honmunmpa.org.vn
3	Nguyen Viet Vinh Fisheries Adviser and Vice Director Marine Protected Area project International Marinelifelife Alliance	Suite 1.5A City Gate Building 104 Tran Hung Dao St, Hanoi	04-9240481	04-9420480	nvvninh@marine.org
4	Le Quang Binh Programme Officer for Tra Binh Oxfam GB	La Thanh Hotel 218 Doi Can Street Hanoi	04-8325491 0913-044219 (mobile)	04-8325247	LQBinh@oxfam.org.uk
5-6	Nguyen Thi Thuy, Socio-economics Specialist and Hoang Viet, Planning Specialist, DANIDA-Support to Brackish Water and Marine Aquaculture	MOFI 10-12 Nguyen Cong Hoan Street Hanoi	04-7716517 ext 340 (Thuy) ext 337 (Viet) 0913-283477 (mobile)	04-7716517	ntthuy.suma@fsps.com.vn hviet.suma@fsps.com.vn

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10-11	Trinh Quang Tu and Pham Thi Minh Tam Research Institute for Aquaculture No 1	Dinh Bang, Tu Son Bac Ninh province	04-8780407 04-8271368 (AIT) 0904-188503 (mobile)	08-8273070	ria1@hn.vnn.vn vipavadi2@yahoo.com (Tu) minhtam1977@yahoo.com

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14	Le Minh Tam Director, Agriculture Extension Bureau Thanh Hoa District	Agriculture Extension Bureau, Thanh Hoa District, Long An Province	072-857193 Home: 857297	072-857006 c/o Post Office	

**DEPARTMENT OF AGRICULTURE AND RURAL DEVELOPMENT (Continued)**

15	Le Van Khoe Vice Director, People's Committee Thuan Nghia Hoa Commune	People's Committee Thuan Nghia Hoa Commune, Thanh Hoa Dist, Long An Province	072- 857255		
16	Le Son Tuoi Agriculture Officer of Duc Hue District	Agriculture Office, Duc Hue Dist, Long An Province	072- 854105 Home: 854101	072-854771 c/o Mr Le Son Tuoi	
17	Tran Van Hoan Fisheries Livestock Office DARD	Fisheries Livestock Office, DARD Long An So 8 T, Khu Pho Thanh Xuan, Quoc lo 1, Phuong 5, Thi xa Tan An, Long An Province			
18	Nguyen Van Lung DARD Thai Nguyen	DARD Thai Nguyen, Phuong Hoang Van Thu, Thanh Pho, Thai Nguyen	0280- 853092 and 855484 0280- 746283 (home)	0280-857731	

**PEOPLE'S COMMITTEES**

19	Phan Van Hung Chair My Thanh Dong Commune People's Committee	My Thanh Dong Commune People' Committee, Duc Hue Dist, Long An Province	072-854298 Home 854102		
20	Tran Van Ganh Secretary, Thuan Nghia Hoa Commune, Thanh Hoa District	Thuan Nghia Hoa Commune, Thanh Hoa District, Long An Province		c/o PO 072-857006	

**WOMEN'S UNION**

21	Ngo Thi Loi Officer, Dinh Hoa District Women's Union	Dinh Hoa District Women's Union Thai Nguyen City	0280- 878455	0280-878101	
22	Can Linh Chair A Tuc Commune	A Tuc Commune Khe Sanh Town, Huong Hoa District, Quang Tri	053-880442	053-880213 c/o PO	
23	Nguyen Thi Ha Chair, Women's Union	Women's Union Dakrong district, Quang Tri	053-886294		
24	Le Mong Truyen Chair, Thuan Nghia Hoa Commune Women's Union	Thuan Nghia Hoa Commune Women's Union, Thanh Hoa Dist, Long An Province	072-857255		
25	Nguyen Thi Hinh Vice Chair, Thanh Hoa District Women's Union	Thanh Hoa Dist Women's Union, Long An Prov	072-857123		
26	Vo Thi Kim Lien Officer, Long An Province Women's Union	Long An Province Women's Union	072-821313		

**WOMEN'S UNION (Continued)**

27	Le Thi Muc Officer of Duc Hue District Women's Union	Duc Hue Dist Women's Union, Long An Province	072-854760 Home 854910		
28	Ho Thi Huong Chair, My Thanh Dong Commune Women's Union	My Thanh Dong Commune Women's Union, Duc Hue Dist, Long An Province	072-854298 Home 854650		

**FILIPINO NGO**

29-31	Elmer Ferrer, Coordinator, Lenore de la Cruz, Deputy Coordinator, and Mike Reynaldo, Network Coordinator Community-Based Coastal Resource Management (CBCRM) Resource Center	Room 107-A PSSC Building Commonwealth Avenue, Diliman, Quezon City, Philippines	063-2-9203368 0063-917-8135871 (Elmer and Lenore – mobile) 0063-917-5465466 (Mike – mobile)	063-2-9203368	emferrer@cbrmllearning.org emferrer2002@yahoo.com lenore.de_la_cruz@up.edu.ph tatadelacruz2@pacific.net.ph mikereynaldo@cbrmllearning.org
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### ***Appendix 3 Information about Organizations and Participants***

#### **IUCN**

IUCN brings together a unique partnership of states, government agencies, and a diverse range of non-government organisations. Through its global network of regional and national offices, commissions, secretariat and wider membership, IUCN seeks to achieve development which is sustainable and that provides a lasting improvement in the quality of life for people all over the world.

The goal of the Hon Mun MPA Pilot Project is to conserve a representative example of internationally significant and threatened marine biodiversity. The Project focuses on the following development objectives: to enable local island communities to improve their livelihoods and, in partnership with other stakeholders, effectively protect and sustainably manage the marine biodiversity at Hon Mun as a model for collaborative MPA management in Vietnam.

All 6 MPA villages (around 1,000 households; 5,300 inhabitants) have been involved in intensive participatory consultations. PRA is an intense three-day process carried out in each village, aiming at identifying the main features of each community in terms of socio-economics (e.g., population, historical evolution, economic activities), at sharing on the main issues encountered by the local population and at analyzing possible solutions to overcome them.

All villagers are given the opportunity to participate actively in this process. Major emphasis is given to environmental issues such as overfishing, illegal fishing techniques, coral reef damage and pollution, impact of aquaculture development, focusing on how the communities can possibly be involved to improve the current situation within the MPA area.

The PRA gives strong evidence on the actual importance of the fishing effort and the overwhelming consequences of damaging practices in the area. It allows for a better understanding of the Project objectives by the villagers and strengthens their commitment towards the most urgent necessity to protect, rehabilitate, then enhance the area.

#### **Oxfam GB**

Oxfam's programme in Tra Vinh includes agriculture extension for the poor, low input aquaculture for the poor, education, support landless farmers, research, PPA, and coastal resources management for poverty reduction.

#### **SUMA**

SUMA is a component of the DANIDA Fisheries Sector Program Support (FSPS) for Vietnam which aims to develop sustainable aquaculture environmentally and socially.

The immediate objective of the SUMA Component is to consolidate management practices and controls necessary to ensure the contribution of aquatic products through the sustainable aquaculture development process environmentally and socially.

SUMA concentrates on building at national and provincial level, an administrative management framework and ecologically-friendly development plans for brackish and marine aquaculture. At the same time, the Component attaches special importance to protecting the environment, reducing poverty, and developing aquaculture in coastal communities, identifying and pilot testing sustainable aquaculture techniques and management methods appropriate to natural and social habitats of coastal communities. SUMA also aims to develop institutional capability to consolidate support for environmentally sustainable brackish water and marine aquaculture development at levels from governmental administration to local administration and inhabited community.

The output results of this Component include:

1. Improving legal frame and administrative management to develop sustainable brackish and marine aquaculture section.
2. Developing plans for the brackish and marine aquaculture development at national and provincial levels, including environment conservation.
3. Developing techniques in order to tap potential for sustainable development.
4. Developing management methods for brackish and marine aquaculture.
5. Strengthening the capacity for community-based planning, management and fisheries extension.
6. Building monitoring and information dissemination system of environmentally sustainable brackish and marine aquaculture process.

SUMA coordinates with Fisheries Departments and relevant organizations in Nghe An, Ha Tinh, Quang Ninh, Khanh Hoa, and Ca Mau to carry out its activities. One of SUMA's objectives is to "*Develop the management methods for community-based sustainable brackishwater and marine aquaculture*" at pilot communes in these provinces.

To develop project documents for the pilot communes, SUMA facilitated Participatory Rural Appraisal (PRA) for each commune and formulated the project through LHA. Shortly after launching the project, SUMA implemented participatory Livelihood Analysis research.

### **IMA**

IMA is presently mid-implementing a 3-year pilot project in Van Hung commune, Van Ninh district, Khanh Hoa province, with the intermediate objective to facilitate the locality in developing appropriate process and strategies for the community based management of selected coastal habitat and resources.

The project incorporates all the basic ideas of IMA's Destructive Fishing Reform Initiative (DFRI): skills training, livelihood enhancement, education and awareness, community enterprise development and Live Reef Fish Trade sustainability and research.

In 2002, Trao Reef Marine Reserve became operational. This illustrates the determination shown by the local government and community in Van Hung commune in the task of coastal marine resources protection, and confirms the initial success of the project "Trao Reef Locally Managed Marine Resource" (LMMR).

Livelihoods analysis and PRA include:

- conducting participatory appraisal of socio-economic situation of the community households
- providing feedback to the local community with regards to environmental, aquatic resources and livelihood issues with consultation from local authorities and through local media network (radio, television) for transmission of the message to the whole local community
- organising different village meetings for conducting participatory integrated appraisal of coastal and upland resources
- assessing the relation and conflicts between coastal resources and livelihood of coastal communities
- assessing the issues regarding livelihood and gender, thus promoting the participation of the women in coastal management through providing skills training and selected livelihood initiatives for income generation
- organising a livelihood forum for target groups (poor fishermen and women) who are the most affected by the LMMR and facilitating to raise their ideas and options for sustainable environment-friendly livelihoods

### **Hue University of Agriculture and Forestry**

Activities include the lagoon project, university training program on aquaculture, and research and training on aquaculture (freshwater; brackishwater).

### **HCMC AIT-AOP**

The Aqua Outreach Program of Asian Institute Technology is sponsored by the Swedish International Development Agency and aims to "improve Livelihoods for poor people in rural areas through the access to fisheries resources". The targets of AIT-AOP are to develop small-scale fish culture and build models for co-management of fisheries resources in small water bodies in the south-eastern provinces of Tay Ninh, Dong Nai, Binh Phuoc, Binh Duong and Long An, specifically:

- Conduct farm trials of fish culture to find out appropriate recommendations for small farm owners.
- Set up field farmer schools (FFS) for fish culture.
- Publish fisheries extension documents based on the on-farm trial results.
- Build capacity for local staff through short trainings, modular trainings, and study tours.
- Establish aquatic resources users and protection groups.

Aiming to empower the active role of farmers in making development plans and mobilizing the resources of society, AIT-AOP held training for their staff and rural officers. Accordingly, AIT-AOP staff and the rural officers jointly made a survey and conducted LHA in Tan Ha commune, Tan Chau district and Hoa Thanh commune, Chau Thanh district, Tay Ninh province. Using the results of livelihoods analysis, AIT-

AOP and rural officials started establishing FFS for fish culture at Tan Ha commune, and management groups for using and protecting aquatic resources at Hoa Thanh commune.

#### **RIA No. 1**

- Participate in building Livelihood Analysis (LHA) manual and PRA handbook, two workshops on LHA capacity-building in Thai Nguyen and Quang Tri provinces and supporting local LHA teams to do LHA in Drakrong and Huong Hoa districts, Quang Tri province.
- Involved as a member of national LHA team in Sustainable Livelihoods Analysis of the poor in Northern Uplands of Vietnam including three provinces of Hoa Binh, Son La and Lai Chau, under VIE/98/009/01-NEX project funded by UNDP.
- FAO's project impact assessment on "Emergency Assistance to Poor and Vulnerable Fish Farmers in the Flood Affected Province of Dong Thap"/2002

#### **Vo Van Vinh**

The Tay Ninh Agriculture extension centre is responsible for transferring production techniques in breeding, culture, fisheries and forestry, using agriculture methods such as farmer training, workshops, demonstrations, seminars, publishing technical manuals and media, which are of people's concerns. The Centre co-ordinated with the Aquaculture Outreach Programme - AIT of Fisheries Department and Agriculture and Forest University of Ho Chi Minh City in conducting trials to find appropriate fish culture method for small households, training farmers, publishing extension materials, and taking care of activities related to fisheries resource protection.

The Tay Ninh Fisheries Extension Centre along with Aquaculture Outreach Programme performed livelihood investigation in Tan Hoa village, Tan Chau province and Hoa Thanh village, Chau Thanh province through livelihood analysis. The Centre co-ordinated with Aquaculture Outreach Programme to organize Farmer Field School (FFS) on culturing fish in Tan Hoa village and co-management model on fisheries resource in Hoa Thanh.

#### **Tran Van Hoan**

Counseling with Steering Committee of DARD Long An to orient Aquatic Resources Protection sub-departments and localities to implement the sector regulations in the field of aquatic resources protection.

#### **Nguyen Thi Ha**

- Propagating, report to people and the member of Women's Union to implement effectively policies of the Party and Government.
- Participation in HEPR projects, programmes
- Funding for the poor in Women's Union by mortgage
- Performing directly some projects involving the Women Union

LHA in agriculture:

- Building a model of nutritious vegetable garden, experimental garden
- A model of cattle, poultry, fish, culture
- Support animal, tree breeding
- Transfer technique and science
- Training technique, breeding, planting
- Supporting funds, building system

PRA: Village diagram, Seasonal calendar, Problem tree, Solution branch, Focus group interview

#### **Le Thi Muc**

- Women's Union is a social organization. Its main activity is informing the people in general and women in particular about policies of the Party, the laws of the State, and caring for the lives of women through concrete activities.
- Propagandizing the people with the slogan "to become rich, culture fish".
- Even if the area is not large, by raising a few fish, they are able to provide nutrients for people. Equip people with knowledge about agriculture, aquaculture, and animal husbandry.

**Nguyen Thi Hinh**, Chair, Thanh Hoa Commune Women's Union

**Le Mong Truyen**, Chair, Thuan Nghia Hoa Commune Women's Union

**Le Van Khoe**, Vice Director, Thuan Nghia Hoa Commune People's Committee

With consideration of organizations and the Long An province Women's Union, last year the SAPA program trained us in tools to analyze the livelihoods of poor people (Thai Nguyen and Quang Tri provinces).

At the local levels, we investigated two communes: Thuan Nghia Hoa (Thanh Hoa) and My Thanh Dong (Duc Hue). We conclude that the great majority of poor households in these communes lack knowledge and capital for agriculture and aquaculture.

After the trip, we consulted the People's Committee at commune level to invite the fisheries extension office to conduct training in raising pigs, chickens, ducks, cows and aquaculture.

However, the number of training courses was limited and the training content was poor (inadequate) and didn't provide fund management training. Therefore, we hope that the project will be expanded in Long An province to train officers like us.

In the process, we can work together with poor households in communes in getting rid of poverty and participating in socio-economic development.

#### **CBCRM Resource Centre**

The CBCRM Resource Center is a learning center established in 1995 to promote exchange of experiences and the generation of knowledge on resources management and sustainable livelihood in the Philippines and Asia. It seeks to build a learning community of practitioners, advocates and researchers to test, adapt, implement, and promote institutional innovations in local management of coastal resources. It has three major programs: Learning and Knowledge Management (LKM), Learning and Research Network (LeaRN), and Community Based Coastal Resource Management (CBCRM).

LKM works with a multi-disciplinary team of Fellows (volunteers) from the academe, NGOs and other development organizations in the Philippines. The Fellows are grouped into seven thematic clusters or "resource pools", namely community organizing, fisheries management, sustainable livelihoods, law and governance, participatory monitoring and evaluation, gender, and disaster management. The different clusters are expected to help identify a learning and research agenda by initially exploring the critical issues in CBCRM and SL and then address these issues through research or policy formulation and advocacy or other appropriate activities. Through their respective Convenors, the clusters at present meet every quarter and spearhead the conduct of roundtable discussions, workshops, conferences or other innovative forms of learning on specific topics on CBCRM and SL. LeaRN is working towards the expansion of these resource pools to include other Fellows from Indonesia, Cambodia and Vietnam in the Southeast Asian region and in North America. The CBCRM program, meanwhile, facilitates the formation of local organizations in a project site in the province of Pangasinan to help develop their capabilities to undertake sustainable resource management and livelihoods projects.

*Appendix 4 Presentations*

**HON MUN MPA PILOT PROJECT  
COMMUNITY-BASED NATURAL RESOURCES MANAGEMENT**

**Nguyen Thi Hai Yen and Bernard Adrien<sup>2</sup>**

**1. PARTICIPATORY RURAL APPRAISAL**

**1.1 Objectives**

- Sharing information on each village's characteristics.
- Identifying main environmental and social issues, then discussing possible solutions.
- Developing understanding on and commitment to Hon Mun MPA Project.
- Building capacity of MPA Village Committee, identifying key persons for future Community Development activities and Additional Income Generating (AIG) Activities.

**1.2 Process**

- Hon Mun MPA: 6 villages; approx. 1,000 households; 5,000 people.
- PRA carried out in all villages; around 3 days per village.
- Overall villagers' participation: 15 % of the households, i.e. about one third of the adult population.

**1.3 Activities**

- **Village Mapping**  
To locate main village features
- **Village Transect**  
To visualize the various village areas  
To describe the present situation and identify issues
- **Seasonal Pattern**  
To identify main economic activities (fishing, aquaculture, agriculture, others) and the respective seasons along the year  
To identify and quantify the various fishing gears used by the villagers
- **Games**  
To share strong ideas and messages
- **Resource Use Mapping**  
To locate the main fishing areas (per gear, per season), for the village's fishermen, for the outsiders
- **Historical Pattern**  
To analyse the main changes which occurred in the village over the past decades (population and social structures, main economic activities)
- **Daytime Analysis**  
To identify possible free time periods during the day, for women and men
- **Wealth Ranking**  
To identify potential groups, defining the poor / medium / rich categories
- **Venn Diagram**  
To identify the various stakeholders linked to the village and their respective roles
- **Environmental and Social Issues and Solutions**  
To categorize and rank the various issues then identify their causes  
To identify and initiate discussion on solutions
- **Video Projection**  
To improve villagers' awareness on environment

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<sup>2</sup> Community-based natural resource management specialists, IUCN Hon Mun Marine Protected Area Project



#### **1.4 Outputs**

- General data and socio-economic knowledge on MPA villages
- Information on MPA use of fisheries resources
- Categorization of environmental and social issues, identification of possible solutions

### **2. THE ON-GOING STEPS**

#### **2.1 Community Development**

- Completing the Socio-Economic Survey (Household Survey)
- Improving the understanding / commitment of all MPA villagers as regards to the Hon Mun MPA Objectives, Regulations and Activities
- Organising participatory consultations with outside villages
- Enhancing MPA Village Committee members
- Organising study trips for selected villagers

#### **2.2 Additional Income Generating Activities**

- Preparing trials for selected aquaculture species to be developed within the Hon Mun MPA
- Identifying and selecting potential operators within the MPA villages
- Implementing trials
- Defining and setting up a credit scheme

## EXCHANGING EXPERIENCE IN PARTICIPATORY RESEARCH IN TAM GIANG LAGOON, THUA THIEN HUE

Ton That Chat<sup>3</sup>

### Participatory Research (PR)

It is the research with local people's participation through the research process from learning situation, identifying problems, alternatives, selecting solutions, designing and implementing activities, evaluating and disseminating the results.

### Some research aspects of PR applied in Tam Giang lagoon

- Learning/Understanding natural ecological system of the communities in Tam Giang lagoon.
- Studying the community 's behavior and activities: Research on the livelihood, the plan for aquaculture areas in lagoon, " the ban of electric fishing" and " the waterway reorganization".
- Applied research and building patterns: the diversification of livelihoods, renovation of some career: tobacco, chilli ... Planting some kinds of economic plants such as: peanuts, mungbean. Developing some activities: fish-cage culture and rice-fish in Quang Thai.

The participatory research is possible to solve urgent problems in community in Tam Giang lagoon project.

- The competition in the use of resources
- Plan for aquaculture and the boom in aquaculture
- The expansion of project results/investment source

### Advantages of PR

- Many groups are able to participate in research. The research results are less different because of basing on interdisciplinary analysis.
- Offering opportunities for local people to contribute their own ideas in the community management.
- Using the local people's knowledge, involving them in solving their own problems.
- PR is practical and helps to balance talking and action
- Creating opportunities for outsiders and local people to work together
- Increasing the sharing among local people
- PR can include people with low awareness or those often excluded due to culture, e.g., women, the poor

### Things that we should not do when implementing PR

- Should not promise too much local people and government.
- Should not give unclear and unreal recommendations.
- Should not give issues, concepts that are higher than the knowledge of the local people, for instance, resource protection, sustainable cultivation. We should guide and explain them simply.
- Should not make the poor community hope too much immediate benefits.

### Things that we should do when implementing PR

- Researchers have to explain purposes and present specific plans to local officers.
- We should provide budget for local community so that villagers participate in activities.
- We should have to establish friendly relationship between community members and researchers.
- Should make villagers familiar to new concepts: sustainable ..., resource protection, ...

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<sup>3</sup> Head of Aquaculture Department, Hue University of Agriculture and Forestry

- Should expand the participation that not only increase the responsibility for the management of natural resources but also maintain the benefits of stakeholders.
- Should listen to women's opinions; the poor and the disadvantaged groups in the community.
- Should collect information independently from household groups with different economic condition.

#### **Benefits of PR**

- The role of local villagers can be raised
- Villagers themselves give existing problems in the community and solve together
- The capacity of villagers and local officers is improved in all aspects.
- It increases the capacity of researchers.

#### **Impact on local officers and efficiency of research**

- Helping local officers to realize villagers' needs properly.
- Changing and opening the view on resource management.
- Helping to propose solutions drawn from villagers to review and select.
- Proposed solutions are more feasible because villagers support.
- Increasing the feasibility of proposed activities
- Increasing practicalness and effectiveness of research activities

#### **Difficulties encountered**

- The local governments are not familiar with PR.
- There is a lack of experience and good models
- PR may not be formalized leading to questionable acceptability
- PR needs more initial efforts to establish rapport with villagers
- There can be several answers to the same question in PR.
- PR requires researchers to have new skills
- Quantitative data gathered through PR methods may not be accurate

#### **Lessons on disseminating research results**

- Well-understanding the objectives of research activities to disseminate results
- Research results are disseminated through workshops/meetings at all levels: with sub-community; with village, commune, district, province, and related research groups.
- Disseminating results in the media: on radio, newspapers; publishing documents, inserting knowledge in teaching and technical training.
- Paying attention to getting feedback and related urgent information to adjust.
- Depending on subject getting information then giving proper dissemination.
- For example: In order to disseminate results of fish-cage management in sub-community, villagers have to participate in production: information selected is maps, figures, and comparative table. They must be simple and understandable. Technical and planning information need to be paid attention.
- Information on plan for fish culture area is shown on the map. After having agreement on planning, this map is drawn in bigger size and hung at Commune People's Committee and village so that local government and villagers use it in planning.
- In order to disseminate the result on technical process to villagers, we have to present results through tables, figures in comparison.
- In the workshops with higher levels, we paid attention to methodologies.
- Building and disseminating models. Those households and locales who are chosen for trials are the best subjects for dissemination.

## **BENEFITS OF LIVELIHOODS ANALYSIS**

*What difference has it made to communities?  
How has it changed the way we work and  
our understanding of people's livelihoods?*

**Michael Reynaldo<sup>4</sup>**

### **Introduction**

"I am a fisherman. I am not a vendor," says Jesem Gabatin by way of explaining why their organization's meat processing project collapsed. As Chairman of their village's fishers' organization, the burden of a failed livelihood project weighs heavily on his shoulders.

His story is not unique. Elsewhere in the country, across the 55 sites identified in a study by the University of the Philippines-Marine Science Institute as having a CBCRM (community-based coastal resource management) program in place, the road is littered with failed income generating projects — all part of the program's component on alternative livelihood.

Of the 55 sites studied, 53 had a livelihood development component, including capability building. Why alternative livelihood? The idea generally is to increase disposable household income and food security. It is also meant to lessen fishing pressure to allow the resource base to recover and replenish.

However, most organizations fall into the trap of being so focused on providing income-generating projects to fishers that resource management is often neglected. It becomes purely income generation. The fishers are also forced to do livelihoods which are not to their liking, interest, and capability. Furthermore, the alternative livelihoods are usually not large-scale enough to redirect fishers from fishing. All these contributed towards the failure of these micro-enterprises.

Over the past few years, organizations sought to understand the complex and multi-dimensional relationships between the social and physical environments, especially highlighting the vulnerability context in which decisions about livelihood strategies take place. Drawing heavily on participatory methods, coastal resources management practitioners sought to gain a better understanding of the different factors that affect people's livelihoods, including the options that are available to them.

This paper will look into the experiences of Haribon Foundation in its work with coastal communities in the Lingayen Gulf towards the development of community-based mechanisms and methods for coastal livelihood development, monitoring and evaluation. It will look into the perceived benefits of using livelihoods analysis and how it has changed the way they work.

### **Learning from Experience**

#### *Phase 1*

In 1995, a community-based coastal resources management initiative was implemented in Bolinao, Pangasinan in Northern Philippines. It was a partnership forged by two academic institutions and Haribon Foundation (an NGO) with the coastal communities situated in the critical ecosystems of the Bolinao-Anda coral reef areas. Major undertakings included community mobilization, public environmental education and the institutionalization of local management bodies or people's organizations (POs).

The first phase of the project ended in 1997 which resulted to the formation of five POs which later on coalesced into a federation. The terminal report of the community organizers revealed both encouraging and discouraging information. Highlights of the report enumerated various

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<sup>4</sup> Network Coordinator, LeaRN, CBCRM Resource Center, The Philippines

problems, foremost of which is the slump in the operations of the POs owing to various organizational problems. On a positive note, the project was able to facilitate the passage of a coastal development plan and financial support from government agencies for the projects of the POs.

One of the problems of the POs was the way livelihood projects have been undertaken. Most of the POs' livelihood activities did not perform well and among the lessons learned was that livelihoods and community organizing work hand in hand. The level of people's participation in the initiative directly influenced its success or failure. It has also been realized that livelihood development is a critical concern that may have to be addressed at a more basic management level than through formally structured cooperatives and POs for it to be meaningful. It would be useful as well to assess what types of activities are better managed at which level of organization. This situation prompted Haribon to continue working in Bolinao to gain a deeper understanding of what makes a livelihood initiative successful and how this contributes to the success and sustainability of the CBCRM program.

### *Phase 2*

Learning from the experiences of the first phase, Haribon and the five coastal communities strove to find answers to the following questions:

- What are the basic sources and practices for subsistence at the household level? What are the horizontal and vertical linkages essential for ensuring sustainable livelihood and fishery resource management initiatives?
- What are the social, cultural and economic factors necessary in the implementation of fishery resource management options?
- What level of organization are livelihood, resource management activities, advocacy, etc. viably managed?

Over a period of three years, Haribon and the communities struggled to improve the sustainability of CBCRM in terms of effective forms of community organization and coastal livelihood development activities. They tried to do this through more appropriate units of management, enhanced selection and implementation criteria of livelihood activities, improved individual and group capacities, and installation of better sustaining mechanisms.

Using participatory processes, baseline information on household subsistence and livelihood development was established. This included information on ongoing livelihood activities and the general socio-economic and cultural situation. Tools and methodologies used included the following:

1. documentation of regular cyclical periods and significant events that occur during a year using direct observation, semi-structured interviews, focus group discussions, and seasonal calendar;
2. resource mapping to document the occurrence, distribution, access and use of resources;
3. assessment of the nutritional adequacy of food intake by households using the family food analysis process;
4. assessment of income from fishery resources, including commodity flow;
5. use of the family portrait to document how households made decisions that affected the coastal community through their resource use system and how they were consequently affected by changes in the coastal environment.

Criteria for coastal livelihood options were then established, out of which the initial list of options were made and piloted. A matrix outlining the indicators of success was developed and became the initial draft for the monitoring and evaluation (M&E) tool. As the livelihood initiatives progressed, the M&E tool was strengthened together with the participants. From selection to implementation, the impact of these livelihood activities was assessed and lessons drawn out. They also tried using the DFID SL framework as a tool to assess the

contribution to livelihood sustainability made by existing activities and to plan new development initiatives.

Organizational development activities were done alongside livelihood development. Organizational assessments were conducted, including SWOT (strengths, weaknesses, opportunities, threats) and stakeholders' analyses. Key relationship patterns at the household and community levels were evaluated. Values, attitudes, perceptions, and capacities that contributed positively or negatively were identified. A simple framework was developed by the POs themselves to monitor and evaluate their performance. The monitoring system included both bio-physical and socio-economic information.

As part of addressing sustainability issues, selected community leaders were trained to become Local Community Organizers (LCOs). Each LCO was paired with a professional CO and deployed in villages outside of his own area. The goal is for these LCOs to eventually take over the responsibility of sustaining the organizing work.

To date, the POs are implementing fisheries management programs that ensure impact on sustainable production and increased catch/income from fisheries. They are also managing an environmental trust fund that will allow them to sustain their resource management program amid a conducive policy environment.

### **Benefits**

From the collective experiences of Haribon and the communities they work with, livelihoods analysis contributed primarily in clarifying their way of thinking about poverty and development and guided them in terms of its analysis. It guided them in terms of program design, program implementation, and evaluation. Their work was improved through the systematic analysis of poverty and its causes, taking a wider and better informed view of opportunities and their likely impact and fit with people's livelihood priorities. It also enabled them to place people and the priorities they defined clearly at the center of analysis and objective setting.

Specifically, livelihoods analysis helped to bring about the following elements that contributed towards a more responsive livelihood initiative:

***Looking at context and relationships.*** Livelihoods analysis helped to "organize" the factors that constrain or provide opportunities and how these relate to each other.

***Identifying the "fit" or "conflict" of livelihood strategies.*** Livelihoods analysis generated recommendations on how to enhance the fit between a new initiative and the people's livelihood priorities, or address a conflict between them. It facilitated understanding and learning from change so that positive patterns of change were supported and negative patterns mitigated.

***Bridging the gaps in macro-micro links.*** Livelihoods analysis highlighted the importance of macro level policies and their impact on the livelihood options of the communities. It stressed the need for higher-level policy development and planning to be informed by lessons learned and insights gained at the local level.

***Encouraging innovations.*** Awareness of the different "assets" and "capital" available encouraged users to think about combining or substituting these to achieve the desired results. What may be lacking in one aspect can be made up by another.

***Emphasizing the link between livelihoods and resource management.*** Resource management, perhaps the chief component of most CBCRM programs, is not only about the enhancement of the bio-physical or natural resources but integral to obtaining sustainable livelihoods. The sea is vital to the surrounding community's survival and a coherent part of their vision of attaining sustainable livelihoods. Livelihoods analysis highlighted the need for resource management to provide livelihoods for coastal dwellers rather than focusing on alternative livelihood projects for which they were ill-prepared.

**Generating ideas to improve project design.** Livelihoods analysis provided useful methods to describe and analyze the livelihood system of households and coastal communities. It enabled people to understand the aspects in the livelihood system that have emerged from past experiences as being critical in the context of community development. This analysis helped to understand the strategies that communities have adopted to achieve their objectives, as well as in actively planning succeeding livelihood strategies.

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## LESSONS FROM IMPLEMENTATION OF PRA ACTIVITIES AND ESTABLISHMENT OF COASTAL AQUACULTURE DEVELOPMENT PLAN

Nguyen Thi Thuy<sup>5</sup>

### I. Introduction

SUMA has been implementing the project “*Sustainable community-based management of brackish and marine aquaculture*” – or Community Project for short. PRA has been extensively applied during the establishment and implementation of Project. A workshop was recently held to review the PRA activities.

### II. Objective of the workshop

1. To share experiences in PRA application
2. To review methodology used during planning process of Community projects

### III. Expected outputs

1. Real experience on PRA application is to be shared among representatives of Community projects and those from other projects.
2. To identify strengths, constraints, and related causes during PRA application and participatory project formulation.

### IV. Content and results of the workshop

*Part I: Introduction and sharing of experience from PRA application in project formulation process*

1. Project formulation process
  - Preliminary survey
  - Site selection
  - Training in planning of PRA aquaculture development
  - Project planning
  - Finalization of project planning report
2. Project establishment process comprises of the following steps:
  - a. *Organising a working group, including:*
    - SUMA social-economic specialist
    - Officers from Planning Office under the provincial Department of Fisheries
    - People’s Committees of the coastal districts the pilot provinces of Nghe An, Ha Tinh, and Quang Ninh
    - Stakeholders: people and beneficiaries in the selected communes
  - b. *Site selection. Selection criteria: communities that have:*
    - potential in brackish and marine aquaculture
    - high poverty rate
    - difficulties in aquaculture development

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<sup>5</sup> Socio-economic specialist, Support to Brackish Water and Marine Aquaculture (SUMA), Fisheries Sector Programme Support of the Ministry of Fisheries and DANIDA



*c. Training in PRA and planning community-participatory aquaculture development*

Participants: Learners to take part in PRA-used survey

Content: Learners were trained in

- Rural development and participatory sustainable development approaches in coastal aquaculture
- PRA methods
- Methods on participatory planning for coastal aquaculture development
- Steps for community research and aquaculture planning

*d. Implementation at community level*

Basic PRA tools were applied during the community level survey and project formulation.

These tools are used in a more focused and feasible manner corresponding with specific PRA steps

Outcome: project documents were drafted, finalised, and put into use.

*Part II: Discussion of lessons learned*

To assess strong points and existing problems during the research, establishment and implementation of project using PRA and participatory approaches. The results are as follows:

**Strengths:**

1. Strengthen the democracy by creating opportunities for participation
2. Encourage the participation of a large group of people especially those who live in communities
3. Help people better understand their living environment
4. Help people identify their difficulties and the causes
5. Help people develop and carry out appropriate solutions to meet the community's demands
6. Help strengthen solidarity within the community
7. Help people keep track of project activities, so are more active in project monitoring

**Existing problems and causes**

**1. Planning time**

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- Short time for planning process</li> <li>- Inappropriate timing for implementation steps</li> <li>- No time spent on re-survey and adjustment</li> </ul>	<ul style="list-style-type: none"> <li>- Pressure on project implementation</li> <li>- Lack of experience in organization</li> <li>- Local officials do not participate consistently due to busy schedule</li> <li>- Lack of flexibility</li> </ul>	<ul style="list-style-type: none"> <li>- Estimate enough time budget for planning process</li> <li>- Spend time on re-survey and adjustment</li> </ul>

**2. Stakeholders participation in project planning process**

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- Lack of participation by specialists and functionary agencies</li> <li>- People are passive</li> <li>- Selected participants are neither representative not sufficient in number</li> <li>- Stakeholders are only direct beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>- Implementators are subjective</li> <li>- People are not thoroughly prepared</li> <li>- Limitations of key group</li> </ul>	<ul style="list-style-type: none"> <li>- Relevant partners should be involved</li> <li>- Help people understand methods and objectives of PRA</li> <li>- Invite representatives of all related groups</li> </ul>

### 3. Skills required for plan-makers

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- Limited understanding on PRA methods</li> <li>- Lack of experienced experts</li> </ul>	<ul style="list-style-type: none"> <li>- Limited time for training</li> <li>- Insufficient practice</li> </ul>	<ul style="list-style-type: none"> <li>- Conduct more training courses</li> </ul>

### 4. Information dissemination

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- Information on objectives of PRA and planning is not disseminated widely</li> <li>- Mutual understanding between parties is limited</li> </ul>	<ul style="list-style-type: none"> <li>- Lack of information sharing</li> <li>- Inappropriate information sharing methods</li> </ul>	<ul style="list-style-type: none"> <li>- Meeting among parties should be held</li> <li>- Appropriate methods should be applied to specific target groups</li> </ul>

### 5. Use of PRA tools

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- No alternative tools</li> <li>- Lack of strong skills</li> </ul>	<ul style="list-style-type: none"> <li>- Too many tools are introduced and applied in a short period</li> <li>- No opportunities to apply such tools</li> </ul>	<ul style="list-style-type: none"> <li>- Select necessary and suitable tools</li> <li>- Comprehensive guidance on the use of tools by key groups</li> </ul>

### 6. Content and quality of information collected

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- Some information are incorrect</li> <li>- Insufficient collection of direct and indirect information</li> </ul>	<ul style="list-style-type: none"> <li>- Inappropriate collection methods</li> <li>- Survey questionnaires and topics are unsuitable</li> <li>- Wrong selection of information sources</li> </ul>	<ul style="list-style-type: none"> <li>- Comprehensive preparation and thorough test of tools or questionnaires should be done prior to use.</li> </ul>

### 7. Legal aspect of project plans

Constraints and limitations	Causes	Solutions
<ul style="list-style-type: none"> <li>- Some approval procedures for project has been ignored</li> </ul>	<ul style="list-style-type: none"> <li>- State regulations are not updated in time</li> </ul>	<ul style="list-style-type: none"> <li>- Strictly follow State regulations</li> </ul>

### Lessons learned

1. The research should be designed clearly and in a detailed manner.
2. Research scope should not be too wide.
3. Researchers should have hands-on training in the tools before using these.
4. Key groups should strictly monitor and make timely adjustments, if necessary.
5. Research time should be long enough to collect and validate information.
6. The accuracy of information collected should be checked.

## **LESSONS LEARNT FROM LIVELIHOODS ANALYSIS AND PRA IN LOCALLY MANAGED TRAO REEF MARINE RESERVE**

**Dr. Nguyen Viet Vinh<sup>6</sup>**

### **I. Background**

IMA Vietnam is currently facilitating the establishment of the locally managed marine reserve-Trao Reef in Van Hung commune, Van Ninh district, Khanh Hoa province. The project aims to support local people to be able manage and protect their coastal resources (coral reefs and associated eco-systems), applying sustainable mariculture and fishing practices and hence developing and bettering the socio-economic situation.

The project site is located in Xuan Tu Village, Van Hung Commune, Van Ninh District in the South Central Province of Khanh Hoa. The village covers an area of 379 ha, and borders for 4 km with Van Phong Bay, one of the largest bays in South Vietnam. The commune lies 60km North of Nha Trang City, along Highway 1.

The Village has the highest population density in the commune with 803 households, making up a population of 4,161. In addition, 13 of the most prominent reefs in the district are located directly off its shores and the area has an expanse of seagrass bed, both urgently requiring protection. The community holds a huge reliance on the sea and aquaculture plays a major role in providing local incomes.

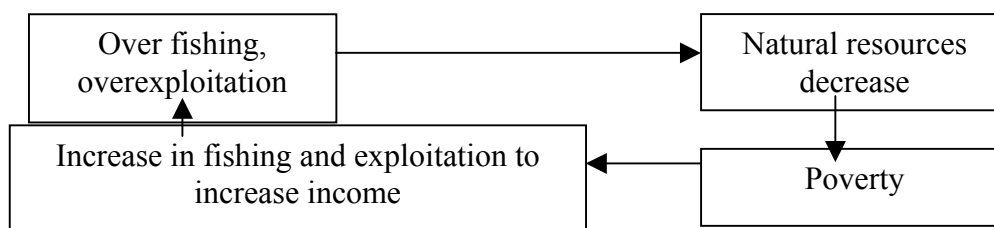
At present there are three primary livelihoods: coastal capture fisheries, intensely targeting local reefs, Lobster culture and Black Tiger Shrimp culture. Some 587 households grow lobster (over 2000 cages), 90 rear black tiger shrimp (covering some 23 ha) but just 20 are involved in agriculture. 428 households are involved in the local fisheries, but only 60 households carry out this task exclusively, the rest see it only as an additional income source.

### **II. Problems/issues of marine resources and environment situation in Van Hung commune, Van Ninh district, Khanh Hoa province:**

- Open access to the marine resources resulting in coastal resource decline (destructive fishing, yield decrease, conflict for water areas).
- Conflict between livelihoods and nature resources (marine, agriculture, forestry etc.)
- Spontaneous, unregulated aquaculture development, including lobster caged and black tiger shrimp, sweet snail causing negative affect to environment and decrease of economic benefits
- Spontaneous immigration from agricultural and forestry to fishery activities.
- Lack of participation of the community in planning and managing natural resources in general and coastal resources in particular.
- Lack of integrated coastal resources management in coastal economic development.
- Important coastal habitats such as coral reef, sea-grass, and mangrove are critically threatened.
- The natural resource is limited while human's expectations are unlimited leading to the overfishing and overexploitation
- The competition between resource users has become an uncompromising struggle. This can be described in the following cycle:

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<sup>6</sup> Fisheries Advisor, International Marinelife Alliance (IMA) - Vietnam



### III. IMA and activities relevant to livelihood generation carried out for the local community in the project site:

#### 3.1 Organize Livelihood analysis using PRA:

PRA was conducted in 5 villages of Van Hung commune by IMA team in coordination with the local officers of Van Hung Agriculture Department with involvement of local community. The significant things are:

- The PRA incorporated both socio- economic and coastal resources appraisal using such tools like: collecting basic village socio-economic data, village map, village history, seasonal calendar, Venn diagram, and wealth ranking.
- The participation of local people are most encouraged and mobilized in the whole process of PRA to address their issues and problems (see as above). People themselves well understand their responsibilities and thus will have a higher commitment in the project implementation. As results of PRA, people even raised their voice and agreed to establish a Locally Managed Marine Reserve (i.e. managed by themselves) as a solution for their current livelihood development and resources protection. The marine reserve is seen as a crucial area for sustaining of the local lobster aquaculture, which is a main income generation of more than 500 households with more than 2000 lobster cultured cages.
- After the PRA, all the results have been well published either through village meetings or village radio as feedback to a wider local community for initiating them in the process of coastal resources management. The PRA results and follow-up activities (establishment of the Marine Reserve) were also presented to local authorities at all levels (including province, district and commune) for their consensus and thus to facilitate them in the management of local coastal resources. Project implementation is well coordinated by the Local Project Management Unit (LPMU) that consisted of district officers and representatives of local commune.
- Apparently with PRA, it is necessary to conduct an awareness program for the local community to raise their concern over the needs for protection of marine environment and bio-diversity. To get local community involved in the program, IMA organized the first International Coastal Clean-up (ICC) with coordination of LPMU and then handed it over to the locality (women union and youth union) for implementation of extensive awareness activities such as ICC, competitions on Marine Reserve, and establishment of the trash collection group.
- In the PRA, the gender issues are also important. Thus the gender training for local cadres and people was conducted to raise their gender awareness and to increase women's participation in the coastal resources management. Participants after the training were actively involved in other project activities such as: development of environment-friendly livelihoods for target group of poor women and fishermen that could help them generate income and better protect coastal environment and resources.
- Within the Marine Reserve project, a number of activities were undertaken with support from IMA. The core group selection was organized through an open ballot

among all villagers of various groups. The selected members are well-respected people in the commune and represent the local community to perform the daily protection work of the Marine Reserve. The IMA supported unpaid core group through a provision of a preferential credit scheme. Beside that, the local people actively participated in the formulation of Marine Reserve regulation together with consultation of the local authorities. IMA also assisted the local community in accessing to the appropriate technology for livelihoods through supporting a small aquaculture of sea cucumber and other environment-friendly aquaculture (e.g., green mussel).

### 3.2 Why is IMA concerned about the livelihood for local community in the project site ?

- As a marine conservation organization, IMA takes into serious consideration of the fact that local people are the center of marine conservation efforts and the project can be successful only if the local community is provided with opportunities for their socio-economic development. Through awareness activities and PRA, the local people recognized the great support and impact of the marine conservation to their main livelihood (aquaculture). As consequences, they have proposed the establishment of the marine reserve
- The establishment of marine reserve, however, has partly effected livelihood of the local people particularly those who involve in near shore fishing
- At present, there are some problems/issues in the project site which can be summarized as the following:
  - ✓ The mariculture (particularly lobster culture) intends to be unsustainable. This could negatively affect the income of 500 households and worsen the economic situation of around 10 thousands people in the whole commune.
  - ✓ The coastal resources rapidly run out making fishing more difficult
  - ✓ The wetlands are not scientifically utilized and thus restrict other livelihood alternatives for local people
- Local people are poor and increasingly lack of jobs.

### 3.3 IMA's perspectives about the livelihoods and how it involved in the livelihood activities?

- Livelihood issue is always linked to access of the natural resources and it can be derived from social aspects and thus will be solved on the social aspects too.
- Livelihood activities (including PRA) should be people-oriented, community-based and a "fair play" should be created for all people to ensure their full participation and equal benefits
- People should be involved in the early stages and all courses of project (*people understand issues, discuss issues, implement and evaluate the process*). Any solutions should be provided and decided by the local people.
- The IMA's livelihood perspectives could be defined as follows:

#### To maintain current livelihoods:

The coral reef eco-system is the most biologically diverse and productive in the world. Every 1km<sup>2</sup> of good coral reef each year can provide 30 tons of high quality fishes that can support some 600 people. The coastal resources (seagrass...) is a nursery and home for many species of high value but are seriously damaged due to human-induced practices destructive fishing and overfishing which caused the resources exhaustion, environmental degradation and the loss of livelihoods for coastal communities.

Trao Reef is seen as the key protection area for the lobster aquaculture. In summary, the marine reserve itself is regarded as the livelihood activity thanks to its high productivity, eco-tourism potential, and improvement of environment that is beneficial to the aquaculture.

**Reform the current livelihoods towards a sustainable development:**

- Lobster and sweet snail culture is currently being critically threatened due to the high density, usage of fresh food and lack of appropriate technology.
- For socio-economic and environmental impact assessment of lobster culture, IMA co-operated with IFEP (Institute of Fisheries Economics and Planning) of MOFI. The findings and recommendations of the assessment are reported back to the local community (lobster aquaculturists) and officers for their awareness raising about the needed balance between the aquaculture and environment.

**Develop new and environment-friendly livelihood alternatives**

Targeting the so-called "high risk " group which most effected by the marine reserve and poor segment of fishermen and women, the livelihood forum was held to discuss environment-friendly livelihood options. The forum was facilitated by IMA team and experts from Fisheries Extension Centre to provide relevant information and technology. The traditional livelihoods attempting to sustainable exploitation, decreasing the pressures on the coastal resources including those based on the agriculture and forestry land were also promoted. After the forum, the most appropriate livelihoods were selected for implementation that required a small capital and directly benefited poor people.

**IV. Lessons learnt**

- How to balance assess to the natural resources and livelihood issues in the rural coastal areas is a challenging work as the conflicts are often arisen during the process. This is the social issue and can only be solved if there is full participation of community and coordination of the local government.
- All activities and information regarding to the livelihoods should be transparent and discussed by the local people, and any actions/solutions should be selected by them. These activities should also be reported regularly to the local government for their consultation and timely direction as well as reaching their policy support.
- The awareness activities need to be implemented regularly along with other project activities.
- Poor people and particularly women and high-risk group should be considered as target groups.
- An analysis is needed for the livelihood vulnerability

**V. Challenges and Constraints**

- Open access to the coastal and marine resources and undetermined user's rights that can lead to the overexploitation and conflicts between different users of natural resources.
- In general, aquaculture requires a significant investment, both in capital and technology. The rich people are more likely to access easily to a good site and better conditions while the act of developing these areas may bring them into the sphere of influence of local authorities and deprive poor people of access.
- The government promotes a boom in aquaculture development but has not yet issued policy on how aquaculturists should contribute in the water treatment or environment protection.
- Lack of market information for the environment-friendly aquaculture products (green mussel, oysters, seaweed - *Kappaphucus alvarezii*...)
- Lack of knowledge and skills in Integrated Coastal Zone Management
- Insufficient assessment of the environmental impacts of aquaculture

## **INFORMATION USE AFTER PARTICIPATORY POVERTY ASSESSMENT (PPA) IN TRA VINH PROVINCE**

**Le Quang Binh<sup>7</sup>**

Implementing organizations: Oxfam in partnership with Tra Vinh People's Committee and the World Bank

Location: Duyen Hai and Chau Thanh districts, Tra Vinh province

### **PPA purpose**

1. Influence poverty policies and strategies, particularly HEPR programs, in Tra Vinh and elsewhere in Vietnam
2. Strengthen Oxfam GB's understanding of poverty, and bring greater rigor to its analysis of poverty in Tra Vinh.
3. Increase awareness among people and officials in Tra Vinh regarding dimensions of poverty and different approaches to poverty alleviation
4. Develop poverty reduction projects for the poorest and most vulnerable communities in Tra Vinh.

### **Key findings**

Who are the poor and what difficulties do they face?

1. Landless poor
2. Poor Khmer
3. Poor women
4. Physically isolated people
5. Illiterate people.
6. Poor children

### **Why are people poor?**

- Few options for income -generation
- Inability to accumulate saving
- Landlessness.
- Risky shrimp farming activities.

### **The poor's support network**

- The better off are able to access to formal services providers such as the Bank for Agriculture and Rural Development; Agriculture and Aquaculture extension services.
- The poor are relying on informal system: rice retailers, relatives, and moneylenders.

### **How do existing institutional programs assist the poor?**

- Credit service
- Agriculture and aquaculture extension
- Basic health care service
- Education services
- The participation of grassroots

### **Tendency**

- Most people in Duyen Hai and Chau Thanh are better off than they were ten years ago
- Most people in Tra Vinh expect life to continue to get better
- Increase socio-economic differentiation

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<sup>7</sup> Programme officer for Tra Vinh province, Oxfam Great Britain

## **The uses of PPA**

### **National level**

- "Tra Vinh – A participatory Poverty Assessment" report released in November, 1999
- Vietnam – Poverty attacking – December 1999.
- 5 year and 10 year plans for HEPR – 2000
- Comprehensive poverty reduction and growth strategy (CPRGS)
- Vietnam Development Target
- Poverty Task Force

### **Provincial level (Tra Vinh)**

- Present PPA findings to Provincial PC and other departments.
- Integrate the PPA findings into provincial HEPR program and other specific HEPR projects as well
- Formulate poverty reduction projects funded by Oxfam GB in Tra Vinh

### **Projects formulated after PPA**

1. Agriculture extension for the poor, women, and Khmer people
2. Improvement of Primary Education, especially for girls
3. Provincial Participatory Partnership (UNDP, WB, Oxfam)
4. Mangrove reforestation and the development of integrated mangrove-shrimp model.
5. Community based coastal resource management for poverty reduction
6. Thoroughly research on landlessness and advocate the government and donors for particular support
7. Research on shrimp farming and its affects on environment, mangrove forests, poverty, and social inequality.



## **APPLICATION OF SUSTAINABLE LIVELIHOODS APPROACH FOR FISHERIES DEVELOPMENT FOR POVERTY ALLEVIATION IN SOUTHEASTERN PROVINCES**

*Nguyen Van Tu and Nguyen Minh Duc<sup>8</sup>*

### **1. Conceptualization of Sustainable Livelihoods (SL) Approach**

#### **1.1 What is a livelihood?**

Livelihoods are opportunities, capabilities, and ways in which people use available resources to achieve livelihood outcomes. The concept of sustainable livelihoods has been defined as *“A livelihood depends on the capabilities, assets (including both material and social resources) and activities, which are all required for a means of living. A person or family’s livelihood is sustainable when they can cope with and recover from stresses and shocks and maintain or enhance their capabilities and assets both now and in the future without undermining environmental resources”*.

#### **1.1 Contents of Sustainable Livelihoods approach**

Sustainable Livelihoods (SL) approach is developed by DIFD. Diagram 1 shows a framework for understanding poor people’s livelihoods, indicating the main factors that influence livelihoods. The framework can be used in planning development activities as well as evaluating contributions of existing activities to the sustainability of poor people’s livelihoods.

The framework places people in the center of development process and explains in a simplified way the relationships between people and their livelihoods, environments, policies, and all kinds of institutions. The framework aims to assist all relevant partners (managerial agencies, NGOs, research institutions, poor people) participating in the process to identify factors influencing the poor people’s livelihoods and to search for entry points to a better life.

The SL analysis provides useful opportunities for policy makers and the poor themselves to understand their state of poverty. Moreover, through the identification of main factors in SL analysis, the approach also assists the poor to find resources and solutions suitable to local contexts to overcome their own problems.

### **2. Objectives of the application of SLA approach in AIT-AOP**

The SIDA-funded Project on Rural Development through Aquatic Resources Management of the Aqua Outreach Program of the Asian Institute of Technology (AIT-AOP) has been implemented in southeastern provinces since 1994. The objective of the project is to improve livelihoods of the poorest in rural areas through sustainable aquatic resources management. With activities such as fish culture on-farm trials and upgrading the capacity of provincial Agriculture Extension Centers (AECs), small-scale fish culture has been gradually developed and contributed significantly to improving incomes of poor households.

The objectives of SL analysis application under the project were as follows:

- To analyze the current status of production, living conditions, and livelihood assets of poor farmers/fishers in target areas;
- To identify main jobs and important income sources of the poor farmers/fishers as well as to understand what is needed to help them eliminate poverty;
- To understand institutions, policies, and factors influencing resource use of the poor and to assist local governments and relevant agencies to formulate a proper Hunger Eradication Poverty Reduction (HEPR) strategy through aquatic resource development; and

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- To establish basic data for developing plans of collaborative activities of the project aimed to assist the poor in improving their livelihoods through better use of aquatic resources.

### **3. Implementation of SL analysis**

#### **3.1 Selection of target communes**

To implement the SL analysis approach, AIT-AOP staff coordinated with local authorities and relevant agencies such as Department of Agriculture and Rural Development (DoARD) and Agriculture Extension Centers to carry out rapid rural appraisal (RRA) in poor communes of partner provinces. Thereafter, the survey group proposed to select Hoa Thanh Commune of Chau Thanh District – Tay Ninh Province, Long Ha Commune of Phuoc Long District – Binh Phuoc Province, and Thanh Son Commune of Tan Phu District – Dong Nai Province for SL analysis. These communes are poor but with high potential for aquatic resource development.

#### **3.2 Implementation of SL analysis**

Before starting the survey, AIT-AOP trained local staff on the SL approach. Then, a multidisciplinary group was formulated, including staff of DoARD, AEC, district Agriculture/Economics Division, commune People's Committee, Farmers Union, and other relevant agencies. The SL analysis was implemented in Hoa Thanh Commune from 28 February to 22 March 2002, in Thanh Son Commune from 4 to 10 April 2002, and in Long Ha Commune from 17 to 29 April 2002. Based on the SL framework, participatory rural appraisal (PRA) methods were employed to collect data for analysis and assessment of livelihood assets, policies, institutions, and processes affecting local livelihoods. Data on problems, constraints, and advantages of aquatic resource development were also gathered and analyzed.

With participation from the poor farmers/fishers during the survey, the SL analysis group identified livelihood assets and their current state of use. The problems, advantages, risks, policies, and related factors affecting the poor people's livelihoods were also analyzed. The group undertook several household visits to utilize the field description tool of PRA and further discussed with the poor their current livelihoods and needs for livelihood improvement.

To find out interventions for better use of resources, it is necessary to disseminate SL analysis findings to related agencies as a reference source for formulating strategic plans of rural development in general and HEPR in particular. Based on SL analysis results, the group also proposed options to improve livelihoods of the poor in each commune.

### **4. Some main findings of LHA**

Poor people in the surveyed communes lacked cultivated land, capital, and techniques and frequently faced risks caused by poor weather, disease, and continuing consequences of the Vietnam War. They are unable to obtain the required capital for investment in production development, not even from the Bank for the Poor and Agriculture Development Bank, and support policies to help them avail of these credit sources.

Each poor household has its own particular situation. Therefore, HEPR programs must be based on the situation of a household or a group of households with the same context in order to have suitable activities. The HEPR programs directly affect not only the livelihood activities of the poor but also the support policies, e.g., credit and natural resources protection, which the poor can access and gain benefits.

To the poor farmers, hiring themselves as farm labor is their main income source followed by cropping, fish culture, and animal husbandry. They confirmed the need to utilize locally available resources namely labor, cultivated land, and technical support from extension services to develop aquaculture for additional income.

To the poor fishers, fishing in natural water bodies is the main income source. When the aquatic resources have severely declined, they have to shift to planting or hiring themselves out as farm labor. Therefore, they need an efficient system of community-based aquatic resource protection to enhance the resources and sustain their catch.

There is a need to establish associative groups of the poor to help them share knowledge and experience in order to identify problems and constraints, to find out optimum solutions, and to mobilize community power for improving the livelihood of each member. Through these groups, local governments, extension centers and HRPR committees can easily provide support to help the poor overcome their problems and constraints for poverty elimination.

## **5. Support activities to the poor based on findings of SL analysis**

### **5.1 Establishment of farmer field schools on fish culture**

Through the process of SL analysis, the poor farmers expect to develop aquaculture as a means of income improvement. Based on farmers' needs, the AECs of Tay Ninh, Dong Nai, and Binh Phuoc provinces asked for AIT-AOP's support to establish farmer field schools (FFS) on fish culture. These FFS provide poor farmers with an opportunity to share experiences and learn techniques in fish culture.

FFS is an advanced approach of extension centered on and led by farmers. This approach, which was developed primarily to disseminate integrated pest management techniques, is widely applied in cropping and livestock husbandry. FFS can be used as a way to facilitate farmers' learning about costs and benefits as well as to carry out trials and produce appropriate solutions to utilizing and managing natural resources. The application of the FFS approach in aquaculture will also assist the poor in playing a more active role in aquatic resource use for their livelihoods. The most important advantage of FFS is to bring the poor to participate actively in the development planning process at their household as well as in community.

Following the successful application of FFS on fish culture in Phu Dien commune of Tan Phu district – Dong Nai province in 2000 and in Tan Ha commune of Tan Chau district – Tay Ninh province in 2001, three new FFS were established in Hoa Thanh commune of Chau Thanh district – Tay Ninh province, in Thanh Son commune of Tan Phu district – Dong Nai province, and in Tan Lap commune of Dong Phu district – Binh Phuoc province in 2002.

### **5.2 Establishment of affiliation group of fishing and resources protection**

Also based on the needs of poor fishers and with technical support from the AIT-AOP, the DoARD of Binh Phuoc province and the AEC of Tay Ninh province have established models for co-management of aquatic resources in target communes. These models aim to improve livelihoods of poor farmers/fishers through protection and development of aquatic resources of small-scale water bodies. These models also strengthened the poor's access and sustainable use of the resources.

In Long Ha commune of Phuoc Long district – Binh Phuoc province, the farmers and fishers living around Long Ha reservoir have organized a group on fishing and aquatic resource protection, with three sub-groups in Tenth, Eleventh, and Long Xuyen hamlets. Members of the group have discussed and agreed on regulations for fishing operations. Representatives of the commune Farmers Union, hamlet Culture and Communication Committee, and hamlet leadership also joined the Steering Committee of the group. All members agreed to stop fishing in spawning grounds during the fish breeding season. To increase fish stock, the provincial DoARD helped stock 80 kg of fingerlings, included new strains of GIFT tilapia, in the reservoir in July 2002. In addition, all members agreed to contribute one kg of fingerlings of high value fish such as sand goby, snakeskin gouramy to stock in the reservoir.

In Hoa Thanh commune of Chau Thanh district – Tay Ninh province, farmers and fishers depend on aquatic resources in swamps and channels of the East Vam Co River for their food and income. In the past, local governments put much effort on implementing the Aquatic

Resources Protection Decree, but illegal fishing still continued. Realizing the urgent need to develop more efficient community-based mechanisms for aquatic resource protection, the commune government, farmers, and fishers have established three groups of fishing and aquatic resource protection in Hoa Hop, Cay Oi, and Hiep Phuoc hamlets. The groups have produced fishing regulations and maintain monthly meetings. Thanks to the group's operation, illegal fishing activities have been reduced. The local governments have also formulated plans to develop fish culture in the commune aimed to reduce pressure on natural resources and to improve income of the poor.

## **6. Lessons learnt**

The SL analysis approach is a good tool to help poor people understand their capital assets and local staff understand the poor people's livelihoods to support them better. To make SL analysis really efficient, the following issues should be considered:

### **6.1 Establishment of SL analysis group**

Members of the group should be representatives of agencies and organizations working closely with and having ability to support the poor. The group members should be limited to reduce the cost of SL analysis implementation.

It is necessary to identify the key agencies and organizations which can give the most efficient support to the poor. In our case, these are provincial AECs.

### **6.2 Duration of SL survey**

The duration to carry out a SL survey should be reduced as much as possible and not more than two weeks.

It is not necessary to ask all group members to spend time for the whole course of survey. However, the representatives of the key agencies and organizations should participate in all meetings with poor people.

### **6.3 Follow-up activity of SL survey**

SL analysis is a useful tool to understand the main factors influencing poor people's livelihoods. Therefore it is necessary to carefully prepare all steps such as identifying objectives, formulating groups, carrying out a pre-survey, sharing information, etc.

After carrying out SL analysis activities, it is necessary to quickly develop follow-up action plans with the participation of the poor.

## LIVELIHOODS ANALYSIS

Pham Thi Minh Tam<sup>9</sup>

### Background

Most development programs emphasize the involvement of people. This process, although producing short-term results, does not lead to a sustainable development process where people develop a long-term perspective. Unless the village communities participate actively in the appraisal and planning process, the development process will not be sustainable.

There was, thus, a need to develop an approach which enables rural people to have a say in what they want for themselves, develop their latent and inherent capacity to analyze and evolve their own plan. Such a plan has higher chance of being effective, sustainable and being scaled up compared to a plan evolved by outsiders.

I give there the steps carry out LHA (used the tools of PRA) that we applied in the work “Analysis of sustainable livelihoods of the poor in Northern uplands of Viet Nam” /VIE98 project/009/01/NEX to consult together.

### Process and Methods of Sustainable Livelihood Analysis

#### *Steps carry out Livelihood analysis*

##### **Step 1:** District level

- Poverty/ malnutrition identified by secondary data
- Aquaculture infrastructure situation
- Select the study communes (poor communes)

##### **Step 2:** Commune level

- Selection data and information on commune level (poverty, malnutrition)
- Aquaculture situation
- Select the study villages

##### **Step 3:** At village level

- Draw the mapping of resources: This map shows major natural resources in the village, landmarks, boundaries and divisions, drainage point, inhabitation areas, local land use and soil classification, rivers/streams, status of assets or common infrastructure (like ponds, drinking water well, electricity.... )
- Analyze resources at village level including private property, common property, public property, and how to use these resources
- Profiling of the poor and malnourished
- Select the poor to be visited

##### **Step 4:** At household level

- Farming system analysis
- To define resources in communities based on the LHA framework including Natural resource (N), Human resource (N), Social resource (S), Financial resource (F), and Physical resource (P)
- How to use these resources?

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**Step 5:** Analyze aquaculture options for improving their livelihood

- Aquaculture activity analysis of the household
- To compare aquaculture with other farm activities in terms of benefit, cost, food security, vulnerability for making decision to stop or continue doing aquaculture.

PRA tools were used during the research process to identify and deepen our understanding of the different groups, sectors, and classes in the community and their interrelations. Using PRA tools to validate the main issues and problems facing the community; record the various assets identified by participants; and document local visions of sustainable livelihoods and potential locally supported activities for further study.

The main data gathering techniques during the research were household interviews, focusing on group discussions and key informant interviews. The research team and the community representatives were primarily responsible for identifying households and individuals to participate in the research. Using the criteria of target sectors and groups, we identified 3 to 5 poor households with aquaculture and without aquaculture in each community. The research team then did the groundwork to arrange for interviews and focus group discussion at a time and location convenient to the household or sector.

Household interviews involved both the male and female members. Group discussions were also held, focusing on each target sector and partner organizations in the community. Key informant interviews with some individuals in the community were also conducted. The research team also participated in and facilitated focus group discussions and planning sessions regarding sustainable livelihoods as well as sector development for their respective members.

**Lessons learned:**

**1. Discussion with villagers**

Sometimes, a few problems we do not see, or do not think to ask about but this information is very important for writing report. Observation should be related to questions. Always probe for reasons for what you see. Use what, when, where, who, why, how?

**2. Report writing in the field**

It is essential to record as a team the key findings before dispersal of members to their own organizations. Report writing is made easier by:

- writing a brief summary of each diagram
- writing up the process in diary form
- Keep a private diary or series of notes to focus on where you after the report complete to check the information again.

## LIVELIHOODS ANALYSIS APPROACH

Trinh Quang Tu<sup>10</sup>

Nowadays, many countries throughout the world are concerned about attacking poverty to improve people's life, especially poor people in rural and coastal areas. In Vietnam, there are also various types of supportive programs for the poor from Government and international organizations as Government's 135 and HEPR programs, VIE/98/009/01-NEX project funded by UNDP, SAPA strategy of MOFI, etc. The successful initiatives of these programs have considerably reduced a proportion of the poor. However, during supporting implementation several problems still remained because we did not have a good knowledge of people's livelihoods yet. Therefore, for further supporting activities, we need to understand and clearly describe the livelihoods of poor people in order to have effective supporting plans for the poor.

There are multiple ways to collect information for livelihood analysis such as questionnaire, secondary data, data survey and etc. However, PRA/RRA method is often used in livelihood analysis of people, especially poor people (see box 1). It is very useful because it combines observation and understanding about real life of people. For aquaculture and aquatic resources management, in fact, many projects and programs had used this method as the first step as baseline for supporting activities in next steps.

*Box 1: Advantages and disadvantages of household questionnaire survey and RRA/PRA:*

Method	Advantages	Disadvantages
Questionnaire survey	Can collect data from large number of people in short time	Data is restricted by the questions that are asked
	Relatively inexpensive	Substantial planning time is required
	Can be confidential	Return rate can be quite low
	Provide ease of analysis and summarizing of data	Usually reflect quantity/data not quality
		Data is subjective and not reliable
		The output is usually is a set of data needs to be interpreted
RRA/PRA	Can probe for meaning of responses	Time consuming
	May create participant willingness to disclose sensitive information	Analysis may be difficult
	Can control when and how questions are asked	Requires skilled interviewer/facilitators team
	Stimulates thinking and sharing ideas	Some participants may feel threatened
	Can get different views on same subject	Cannot be confidential
	Can get consensus about a program	May be difficult to organize
	Brings visibility to project and program	
	The output could be a development plan	

Based on Livelihood Framework that was identified by participants from capacity-building workshops in Thai Nguyen and Quang Tri province (see box 2), during livelihood analysis process of poor people funded by DFID (in Quang Tri, Long An, Thai Nguyen) and UNDP (in Hoa Binh, Son La, Lai Chau), PRA tools were mainly used to identify and deepen our understanding of the different groups, sectors, classes and their interrelations in the community

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*Box 2: Livelihood Analysis Framework*

<b>Category</b>	<b>Information</b>
Labor Resources	Experience, ability to work, skills and knowledge, education level, traditional skills, profession, number of laborers, leisure time
Material Resources	Tools, man-made water sources (pond, reservoir, well, irrigation system), energy, electricity, TV, radio, transportation, livestock shelter, house, livestock, agriculture by-products, processing facilities
Natural Resources	Land (agriculture, forest, garden), natural water sources (streams, river, ground water), aquatic resources (fish, crabs, aquatic plants), natural food for animal, fuel sources
Social Resources	Institutions, social institutions (VWU, co-operatives), education system, hospitals, schools, roads, clean water, market
Financial Resources	Own capital (savings), credit (bank), project grants (cash, goods)
Vulnerability	Climate (rainfall, sunlight, temperature), environment degradation (sanitation), disaster (drought, flooding), disease and disease outbreaks, accidents, effects of war, land conflicts
Influences	Policies (capture fisheries law, polluted environment, tax law, migration) Positive and negative programs (institutional schemes, non-government, government, international support) Trends (market, population, environment)

At commune and village level, we collected secondary data on varied sectors while at provincial and district level we just focused on poverty situation and malnutrition because the village is assumed to be a homogenous unit with following criteria: homogenous ethnicity, social cohesion, local leadership and common properties.

The main data gathering techniques were household interviews both the male and female members, focusing on group discussions with each target sectors and the partner organizations and key informant interviews with some individuals in the community. So within the village, households could be classified into one or multiple groups or sectors according to such criteria as ethnicity, income, occupation, educational level or other chosen or inherited bonds of affinity.

The LHA team also participated in and facilitated focusing on group discussions and planning sessions regarding sustainable livelihoods as well as sectorial development for their respective members. We also did the groundwork to arrange for interviews and focus group discussion at a time and location convenient to the household or sector.

In short, use of PRA method in livelihood analysis of poor people can describe wholly their life and people's participation is considered a key element in empowerment. Only through working with people can we understand their problems and help them to solve their problems. However, during the research times, we also identified that it needs to pay attention to some matters:

♣ *For use of PRA tools:*

- Before using PRA tools, it is best to have an overview of the local area where we will analyze livelihoods, especially in the Northern Uplands of Vietnam where ethnic minorities live and which has the highest rate of poverty.
- Preparing an information checklist can be useful. However, we should not use a fixed question format or overuse technical terms.
- It is better to first use the resource map/transect walk because these help us with our overall understanding and using other tools. A transect walk combines walking with a key informant interview and will stimulate more in-depth questions and answers than a key informant interview in an office might.



- We should ask open questions because these often provide more information than closed questions. Cross-checking information from different people and using different tools help to validate information.
  - When using ranking and scoring tools we should use symbols instead of words, and objects such as stones or seeds instead of numbers, which are available in where we analyze livelihood.
- ♣ *Ensuring Participation of the Poor:* It is tendency in Vietnam that the poor are too weak to participate in activities in a community because:
- Poor people usually lack self-confidence and are reluctant to participate in community activities. They feel a sense of alienation from decision-making processes and are ill-informed about government policies and programs.
  - We usually choose the better-off to take part in activities because it seems easy to work with them, and we want to demonstrate good results while our main target is the poor.
- One problem is ensuring that the poorest groups in a community take part and are heard in any meetings/activities.
- ♣ *Ensuring the Participation of Women:* Actually, in Vietnam, male chauvinism still remains, particularly in rural areas. Women often have less opportunity to participate. Although they are often amongst the poorest groups in communities, women are typically neglected by social and development activities. It is particularly important to involve them in the participatory processes, because:
- Their needs and priorities are often rather different from men and are often more family-oriented.
  - We want to have every opportunity to interview both men and women.
  - They can play an important role in development, especially in activities like aquaculture that are close to the home.
- ♣ *For building capacity issue:* We do not only strengthen capacity in livelihood analysis, but also in planning. We cannot make development plans for all communities. It is important that local staff are able to do it for their own place.

## LIVELIHOOD ANALYSIS APPLIED IN BAC LIEU

Le Canh Dung<sup>11</sup> and Nguyen Tri Khiem<sup>12</sup>

### Brief overview

This paper presents some methods and experience on rural livelihood analysis applied in the southern province of Bac Lieu in recent years.

Viewpoints and methods of DFID sustainable livelihood analysis have been applied. Two main tools are PRA (Participatory Rural Appraisal) and SI (Structure Interview) introduced in different ecological sub-regions for study. Many stakeholders were selected in sub-regions for implementation. The integration and linkage among five resources at household level the rehabilitation of livelihoods is of paramount indicators, which are focally used in assessment during study.

Analysis experience and results reveal that the applied methods are suitable. They well reflect many aspects of the livelihood and in other words they reflect the whole livelihood of rural people and how the available resources are used. In the other words, the above-mentioned methods found out the way to change the stakeholder strategies in the use of resources as the environment is changing.

### Background

The salt preventing sludge of Quan Lo Phung Hiep sludge system has gradually completed during the period of 1994-2000. Its objective is to prevent the salinity intrusion and supply fresh water to nearly 250.000 ha in central Ca Mau peninsular, out of which 160.000 ha belong to Baic Lieâu province in the northern part of national highway No. 1. Project's impact is to create favorable conditions for rice cultivation and other fresh water-based farming practices. However, the supply of fresh water with the aims to change saline ecological environment and the shift to fresh water use are not either always bringing the benefits to the local communities or sustain ably fitting the ecological environment.

The use of natural resources in changing environment from fresh to salt water has affected the livelihoods of people to different extents. The approach of natural resource use in various sub-regions has also changed. In several regions, livelihoods depend on fresh water cultivation has been improved. However, some others cope with difficulties due to depletion on marine fisheries resources. In the same ecological environment, people from all walks of life have been changed due to changing living environment. How to evaluate comprehensively the livelihood and strategies on using regional resources is very crucial (hereafter called socio-economic aspects) in larger study projects. Project named "improvement of poverty mitigation via rational use of stakeholder resources in the freshened areas of Bac Lieu province" jointly carried out by Newcastle University (UK), DFID, International rice research institute (IRRI), Can Tho University and An Giang University. The programs have been done in 2000-2003.

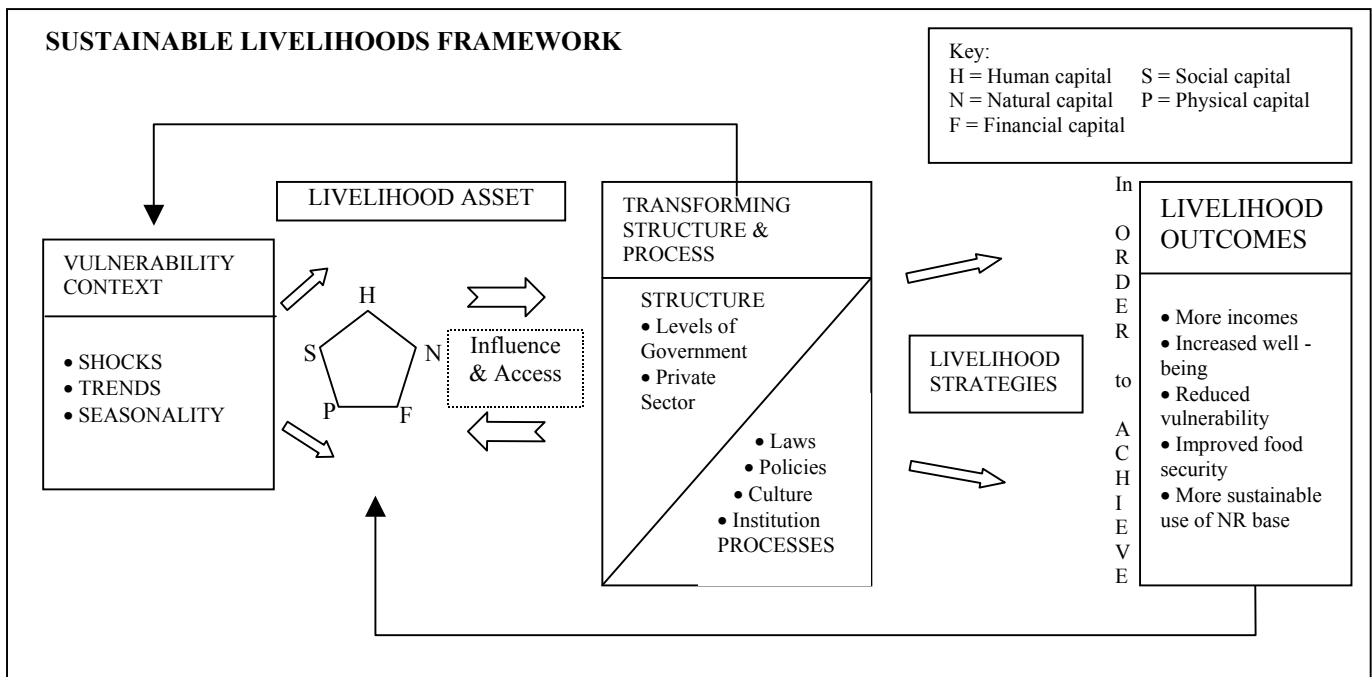
During 3-year implementation of socio-economic aspects of the Project, there are 3 surveys, 2 of which were done in the first period and the end of program did other remaining in early 2003. These surveys were performed in 7 ecological sub-regions relating to 14 hamlets under 7 communes and 350 stakeholders.

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**Concept of sustainable livelihoods**



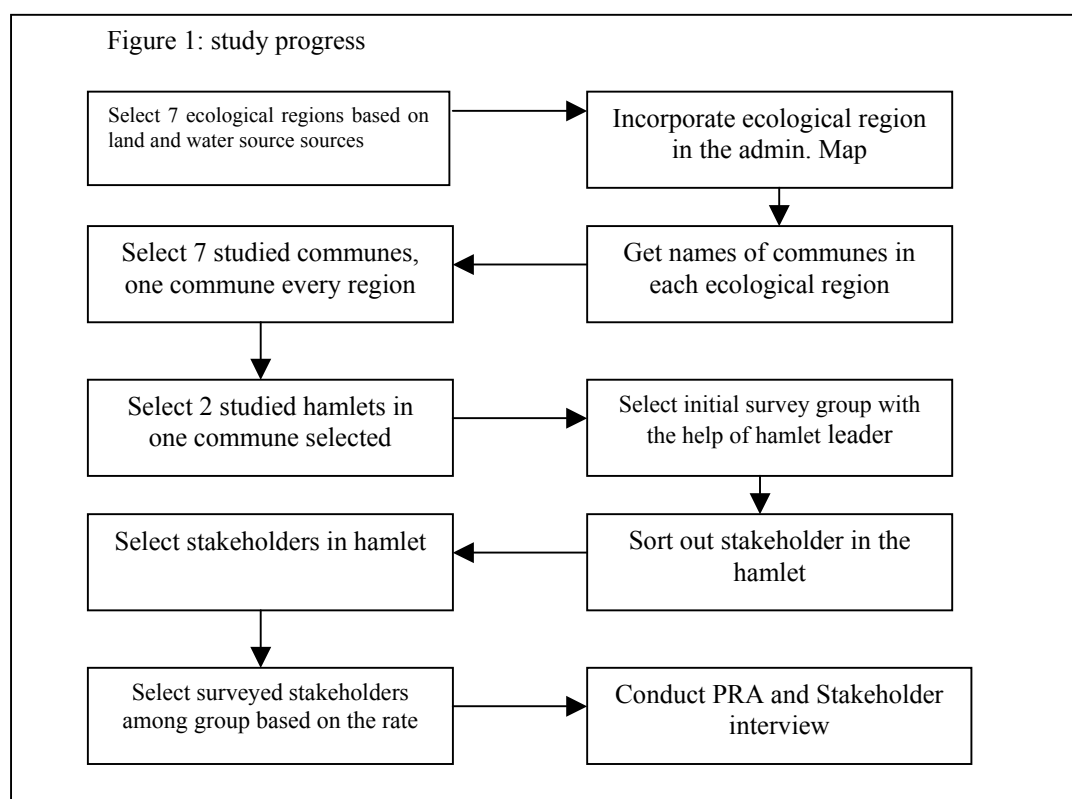
The livelihood is sustainable with the following characteristics (DFID):

- Quickly replenishment under the pressure of outside elements
- Independent on outside support
- Remain long-term production of natural resources Not diminish and harm to the livelihoods of the others.

In the case of Bac Lieu province, the external impact on 5 important properties of the stakeholders' livelihoods is the change in ecological environment from saline to fresh water. This study has selected 3 periods including the time of freshen, right after the freshization period and several years after the freshization in order to survey the changes of 5 properties of the stakeholders in the view of sustainable livelihoods. The important thing in this study method is to focus on stakeholders.

## 1. Tools and study progress

### 1.1 Study progress



### 1.2 Site selection

Due to changes in ecological environment from fresh to salt water, the site selection was done based on 2 crucial elements namely land and water source, or on the other hand the freshization progress (Salinity prevention) according to timing. The maps on land and water of studied sites were combined in order to find out the similarities the selecting 7 ecological sites based on land and water factors.

**Table1: Group of studied sites**

Salinity		Land types			
Fresh water (< 4g l <sup>-1</sup> on February) from	It is correlative with binding other sewers	Alluvial	Saline	Alum	
				Depth	Shallow
Before '98	8	①	②		
Between '98 and '00	8 – 9		③	④	⑤
After 2000	9			⑥	⑦

Note  
 ④ Studied sites.  
 Groups not presented in the projects

### **1.3 Selection of stakeholders**

The selection of stakeholders with the support of hamlet leadership is mainly based on socio-economic characteristics of stakeholders. The socio-economic status of these stakeholders is nearly similar to the sorting out of Vietnam living standard assessment. The list of stakeholders is enumerated according to each stakeholder group. Each hamlet can have the number of stakeholders ranging from 100 to 500. Then some key stakeholders are chosen to represent the stakeholder group for ranking the stakeholders.

### **1.4 Wealth ranking**

Though we have results on Vietnam living standard assessment, it is mainly based on the income status of stakeholders. The wealth ranking is vital for studying progress. Representative stakeholders are selected in step 3.3 and are introduced the way to rank the wealth. These stakeholders before ranking initiate the requirement on the concept of livelihoods and attached criteria. These criteria do not only be the income but also the 5 criteria following the viewpoints on properties of DFID at figure 1. The marks given when ranking fluctuate from 1 to 100 corresponding to the "poorest" to "richest" stakeholders. Then the average marks of stakeholder from groups are taken. There are as many as 4 stakeholder groups to be ranked for each hamlet from poor, normal, sufficient to rich level.

### **1.5 Select stakeholders for survey purpose**

From 4 stakeholder groups in each hamlet as stated in step 3.4, there are 25 stakeholder/hamlet are selected for survey. Number of stakeholder in each group is selected by proportion (rate) of those over the total households in that hamlet. However, in case the proportion of any group is less than 10%, this group is to be combined in the adjacent groups. Accordingly in 7 ecological regions, we have 350 stakeholders selected for survey ( $7 \times 25 = 350$ ). Each stakeholder group selected can fluctuate from 5 to 8 farmer households. These stakeholders are used during the implementation of PRA and Stakeholder Interview (SI).

### **1.6 Tools used in SI and PRA**

Information on the interview is given at one time in 2000. The questionnaire was prepared and pretests in order to make it suitable to specific circumstances of the studied region (site). The content of questionnaire focuses on the information on livelihood, the use of natural resource and capacity of stakeholders.

In the PRA, the information bears the developments before and after the impact of the environment. The time of impact depends on the specific site, which is freshened later or sooner. All information in PRA focus on the use and exploitation of natural resources of stakeholders, the impact of changes in environment to the 5 properties of the stakeholders which are human resource, nature, capital, production and livelihood background and social relation.

- Timeline & Trend line: the timeline is following the period from 1975 to 2000. The remarkable timeline is in 1975, when the channel system was established in 1980-1990, when the sludge was opened and closed and in the later years.

Information collected by this tool includes: (a) production level of rice and shrimp; (b) alum level; (c) the development of channels; (d) access to capital from the banks; (e) the variety of livestock and trees; (f) crop loss frequency, its impact; (g) accommodation; (h) people's health, environmental-related diseases (i) labor and job opportunities; (j) social welfare.

In case the above elements are changed according to the season crop, the crop diagrams will be reflected. For instance, the elements like salinity, alum concentration, rainfall, water pumping, food security, income, crop related migration. With such a tool, we understand that the stakeholders have undergone the changes of environment and how it impacted on the livelihood, employment, health, and other issues in the life.

- SWOC: this tool evaluates the strengths, weakness, opportunities, and limitation in the current life on many aspects. The participants join in the discussion and brainstorming in order to present ideas of their own or of the stakeholders then generalizing into the ideas of a stakeholder group. Thanks to this tool, we know that the people are coping with what

difficulties and what their expectations are for their lives before the changes in their management of natural resources.

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Strengths	Weakness
Opportunity	Limitation

- **Institution/Venn diagrams:** objective of this tool is to get to know the institutions and its impact on the rural livelihood. With regard to concept of sustainable livelihood, the institutions, and agencies affecting in the Bac Lieu province case is the policies, institution, and process (PIP = policies, institutions and process). The agencies can be understood as State management agencies, trade companies whereas the institutions belong to the policies, practices, prices.... relating to the livelihood and the use of resources. The two elements to be reflected in this tool include:

- i) Size of the circles showing the importance of organization in the production
- ii) Position of the circles to the center reflecting the relation between agencies and production of the certain community.

**Pie/income structure:** The objective of this tool is to evaluate the changes of livelihood strategies when time pass by, especially in the period of environment impacts from salinity to fresh water. Livelihood strategies can be understood as the combination between production activities of stakeholders in the bid to achieve the livelihood objectives. Therefore, the income structure of stakeholders also reflects the proportion of production activities in the livelihood of the stakeholders. This tool is based on the semi-quantitative method to find out income proportion changing according to the time.

- **Apart from such tools,** the open and semi-structure questions are started from "how" and "why" so as to deeply find out the changes of environment, resources and production activities of the stakeholders during the interview process.
- **Interviewees:** Interviewees are questioned by using different tools in PRA which can be ranked into 6 groups:
  - (a) Stakeholder groups
  - (b) Individual farmer key informants
  - (c) hamlet leader, *key informant*
  - (d) Village Peoples' Committee representative, *key informant*
  - (e) Vice-Chairman for Agriculture in District Peoples' Committee, *key informant*
  - (f) Director for Agriculture in Province, *key informant*

Many types of information are collected from numerous stakeholders. Income information is mainly collected from farmers and people living in the hamlet who are regarded as key informant.

- **Interviewers use PRA:** including members who have wide expertise on many aspects and experiences on PRA performance. The group includes 2 experts on agriculture aspect and 2 experts on agricultural economics and resources economics.
- **Time allocation:** the following table is the time allocation for PRA performance. Before this, the selection of site, stakeholders and wealth ranking have been already done. The site to apply PRA has been done as the roll-up form from this site to other with the same group of experts as stated above.

Day 1	<ul style="list-style-type: none"> <li>• Set up participants, introduce PRA method. Draw the map on hamlet, indicate the types of land and water sources, issues in specific production site and infrastructure etc.</li> <li>• Perform PRA tools</li> </ul>
Day 2	<ul style="list-style-type: none"> <li>• Continuously perform PRA tools</li> <li>• Semi-structure interview</li> </ul>

*Appendix 5 Differences and Expectations*

Group	What is the difference between working with PRA/LHA and how you worked before?	What do you expect to learn from attending this workshop?
1	<p>A comparison of previous and current Vietnamese government approaches to poverty reduction through aquaculture:</p> <p>Before MOLISA would assess geographic poverty status, and MOFI would decide what approach to pursue in the poor areas defined and provide funding to the province to support poor people.</p> <p>After (2000) MOLISA would assess geographic poverty status, and SAPA-MOFI would support capacity building amongst provincial staff to conduct with local people and a range of stakeholders an assessment of their livelihoods and their requirements for support and then provide funds for this.</p> <p>So participation and the role of local women and men is increased.</p>	<p>Enhanced PRA and Livelihood analysis skills to better understand people's needs.</p> <p>Markets?</p> <p>The establishment of a network of related agencies for identifying and learning about PRA/LHA and sharing information.</p> <p>Learning about PRA/LHA techniques and the policy and other contexts in which they can be applied.</p>
2	<p>A comparison of many participants experiences of PRA/LHA and "old methodologies":</p> <p>Previously analyses were not detailed, with perhaps a single "participation event" only in an otherwise top-down process with little sharing of the outcome.</p> <p>PRA/LHA involves more comprehensive analysis and is more participatory, characterised by respect for a range of voices and resulting in more comprehensive "concrete" activities that are related to the livelihoods and relationships of those they are to benefit.</p> <p>Analysis using LHA tends to identify the need to enforce rules (IUCN). Planning involving LHA is more time consuming and staff need to be more experienced.</p>	<p>To learn experiences from other projects.</p> <p>To know what others are doing and how.</p> <p>To share experiences with others and hear feedback.</p>
3	<p>A comparison of many participants experiences of PRA/LHA and "old methodologies":</p> <p>PRA/LHA approaches improve understanding about peoples livelihoods and the process of doing the analysis brings together, communities, local authorities and development organisations, which benefits subsequent implementation (of aquatic resources management and development).</p> <p>LHA allows participants to play a role in defining poverty reduction interventions.</p>	<p>To learn about tools and methods.</p> <p>To share experiences and lessons.</p>

<p>4</p>	<p>A comparison of many participants experiences of PRA/LHA and “old methodologies”:</p> <p>Before: information tended to come from individuals or a single household. The interviewees played a passive role (often answering a questionnaire) the information was more commonly inaccurate and unreliable. Those participating were more directly related to the implementers e.g. Officers of the implementing authority, local leaders.</p> <p>Now: groups within communities are involved in flexible ways that allow them to be pro-active. The information collected tends to be more complete and reliable</p>	<p>Learning about methods and how to make a project to help poor farmers.</p> <p>Exchange experiences with other projects.</p>
<p>5</p>	<p>A comparison of many participants experiences of PRA/LHA and “old methodologies”:</p> <p>PRA/LHA encourages farmers to share their knowledge and experiences and may increase self-sufficiency in planning.</p> <p>The information collected is often reliable and valuable.</p> <p>However it is time consuming and requires skills to conduct and analyse.</p> <p>Survey and questionnaire methods can be done in a short time with limited training and are easily analysed.</p> <p>However the format often limits contributions from interviewees (e.g. new or unanticipated information)</p>	<p>Sharing and exchanging experiences.</p> <p>Propose a comprehensive method for Vietnam.</p>
<p>6</p>	<p>A comparison of many participants experiences of PRA/LHA and “old methodologies”:</p> <p>Basically the tools are not very different but an increase in participation and relationship building promotes information sharing and allows for more knowledge to be shared.</p> <p>(This group report that) PRA does not have activities concerning the analysis of the risk caused by natural disasters that have impact on the communities</p>	<p>Learning from those implementing livelihood analysis.</p> <p>Learning about more community approaches.</p>



*Appendix 6 Significant Changes*

Since you began using participatory livelihoods approaches, what is the most significant change you have seen in a) a community, b) your organization or agency, and c) yourself?

	<b>Community</b>	<b>Organization or agency</b>	<b>Oneself</b>
1.	More confident	Change the older methods that are not sustainable	Confident in my work and friendly with the community
2.	Having a comprehensive relationship between staff and farmers	Making suitable and effective policies	Improving working capacity with farmers
3.	Each household has known the reason why they are poor, and they will try to improve themselves by finding suitable livelihoods to attack poverty		Improving my capacity day by day, learning and understanding in participatory analysis, exchanging and learning experiences from others
4.	Increase the income for community, and decrease the pressure for poor communities, opportunities for poor people in earning, poverty alleviation	Improve the ability and roles of staff	Improve the knowledge and ability, more understanding on participatory livelihoods analysis
5.	Have impacts on livelihoods	Disseminate knowledge to people in a practical and understandable manner, VWU directly disseminates to people with coordination of locality	Staff should get to know the status of people in specific areas, and encourage people to learn and promote their internal strength or experience to be mutually shared
6.	Some communities have better awareness on the assessment and analysis of problems contributing to poverty alleviation and it is given consensus of local communities	Organizations are changed in terms of management in specific areas for improved livelihoods of people	I myself learned a lot to contribute to poverty alleviation task with my agency
7.	Closer relationships between scientists (including myself) and community; further, community can identify their own constraints and solutions	Better understanding of benefits from livelihoods analysis so we participate more actively in the cause of supporting community development	Better capacity to help communities more effectively
8.	Farmers can participate in LHA and make plans for themselves	Strengthening capacity of organization	Skills in LHA have been improved and understand more about the community
9.	Local people confidently decide the livelihood activities, what benefit they can get for themselves and for their community	Identifies the roles of local people in their alternative income-generation activities, and the organization improves the collaboration with other related agencies in design and implementation of participatory livelihoods activities for local people	Learning and a lot of knowledge and experiences from the local people and other related agencies in local people's livelihoods

10.	Farmers and community could understand more about their livelihoods; they can make development planning by themselves	Having a good understanding about community's livelihoods and then they will have suitable support	I can get feedback information from farmers and give their recommendations on supporting programs to policy-makers
11.	Role of community members is strengthened	Improving the methods of working with farmers	Need to base on context and capacity of poor people for efficient poverty alleviation
12.	Better understanding of the objectives and implications of the project by a larger portion of villagers; deeper understanding in project activities by key persons among communities	Better understanding of the socio-economic situation and aspirations of communities by the project staff itself, through sharing of the PRA outputs; easier sharing and comprehension on the project by various stakeholders, e.g., commune and provincial structures, MOFI	Strong confirmation that solutions to existing problems of the communities must and can come from themselves, then be facilitated by the project; "connivance" with community members
13.	Improving knowledge in LHA with community participation, especially more interest in poor people and their livelihoods, i.e., aquaculture	Livelihoods analysis practices are only effective when they are supported by my organization and other social organizations	The participation in workshops; I have studied and improved my knowledge by learning from experience person in LHA with community participation
14.	More confident	Many changes after using participatory analysis	Better capacity and knowledge
15.	Increased income, relieved pressure from destructive fishery gear use, relieved pressure on poor communities and women, strengthened capacity of communities	Capacity strengthened, empowered roles and functions	Better capacity and knowledge
16.	Learn how to participate in LHA process and use the PRA tools	Understand the role and capability of beneficiaries and farmers in development work	Providing project support and interventions more relevant to the beneficiaries' needs
17.	More confident when talking about their problems and possible solutions	More confident in designing interventions and development programs	More confident when working with community as we engage in advocacy and policy influencing at different levels
18.	Increased awareness, confidence and solidarity	Better grounding and shared collective analysis	More respectful of local communities' knowledge and capacities
19.	Confident	Humble	Hopeful
20.	Cooperation, support and help to each other	Getting information from grassroots level, two-way information checking, not give from top to bottom	Profoundly understood the livelihoods of farmers
21.	They can say what they want for themselves, and they can participate in making development plans of their own	Learning the community approaches and methods is more scientific	I have got many skills in livelihoods analysis of the community
22.	Self-help in community and job creation	Provide more support to the community	Proactive to help the community

23.	Community becomes more confident and active to participate in planning and formulation of aquatic resources management and development	Staff feels confident to work with poor people because they can see the efficiency of support on aquaculture development as a means of poverty alleviation	Efficiently support poor people, particularly in poverty alleviation; let them show you the way
24.	Participants actively involve in discussion during livelihoods analysis process; no pressure imposed from outside; communities easily raise issues since they have give high consensus	Get high consensus, democracy improved, solidarity improved, confidence is enhanced	Learn lots of useful things in communities, have mutual understandings
25.	Livelihoods analysis that is participated in by all of communities, organizations and persons, will be better.		
26.	All of them participate in livelihoods activities.		
27.	All of them participate in livelihoods activities.		

*Appendix 7 Evaluation***To what extent did the workshop meet the objectives and your own expectations?****Please explain.**

- Better understanding on STREAM and SAPA
- But limited understanding links between the three provinces
- Good interaction with Filipino participants
- Have not been clarified on the SAPA-STREAM program/project
- Most of the presenters shared approaches of “livelihoods analysis”, but not yet highlighted the actual practices (that is, objectives of “livelihoods analysis” are clear enough, but the implementation measures are unclear)
- Good lessons from Michael Reynaldo’s presentation
- The workshop has achieved its objectives and met my expectation, which is to share useful experiences through this event
- I have learned much experience from other organizations that have already been using PRA and PPA tools
- Aware of ways to carry out and use outputs of people livelihood analysis in order to support the poor
- Rather good, but livelihood analysis methods and experiences and lessons learned have not been shared much due to time limit
- Good, but it would be better if livelihoods framework is integrated in some session, so that participants can have a broader vision of livelihoods and LHA

**What do you think of the workshop sessions and methods? What did you find most useful and why?**

- Excellent facilitation
- Interaction with the provincial participants would have improved with a less traditional room setting
- Excellent session on changes (myself/community/organization)
- Excellent process to have the synthesis outputs in real time
- Presentations were grouped into categories, indicating good facilitation
- Organizations pay much attention to people’s livelihoods analysis
- Reasonable timing, with scientific and easily accessible methods of working
- Participation skills (because it is difficult to deal with any kind of work without these skills)
- Reasonable, but interactions among participants were not active, due to inappropriateness of seat arrangements.
- Good and reasonable program and ways of working
- Good experience in PRA/LHA from other projects (e.g., IUCN Hon Mun, SUMA, Oxfam)
- Cooperation among participants
- Reports were distributed
- Good ways of working for easy perception and capacity-building
- The workshop is useful for participants, since they were exposed to presentations and attended group discussions, which not only made them understand more clearly about livelihood analysis process, but also helped develop government and NGOs’ support policies

**What specific topics might be followed up on in future workshops or other activities?**

- How to involve organizations and government agencies in the process of livelihoods analysis and provide assistance to people’s livelihood activities
- Experiences on livelihoods analysis and performances and project implementation
- How to widely disseminate PRA methods (e.g., through capacity-building workshops)
- Develop pro-poor blueprints after accomplishment of livelihood analysis
- How to ensure that the poorest can take part in livelihood analysis and project activities
- How to make fisheries activities give priorities towards the poor, landless, women, and ethnic minorities
- Actions which have been taken
- Lessons learned, especially the ones in analysing poor people’s livelihoods

- The title “Learning workshop on livelihood analysis” is meaningful, not only for this time in Long An, but also for succeeding workshops

**What is the most important thing you learned during this workshop?**

- The existence of the SAPA strategy document
- STREAM Initiative and SAPA programme are making efforts and representing all the projects, organizations and institutions in developing a strategy of participatory livelihood analysis and furthering it. Hopefully it will be a principles to implement.
- Learn livelihood analysis experience from other projects/organizations
- A complete process of analysis of poor people’s livelihoods, using PRA tools, participatory approaches (especially after the report by Oxfam GB)
- Networking
- Improved capacity to make use of PRA methods.
- Valuable experience for supporting the poor, especially poor women.

**What improvements can be made in future workshops?**

- Setting of the meeting room (no traditional “classroom” type)
- Ask presenters to prepare their presentations in both languages
- Introduce STREAM/SAPA and related activities in three provinces at the beginning of the workshop
- Excellent: Prepare of outputs in both languages, Presentation of programme in the first day, then synthesis of the 1<sup>st</sup> day on the 2<sup>nd</sup> day, Co-facilitators and translators
- The seats should be arranged in U shape for easy interactions among participants
- Better reception of participants
- Materials to be circulated
- Workshop venue should be more tranquil and detached
- It’s better to have two facilitators (1 Vietnamese, 1 foreigner)
- Presentations were very interesting, but participants should have raised more concise questions
- In general, the workshop is good, with concise presentations and good facilitation

**Any other comments?**

- Thanks for inviting me
- More attention to participants living in remote and isolated regions
- Good accommodation and good food
- SAPA strategy should be implemented soon at provincial level, firstly in the three provinces of Long An, Quang Tri and Thai Nguyen