A USER'S GUIDE TO INTEGRAL HUMAN DEVELOPMENT (IHD)

Practical guidance for CRS staff and partners

Geoff Heinrich, David Leege and Carrie Miller

USAID FROM THE AMERICAN PEOPLE

CRS CATHOLIC RELIEF SERVICES

Since 1943, Catholic Relief Services (CRS) has held the privilege of serving the poor and disadvantaged overseas. Without regard to race, creed or nationality, CRS provides emergency relief in the wake of natural and man-made disasters. Through development projects in fields such as education, peace and justice, agriculture, microfinance, health, water, HIV and AIDS, CRS works to uphold human dignity and promote better standards of living. CRS also works throughout the United States to expand the knowledge and action of Catholics and others interested in issues of international peace and justice. Our programs and resources respond to the U.S. Bishops' call to live in solidarity — as one human family — across borders, over oceans, and through differences in language, culture and economic condition.

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LIST OF ACRONYMS

CP	Country Program
CRS	Catholic Relief Services
DAP	Development Assistance Program
DFID	Department for International Development
DHS	Demographic and Health Survey
DR	Developmental Relief
FANTA	Food and Nutrition Technical Assistance
FAO	Food and Agriculture Organization of the United Nations
FEWS	Famine Early Warning System
FFP	USAID Food for Peace
FFW	Food for Work
IHD	Integral Human Development
IR	Intermediate Result
ITSH	Internal Transportation Shipping and Handling
MICS	Multi-Indicator Cluster Survey
MYAP	Multi-Year Assistance Program
NGO	Non-Governmental Organization
PLA	Participatory Livelihoods Assessment
PQSD	Program Quality and Support Department
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Plan
RRA	Rapid Rural Appraisal
SO	Strategic Objective
SPP	Strategic Program Plan
USAID	United States Agency for International Development
VAM	Vulnerability Analysis and Mapping
WFP	World Food Program
WHO	World Health Organization

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HOW TO USE THIS GUIDE

CRS has adopted Integral Human Development (IHD) as a central component of the agency strategy and the work that we do with our partners. This document presents both the concept of IHD as derived from Catholic social teaching, and the IHD conceptual framework that the agency uses as the over-arching framework for analysis and program development.

Subsequent sections of this document also provide practical guidance for applying both the concept and conceptual framework in various types of program planning and evaluation, specifically in:

- Project design processes;
- Strategic Program Planning (SPP) processes;
- Development of Multi-Year Assistance Program (MYAP) proposals for USAID Food for Peace (FFP) funding; and
- Project evaluations.

This document is intended for use by CRS and partner field staff working overseas. When initiating or participating in any of the program activities mentioned above, it may be helpful to review the general sections on the IHD concept and conceptual framework, as well as the section specific to the activity being undertaken.

It must be noted, however, that every situation is different, and therefore this document is not intended as a recipe book. Rather, it should serve to remind us periodically of our overall objectives as an agency, and encourage a holistic, inclusive and participatory approach to the work that we do with partners and the people we serve.

PART I
INTEGRAL HUMAN DEVELOPMENT (IHD): THE CONCEPT AND THE FRAMEWORK

INTRODUCTION

In 2002 Catholic Relief Services staff from the Emergency Response Team and Agriculture Technical Advisors from regions and headquarters met in Ghana to coordinate and improve their work. The most important results of that meeting were several strong requests from the field:

> "*We need an agency framework to guide programming,*"
>
> "*We need practical ways to incorporate the Justice Lens into our programs,*" and
>
> "*We need a framework that links the Justice Lens with the Food Security Framework and our relief and development goals.*"

In response, CRS developed the Integral Human Development (IHD) conceptual framework. The framework is based on the concept of Integral Human Development as found in Catholic social teaching[1], in combination with Sustainable Livelihoods or Livelihood Security Frameworks that had been developed by organizations such as Department for International Development (DFID), CARE and others.[2] The CRS IHD conceptual framework was developed initially by a team of both field and headquarters staff. Subsequently, many CRS and partner staff around the world provided input to the framework that is being used by the agency today.

CRS is about bringing a vision to life, and this vision is Integral Human Development for all. The agency's mission is about serving the poorest and most vulnerable. In order to serve, we must be able to see and understand the world they live in. The IHD concept provides the basis for our vision. The IHD *conceptual framework* is a diagrammatic representation that helps to guide our thinking, and to understand more clearly the world of the poor, including both their strengths and their needs.

[1] A more detailed discussion of IHD in Catholic social teaching can be found in CRS. 2007. *Strategy Document IHD Narrative and Results Framework.* Baltimore: CRS.
[2] See http://www.livelihoods.org.

SECTION 1
THE CONCEPT OF INTEGRAL HUMAN DEVELOPMENT

What is the IHD Concept?

Integral Human Development promotes the good of every person and the whole person; it is cultural, economic, political, social and spiritual.

The IHD concept points both to the goal we want to promote and the process for moving together in solidarity toward this goal. At the same time, it is a concept that resonates with our Church partners and which can provide common ground for the development of agreed priorities and programs. IHD is also one of the four strategic priorities for Caritas Internationalis of which CRS is a member.

In the 1967 encyclical Populorum Progressio, Pope Paul VI introduced the concept of integral development:

> *Development cannot be limited to mere economic growth. In order to be authentic, it must be complete: integral, that is, it has to promote the good of every man and of the whole man.*

In the 1987 encyclical Sollicitudo Rei Socialis, Pope John Paul II stated:

> *In this pursuit of Integral Human Development we can also do much with the members of other religions. Collaboration in the development of the whole person and of every human being is in fact a duty of all towards all, and must be shared by the four parts of the world: East and West, North and South.*

More recently, Pope Benedict XVI stated:

> *Peace cannot be a mere word or a vain aspiration. Peace is a commitment and a manner of life which demands that the legitimate aspirations of all should be satisfied, such as access to food, water and energy, to medicine and technology, or indeed the monitoring of climate change. Only in this way can we build the future of humanity; only in this way can we facilitate an integral development valid for today and tomorrow.*[3]

As a goal for CRS, IHD suggests a state of personal well-being in the context of just and peaceful relationships and a thriving environment. It is the sustained growth that everyone has the right to enjoy and represents an individual's cultural, economic, political, social and spiritual wholeness — a wholeness that we all want to experience and that, in concern for the common good, we want others to experience as well. It is participation in the fullness of life and includes enjoyment of family, society and nature, as well as the gifts that come from learning new things, from earning a dignified living and contributing to a rich civic life. The IHD concept is relevant for both the poor we serve overseas and the Catholic community and other persons of goodwill in the United States.

[3] 2008 address by Pope Benedict XVI to the diplomatic corps at the Vatican.

IHD also refers to the process by which a person achieves this well being and common good. True Integral Human Development is a long-term, dynamic process based on human dignity and right relations: i.e., each person's relations with God, self, others and all of creation. Advancing IHD means working with a variety of actors to transform the way that societies live, heal and structure their relationships. Progress toward IHD is achieved through active engagement with others in a just and peaceful society that respects the sacredness of life and the dignity of every person.

In practice, this means CRS as an agency must develop a common understanding of IHD with our partners and then jointly take a holistic approach to development. In many cases, CRS partners are already quite familiar with the concept of IHD and have developed methodologies to help them work with communities to achieve this goal. Training for Transformation[4] is one such methodology that is used in some countries in Africa.

Finally, our collaborative work must consider the different dimensions of the whole person and of society, including social and environmental sustainability. It means we must bridge the gaps between emergencies and development; between the lives of the poor and unjust policies, systems and practices; and between individual well being and the common good.

[4] See Hope, A. and S. Timmel. 1984. *Training for Transformation*. Harare: Mambo Press.

SECTION 2
THE INTEGRAL HUMAN DEVELOPMENT CONCEPTUAL FRAMEWORK

What is the IHD conceptual framework?

As noted, the IHD conceptual framework is a diagrammatic representation that helps us to think about a situation in a holistic way that promotes Integral Human Development.

- It is a way of making sense out of a complicated world.
- It is useful for analyzing and explaining complex situations.
- It is a holistic checklist for understanding and guiding programming.

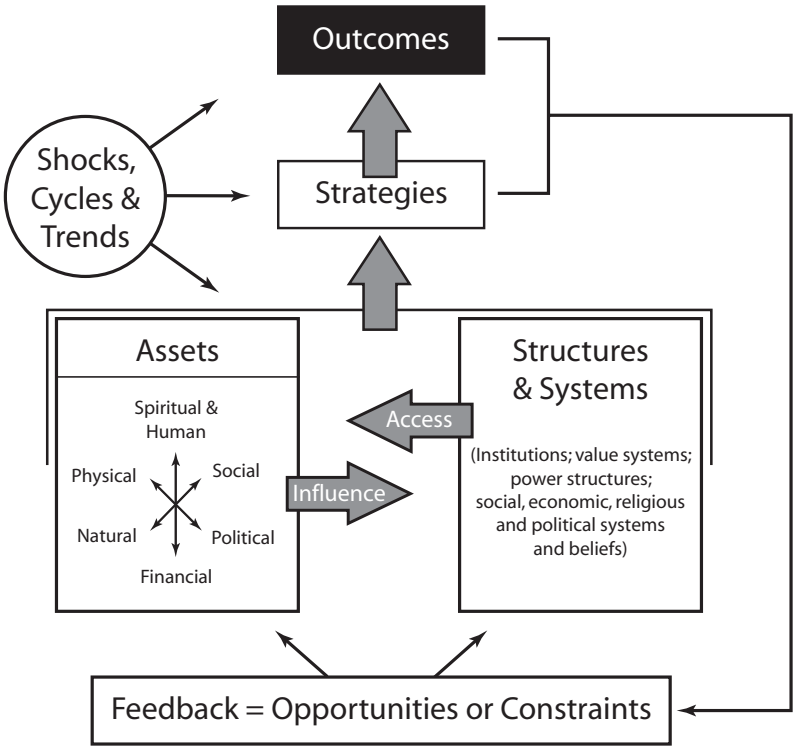
What the IHD conceptual framework is NOT

- It is not a replacement for the CRS Justice Lens.
- It is not a magic bullet for solving all problems.
- It is not a blanket mandate for multi-sectoral projects.
- It cannot replace a good development practitioner.
- It does not replace proven techniques and tools — though it helps us choose which tools to use.
- It is not just another form of integrated rural development (see quote from Pope Paul VI, in Section 1 above).

What the IHD conceptual framework does

What the IHD conceptual framework does do is help us bring all of our frameworks and approaches together. It helps us to operationalize the Justice Lens in our projects and to link relief and development programs and tools for greater impact. It is a framework that we can use to reduce risk and increase resilience in the most vulnerable communities. It can help us to foster human dignity and social justice in all CRS programs.

Figure 1: The CRS Integral Human Development conceptual framework



A diagram of the IHD conceptual framework is shown above in Figure 1. A key purpose of the IHD conceptual framework is to help CRS and our partners become more effective in assisting the people we serve to improve their overall well-being through improved livelihood **Outcomes**. The primary livelihood outcome sought is Integral Human Development. That is, people are able to lead full and productive lives, meeting their basic physical needs and living their lives in an atmosphere of peace, social justice and human dignity.

Livelihood **Outcomes** are the result of the livelihood **Strategies** people use. For most people, livelihood Strategies are based primarily on their many different **Assets** — these are the resources that they have to work with and build on.

Systems and Structures are the institutions, rules and social norms that we work within. They affect *how* different Assets can be used, and in some cases *who has access* to specific Assets. Individuals or communities with a lot of Assets may also be able to *change some of the rules*. So there are important interactions between Systems and Structures and Assets.

CRS and partner Strategies should also take into account *risks* that threaten lives and livelihoods. These are listed as **Shocks, Cycles and Trends**.

The IHD conceptual framework depicts these basic components and the interactions between them: households develop livelihood Strategies based on available Assets, and they use these Assets within the surrounding external context (Systems and Structures). Finally, they take into account the major sources of risks to lives, livelihoods and overall well-being as they develop their Strategies.

In the IHD conceptual framework, six basic approaches to improving livelihood Strategies are considered. These include:

- *Coping/Survival mechanisms* — getting through difficult periods.
- *Risk Reduction mechanisms* — reducing vulnerability to Shocks, Cycles and Trends.
- *Engagement* — increasing the influence of people and communities to advocate and claim rights and services.
- *Asset Recovery* — rebuilding Assets lost in a disaster.
- *Asset Diversification* — increasing resilience by having many different types of Assets to depend on in crisis, and reducing vulnerability to the loss of one or a few Asset types.
- *Asset Maximization* — increasing the quantity and quality of Assets to improve the capacity of households to leave poverty and reduce vulnerability.

These Strategies are not mutually exclusive, and it is common for more than one to be applied by households at any given time.

Assets, Systems and Structures and the vulnerability context in detail

Assets

Assets are the resources that people use to generate livelihoods and to weather crises and Shocks. There are six basic Asset categories defined in the conceptual framework:

- **Spiritual** and **human** Assets are those Assets that each individual has. These include education, religious faith, individual health, life experiences and wisdom, intelligence, livelihood skills and physical strength.
- **Social** Assets are peoples' support networks — family and friends, religious groups and the organizations to which they belong.
- **Political** Assets reflect the power people have in their communities and families. Political Assets are the capacity to influence decision-making, to advocate for resources or change, and ability to claim one's rights — for example to education, health care or voting.
- **Physical** Assets are tangible Assets, and can include homes and sheds, equipment and tools, bicycles, vehicles, wells, clothes, etc.
- **Financial** Assets are either cash, or items that can be converted to cash quickly and easily. Financial Assets might include grain, livestock, wool rugs, gold, income from a job or remittances from abroad.
- **Natural** Assets include natural resources like soil, water, plants, trees, animals, air, regular rainfall and oceans.

When considering Assets, it is important to also recognize the *quality* of those Assets (e.g., fat, healthy cattle are better able to survive an on-coming drought than thin, malnourished ones).

The question of *who* has access to particular Assets also needs to be considered. For example, in some cultures a male head of household may control all income generated from livestock products. The issues of *quality* and *access* are very important in determining how specific Assets can be used to generate or improve livelihoods.

Systems and Structures

Systems organize and regulate behavior and processes. Examples of Systems are:

- Legal Systems (e.g., laws)
- Market Systems (e.g., trade agreements)
- Political Systems (e.g., policies)
- Social and cultural Systems (e.g., caste, gender, age, cultural group, traditions, etc.)
- Religious beliefs and values

Structures are *organizations and institutions* that shape and influence people's values and behavior, or *tangible things* that affect what they can do, and how they do it. Some examples are:

- Government ministries (e.g., agriculture, education, etc.)
- Churches, mosques and other religious institutions
- Schools, hospitals and other social services
- Civil society organizations and NGOs
- Private sector — shops and commercial enterprises

People with power can control Structures and Systems. They can decide:

- Who can access services and Assets
- Who gets important information and who does not
- Who participates in decision making and who does not

People, groups or communities with a lot of Assets (whether financial, physical, social or political) are often the ones who have power. They can influence the Systems and Structures around them. Identifying the relationships between Assets and Systems and Structures is very important when it comes to understanding issues of poverty, human dignity and social justice that will form the foundation of good program design. Systems and Structures can sometimes enable or empower households and communities to achieve Integral Human Development. Other times, they can be more of a constraint. Ideally, CRS programs can help communities to engage actively with Structures and Systems so that they can be an enabling force in their lives.

Shocks, Cycles and Trends

All people face certain threats to their lives and livelihoods, such as illness, severe weather or accidents. However, some individuals have very different levels of *vulnerability* to specific *risks*. For example, the elderly and the very young are more susceptible to the risk of getting the flu during an outbreak. Wealthy people are usually less vulnerable than poor people to the risks imposed by cyclones and hurricanes. Rich and poor alike try to account for the major risks they face when developing and implementing their livelihood Strategies. The IHD conceptual framework recognizes this fact, and categorizes threats in terms of Shocks, Cycles and Trends.

Shocks are sudden, intense events that can harm people's lives or livelihoods. CRS has responded to many Shocks, including epidemics, conflicts and major natural disasters like the Asian tsunami, the Pakistan earthquake and Hurricane Mitch.

Cycles occur regularly. Examples of Cycles include seasonal floods, disease that comes with the rainy season or crop prices that fall after harvest and rise steadily as food supplies dwindle.

Trends can be positive or negative. Economies can improve or decline, environments can degrade or heal, and long-term weather patterns can change.

Understanding and addressing the primary sources of risk is a vital part of developing successful livelihood **Strategies** and achieving Integral Human Development. The link between relief and development comes from thinking carefully about how to reduce risk and vulnerability to Shocks, Cycles and Trends, and increase household resiliency. This is one of the key elements of the IHD conceptual framework.

See Annex 1 for tools and information sources you can use to analyze issues within the IHD conceptual framework.

Conclusion

People's livelihoods comprise the many activities they engage in to support themselves and their families. They gather wood, build a fish pond, raise sheep and weave jackets. They hunt game and grind millet, sell eggs and make chutney and salsa.

The IHD concept also considers broader aspects of people's lives, including their hopes and aspirations, and issues of human dignity and social justice.

The IHD conceptual framework leads us to ask:

- To what extent are people achieving Integral Human Development in their lives?
- What are people currently doing to make a living?
- What policies, institutions and values support or constrain people's ability to earn a living, or to lead full and productive lives, with peace, dignity and social justice?
- What Shocks, Cycles or Trends support or threaten people's livelihoods, equity and human dignity?
- What are people's strengths and opportunities, and what can they do to improve their livelihood Outcomes?

The IHD conceptual framework can help us identify **constraints** and **opportunities** for livelihoods. It can help us choose appropriate interventions that strengthen household and community Assets, and increase human dignity and social justice. It can help decrease risk and vulnerability and improve lives.

This framework is intended to help CRS staff and partners to serve the poor with the best programs possible.

PART II
APPLICATION OF THE IHD CONCEPTUAL FRAMEWORK

INTRODUCTION

Many CRS staff have said: "I know what the IHD conceptual framework is, and would like to use it, but I am not sure exactly how to go about applying it on a practical level." This part of the User's Guide is designed primarily for CRS staff and partners (where appropriate), and focuses specifically on practical ways that the IHD conceptual framework can be used and applied. Part II is divided into five sections:

Section 1: Using the IHD Conceptual Framework in Project Design provides guidance on using the IHD conceptual framework for project design *in general*. This could include single sector or multi-sector projects. The conceptual framework and suggestions provided do not replace the project design processes as described in the *ProPack I*[5] manual, which should be followed using an IHD lens (see *ProPack I*, pp. 51-56). Rather, this guide complements and provides additional detail on how to apply the IHD conceptual framework in the project design process.

Much of the information in this section is also applicable to the development of Strategic Program Plans (SPPs) and/or Multi-Year Assistance Programs (MYAPs) for USAID's Office of Food for Peace. However, because SPPs and MYAPs have such specific requirements, they are discussed in detail individually (see below).

Section 2: Using the IHD Conceptual Framework in the Strategic Program Planning (SPP) Process and **Section 3: Using the IHD Conceptual Framework to Enhance MYAP Design** make additional comments specific to application of the IHD conceptual framework in the preparation of SPPs and MYAPs. The SPP Guidance and the forthcoming *MYAP manual* make frequent reference to IHD, and this IHD User's Guide is again intended to complement them.

Section 4: Discusses issues related to **Conducting a Participatory Livelihoods Assessment**, both in general, and specifically in reference to SPPs and MYAPs. Participatory livelihoods assessments (PLAs) are very important for effective project design, and are often necessary to obtain comprehensive information in regards to IHD. They are also recommended for the development of both SPPs and MYAPs, and are usually based on the IHD conceptual framework.

Section 5: Using the IHD Conceptual Framework in Project Evaluations describes how the framework can be used to conduct project or program evaluations, even in cases where the project was designed without explicitly taking IHD into account.

[5] The first volume of ProPack will be referred to as "ProPack I" for ease of reference throughout this document.

SECTION 1
USING THE IHD CONCEPTUAL FRAMEWORK IN PROJECT DESIGN

Topics addressed in this section of the guide are applicable to essentially all types of projects, and will consider:

- *When* should the IHD conceptual framework be introduced?
- *What* are the key processes in using the IHD conceptual framework?
- *Where* should it be used (in the office? at the community level?) and with whom?

The question of *how* the framework can be applied to projects in general is covered here. Additional guidance in regards to SPPs, MYAPs and project evaluations is provided in later sections (Part II, sections 2, 3 and 5 respectively).

When should the IHD conceptual framework be used (i.e., at *what* stage of project design)?

Use the IHD conceptual framework in the initial stages of project or program development (see pp. 51-56 of *ProPack I*) because it helps to ensure a holistic perspective, guide the entire process of programming and ensure that even a single sector project is consistent with the bigger picture and links to other sectors.

If the IHD conceptual framework was not used from the outset of project design, it can still be introduced at any point in the design process. If IHD analysis is introduced mid-way through the design of a project, it can serve as a check on progress to date — for example, by asking "if we review the situation from an IHD perspective, taking into account all of the elements of the framework, does the project still appear to be an appropriate intervention? Does it need to be modified to make it a better fit?"

A participatory livelihoods assessment using the IHD conceptual framework *does not need to be endlessly repeated* for every new project. In stable operating environments, conducting a comprehensive in-depth participatory livelihoods analysis (usually coinciding with the SPP Cycle) serves as a strong baseline. This information can then be used for the design, monitoring and evaluation of future projects, as long as the analysis remains sufficiently current and relevant. However, in all project planning, it is still useful to reflect on the various components of the IHD conceptual framework, and consider how the project will impact — or be impacted by — these components.

What are the key steps in using the IHD conceptual framework?

First, use the IHD conceptual framework as a check-list to ensure a holistic understanding of the complex, diverse and risk-prone lives and livelihoods of the people we serve. You can fill in the boxes of the IHD conceptual framework with data collected during a livelihood assessment or from secondary data:

- *Livelihoods:* What are the primary livelihood **Strategies** of the individuals, households and communities of the people the project is expected to serve? (Use the six broad livelihood Strategies as a guide (see box on p. 6)). How are they managing their Assets and are they successful in achieving Integral Human Development? Are peoples' livelihood activities appropriate in the current environment, or do they increase risk and vulnerability in the short or long term? Are people able to manage through different seasonal Cycles? What obstacles prevent them from being more successful? From achieving greater social justice and human dignity?

- **Assets:** What are the Assets that individuals, households and communities manage? Which Assets are sufficient in quantity and quality to ensure survival and wellbeing, and which are not? (Use the six broad Asset categories outlined in the IHD conceptual framework, see p. 6) What are the limiting factors for each category of Asset? (e.g., access to arable farmland/natural capital, but poor knowledge of improved techniques for better yield/human capital). Are there any underutilized Assets that present an opportunity for improving livelihoods?

- **Shocks, Cycles and Trends:** What are the main sources of *vulnerability* (or threats), to the lives and livelihood Strategies of the people being considered? (e.g., Shocks, Cycles and Trends) What are the risks that they face? Are these the same for different social groups within the community? Are some households more *resilient* than others to Shocks? What *coping mechanisms* do household and communities use to respond to Shocks? What could be done to improve the capacity of vulnerable households to cope with future threats?

- **Structures and Systems:** What is the social, political, economic and cultural context in which people are living and working, and what parts of this environment constrain or enhance the Outcomes of their livelihood Strategies (the Structures and Systems box)? For example, do the people you serve live in a male-dominated society in which widows have a particularly difficult time making a living? Is there a culture of discrimination against people living with HIV that makes it difficult to identify and support them? Is the economy booming and presenting a multitude of **opportunities** that some people have yet to capitalize on? Are there sources of tension among groups in the community that may create problems now or in the future?

- Use this information for identification and analysis of issues:
  - Identify major issues that prevent or constrain Integral Human Development
  - Prioritize these issues (through discussion, pair-wise ranking, etc.)
  - Analyze priority issues using problem trees (see pp. 76-83 of *ProPack I*)
  - Conduct a gap analysis (see Part II, Section 4 of this document, pp. 42-43)
  - Identify major opportunities that could be taken advantage of and developed
  - Look for ways that existing Strategies can be enhanced, building on peoples' strengths

- Use all of the above information to develop **strategies** to address priority issues. Strategy development applies to all types of projects — for SPPs and MYAPs, or the design of multi-sector or even single-sector projects. The strategies employed by specific projects are likely to be most relevant when they are based on a holistic analysis.

Where should the IHD conceptual framework be applied, and with *whom*?

In the field with communities? In partner meetings and reflections? Internally, among the CRS country program staff?

The IHD conceptual framework can be used and applied by key stakeholders in any of these situations. The CRS *ProPack I* manual provides guidance for conducting a stakeholder analysis[6]. Assuming this analysis has been carried out, CRS staff should have a good understanding of which stakeholders need to be involved.

Examples of how the IHD conceptual framework can be applied in different physical locations, with different stakeholders, include the following:

- *In the field with communities:* The IHD conceptual framework can serve as a guide for a full participatory livelihoods assessment using Rapid Rural Appraisal (RRA) tools (see CRS RRA/PRA manual)[7]. It can also be used to structure short focus-group discussions with different sections of communities, which are particularly useful for filling specific information gaps and verifying (or disproving) the knowledge and assumptions we have as outsiders.

  When interacting with communities, local partner organizations should take a lead role in the process as much as possible. This can be a great opportunity for mutual capacity strengthening (CRS and partner staff as well as local community members). It may also be helpful to invite relevant local government personnel (e.g., district health or agricultural extension officers). Depending on the local context, it may also be considered polite to inform (if not necessarily invite) local political authorities.

- *In partner meetings and reflections:* The IHD conceptual framework can provide a structure for working with a range of partners to analyze the local situation, prioritize issues and develop Strategies. It is easy to organize small group work around the various aspects of the framework. For example, one group can work on defining the vulnerabilities of different social categories while another works on identifying Assets, and a third works on identifying and analyzing Structures and Systems. Plenary sessions can be used to review and fill in any gaps, identify linkages between the boxes of the IHD conceptual framework, set priorities and identify appropriate interventions.

  In this type of meeting, it is important that all of the major partners are included. The stakeholder analysis may have identified other stakeholders who could also contribute (e.g., major donors, ministry-level government officials and potential partners who are not yet involved in the program). To incorporate their additional input, consider holding a second stakeholder meeting or invite them to a summary session. Representatives of both CRS program and management staff should participate. Some regional-level CRS staff (e.g., regional technical advisors) may also have a strong interest and have much to offer to the discussions, sharing promising practices and lessons learned from other contexts.

[6] See page 37 of Stetson, V., G. Sharrock and S. Hahn. 2004. *ProPack: The CRS Project Package.* Baltimore: CRS. http://www.crs.org/publications

[7] See Freudenberger K. 1999. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners.* Baltimore: CRS. http://www.crs.org/publications

- *Internally, among CRS country program staff:* The IHD conceptual framework can be used at this level as well. In one country program, members of different sector programs used the IHD conceptual framework to identify and prioritize the major (country level) issues, and then each sector indicated what they could do to help address those issues. The result was a solution-focused country Strategy with cross-sectoral programming to address what everyone agreed were the priority issues. Since the objective of the IHD conceptual framework is to provide a holistic perspective, its use will be most effective when a wide range of sectors participate in the process — even for internal CRS activities and single sector projects.

Who leads the process?

When using the IHD conceptual framework to guide discussions with CRS staff and/or partners, it can be very useful to engage a CRS facilitator external to the country program (CP) to lead the process. This allows all CP staff to participate fully in the process, instead of being distracted by presenting, organizing and handling logistics. Engaging an outside facilitator also removes the perception that a local staff member is leading the process to generate preferred results. For activities at the village/community level, it is helpful to identify a facilitator who can lead Participatory Rural Appraisal (PRA) processes, and who speaks the local language. A similar facilitator might also work well for meetings that include only CRS and partner staff. For internal CRS meetings, a CRS Regional Technical Advisor, Deputy Regional Director or Program Quality and Support Department (PQSD) Senior Technical Advisor may be a good choice as a facilitator. They are likely to be familiar with the IHD conceptual framework, and will have an interest in the output of the analysis.

A comment on participation

Peoples' lives and livelihoods are complex, and the more complete the understanding of the issues, constraints and opportunities, the more likely it is that successful Strategies can be developed. No single person, at any level, will have all of the information and answers. Thus, the more that community members, partners, CRS sector specialists and other stakeholders participate in the process, the better the results. A good facilitator will ensure that all perspectives are heard and that the more vocal participants do not drown out the voices of those who are less assertive.

The IHD conceptual framework and donor requirements

Sometimes CRS country budgets are lean; other times they brim with resources. The IHD conceptual framework can help you understand macro-level problems and opportunities in times of plenty or target a limited budget toward optimum performance.

Some donors will issue guidance that asks CRS to focus on a particular sector like water or HIV and AIDS. Staff and partners may be tempted to use participatory tools and the IHD conceptual framework to justify a particular sector even if key stakeholders believe other needs are more pressing (like annual floods or malaria). Resist this temptation! Instead, gather and analyze information with an open mind. Engage potential beneficiaries, listening for their greatest needs and their ideas on solutions.

Apply for funds following donor guidance but acknowledge gaps in important services, even after donor funding has been approved. As part of partner-level or country office planning, seek resources that will fill these gaps. Once funding has been obtained for a narrowly focused project, continue to dialogue with donors about other issues that could be the object of complementary funding.

Reviewing the final project design from an IHD perspective

After conducting the necessary assessments and analyses and developing a draft Proframe for your project, it is important to do a reality check through an IHD lens. Likewise, proposal reviewers should be looking for evidence of an IHD focus in the review process. The following table (Table 1) illustrates what they might look for during these review processes by asking a series of questions related to each aspect of the IHD conceptual framework and the links between them.

Table 1: Project review questions from an IHD perspective

IHD Framework Box	Questions for Project Review
Assets	• How will the project strengthen existing household and community Assets (quantity and quality)? • Will the project have impact on one category of Assets only or several categories? How? • Will the various categories of Assets that have been strengthened mutually reinforce one another? How? • Are the Assets that will be strengthened priority areas as identified by the community? Why are they priorities? • If the project is not multi-sectoral, will any priority areas of need that are not covered by the project benefit from other kinds of indirect support (e.g., referral to other NGOs)?
Structures and Systems	• How will project participants have increased access to services? • How will project participants have a voice in managing the services (rights and responsibilities, subsidiarity)? • How will the project increase the influence of people on Structures and Systems (subsidiarity)? • How will the project increase the accountability of those in positions of authority (common good, stewardship)? • How will the project improve equity and protect the most vulnerable (option for the poor)? • How have gender considerations been taken into consideration in the project design, dignity and equality?
Access and Influence	• Has the proposal described the ways in which Systems and Structures influence how Assets are used, managed or allocated? • Does the proposal include an analysis that describes the different ways in which men and women access Asset categories? • Does the proposal indicate a good understanding of who controls various Asset categories and its implication for livelihoods? • Has the proposal effectively addressed problems related to control over Assets that interfere with attaining IHD?

IHD Framework Box	Questions for Project Review
Vulnerability (Shocks, Cycles and Trends)	• Does the proposal identify relevant Shocks, Cycles and Trends? • How will the project strengthen household and community resilience? • How does the project strengthen community response mechanisms? • Will the project help to prevent or reduce the likelihood of Shocks, Cycles or Trends themselves? How? • Is there a risk of the project creating conflict within or between communities? How can this be mitigated? • How will the project improve disaster preparedness both at household and community level? • How has the project taken into consideration the impact of HIV and AIDS on the target communities (even if it is not specifically a project focused on HIV and AIDS)?
Livelihood Strategies	• How will the project increase the diversity of livelihood Strategies available to households? • Will any of the new Strategies have detrimental effects on the environment or create new conflicts in the community? • Will any of the new Strategies increase risk and vulnerability? • How will any of the new Strategies improve the household or community's ability to cope with Shocks, Cycles or Trends?
Outcomes and Feedback	Consider the expected Outcomes of the project and how they may give rise to new opportunities or remove existing constraints. • How will the project's Outcomes indirectly strengthen other household Assets? (in addition to Assets that have been directly strengthened through the project) • How will the project's Outcomes change detrimental attitudes or behaviors? • How will the project's Outcomes improve the responsiveness of local or national authorities to local concerns? • How will the project improve the well-being of households and the community both holistically and sustainably?

In conclusion, the IHD conceptual framework is an approach that can be used systematically to guide a holistic analysis, making important contributions to the project development process. Other frameworks or approaches can still be used within the IHD conceptual framework, such as Structural/Contextual Analysis[8], Conflict Analysis, the Food Security Framework, or Vulnerability Assessments. And there are other parts of the process that still need to be undertaken, such as stakeholder analysis and partnership development, and issues related to Management Quality. But using the IHD conceptual framework to guide strategic planning and program design helps us to operationalize the Justice Lens more effectively through the resulting programs, and to achieve more fully the agency objective of Integral Human Development.

[8] See Just Associates. 2004. *Contextual Analysis Toolkit: A Toolkit for Contextual Analysis of Social, Political and Economic Systems for Use in CRS Planning.* Baltimore: CRS.

SECTION 2
USING THE IHD CONCEPTUAL FRAMEWORK IN THE STRATEGIC PROGRAM PLANNING (SPP) PROCESS

Using the IHD conceptual framework can be especially important in the SPP process because it provides a way of understanding and addressing the multitude of complex factors that affect the lives and livelihoods of the people we serve. By using the framework to understand complicated contexts, CRS is better able to design and implement high quality programs that transform lives, relationships and Structures.

In general, the processes and approaches described in the preceding section can be applied directly to SPPs. Participatory livelihoods assessments (PLAs) are especially relevant to SPPs, and are discussed in more detail in Part II, Section 4. The SPP guidance suggests several points at which IHD can be used. These include:

- *Issues identification:* using RRA or PRA tools to gather information on Assets, Structures and Systems; Shocks, Cycles and Trends; and the priority problems in communities.
- *Validating/refining issues:* through a participatory livelihoods assessment.
- *Analysis and strategic choices:* categorizing issues, understanding household and community constraints and opportunities, identifying macro-micro linkages.
- *Development of strategic objectives (SOs) and intermediate results (IRs):* based on the six livelihood Strategies, identify ways to improve household and community well-being and resilience, as well as peace and social justice.

Examples of questions to ask in order to identify, validate and refine issues, based on the various boxes in the framework are given in Annex 2.

Examining livelihood **Outcomes**, livelihood **Strategies** and **Structures and Systems** along with Asset status gives a fairly complete picture of power Structures and how they affect the Asset base of the poor and marginalized. *Ask: how do identified Structures and Systems constrain and/or support household and community livelihood Strategies? Do they exclude and marginalize certain groups within society? What issues of human dignity and social justice need to be addressed? How is access to Systems and Structures controlled? What influence do the Structures and Systems have on Asset use?*

Likewise, identifying negative external **Shocks, Cycles** and **Trends** helps programs to design mitigation, preparedness and preventive activities that decrease vulnerability and increase resilience. *Ask: how do identified Shocks, Cycles and Trends influence household and community livelihood Strategies? Who is least able to cope, and why?*

Using the IHD conceptual framework in the issues identification phase helps open up traditional boundaries and avoids the risk of issues being tied too closely to narrow program sectors. It will help participants to see beyond the visible symptoms of problems to the root causes that underlie them. This more naturally leads to holistic and innovative Strategies in the development of the SOs and IRs of the results framework.

Participatory livelihoods assessments (PLAs)

If a PLA has not been conducted in the last three to five years with key target communities, it is important to do one during the preparation of an SPP or MYAP (see Part II, Section 3). No one understands the context in which the poor are living better than the poor themselves. They know what their resources are, their constraints and their priorities. When community members are directly involved in identifying their priority issues and developing Strategies to address them, the likelihood of finding successful and sustainable relief and/or development solutions is much higher. In the interest of subsidiarity, community members need to be involved as much as possible in all stages of project development, implementation and evaluation.

PLAs are normally done using RRA and PRA tools, and — in the case of CRS — using the IHD conceptual framework to structure the full process. Doing a PLA during the SPP or MYAP process has many benefits:

- It is a way to involve the primary stakeholders (the people we serve) in prioritizing their own issues and developing solutions. This helps to ensure that the resulting SPP or MYAP addresses real felt needs at the community and household level, and that programs and projects are practical and have strong local support.
- It generates a common understanding of issues and the best ways to address them — across sectors and across organizations.
- It provides an opportunity to obtain a participatory assessment of the programs and activities of the last three to five years (feedback from the communities), and to fill programming gaps or adapt to evolving circumstances.
- It can serve as a platform for advocacy with local and national governments as well as donors, influencing Structures and Systems, as well as the focus of project solicitations.
- It is a great team-building exercise across sectors within CRS, and between CRS, partners and community members.
- Last but not least, it provides a readily available database for responding to any short-notice calls for proposals from donors. With a PLA report on the shelf, it is easy to pull out issues and frame concept notes quickly. A PLA lends extra credibility to any proposal. Even after two to three years, it can require just a few days to go back to the communities to verify and update findings through a few focus group discussions, and then generate a relevant and useful proposal.

It does take time and resources to implement a PLA. But these costs must be evaluated against the potential costs of not having in-depth community input in the SPP or MYAP process, and the very real hazard of spending the next five years implementing programs that might have little local support, or that might not respond satisfactorily to what the community really needed or wanted.

Specific guidance on planning, implementing and analyzing the outputs from a PLA is presented in Part II, Section 4.

Developing an SPP results framework from a participatory livelihoods assessment

Participatory livelihoods assessments using the IHD conceptual framework can provide valuable information about the communities where they are conducted. Analysis of household Assets of different well-being categories (and community level Assets to which they have access) can highlight strengths as well as limiting factors. This Asset portfolio, along with the general context of enabling or constraining Structures and Systems, and the Shocks, Cycles and Trends that affect the area leads households to choose certain livelihood Strategies. Gaps in Assets, lack of enabling Structures and Systems or limited household resiliency to Shocks, Cycles and Trends may cause households to choose less desirable Strategies that do not allow them to reach their full human potential. CRS and its partners can help to fill these gaps, enhancing areas of strength, compensating for weaknesses, empowering communities to influence the Structures and Systems that affect their lives, and increasing household resiliency.

In the context of an SPP, the challenge is to extrapolate from household and community level data to develop higher level objectives and results that are relevant beyond the micro level and over the medium to long term. This requires conducting a participatory livelihoods assessment in several different locations that are representative of the range of situations in which CRS and its partners are working in a given country. Ideally, it will be possible to find commonalities among the various communities that have been surveyed. This can be done using various methodologies. One methodology that is already familiar to many CRS staff who have been using *ProPack I* is problem tree and opportunity tree analysis.[9] Information from the PLA analysis matrices (see Part II, Section 4) can be plugged into both the problem and opportunity trees.

Ideally, communities should assist with problem identification, prioritization, and the development of problem trees for priority issues as part of a PLA. If you are in a workshop setting with CRS and partner staff, and have already identified priority problems, you can have one small group construct a problem tree for each community that has been surveyed. Once the individual problem trees have been constructed, they can be compared in order to highlight similarities and differences. At this point, it may make sense to merge the problem trees into one, retaining only the commonalities, or including some differences among the roots (causes) or in the branches (effects). Once a merged problem tree has been constructed, you can move to construct an opportunity tree. Alternatively, it is possible to keep three separate problem trees and from these develop three opportunity trees. However, this is less desirable since the expected result for an SPP is to work toward higher level objectives, and results are more easily obtained through the first method.

Once the opportunity tree has been finalized, it is possible to develop strategic objectives and intermediate results from the positive statements contained in the opportunity tree. In cases where there are differences between the surveyed communities, it may be possible to break these out at the IR level and still share a common SO that is the same across communities, even though the emphasis may be slightly different at the IR level. For example, an SO focused on improved social cohesion may point toward implementing trauma healing projects in communities that have been affected by a conflict. In other communities, trauma healing may not be as important as developing non-violent mechanisms to raise and handle conflict. Some communities may require both. In all cases, separate IR level objective statements on

[9] See *ProPack I*, Chapter III, Section 4, pp. 73-83 for more information on problem and opportunity trees.

trauma healing and non-violent mechanisms to handle conflict would contribute toward the achievement of an SO focused on social cohesion.

The *CRS SPP Guidance*[10] also contains some helpful examples of livelihood Strategies that can form the basis of SOs or IRs in an SPP results framework.

An example from the Haiti SPP in the box below illustrates how the central problem statement from a problem tree can be transformed into a positive goal statement for an SPP results framework.

CRS Haiti SPP Results Framework

Problem Statement: The most vulnerable groups of Haitian society, particularly those living in marginal areas, live in very precarious socio-economic conditions.

Goal: The most vulnerable groups in Haitian society, particularly those living in marginal areas, live with dignity under stable socio-economic conditions.

Likewise, the roots of the problem tree that underlay the problem statement can also be transformed into SOs and IRs in a results framework.

Roots of CRS Haiti SPP problem statement: Decapitalization, poor governance, lack of availability and access to basic services, exclusion.

Strategic Objective 1: In solidarity with other stakeholders, marginalized groups improve livelihood security (sustainable livelihoods).

Strategic Objective 2: Marginalized groups reduce their vulnerability to Shocks.

Strategic Objective 3: Communities, working in solidarity, improve the human capacity of vulnerable groups in marginalized areas.

The clear focus on marginalized and/or vulnerable groups speaks to the problem of exclusion. Improved livelihood security and reduced vulnerability to Shocks address the issue of decapitalization. Improved human capacity is the result of improved access to basic services, which comes in at the IR level.

For more information on developing goals, strategic objective and intermediate results, see *ProPack I*, pp. 97-108 or the *CRS SPP Guidance*, pp. 37-38.

[10] See p. 34 of CRS. 2006. *Strategic Program Plan Guidance for CRS Country Programs*. Baltimore: CRS.

SECTION 3
USING THE IHD CONCEPTUAL FRAMEWORK TO ENHANCE MULTI-YEAR ASSISTANCE PROGRAM (MYAP) DESIGN

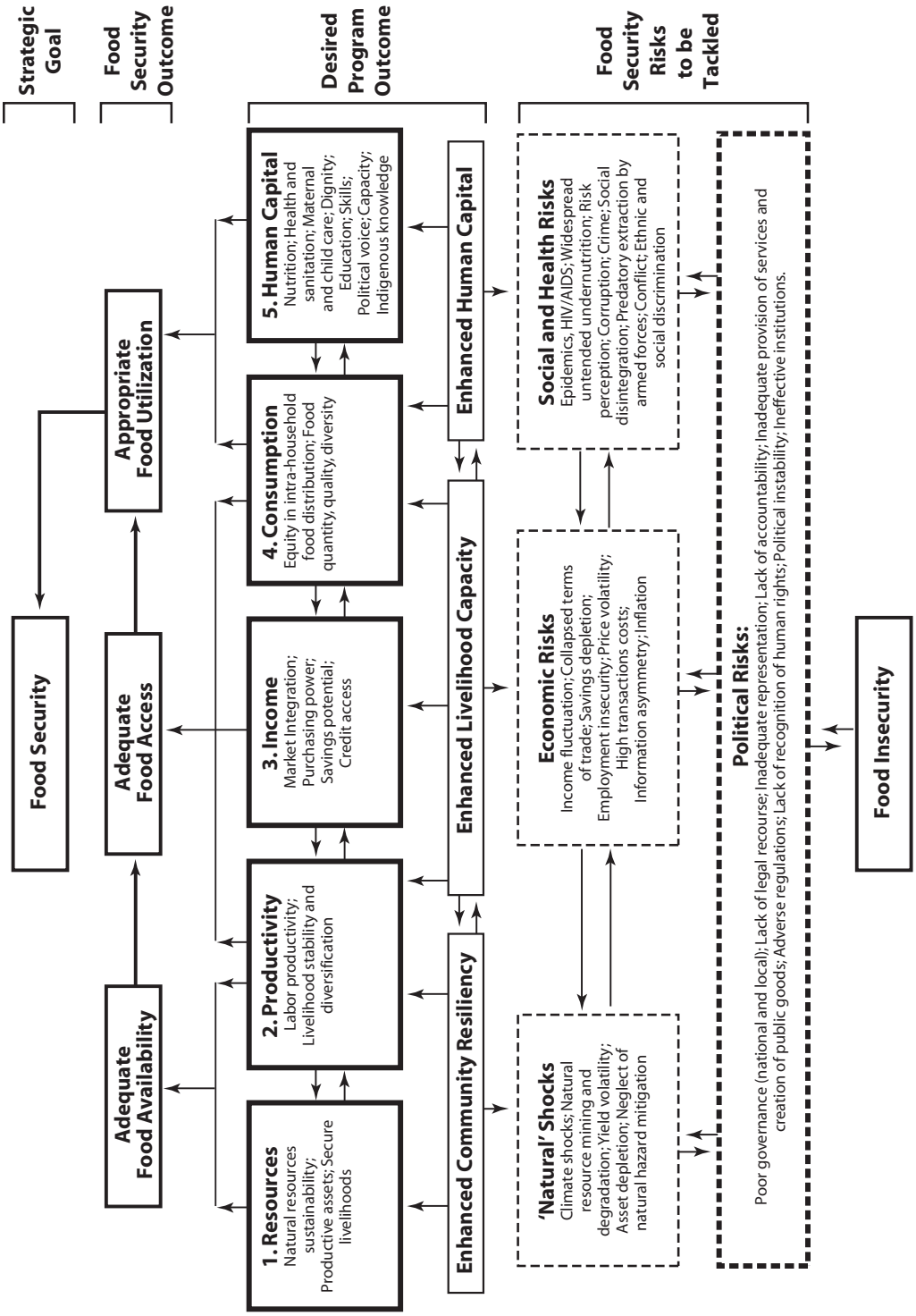
A Multi-Year Assistance Program (MYAP) is a multi-year (often three to five years) proposal funded by Title II resources as part of Public Law 480. The goal of all MYAPs is to reduce food insecurity through an integrated approach that addresses short-term needs and builds long term capacity.[11] MYAPs provide PL480 Title II food commodities for the purpose of monetization and/or distribution depending on the context and program objectives. Additional cash resources are available to cover the cost of administering the program (202e), food management and transport (ITSH), while cash often generated from the sale of commodities (monetization) is used to fund complementary activities to strengthen livelihoods and human capacities among food insecure populations. MYAPs represent a unique funding opportunity for eligible countries that not only encourages, but requires a holistic and intersectoral approach to programming to be successful.

In 2005 Food for Peace (FFP) launched a food security strategy which introduced an expanded food security conceptual framework (see Figure 2 on p. 21 below). This conceptual framework maintained the importance of adequate food availability, adequate food access, and appropriate food utilization as fundamental components of food security. However, the expanded framework encourages an examination of the factors that increase country, community, household, and individual vulnerability to food insecurity. This includes an emphasis on making various types of risks and Shocks — political, economic, climatic, social, health, etc. — explicit in the problem analysis. A population's vulnerability can be reduced through appropriate programming and interventions. The expanded framework implies that by reducing these risks and enhancing human capacities on an individual level, livelihood capacity at the household level will be increased, and at the community level, food insecurity will be reduced and resilience will be increased.

Knowledge of the IHD conceptual framework can contribute to an understanding of FFP's expanded food insecurity conceptual framework since many of the terms, meanings and implied relationships are similar. Table 2 below provides a comparison of the CRS IHD conceptual framework and the FFP framework, highlighting similarities and differences in the frameworks and their implications for FFP programs. Generally speaking if food security is included as one of the necessary Outcomes of IHD, CRS' and FFP's overall vision and objectives align well.

[11] USAID Food For Peace. 2005. *Strategic Plan for 2006-2010.* Washington, D.C. http://www.usaid.gov/our_work/humanitarian_assistance/ffp/ffp_strategy.2006_2010.pdf

Figure 2: An expanded conceptual framework for understanding food insecurity (FFP)



(Source: USAID Food for Peace 2005)

Table 2 below demonstrates the many commonalities between the FFP's Food Insecurity conceptual framework and CRS' IHD conceptual framework. By using the IHD conceptual framework, we can help align our food security programming more closely with FFP's Strategy. However, despite the many similarities, the language does differ slightly, and country programs *must use FFP's language in their MYAP proposals.* This is especially important for the strategic objectives which focus on enhanced human capacity, livelihoods, community resilience and capacity. That said the IHD conceptual framework can be a helpful tool in the MYAP development process at several critical points including assessment, problem analysis and proposal review. Utilization of the IHD conceptual framework will help to ensure that CRS country programs are addressing overall agency priorities as well as FFP priorities.

Table 2: A comparison of similarities between the new FFP conceptual framework and the IHD conceptual framework

	FFP Food Insecurity conceptual framework	**CRS Integral Human Development (IHD) conceptual framework**	**Observations**	**Implications for FFP programming**
Vision	A world free of hunger and poverty, where people live in dignity, peace and security	People lead full and productive lives, meeting all of their basic needs in a sustainable manner, while living with dignity in a just and peaceful social environment.	Very similar language.	Holistic programming is encouraged.
Goal	Food insecurity in vulnerable populations reduced as FFP Strategic Goal	Food insecurity in vulnerable populations reduced (in a sustainable manner) could be one outcome in the Outcomes box of IHD conceptual framework. Food security is part of the larger CRS goal of meeting basic needs while living in dignity, an integral part of social justice.	FFP and CRS goals align. FFP goal is a sub-set of CRS goals.	By working towards IHD we can also support FFP's goals.

	FFP Food Insecurity conceptual framework	CRS Integral Human Development (IHD) conceptual framework	Observations	Implications for FFP programming
Key point #1	4th pillar to food security added: risks to food security	Shocks, Cycles and Trends box of IHD encourages the identification of external risks to achieving food security, while the Systems and Structures, Assets, and livelihood Strategies boxes provide possible ways in which the external risk is (are or could be) managed (resilience) and the impact of these risks on the most vulnerable.	Very similar views expressed by FFP and IHD.	The emphasis of the entire programmatic response should be defined by an understanding of the risks faced by communities, households and individuals to food insecurity and options to lessen those risks. For example, instead of merely increasing agricultural productivity, programs in low rainfall areas might also focus on improved water management, introducing drought-resistant agricultural crops and practices, or using FFW to rehabilitate watersheds with soil and water conservation.
Key Point #2	Developmental relief (DR) concept highlighted	The IHD conceptual framework focuses on Shocks, Cycles and Trends, and how these influence (and are influenced by) livelihood Strategies, Assets, and Structures/Systems.	IHD conceptual framework naturally leads to developmental relief. The concept of sustainable livelihoods is meant to build a more secure future and goes beyond surviving a crisis to making sustainable changes that reduce risk.	Importance of including trigger indicators to monitor where countries/regions are on the DR continuum; All emergency programming should include some strengthening of capabilities, and all development programs should include a clear understanding of potential Shocks and vulnerabilities as well as ways to support communities in early warning systems, disaster preparedness, etc.

	FFP Food Insecurity conceptual framework	CRS Integral Human Development (IHD) conceptual framework	Observations	Implications for FFP programming
Key Point #3	Vulnerability is the inability to manage risk. Two ways to reduce vulnerability: (i) reduce risk; or (ii) increase the ability to manage risk	Reducing the risk *and* increasing the ability to manage risk (increasing resilience) can be accomplished through supporting more resilient livelihood Strategies, building many Assets, and/or improving Structures and Systems.	Strategies identified through IHD conceptual framework should result directly in reductions in vulnerability.	The idea of sustainable livelihoods means using what we know about risks and vulnerabilities to modify current livelihood activities to resist typical local Shocks, whether we intervene first in relief mode or development mode. MYAP proposals should therefore demonstrate this understanding and articulate how it will be used to reduce food insecurity.
Key Point #4	Importance of protecting and enhancing human capabilities	Human Assets are central to the IHD conceptual framework; strengthening them is essential to achieving IHD (and having an impact on access, availability, and utilization of food).	Exact fit with the strengthening human capacities component of the FFP food security conceptual framework.	Programs should demonstrate the importance of behavioral change as well as short-term Strategies to reduce hunger. This allows for a focus on improving individual skills, capacities and health through education, training, skills development, and access to health care.
Key Point #5	Emphasis on livelihoods and Assets	Livelihood Strategy box will facilitate looking beyond increasing rural or agricultural productivity to what is needed to promote livelihoods and reduce risks (for example, through diversifying crops, livestock or market activities, improving water management, etc.). IHD also promotes changing unjust Structures and Systems that contribute to vulnerability of the poor.	Very good fit.	Programs are encouraged to take a wider view on ways that households can improve their livelihoods beyond a single Strategy e.g., increasing agricultural production. Increasingly public work projects are seen not simply as food-for-work, but food-for-Assets that can be harnessed to manage risks.

	FFP Food Insecurity conceptual framework	CRS Integral Human Development (IHD) conceptual framework	Observations	Implications for FFP programming
Key Point #6	Emphasis on community resiliency (ability to rebound and thrive after Shock)	By clearly defining the connections between Shocks, livelihood Strategies, Assets, and Structures/Systems at the community level, response should necessarily improve resiliency	An outcome of using the IHD conceptual framework is enhanced community resiliency.	Programs will be encouraged to identify ways that communities can respond more effectively to Shocks. This may include early warning systems, promoting communities' ability to respond, building community Assets to be used in a time of crisis, etc.
Key Point #7	Recognition of the importance of governance (and community capacity to influence factors) in achieving food security	Systems and Structures (as well as social and political Assets) and the arrows that represent access and influence emphasize the importance of governance and community capacity to engage and influence decisions.	Both the FFP food security framework and the IHD recognize the importance of governance.	Programs can consider training and technical assistance to communities to undertake needs assessments, manage/mitigate conflict, advocate for resources, etc. provided there is a clear link with reducing food insecurity.

(Source: Adapted from Sellers 2006)

The link between Strategic Program Plans (SPP) and food insecurity

CRS country programs generally develop a three- to five-year Strategic Program Plan (SPP) (see Part II, Section 2) which helps to establish program priorities during that period. During SPP development, a participatory livelihoods assessment (PLA) is conducted as part of the SPP process. During data collection and analysis, country program staff and partners may determine that food insecurity is a factor that is inhibiting the achievement of IHD among the target population. If this is the case, it would be appropriate to initiate MYAP development assuming the country program is on the most recent list of eligible countries published by FFP. In an ideal situation, the PLA assessments would contain sufficient information about Assets, Systems and Structures, vulnerability context, livelihood Strategies and Outcomes related to food security that could be used to plan and develop the MYAP proposal. Unfortunately, this may not be the case for a variety of reasons: for example, USAID/FFP may target a different part of the country for the MYAP than where the SPP assessments were conducted, the PLA may have looked at a variety of issues resulting in insufficient data related to the food insecurity of the population, or the country program may be coming to the end of an SPP Cycle and a PLA has not yet been conducted. In all of these cases it will be necessary to plan a food security assessment, and the IHD conceptual framework can serve as a way to think through and organize this assessment.

Food security assessments

Like all project proposals, a MYAP proposal begins with an assessment. The goal of the MYAP will focus on reducing food insecurity, so the assessment must focus on gaining an understanding of the factors that inhibit food security or could contribute to reduced food insecurity within a country, at the community, household and individual levels. Usually this process is conducted in two phases. Phase 1 is a macro-level assessment that relies on the collection and analysis of secondary information and data while Phase 2 is a micro-level assessment conducted at the community level using participatory methods.

Both of these processes are described in more detail in the forthcoming *CRS MYAP Manual* and former *CRS DAP Manual*, but a summary is provided below. Prior to beginning MYAP development, country programs should familiarize themselves with the following documents:

- Food for Peace Strategic Plan
- USAID Mission Food Insecurity Framework (if it exists)
- P.L. 480 Title II Program Policies and Proposal Guidelines
- MYAP Proposal Application Format and Evaluation Criteria[12]
- Food for Peace Information Bulletin 07-02[13]
- Food for Peace Information Bulletin 07-01 (updated)[14]

This will help to identify priority information for the assessment process.

Macro-level food security assessment

The first part of the assessment involves the collection of documents, often secondary information that will help provide an overview of the food security situation within the country. Tables 3, 4 and 5 below provide lists of the types of information that should be collected and where it can be found. The IHD conceptual framework can be used as a checklist at this point in time to ensure the information is as comprehensive as possible. For example, for food utilization, an assessment would need to collect information related to human Assets, information about available health related Structures and Systems, and factors that facilitate or inhibit access to these Systems or Structures.

Other considerations are health Trends (e.g., HIV prevalence, rates of exclusive breastfeeding for children 0-6 months) and health Shocks (e.g., pandemic flu). Usually, information collection efforts should be focused specifically on vulnerable populations. This includes, but is not limited to children 0-5, pregnant and lactating women, people living with HIV or other chronic illnesses, orphans and vulnerable children. Table 3 provides a summary of the information that should be collected, what element of IHD it addresses, what element of the food security framework it addresses as well as where this information can be found.

[12] See http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_final_guidelines.html
[13] See http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_ffpib_indicators_reporting.doc
[14] See http://www.usaid.gov/our_work/humanitarian_assistance/ffp/fy08_ffpib_new_reporting.pdf

Table 3: Illustrative data to be collected during a macro-level food security assessment

Type of Information	IHD Element	Food Security	Data Source
Percent of children 0-5 experiencing stunting and wasting	Human Assets	Utilization and Human capabilities	Demographic and Health Survey (DHS) or Multi-Indicator Cluster Survey (MICS)
Micronutrient deficiencies	Human Assets	Utilization and Human capabilities	DHS or MICS
Percent of people who live within a 5 km radius of primary health care center	Physical Assets, Systems and Structures	Utilization and Human capabilities	DHS or MICS
Per capita health expenditure	Systems and Structures	Utilization and Human capabilities	DHS or MICS
HIV prevalence by region	Human Assets, Shocks, Trends	Utilization and Human capabilities	DHS National AIDS Control Committee Reports
Agricultural policies	Systems and Structures	Livelihoods and Community capacity and resilience	Ministry of Agriculture documents
Rainfall patterns and risk of drought/flood	Natural Assets, Shocks, Cycles and Trends	Natural Shocks	Meteorological reports, Maps of annual precipitation; FEWS-Net*
Farm to market roads	Systems Physical Assets	Livelihoods, Availability, Access, Utilization	Maps; Ministry of Works or Transport documents; Project reports and/or livelihood assessments by other organizations
Nutritional assessments	Human Assets, Structures, Systems	Human capital; Food utilization	NGO assessments, UN assessments, Government assessments
Livelihood assessments	All	Availability, Access, Utilization	Government reports NGO reports

** Famine Early Warning System Network*

Food insecurity mapping

In order to determine potential areas of intervention for the MYAP and where it might be appropriate to conduct a micro-level food security assessment, it is helpful to identify indicators of food insecurity within the country. Indicators must be related to food availability, food access, food utilization and prevalent risks. For example, indicators might include crop yields by region, number of days with below average rainfall, percent of population below the poverty line, percent of children 0-59 months who are severely or moderately malnourished, and HIV prevalence. Keep in mind, each country is different, so indicators may vary. Once selected, cut-offs should be determined to help prioritize regions. For example, if an HIV prevalence of 8 percent increases the vulnerability of a region, it would be shaded in. If the cut-off for poverty is that 80 percent of the population is below the poverty line, this area

would be shaded too. This should be done for all the indicators and mapped. Other criteria may need to be considered as well. For example, maybe the USAID Mission has prioritized certain geographic areas for Title II resources or perhaps CRS has a partner working in an area. These factors should be considered, but selection of a geographic area must be related to objective measures of food insecurity. By the end of this exercise, it is likely that several regions will be selected in which to conduct a micro-level assessment.

Micro-level food security assessment

Within CRS, qualitative methods, such as those described in the CRS RRA/PRA manual[15] are most commonly employed to collect data related to food security at the micro or district, community and household levels. This information is often not available through published reports, so talking directly with poor and vulnerable communities is the best option. The techniques used during this stage of the MYAP development process employ the same steps and components as other participatory livelihoods assessments as outlined in Part II, Section 4. While the information sought during the assessment must be holistic and related to the various aspects of IHD, due to the food security focus of MYAPs it must not become too broad as to lose focus and not contribute to an overall understanding of the food insecurity situation facing the district, community and households.

MYAP planning workshop

Following the completion of the assessment and report, many country programs have found it helpful to conduct a MYAP planning workshop. A more detailed description of the process as well as PowerPoint presentations that can facilitate the process are provided in the *CRS DAP Manual* and updated in the forthcoming *CRS MYAP Manual*. In short, the workshop allows the team(s) that conducted the assessment to share their findings with others (both CRS staff and partners) and further analyze their findings in relation to FFP's food security framework while keeping IHD in mind. During the workshop, participants will seek to better understand the challenges that communities, households, and individuals face in achieving sufficient food availability, access and utilization, including consideration of the Shocks and risk identified during the assessment. Key leverage points will be identified, and by the end of the workshop a draft results framework will be completed. The results framework can be further refined, sectoral assessments conducted as needed and used as the basis for a Proframe and the future MYAP.

Developing MYAP programmatic responses using the IHD conceptual framework

Once the analyses have been completed, country programs can consider various strategies to address or mitigate factors that contribute to food insecurity. It is during this stage that the IHD conceptual framework can be employed to ensure holistic thinking. For example, if high incidence of diarrhea was a key leverage point, this may have a negative impact on human Assets. After further analysis, it is apparent that water is stored improperly in the household and the village has insufficient access to potable water (natural or physical Assets). Perhaps the existing pump has been broken because the system for maintaining it is no longer in operation (natural and/or physical Assets; and Systems). Therefore, in order to address this problem, it is necessary to improve human Assets (through education and behavior change),

[15] See Freudenberger K. 1999. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners.* Baltimore: CRS.

have a good understanding of the roles and responsibilities of men, women, and children vis-à-vis water resources (Systems), ensure the availability of a functional pump (physical Asset), and improve the community water committee's capacity (Structure) to maintain and manage the pump. The combination of all these activities should reduce incidence of diarrhea and enhance food security. While this example is simplistic, it illustrates the point that food insecurity cannot be reduced by a single intervention in a single area of the IHD conceptual framework. Rather, the IHD conceptual framework encourages program planners to think holistically, identify relationships between the various factors that contribute to IHD and design a program that addresses problems at multiple points to ensure success and sustainability.

Using the IHD conceptual framework to Do No Harm

As described above, MYAPs require that a certain amount of food aid is distributed throughout the life of the project. There are many practical and philosophical debates related to the use of food aid, especially in a development context, which are discussed elsewhere. However, to the extent that country programs utilize MYAPs as a means to assist the poor and vulnerable, food aid must be used responsibly to achieve food security objectives. At a minimum, food aid should do no harm. In addition to following Food for Peace guidance such as the *Commodity Reference Guide*[16] which suggests ration considerations for certain contexts (e.g., Food for Work (FFW), Maternal and Child Health and Food for Education), the IHD conceptual framework can be used as a checklist to think through the potential uses and impact of food aid to achieve improved Outcomes as well as the potential impact on the livelihoods of individuals, households and communities. The following example illustrates this point.

After completing the problem analysis, a country program identified erosion, poor soil fertility, recurrent drought, periodic flooding, and low household income as their key leverage points that if addressed could increase the likelihood of improved food security as an outcome. The project area was located in a hilly district where people relied on both rain-fed agriculture to grow their staple food crop and small numbers of cattle for their livelihoods. The proposal design team thought that Food for Work could be used to construct terraces across the hillsides that could be reinforced using leguminous forage crops. These crops could be cut and fed to penned cows to help increase milk production. FFW was also a strategy supported by the host country government. By using the IHD conceptual framework as a checklist, the country program and partners knew they had to take the following into consideration:

- **Assets:** From the PLA, it was clear that this community relied on a critical natural Asset — rain — to irrigate their main crop. There was only one rainy season, so there was high demand for labor during a critical period when land could be prepared and planted. Therefore, even though the most food insecure time of year was during the planting season, the team decided to schedule FFW during a period when there were fewer agricultural activities occurring so that FFW activities would not compete with other critical community livelihood activities. Through their PLA, the team also recognized that certain vulnerable groups did not have the human Assets (physical strength) to participate in FFW, including those who might be chronically ill or elderly. In these cases, alternative sources of work that were less labor intensive (such as managing the tools) were created for these vulnerable individuals.
- **Systems and Structures:** an understanding of the land tenure System in the area

[16] See http://www.usaid.gov/our_work/humanitarian_assistance/ffp/crg/

was necessary because the erosion control structures would cut across land used by individual farmers, communal areas, and across land considered to be part of neighboring communities. To manage potential conflict, an understanding by the entire community of the risks and benefits of the erosion structures was necessary. Agreements needed to be made about how the structures would be maintained on both private and communal land once the project had ended. For example, would people be allowed to graze animals in the area or would a cut and carry system be used to maintain the structure and improve livestock nutrition? What are the consequences for those who do not follow the rules? Thinking through potential problems before they happen and bringing them into the project is the best way to reduce potential conflicts in the future.

- **Shocks, Cycles and Trends:** from the PLA, the team learned that floods are a potential problem in the area. This should be taken into account when planning the FFW activities to ensure that the activity is completed before the time floods are likely to occur. Developing a plan on how to prevent damage from floods during the construction of the erosion control structures could also help reduce risk to communities.

The above example is less complex than issues project designers typically face when developing a MYAP, but it demonstrates how systematically thinking through the various aspects of the IHD conceptual framework can inform project design and hopefully, by anticipating negative consequences before they happen, ensure no harm is done to participating communities and individuals.

Table 4: Sources of information for food security assessments

Types of Information		
Food Availability	**Secondary**	**Primary**
Production statistics	✓	
Seasonality of production	✓	✓
National food stocks	✓	
Market and food supply infrastructure	✓	
Import/export statistics	✓	
Macroeconomic situation and government policies (trade policy, exchange rate, balance of payment constraints)	✓	
Market locations, accessibility, viability, volumes and prices (nationally, regionally)	✓	
Market locations, accessibility, viability, volumes and prices (locally)		✓
Change in functioning and flow of markets as a result of Shocks		✓
Market demand (changes in purchasing power and reliance on market supply)		✓
Terms of trade between major cereals, livestock and income	✓	✓
History of Shocks and impacts on food availability	✓	✓

Food Access	**Secondary**	**Primary**
Sources of food (crop production, livestock, purchase, fishing/ hunting, remittances, labor exchange, trade, aid)	✓	✓
Socio-political Structures (tribal and kinship affiliations, community based organizations, local government offices)	✓	✓
Socioeconomic differentiation (wealth groups, ethnicity, caste)	✓	✓
Gender considerations relative to food access and use	✓	✓
History of Shocks and impacts on food access	✓	✓
Land distribution and use	✓	✓
Mobility and migration Trends	✓	✓
Seasonality (prices, types of food available, food shortages)		✓
Food stocks and storage		✓
Sources of income (trade, employment, sale of food/non-food produce, remittances, casual labor, theft, aid)		✓
Assets ownership or availability		✓
Debt		✓
Food expenditures		✓
Non-food expenditures (education, health, water, shelter, clothes)		✓
Months of self-provisioning in a normal year (and current)		✓
Infrastructure and market access		✓
Food Utilization	**Secondary**	**Primary**
Nutritional status of children under 5 (wasting, underweight, stunting)	✓	✓
Nutritional status of adults, especially women (body mass index: BMI)	✓	✓
Consumption patterns and household dietary diversity (number of food items consumed, frequency of consumption)	✓	✓
Food habits, preferences and acceptable food substitutes		✓
Availability of and access to milling facilities		✓
Food preparation practices		✓
Feeding, health, nutrition and sanitation practices	✓	✓
Normal access to and uptake of health services	✓	✓
Water supplies and sanitation provision	✓	✓
HIV prevalence rates	✓	
Access to HIV treatment and care facilities		✓
Disease prevalence (seasonal): diarrhea, fever, acute respiratory infection, outbreaks of cholera, yellow fever, dengue	✓	✓
Immunization coverage	✓	

(Source: FANTA and World Food Program 2007, p. 29)

Table 5: Sources of data to assess food insecurity and HIV information

Food Availability	
Secondary	**Primary**
Ministry of Agriculture Ministry of Finance and Commerce National Statistics Offices USAID's Famine Early Warning System (FEWS) European Union Food Security Units Market information Systems, if available World Bank World Food Program (WFP) Vulnerability Analysis and Mapping (VAM) Surveys Key informant interviews with government staff, traders Market observations in affected localities	Key informant interviews with government staff, traders Group interviews/focus group interviews Market observations in affected localities
Food Access	
Secondary	**Primary**
Local government NGO reports Livelihood profile data generated from secondary data review World Bank WFP VAM	Key informant interviews with district officials, village leaders, service providers, merchants, NGOs Group interviews/focus group interviews Household surveys Participatory Rural Appraisal (PRA) tools Transect walks, visual inspection Market interviews Wealth ranking
Food Utilization	
Secondary	**Primary**
Ministry of Health DHS UNICEF nutrition surveys World Health Organization (WHO) health surveys Local health center data	Key informant interviews with district health officials, health service providers, village leaders, NGOs Group interviews Focus group interviews Household interviews PRA tools Transect walks Visual inspection Health facility records Nutrition surveys Sentinel site surveillance Village level primary data Nutritional survey Growth monitoring

HIV Information	
Secondary	**Primary**
Ministry of Health DHS UNICEF WHO health surveys Local health center data UNAIDS Food and Agriculture Office of the United Nations (FAO) WFP	Key informant interviews with district health officials, health service providers, village leaders, NGOs Household interviews focused on chronic illness Health facility records Sentinel site surveillance Village level primary data Nutritional survey Growth monitoring Social mapping

(Source: FANTA and World Food Program 2007)

SECTION 4
CONDUCTING A PARTICIPATORY LIVELIHOODS ASSESSMENT[17]

Planning a PLA

Planning is the first step to a successful participatory livelihoods assessment (PLA). While they can be large and complex, PLAs have the same components of all other assessments (see *ProPack I*, pp. 47–71). By the end of the planning process, the following questions should be answered:

1. Why is this assessment being conducted?
2. Where will the assessment be conducted?
3. Who will be conducting the assessment?
4. When will this assessment be conducted?
5. What information will be collected?
6. How will this information be collected?
7. How will this information be analyzed, reported and utilized?

Why?

The purpose of the assessment must be determined clearly at the outset. This will determine the emphasis during the PLA, and ensure sufficient understanding and information to develop the most relevant programs and projects. However, given the agency goal of IHD, it is also important to use the assessment simultaneously to do a preliminary check of the broader issues related to peace, human dignity and social justice. A sample purpose could include the following elements:

- Determine baseline Assets at household and community levels and how they are changing
- Identify household and community responses to these changes
- Understand the larger external context, and how this is impacting local well-being in positive or negative ways
- Analyze implications of these findings for CRS programs
- Increase capacity of CRS staff and partners in IHD analytical skills

Where?

Once certain regions have been prioritized through analysis of secondary data, the next step is site selection. The site(s) should be in the probable intervention area(s). The reasons for this are two-fold: first to ensure the program is representative of the needs in the area(s); and second, since PLAs take community time and may raise community expectations, being able to return with services for these communities is ethnically preferable.

Assuming CRS and partners are familiar with the area(s) (if not, initial reconnaissance should be conducted), it is necessary to select villages that are representative of where the

[17] Sometimes also referred to as an IHD Assessment. The term "livelihood assessment" may be more compatible with language used by other agencies.

program will be implemented. For example, perhaps the project area is mountainous and the program will be working in the communities on the hillsides and in the valleys. Visiting communities in both locations is critical due to different agro-ecological zones present in mountainous areas. The agro-ecology of the area will affect livelihood Strategies, access to services, availability of resources and major sources of vulnerability — all critical elements. Other considerations could be the ethnic context of the communities, which may affect livelihood Strategies. Some groups may rely on farming for their livelihood while another group may have a greater reliance on livestock. This may lead to conflicts in the community, and the programming interventions will need to be responsive to these issues. In short, sites should be representative of the types of areas where CRS and its partners intend to work.

Some possible site selection criteria:

- Probable community of intervention
- Representative of agro-ecological zones and other economic or livelihood criteria
- Religious and ethnic diversity
- No other NGO doing similar work in the area
- Representative in terms of accessibility of the area
- Willingness of the community to participate in a PLA
- Inclusive of the different groups and issues (e.g. if there is a conflict between two groups that use common resources, but live in different locations, meeting with both groups is important)
- Other criteria — as locally relevant

Who?

It is helpful to have a mixture of CRS and partner staff with experience in the area if possible. This is especially important for linguistic reasons. Another consideration is that the team be multidisciplinary, with a wide range of experiences that may include agriculture, education, microfinance, peacebuilding, gender, water and sanitation, health and HIV. This will affect the questions that are asked, and how responses are understood. It is also helpful to have a balanced mix of men and women in each team, since some group discussions will involve women or men only, and will require same-sex facilitators. Age may be another factor to consider since elders in the community may resent talking to junior staff whose dress or manner may not be perceived as respectful.

When?

The timing of the visit is of critical importance. PLAs are time consuming activities for the community, so planners should identify a time that is less hectic for communities. In farming communities this may be after the harvest. At the same time, logistical issues need to be considered because in some cases, such as during the rainy season, certain villages will not be accessible. Other considerations may include voting days, market days, or religious holidays or activities such as Ramadan. Whatever time of year is selected for the visit, it is helpful to let communities and relevant officials know well ahead of time so they are able to help in selecting appropriate dates, and make the necessary arrangements. Unforeseen events such as funerals or illnesses may also require flexibility.

What?

The IHD conceptual framework provides guidance in determining what information needs to be collected. The purpose of the PLA is another factor to consider. For example, if the PLA is being conducted as part of an SPP, a very broad focus will be necessary. For MYAPs, the primary focus is food security and determining how the Assets, Systems, Structures, Shocks, Cycles, Trends and livelihood Strategies, influence food availability, access and utilization in this community.

To ensure that all the relevant information is collected, it is important to develop a checklist ahead of time. Cross-cutting themes such as gender and HIV will be important to consider since they impact all elements in important ways. The checklist could be based on identified information gaps or items to be verified through triangulation after conducting the macro-level assessment with secondary information sources. The checklist should ensure that CRS and partners have an understanding of the local situation, and the needs and priorities of targeted vulnerable groups. The CRS RRA/PRA manual[18] provides some sample checklists that may be a helpful starting point.

How?

PLAs usually use a variety of RRA tools. The same tools may be used for assessments that target different end-uses (e.g., SPP or MYAP development). Specific guidance can be found in the CRS RRA/PRA manual, resources available through the Food and Nutrition Technical Assistance (FANTA) website, and WFP's Emergency Food Security Assessment manual. Some of the tools that have been particularly useful to CRS activities in the past are listed below, and others are in Annex 1. Once the information has been collected, be sure to allow sufficient time for feedback to the community. This is a valuable opportunity that allows the team to verify the accuracy of the information collected. It can also be used to thank the community for their participation and potentially solicit their input on the most important interventions.

Some of the tools commonly used by CRS include:

- Community mapping
- Wealth or well-being ranking
- Mobility mapping
- Problem identification and pair-wise ranking
- Problem tree analysis
- Institutional assessment
- Sources of power and other structural analysis tools
- Trend analysis
- Seasonal calendar
- Life Cycle analysis
- Focus group discussions
- Semi-structured household interviews
- Community action planning

[18] See pp. 67-104 of Freudenberger K. 1999. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners.* Baltimore: CRS. http://www.crs.org/publications

Additional considerations in designing and planning a PLA

It is important to assemble a team of staff and partners who are available from start to finish of the process. It can be frustrating to spend time training team members who do not participate in the actual assessment due to other commitments. The time spent in training will be critical during the actual data collection and analysis since it will help participants deal with the inevitable challenges that they will encounter. As much as possible, partner staff should take the lead in the process since they are usually more directly connected to the communities, and will see them more regularly during project implementation. Likewise, CRS national staff and partners will usually be in a better position to contribute to field work since they are often more comfortable with the linguistic requirements as well as cultural norms. Sometimes the presence of foreigners on assessment teams can bias responses to questions, or even the questions asked themselves. However, even if staff or partners are already familiar with the communities, they should not assume that they know everything, and should not respond to questions in place of community members.

Training

Training should initially ensure familiarity with the IHD concept and the conceptual framework. This can usually be done in one day. Groups who are already somewhat familiar with standard RRA tools can generally refresh their knowledge of them in a day or two. If the staff are not familiar with RRA tools, a more intensive training program should be implemented, including practice using the tools before going out to the communities.

A full day is needed to understand how to do data analysis and plan a pre-test of the most important tools. One or two days are then needed for a pre-test of these tools in the field. Time should be reserved at the end of each day to analyze the data that has been collected, look for gaps and share successful (as well as unsuccessful) Strategies for gathering information.

Most tools are described in detail in the CRS RRA/PRA manual. PQSD also has a basic set of PowerPoint presentations available in English and French on how to use these tools in a PLA. An IHD training manual will also be published soon.

The *composition of community groups* is a key aspect of a successful PLA, and group composition should vary according to the topic(s) being discussed. For many exercises, it is helpful to separate men and women community members into different groups. This is not only done to ensure that women can participate equally in male dominant societies. In fact, women will often share information that is different from the information provided by men! Likewise, it can be important to separate younger people from older people. The perspectives of younger and older generations are likely to be different on many issues. Where possible the female enumerators should work with female groups, and vice-versa. Depending on the number of community members involved in a PLA, you may have a group of older men, a group of older women, a group of younger men and a group of younger women for a total of four groups.

Special emphasis should be placed in the pre-test on practicing how to do the *wealth or well-being ranking*. It is probably the most delicate exercise in a PLA. The section on data collection below describes its importance in more detail. Another tool that is usually fine-tuned during the pre-test is the questionnaire for semi-structured household interviews. Sample

questionnaires in English and French that can be adapted to local contexts will be provided in the IHD training manual mentioned above or can be obtained from PQSD.

Data collection

Well-being ranking[19] is one of the most important exercises in a participatory livelihoods assessment. Village elders usually identify several different categories of well-being in the community. The number of categories of households will vary depending on the village. Fewer than three categories may mean that the categories are too general to be useful for analysis. Too many categories can complicate analysis. Generally, three to five categories is a good range to aim for. Commonly, three categories will divide into a poorer group, a middle group and a wealthier group. Sometimes there is a fourth category for the very poor. A fifth category might allow for additional socio-economic differences such as a group of market traders who do not depend on farming for their livelihood.

Eliciting this information from the village elders can sometimes be sensitive, so it is best to do in a setting where they can speak openly (note that it is not usual for individuals to be mentioned by name in this process, but representatives for each group may be identified later to participate in household interviews). A smaller representative group of elders is preferable to a larger group. Information gathered from this group can be triangulated with information from other sources. Once the different well-being categories have been clearly established, the PLA team can begin to assemble a complete set of information regarding each well-being group's Assets, their engagement with Structures and Systems, response to Shocks, Cycles and Trends and their livelihood Strategies and Outcomes.

Data analysis, reporting and utilization

Do not underestimate the amount of time it will take to analyze the data you have collected. This is a key step in the process since IHD analysis means looking at how all the pieces of the puzzle fit together. There are four basic steps to IHD analysis. These include:

1. Ensure that you have adequate information for all of the boxes of the IHD conceptual framework, and understand as far as possible important linkages between the boxes. (e.g., how might the access to a particular Asset make a household less vulnerable to a common Shock? How do weak Structures impact human Assets and increase vulnerability?)
2. The boxes can be analyzed separately, but ultimately must be linked together through their interactions. (e.g., weak human Assets for girls in a community may be the result of Systems that cause households to keep their girls at home for various cultural or economic reasons)
3. In addition to focusing on the linkages, you need to see how the Asset combinations result in specific livelihood Strategies, and the Outcomes of those Strategies. (e.g., a household that faces regular droughts may engage in risk reduction Strategies such as planting drought resistant varieties or diversify the range of crops that they cultivate in order to ensure their food security)
4. Once these linkages and combinations are clear, you can identify gaps that could create additional opportunities if they were filled. (e.g., if schools were to provide a take-

[19] This exercise is sometimes also called *wealth ranking*. However, the term *well-being* better represents the holistic nature of the range of Assets that IHD analysis covers.

home food ration for girls, households might be more willing to forego the opportunity cost of sending girls to school; if latrines were available, girls might be more secure at school).

A series of matrices will help to organize this and analyze this information. These include:

1. Problem identification and ranking (especially for the most vulnerable groups)
2. Asset analysis
3. Vulnerability analysis
4. Structures and Systems analysis
5. Livelihood Strategy analysis
6. Gap/Opportunity analysis

Analysis usually begins with Assets as per Table 6, below. Assets represent the basic building blocks with which households develop their livelihood Strategies. In comparatively analyzing Asset portfolios of the different well-being groups, it will become evident where the strengths and weaknesses lie. For example, though a household may have access to a significant amount of land, it may lack sufficient water resources to make the most productive use of the land. Insufficient farm equipment and tools (limited physical Assets) can also constrain the household's use of its natural Assets. Likewise, a lack of financial Assets with which to purchase inputs will also limit productivity. Finally, limited human Assets (knowledge of improved techniques) might also reduce productive opportunities. Engaging in this kind of analysis allows one to understand the complementarity (or lack thereof) of Assets, which may influence a household's ability to use them productively for optimal IHD Outcomes.

The matrix below can then be filled in for each category of household, listing the range of specific Assets which a typical household in this category might have at its disposal. In filling out this table, if you are unable to distinguish clearly between the three categories, you may want to rethink how they have been defined.

In addition to looking at the Assets, it is also important to consider limiting factors. These can be analyzed using a similar matrix according to the categories of Assets and the different groups in a community. Limiting factors include the quality of Assets (leaky roof vs. watertight roof) as well as who controls access to them (e.g., there may be unequal access not just between households but also within the household). This can be done in the same matrix or separately.

Table 6: Asset analysis

Asset Category	**Group A**	**Group B**	**Group C**
Natural capital			
Physical capital			
Financial capital			
Spiritual and human capital			
Social capital			
Political capital			

Vulnerability analysis

Vulnerability analysis helps you to identify the various Shocks, Cycles and Trends that affect a given community, and compare what kind of response the different groups can have to these events. Some households are likely to be more resilient than others — especially those with more Assets as well as more diverse Assets. Other households with fewer and less diverse Assets are likely to be more vulnerable to Shocks, Cycles and Trends, and recover more slowly. Analysis of the table below allows for greater understanding of the primary risks in a community, the households or categories of individuals that are most affected, and those which are least capable of responding effectively. It is also important to undertake this analysis at the community level in order to understand solidarity mechanisms that may go into effect when a disaster strikes.

Table 7: Vulnerability analysis

Type of Shock, Cycle or Trend	**Group A response**	**Group B response**	**Group C response**
Flood			
Drought			
Violent conflict			
HIV and AIDS			
Low crop prices			

The Shocks, Cycles and Trends listed here are simply examples. It is likely that you will find different ones in the communities where you have done a PLA. Likewise, the number of groups may vary depending on the results of the well-being ranking.

Where can you find the information to fill out the vulnerability analysis matrix? Key sources will include the *seasonal calendar* and *Life Cycle* analysis. *Key informant interviews* will also provide information on major events that have occurred in the village's history. The *well-being ranking* will provide preliminary information on how households respond differently based on which category they belong to. *Trend analysis* may also provide critical information about how Shocks and Cycles may be evolving over time. Finally, *household interviews* will help to triangulate information obtained during the well-being ranking. Other tools that can be used in the vulnerability analysis are listed in Annex 1.

Structures and Systems

In addition to Asset analysis and vulnerability analysis, Structures and Systems can also be analyzed according to the household categories established during the well-being ranking. In this way, it is possible to determine how groups are affected differently by Structures and Systems. Some groups may have better access to services than others. Some groups may have greater capacity to influence due to higher amounts of political Assets. *Gender-related issues, especially differential access and influence based on gender, are particularly important to consider here.*

Analysis of Structures and Systems will help to integrate a peace and justice perspective into the assessment. Even if you are not a peacebuilding expert, this provides the opportunity to analyze power relations in the community and understand who has influence over decision-making as well as what mechanisms may or may not exist to manage conflicts. This is an

opportunity to think holistically! For example, to help farmers to produce more crops, it may be necessary to think about how farmers will engage with markets where they can sell their crops, as well as how they may resolve potential conflicts with herders whose animals may trample their fields.

Table 8: Structures and Systems analysis

Type of Structure or System	Group A engagement	Group B engagement	Group C engagement
Village water committee			
Local NGO			
School			
Health clinic			
National government			

This table could also be constructed using gender in place of wealth/well-being ranking. Such an analysis will provide good insights on issues of gender equity. The specific examples of Structures and Systems listed above are only indicative. They are likely to vary from one community to another.

A complete list of tools that can provide information on Structures and Systems are listed in Annex 1. Information on Structures and Systems can be obtained through *community mapping, mobility mapping*, the *institutional assessment, Life Cycle analysis* and *Trend analysis*. Structures and Systems may also be a focus of the *community action* plan and any *engagement Strategies* of individual households or the community at large.

Livelihood Strategies

Once Assets, the Vulnerability Context and Structures and Systems have been analyzed, the logical next step is to examine livelihood Strategies. A matrix to help with this process is given in Table 9, below. It is often the case that some boxes of this matrix may not be entirely filled. This is due to the fact that poorer groups tend to be more risk averse and are less likely to be involved in Asset Maximization activities for example. Likewise, better endowed groups may have less need to make use of Coping/Survival Mechanisms on a regular basis, except in times of crisis.

Table 9: Livelihood Strategy analysis

Livelihood Strategy	Group A	Group B	Group C
Coping/Survival			
Risk reduction			
Engagement			
Asset recovery			
Asset diversification			
Asset maximization			

RRA/PRA tools that can help to complete this matrix are listed in Annex 1. Key information for this matrix comes from the *well-being ranking* and the *household interviews. Trend analysis* may show how these Strategies are changing over time as the context that affects households and communities evolves. Keep in mind that Strategies can be analyzed at several levels. In addition to household and community level Strategies, you may also start to think in terms of project Strategies that can reinforce household and community level Strategies. This will naturally lead you into gap/opportunity analysis.

Once you have identified the key livelihood Strategies used by the different groups in the community, you can start to identify gaps and opportunities based on the information you gathered in the *problem identification and ranking* as well as the *community action plan* of your PLA. You can organize these according to the same six categories of livelihood Strategy. This will then feed into your development of strategic objectives and intermediate results that correspond to these gaps and opportunities.

Gap/Opportunity analysis

The final step in IHD analysis is to look at gaps and opportunities. Key information to fill out the matrix below (Table 10) comes from the *well-being ranking* as well as *household interviews*. The *community action plan* can also be helpful in that it may indicate specific areas identified by the community which need attention. While these may not be specific to one category of household as in the table below, they represent a consensus of the community that may have broader impact than narrowly focused interventions. As such, they are especially helpful in strategic planning exercises. Finally, *Trend analysis* will also be helpful in charting the direction for future interventions in the context of strategic planning.

Table 10: Gap/Opportunity analysis

Livelihood Strategy	**Group A**	**Group B**	**Group C**
Coping/Survival			
Risk reduction			
Engagement			
Asset recovery			
Asset diversification			
Asset maximization			

Gap/opportunity analysis provides useful information to start strategic planning. However, this information is often too detailed and too specific to households in a given community to generalize easily across a region or a country. Hence, the importance of conducting PLAs in several different communities that are representative of different regions. In this way, it is possible to compare data from different situations to find both commonalities and differences. It is these commonalities that can form the basis for a larger program (or project) that encompasses multiple communities/districts or the country as a whole.

For example, a PLA was conducted in Haiti in 2006 by CRS, visiting three different communities in the south and the north of the country.[20] While there were considerable differences between these communities, it was the commonalities — decapitalization, lack of availability

[20] Bahon (north), Cavaillon and Maniche (south).

and access to basic services, poor governance and exclusion, that formed the basis of the new strategic plan at country level. These major challenges were transformed into opportunities that focused on three strategic objectives of reducing vulnerability to Shocks and improving livelihoods sustainably, improving human capacities and mobilizing communities for greater involvement in decision-making that affects their lives. In this way, the program clearly responded to all aspects of the IHD conceptual framework that were analyzed in the Haitian context: decapitalization took into account the loss of Assets due to the effect of Shocks, improving human capacities was focused on improving access to critical social services (the Structures) which the State had been deficient in providing, and community involvement in decision-making was closely related to the lack of influence of these communities on the Structures that had not been providing adequate services.

Report formats

There are a variety of possible report formats including the one in Annex 4 developed by WFP. From this format it is clear where the different elements of IHD can come in. Livelihood profiles can be prepared for each village where data was collected using the boxes from the IHD framework:

I. General context
II. Assets
III. Structures and Systems
IV. Risk and Vulnerability (Shocks, Cycles and Trends)
V. Livelihood Strategies and Outcomes
VI. Problems Identified and Gap Analysis (Opportunities and Constraints)
VII. Recommendations/Conclusion

Thoughts on project design (after the PLA)

Due to its holistic nature, working towards achieving IHD cannot be done by a single sector. It requires collaboration between sectors, and with partners and targeted community members.

It is especially important to get the input of the individuals and communities that are targeted by the project in the project design. This will increase the effectiveness and sustainability of the project significantly, while simultaneously demonstrating genuine respect and concern for the people we serve. This input can be obtained in several ways, including:

- Participatory Community Action Planning (see the CRS RRA/PRA manual) following the PLA;
- Inviting representative beneficiaries from targeted communities to participate in the data analysis and project design with the rest of the team at the CRS offices; and/or
- Holding consultations with communities once the proposed project has been outlined.

SECTION 5
USING THE IHD CONCEPTUAL FRAMEWORK IN PROJECT EVALUATIONS

The IHD conceptual framework can be used to guide an evaluation from the beginning to the end of the process. IHD analysis can help determine not only if the project was doing the *right thing* (design), but also whether it was *done right* (implementation).

If the IHD conceptual framework is used to guide an evaluation, one approach would be as follows:

1. *Review the analysis that was used as the initial rationale* for the project.
    - If the project was based on a complete participatory livelihoods assessment (PLA), check the key issues, problems, opportunities and priorities that were identified by the PLA participants.
    - If not based on a complete PLA, check other assessments and/or secondary data that were used to determine the same criteria, and provide the rationale for the project.

2. *Assess the degree of input the project participants had* in the development and implementation of the project. Based on the above information, the IHD conceptual framework, and the initial project proposal, ask:
    - Was the initial situation analysis thorough, complete and correct?
    - Did the project proposal's Proframe (strategic objectives, intermediate results and outputs) address one or more of the primary vulnerabilities, problems and/or opportunities identified by project beneficiaries and/or secondary data sources?
    - Were some aspects of the IHD analysis overlooked? What consequences did this have for the project's success in reaching its objectives?
    - What level of participation did the targeted groups have in project design and implementation? Was there appropriate representation of different gender and age groups?
    - Was the project design appropriate for the situation and priorities of the targeted participants?
    - Was a sustainability plan included in the project design?

3. *How did the project contribute toward improving Integral Human Development* for participants? Even if the project's Proframe does not explicitly include this, these are still relevant questions to ask for any development project. Specific questions might include:
    - How has the project strengthened household and community Assets?
    - How has the project increased household and community resilience to Shocks, Cycles and Trends?
    - How has the project changed attitudes and behaviors?

- Has the project reduced instances of conflict within the community and/or with external parties?
- What contribution has the project made to protecting human dignity?
- Are households and communities better able to influence Structures and Systems? How has this improved their lives?
- Have households and/or communities developed new, improved or diversified livelihood Strategies?

4. *Were the targeted objectives and outputs achieved* (and how was this measured)?
   - Did achievement of the intended outputs and intermediate results contribute to achievement of the project's strategic objectives? If not, why not?
   - Did the achievement of the outputs and/or objectives lead to the desired impact on Integral Human Development (see point 3 above)? If not, why not?
   - Did achievement of the outputs and/or objectives cause any harm or lead to conflict?
   - What was the perception of project partners and beneficiaries regarding the implementation and achievements of the project (especially related to the questions in point 3 above)? Do the perceptions of project implementers and beneficiaries match? If not, how and why not, and what are the implications for project success?

5. *Are the project outputs and impacts sustainable* after the close of the project, especially in respect to point 3 (IHD) above?
   - Are project participants committed to sustaining project results?
   - Do project participants have the ability to sustain the outputs of the project?
   - Do project participants have the necessary resources to sustain the project results?
   - Are there any plans to monitor sustainability?

6. *Were there any pleasant (or unpleasant) surprises that resulted from the project?* That is, were there any unintended consequences of the project, with either positive or negative results related to point 3 above? How did project participants or the implementers adapt to these surprises?

7. *What are the lessons identified* from the project that can help increase the effectiveness of future projects in promoting Integral Human Development?

These questions can only be satisfactorily answered with well-planned visits to the target communities and discussions with local partners. Stakeholder analysis should be updated to determine the various participants in an evaluation. See Chapter VII in *ProPack II*[21] for more details on how to plan and conduct a project evaluation.

Whether IHD analysis was used in the initial project design or introduced during project implementation, the questions above are relevant to understanding project Outcomes and enhancing CRS' capacity to achieve real Integral Human Development.

[21] Stetson, V., S. Hahn, D. Leege, D. Reynolds and G. Sharrock. 2007. *ProPack II: The CRS Project Package Project.* Baltimore: CRS.

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HELPFUL WEBSITES

http://www.fao.org/sd/pe4_en.htm — provides the link to FAO's Sustainable Development Dimensions website which links to a number of articles related to sustainable livelihoods such as *The role of local level institutions in reducing vulnerability to natural disasters and in sustainable livelihood development.*

http://www.livelihoods.org/ — an ever evolving website that provides linkages to a plethora of information about livelihoods approaches including topical guidance sheets that provide an overview of the sustainable livelihoods approach. These sheets are available in multiple languages including English, French, Spanish, Arabic, Chinese, Tamil, and Portuguese. Also available is an online distance learning course, and a glossary of key terms. Of particular interest is the toolbox http://www.livelihoods.org/info/info_toolbox.html which provides links to a variety of tools for assessment, stakeholder analysis, M & E and links to current trainings. Most, but not all tools are available for download.

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http://www.odi.org.uk/Livelihoodoptions/frames.htm — provides links to a number of different sites offering their perspectives on livelihoods approaches including Overseas Development Institute's sustainable livelihoods working papers, FAO, UNDP, SD Gateway, etc. Links to case studies of livelihoods projects are provided.

http://www.proventionconsortium.org/?pageid=45 — provides links to a number of resources related to disaster risk reduction as well as a number of how-to guides and toolkits.

http://www.usaid.gov/our_work/humanitarian_assistance/ — provides links to the most recent MYAP guidelines and the Commodity Reference Guide (CRG) on P.L. 480 food commodities.

GLOSSARY OF TERMS

Access–The ability to use Assets and benefit from services. Access is often defined by Systems and Structures, and helps to determine livelihood Strategies.

Analysis–Deep, vertical processes, where prioritized issues from an assessment are probed in depth, and causes and effects are examined.

Assessment–A process of inquiry, investigation and examination of a situation or community that involves gathering and analyzing information. Its purpose is to understand a situation in order to make decisions.

Assets–Assets are something tangible or intangible that people own or to which they have access. There are six categories of Assets in CRS' IHD conceptual framework: financial, human/spiritual, natural, physical, political and social. (Also called capital or capacities in other livelihoods frameworks). Assets are often damaged or lost in a disaster (e.g., tsunami or earthquake). Control over access to Assets is often dependent on Systems and Structures (e.g., gender or caste).

Asset diversification–A livelihood Strategy of increasing resilience by having many different types of Assets to depend on in a crisis, and reducing vulnerability to the loss of one or a few Asset types.

Asset maximization–A livelihood Strategy of increasing the quantity and quality of Assets to improve the capacity of households to leave poverty and reduce vulnerability.

Asset recovery–A livelihood Strategy of rebuilding Assets lost in a disaster.

Baseline surveys–Surveys that collect data that is needed to make comparisons between the pre-project situation and that same situation at mid-term or at the end of the project.

Community action planning–A written plan assembled by community members either independently or in collaboration with an outside organization through a participatory process such as RRA/PRA, that identifies priority activities, responsible parties and a timeline for action.

Conceptual framework–An analytical diagram that organizes information and explains cause-effect relationships for a particular topic or theme.

Coping/Survival mechanisms–A livelihood Strategy used by people to get through difficult periods, which can have positive as well as negative effects.

Cycle–Seasonal event that occurs on a predictable and periodic schedule over time (e.g., flooding, drought, malaria, hungry season, drop in grain price following harvest).

Developmental relief–Intermediary stage in disaster response after the immediate survival assistance has been provided, in order to prepare affected communities to transition to long-

term development assistance. Ensures that humanitarian assistance is linked to long-term development objectives.

Disaster–A serious disruption of the functioning of a community or a society causing widespread human, material, economic or environmental losses which exceed the ability of the affected community or society to cope using its own resources.
A disaster is a function of the risk process. It results from the combination of hazards, conditions of vulnerability and insufficient capacity or measures to reduce the potential negative consequences of risk.

Disaster risk reduction–The conceptual framework of elements considered with the possibilities to minimize vulnerabilities and disaster risks throughout a society, to avoid (prevention) or to limit (mitigation and preparedness) the adverse impacts of hazards, within the broad context of sustainable development.

Food aid–Edible commodities donated to needy populations in order to improve their food security.

Food availability–The supply of food in a nation, region or locality. Sources of supply may include home production for consumption, food stocks and food aid.

Food access–The ability of a household to obtain food for its needs, whether its source is home production, commercial purchases or transfers. Physical access (in terms of market access) is also important.

Food security–The physical and economic access by all people, at all times, to sufficient food and water to meet their needs for a productive and healthy life today, and the good health to use it properly, without undermining future food security. Food security is an ex-post measure of well-being.[22]

Food utilization–The proper biological use or absorption of food. The body's ability to use or to absorb food properly, without the interference of a disease that prevents consumption (e.g., through loss of appetite or illness) or prevents absorption (e.g., through vomiting or diarrhea).

Engagement–Livelihood Strategy of increasing the influence of people and communities in decision-making that affects their lives, often through contact with Structures and Systems and use of political Assets.

Feedback loop–The ways in which particular Outcomes or livelihood Strategies impact on the various Asset categories, Systems and Structures. This may represent opportunities or constraints in the utilization of Assets and/or application of Systems or Structures.

Focus group discussion–A discussion that gathers a relatively homogeneous group together to talk about a particular topic (e.g., women seeking medical care, pest-control on crops). This can be especially useful in trying to understand livelihood Strategies used by different well-being groups.

[22] See USAID. 1992. *Policy Determination 19*. http://www.usaid.gov/policy/ads/200/pd19.pdf

Gap assessment and analysis–Process of identifying what other actors are already doing to address identified needs in a particular geographic location. The purpose of a gap assessment and subsequent analysis is to ensure that the project does not duplicate existing activities already underway. It can also serve to ensure the proposal is coordinated with other interested parties.

Gender–Refers to the economic, social, political and cultural attributes and opportunities associated with being a man and a woman. The nature of gender definitions and patterns of inequality varies among cultures and changes over time. A Gender Assessment involves carrying out a gender analysis of organizations' programs and of their ability to monitor and respond to gender issues throughout the program cycle.[23]

Hazard–A potentially damaging physical event, phenomenon or human activity that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation. Hazards can include latent conditions that may represent future threats and can have different origins: natural or induced by human processes. Hazards can be single, sequential or combined in their origin and effects. Each hazard is characterized by its location, intensity, frequency and probability.[24]

Institutional assessment–A RRA/PRA tool which inventories institutions (e.g., Structures and Systems) in the local community, their accessibility and influence, as well as their effectiveness.

Integral–Holistic, essential for completeness, having everything required. For example, Integral Human Development would not be limited to an objective of increasing income, but would also look at health, education and right relationships within the household and the community.

Integral Human Development–A concept originating from Catholic social teaching, IHD promotes the good of every person and the whole person; it is cultural, economic, political, social and spiritual. IHD is also a process that enables individuals and communities to protect and expand the choices they have to improve their lives, meet their basic human needs, free themselves from oppression and realize their full human potential. The CRS vision for IHD is that the people we serve increasingly realize their full human potential in solidarity with others and in the context of a just and peaceful society that respects the dignity of every person and the integrity of creation.

IHD conceptual framework–A comprehensive, holistic framework, which allows one to assess and analyze the complex reality of poverty, vulnerability and resilience at multiple levels. It builds on the Sustainable Livelihoods model developed by DFID and utilized by organizations such as CARE and Oxfam, but has been modified to reflect CRS' guiding principles.

Justice–The establishment and maintenance of right relationships — meaning relationships that are consistent with the principles of Catholic social teaching — among all people.

[23] Source: USAID. Women in Development. *Key Terms in Gender Analysis.* http://www.usaid.gov/our_work/cross-cutting_programs/wid/gender/gender_analysis_terms.html

[24] Source: Inter-Agency Secretariat of the International Strategy for Disaster Reduction (UN/ISDR). 2004. *Living with Risk: A global review of disaster reduction initiatives.* United Nations. http://www.unisdr.org/eng/about_isdr/basic_docs/LwR2004/ch1_Section1.pdf

Justice lens–A tool to help frame CRS and partner staff thinking and analysis on issues of justice. It is also a tool for a learning event, the Justice Reflection, that offers all staff the opportunity to examine their personal views of justice, to study Catholic social teaching, to examine the Justice Lens and apply those concepts to their work.

Key leverage points–Causes that appear multiple times in a problem analysis. They demonstrate significant influence on the problem, and therefore have the potential to bring about positive change.

Life Cycle analysis–In the context of a PLA, Life Cycle analysis identifies important life events among individuals, households and communities. Life events may include marriage, birth of a child, death and funerals. The analysis helps researchers understand the impact of these events on the various components of the IHD conceptual framework as well as the Strategies employed by households to deal with these events.

Livelihood Strategy–Households develop their livelihood Strategies based on the combination of Assets to which they have access, and the vulnerabilities to which they are exposed, taking into consideration both the enabling and constraining aspects of Structures and Systems. There are six major categories of livelihood Strategies: Coping/survival Strategies, Risk reduction, Engagement, Asset recovery, Asset diversification and Asset maximization. Outcomes from the Strategies can be positive or negative.

Mitigation–Structural and non-structural measures undertaken to limit the adverse impact of natural hazards, environmental degradation and technological hazards.

MYAP–An acronym that stands for Multi-Year Assistance Program designed to reduce food insecurity and funded by the Office of Food for Peace of USAID.

Mobility mapping–A RRA/PRA tool used to identify and analyze mobility patterns in a community — who goes where for what purpose, by what means and how frequently. Mobility analysis can help understand how HIV is spread or how certain groups may be more vulnerable than others if they are required to travel long distances on a regular basis to find water or firewood.

Outcomes–The results of livelihood Strategies, which are based on Assets, Systems and Structures, and sources of risk and vulnerability. Outcomes can include access to basic needs, food security, more sustainable use of natural resources, increased income and/or well-being. Higher level Outcomes can include the protection of human dignity and peace and justice for all members of a community.

Pair-wise ranking–A structured method to create a list in order of priority. This technique is effective with a small number of items (no more than 10) and can be applied in a variety of different contexts where prioritizing is important (e.g., identifying the most severe risks, prioritizing interventions when limited resources are available).

Participatory Rural Appraisal–PRA is a process that employs participatory methods to collect information for eventual use by the rural community as it plans further activities. The emphasis of PRA is on the process and seeking ways to involve the community in planning and decision making. An RRA is a discrete study, while a PRA is an extended process that can last for months or years as communities develop their own skills needed to address issues, analyze options, and carry out activities.[25]

Problem tree analysis–An analytical tool that can help to analyze data collected from assessments in order to determine the major problem(s) and their causes and effects.

Proframe–The CRS logical planning tool for generating a Project or Program Framework similar to a results framework or a logical framework. The levels of a Proframe include a goal, strategic objective(s), intermediate results, outputs and activities. Indicators, data sources and critical assumptions are developed for each level of the hierarchy.

Rapid Rural Appraisal–RRA refers to a discrete study (or series of studies) in one or more communities. These RRA studies typically last from four to eight days. During this period a multidisciplinary team of researchers looks at a set of issues that are clearly defined by the study objectives. The team works in close collaboration with community members, involving them in all aspects of the collection and analysis of information. Information is collected using a diverse set of tools and techniques that facilitate the participation of community members. The focus is generally on gathering information and ensuring that the information is as rich and as accurate as possible. This information can then be used in a variety of ways including project design, improvement of an ongoing project, revision of national policies, etc.[26]

Resilience–The capacity of a household or community to cope, resist, and recover from a Shock, Cycle or Trend. This is determined partly by the amount and diversity of Assets to which the household has access, community solidarity mechanisms and the effectiveness of disaster preparedness plans.

Results framework–Diagram that shows the first three levels of an objectives hierarchy of a project (e.g., goal, strategic objectives and intermediate results).

Risk reduction Strategies–A livelihood Strategy that minimizes household or community vulnerability to Shocks, Cycles and Trends. This could include for example planting drought resistant seed varieties in a drought prone region.

Risk–Potential losses from a Shock due to household or community vulnerability. Examples of risks include natural risks, health risks, economic risks, Life Cycle risks, social risks, political risks or environmental risks. Risk = Hazard x Vulnerability

Seasonal calendar–A diagram that identifies seasonal activities and events, and how things change throughout a year. Calendars can be used to examine Cycles in illnesses, crop production and the hungry season.

[25] Adapted from: Freudenberger K. 1999. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners.* Baltimore: CRS. http://www.crs.org/publications

[26] Source: Freudenberger K. 1999. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners.* Baltimore: CRS.

Semi-structured interview–A process whereby an individual or key household members are interviewed about a particular topic. There are key points that the interviewer will discuss guided by a checklist or diagram (e.g., seasonal calendar) or a flexible questionnaire. Information can be used to triangulate or deepen understanding of well-being categories established during a well-being ranking.

Shock–Sudden, severe events that harm people's lives or livelihoods (e.g., epidemics, natural disasters, conflicts, job loss, death of wage earner, military coup, etc.).

Stakeholder–Individuals, groups and institutions important to, or with influence over, the success of the project.

Strategic Program Plan–A document prepared after a lengthy process of assessment, analysis and planning with all stakeholders that outlines the programming areas and strategic priorities of a CRS country program for a three to five year period.

Structures–In the context of CRS' IHD conceptual framework, Structures are defined as the "hardware" or institutions which include the public and private actors and organizations that define policies and deliver services. They affect how we can use certain Assets and in some cases, who has access to specific Assets. Structures can have an enabling effect on households, but can also sometimes constrain households.

Sustainable Livelihoods–The capabilities, Assets (including both material and social) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and Shocks and maintain or enhance its capabilities and Assets both now and in the future, while not undermining the natural resource base.[27]

Systems–In the context of CRS' IHD conceptual framework, the "software"; including the beliefs, norms, values, identity, policies, markets and rules for interaction. Examples include gender norms or economic policies and regulations. Systems affect how people use certain Assets and in some cases, who has access to specific Assets. Individuals or communities with a lot of Assets may also be able to influence Systems for change through advocacy or engagement Strategies. Systems can either enable or constrain households.

Trend–Tendency that occurs over time. For example, crop prices could be increasing or decreasing, and rainfall could be increasing or decreasing.

Trend analysis–A process whereby the RRA/PRA team collects data through a variety of methods (e.g., case histories, calendars, photographs and maps) to construct patterns over time in order to identify prevailing tendencies.

Triangulation–A core principal of RRA/PRA implementation used to reduce bias. Triangulation refers to the diversification of perspectives that comes about when a set of issues is investigated by a diverse, multidisciplinary team, using multiple tools and techniques, with individuals and groups of people who represent the diversity of the community in order to reduce bias and accurately reflect reality.

[27] Adapted from DFID. 1999. *Sustainable Livelihoods Guidance Sheets.* http://www.livelihoods.org/info/guidance_sheets_pdfs/section1.pdf

Vulnerability–The degree to which people are put at risk by or susceptible to the effects of a hazard due to their geographical location, poverty, weak infrastructure, gender, age, health status, etc.

Well-being ranking–A RRA/PRA tool usually conducted with community members to understand the different Assets, capacities, access to Structures and Systems, impact of Shocks, Cycles and Trends, and livelihood Strategies used by the different groups that make up the community.

ANNEXES

ANNEX 1
HELPFUL TOOLS FOR USE WITH THE INTEGRAL HUMAN DEVELOPMENT FRAMEWORK

	Tools/Info	
IHD Element	**RRA/PRA Tools for Primary Data**	**Secondary Data Sources**
Assessing current peace, human dignity and livelihood Outcomes	• Key informant interviews • Focus group discussions • Well-being ranking • Seasonal labor/activity calendars • Gender roles and responsibilities • Historical time-line • Trend analysis • Assess: Are the current livelihood Strategies appropriate for today's climate, condition of natural resources and local socio-economic and political Systems and Structures?	• Central statistics office (national) • Survey data and reports (including vulnerability assessments, surveys, etc. from World Bank, UN/FAO, ministries, universities, PVOs/NGOs) • Poverty Reduction Strategy Plans (PRSP) (national) • Previous PRAs conducted in the area (other NGOs)
Assessing livelihood Strategies	• Visioning (If an individual went away today and came back to the community five years from now, what would they hope to find? If things were really better, what would be different?) • Community action planning (problem and intervention ranking matrices, action plans — RRA/PRA manual)	• Central statistics office (national) • Survey data and reports (including vulnerability assessments, surveys, etc. from World Bank, UN/FAO, ministries, universities, PVOs/NGOs) • PRSPs (national) • Previous RRA/PRAs conducted in the area (other NGOs)
Improving livelihood Strategies	• Visioning (If an individual went away today and came back to the community five years from now, what would they hope to find? If things were really better, what would be different?) • Community action planning (problem and intervention ranking matrices, action plans — RRA/PRA manual) • Analysis of probable/potential disasters and how they will impact livelihoods	• Central statistics office (national) • Survey data and reports (including vulnerability assessments, surveys, etc. from World Bank, UN/FAO, ministries, universities, PVOs/NGOs) • Poverty Reduction Strategy Plans PRSPs (national) • Previous RRA/PRAs conducted in the area (other NGOs)

	Tools/Info	
IHD Element	**RRA/PRA Tools for Primary Data**	**Secondary Data Sources**
Analyzing Assets	• Wealth ranking • Transect walks • Community resource mapping • Resource flow diagrams • Key informant interviews • Focus group discussions (with various sections of the community) • Inventories (average households within wealth categories) • Gender analysis (roles, responsibilities, Asset ownership and access)	• Previous RRA/PRA survey reports (CRS or others) • Survey data and reports (including vulnerability assessments, surveys, etc. from World Bank, UN, FAO, ministries, universities, PVOs/NGOs) • PRSPs (national) • Maps
Understanding Systems and Structures	• CRS Contextual Analysis Toolkit • Social mapping • Venn diagrams of interest groups, organizations and institutions in the community • Mapping of local government — traditional and formal (mapping, focus group discussion and/or key informant interviews) • Do No Harm Analysis[28] • Connectors and Dividers • Mapping of infrastructure and institutions and services including community emergency preparedness groups such as community based disaster preparation groups. Do they exist? Do they need to be formed? • Gender analysis (roles, responsibilities, Asset ownership and access) • Key informant interviews	• Publications from World Bank, UN/FAO, ministries, universities, PVOs/NGOs) • PRSPs (national) • Maps (government, FAO, other)
Analyzing the vulnerability context (Shocks, Cycles and Trends)	• Historical timelines of catastrophic events • Trend analysis (change in livelihood Trends over the years-climate change) • Focus group discussions (sources of risk, who is vulnerable and why) • Hazard mapping and analysis (effects on different segments of the population) • Mobility/migration mapping • Problem identification/prioritization (matrix scoring and ranking), and • Problem tree analysis • Seasonal timeline (hunger, disease, rainfall, wind, fire, drought, flooding, hurricane/cyclone/typhoon Cycles) • Transect walks	• National climate data/ Trends/projections • National vulnerability assessment reports (WFP, FAO – VACs, Fewsnet locally generated reports) • Famine early warning reports • National survey reports (health, education, etc., from World Bank, UN, FAO, universities, ministries, PVOs/NGOs,) • PRSPs (national)

[28] See Anderson, M.B. 1999. *Do No Harm: How Aid Can Support Peace — or War*. Boulder: Lynne Rienner Publishers.

ANNEX 2
ILLUSTRATIVE QUESTIONS TO ASK IN A PARTICIPATORY LIVELIHOODS ASSESSMENT FOR AN SPP

Outcomes and Feedback	• Do the Outcomes of current livelihood Strategies result in the well-being of all community members, as well as peace, justice and human dignity? • If not, who is doing well, and why? Who is not doing well and why not? • What are the most important problems that the most vulnerable members of the community would like to address? What do they think are the best options for addressing these?
Livelihood Strategies	• What are the current livelihood Strategies used by members of the community? • Why do different people/households use different Strategies? Are some Strategies more successful than others (which ones, and how)? • Are current livelihood Strategies sufficient to meet current physical needs? Is there competition, or challenges in successfully implementing these Strategies? • Are their livelihood Strategies appropriate for the environments (natural, socio-economic and political) in which they live? • What are the livelihood aspirations of men and women? • Do some livelihood Strategies have negative impacts on individuals, households or the community? On natural resources?
Assets	Once you have identified the various categories of household and community Assets, ask: • What is the quality of their Assets? • Do all members of the household or community have equal access to these Assets? • How are decisions made about the use of these Assets? Who makes these decisions? • What are the limiting factors that constrain use of these Assets? • How do people combine these Assets into livelihood Strategies and what Outcomes do they obtain?

Structures and Systems	• What institutions are in the area (governmental, private, religious, NGO or other)? • Who belongs to and participates in decision-making within these institutions? • Who participates in community decision making? • What areas have strong institutions? Weak institutions? • Are institutions accountable and inclusive? • Do local citizens have a voice in governmental decision-making? • What is the legal and social status of women in communities? • How do men and women participate? • Do elderly have a voice? • Who makes decisions regarding access to water, health care, credit and other communal resources? • What social service centers (health, schools, etc.) exist, where are they located and what quality of service do they offer? • What kinds of markets function and who has access to them? • What are the main sources of tension in the community? Is there bias against certain ethnic, racial, cultural or gender-based groups? If so, what? • Do people in the community feel safe from physical violence and/or other types of violence? • Are civil rights generally respected? Who assures that people's rights are respected? • What is the government structure for emergency preparedness and response? Who does what? (civil defense etc.) • Are they prepared? (training, equipment, preparedness plans etc.)
Shocks, Cycles and Trends	• What natural or human-made disasters have occurred in the past 10 years? How have Cycles changed over the past years (more unpredictable rainfall, extended drought periods)? Which are still ongoing? • What do people perceive as the most important risks they face? How frequent are these, and who is most vulnerable? Why? • Does the community have an emergency preparedness plan? • What are the triggers that help the community know that there might be a problem in the future? • How do households and communities cope with events that threaten their livelihoods? Who is most affected? • Which households are less resilient than others? What community solidarity mechanisms exist? • What is the current economic situation? Is it expected to improve or decline? • What is the status of the current agricultural season? How does it compare to past performance? • What is the health of the natural environment — water, air, soil, plants, animals and life? Is it improving or degrading? • What is the current political situation? Is it expected to improve or deteriorate? • What risks are there to communities from armed groups or political instability? • What violent incidents typically occur in this country? • What are some of the root causes of conflict? • Are there Cycles of migration for livelihoods?

ANNEX 3
ILLUSTRATIVE QUESTIONS TO ASK DURING A FOOD SECURITY ASSESSMENT FOR A MYAP

IHD Element	FFP Food Security Element	Questions
Assets		• Can lack of a certain Asset be compensated for by increasing another (e.g., low financial Assets may be complemented by increasing social Assets)? How might this affect food security?
Human/Spiritual Assets	Utilization Availability Risk mitigation	• Where do people get their information? • What are knowledge levels related to key health behaviors? • Who are the knowledge managers (i.e., where do people go to get information)? • Is there a tradition of local innovation? Are technologies from internal or external sources? • Where are the gaps in information? • How do people learn about policies or legislation that might affect food security? • Who has access to this information? Are the sources of information the same for men and women? • What are the literacy levels? • How is labor divided between men and women? • How much time is spent on reproductive and productive activities?
Social Assets	Availability Access Utilization Risk mitigation	• Are there farmers groups, Savings and Internal Lending Community groups, and other groups that could be mobilized? • Who are the members? • Who is excluded and why? • How does group involvement/lack of group involvement impact food access, availability, utilization and capacity to mitigate risk? • What networks exist? Does this increase or decrease risk of food insecurity? • What is the impact of social obligations on food security (e.g., funerals, time away from fields)? • How do the groups function? • Are there rules? How are they defined? • Is there conflict in the area that could undermine trust? • What is local leadership like? • Is time a constraint for group participation? • Are social Assets leveraged to enhance food production?

IHD Element	FFP Food Security Element	Questions
Natural Assets	Availability Access Utilization Risk mitigation	• What natural resources exist in the area (e.g., forest, agricultural land, fisheries, etc.)? • What is the state of these natural resources (e.g., is the forest diminishing, is the soil degraded, are fisheries over-fished)? • What Systems govern their use? • Who has access to the resources? • What wild foods are available? When are they eaten? • Can certain natural Assets be used for multiple purposes (e.g., water, forests, etc.)? • Does the use of these resources expose certain groups to risks (e.g., gathering wood exposes women to violence)? • Who relies on natural resources most? Is their use sustainable? • How productive is the resource (e.g., land, water, value of different tree species)? • Is there conflict over the resources? • How are natural resources valued? • What is their contribution towards food security? • How has access to natural resources changed over time? • How are the resources affected by externalities? • Is irrigation available? If not, what impact would an irrigation System have on natural Assets? • What is the seed supply like (e.g., seed security, assessment report)?
Financial Assets	Access	First it is important to gain a straightforward understanding of: • Which types of financial service providers exist (both formal and informal)? • What services do they provide, under what conditions (e.g., interest rates, collateral requirements, etc.)? • Who — which groups or types of people — has access? What prevents others from gaining access? • What are the current levels of savings and loans? Understanding the nature of savings behavior requires finding answers to questions such as: • In what form do people currently keep their savings (e.g., livestock, jewelry, cash, bank deposits, etc.)? • What are the risks of these different options? How liquid are they? How vulnerable are they to changes in value depending upon when they are liquidated? In the past, the existence and effects of what can be quite sizeable flows of remittance income have often been over-looked. To correct this, it is important to understand: • How many households (and what type) have family members living away who remit money? • How is remittance income transmitted? • How reliable are remittances? Do they vary by season? How much money is involved? • Who controls remittance income when it arrives? How is it used? Is it reinvested?

IHD Element	FFP Food Security Element	Questions
Physical Assets	Availability Access Utilization Risk mitigation	• What type of shelter do people have? • What is the water and sanitation infrastructure? • Is transport available and affordable (e.g., to seek health care, to purchase farming implements, to bring food to the market)? • Are tools available for farming? Are they affordable? • What type of energy is used to assist with crop production or processing? • What materials are available to access information (e.g., cell phones)? • What roads exist to access markets or health care? • What governs the use of these roads? • What is food availability like? Are there seasonal differences? • How do the different well-being groups obtain access to food?
Political Assets	Availability Access Utilization	• What are the political Structures in the community? • Who has political Assets in the household or group and who does not? Why? • How are political Assets used to gain access to inputs necessary for improved food security (e.g. access to land)? How does this influence food security? • Does the community leverage its political Assets to access resources (e.g. does the community receive benfits like roads and health centers that could influence food security?) • How can political Assets be enhanced at the community, household and individual level to improve food security? • How does access to political Assets control who benefits from development (including food security) programs?
Access and Influence		• How do the poor access the existing Structures and Systems? • How can people engage in the political process to change Systems and Structures? • Who has control/access to the Systems and Structures? • How do men's and women's position govern access to Assets, Systems and Structures? How does this impact food security?

IHD Element	FFP Food Security Element	Questions
Structures		Public Sector: • What political Structures exist (e.g., executive, legal, judicial)? • Are agricultural extension services available? What is their capacity? • Who benefits from there services? • What health facilities are in the area? What services are provided? Who uses them? How is access determined? What are the constraints to access? • Is there an alert System that could warn for common risks (e.g., drought, flood, conflict)? Private/Commercial: • What financial services are available? Who accesses them? • Who provides agricultural products? What is the quality? • Are there private clinics? Who seeks care here? Civil society: • How is the community organized? • What groups exists? How are they organized? Where do they operate (i.e., geographic area)? How do they relate to the other Structures? Why do they exist? Other: • Are their other organizations in the area working on food security issues?

IHD Element	FFP Food Security Element	Questions
Systems		• How is access to Assets controlled by existing Systems? • What are the roles and responsibilities of various groups? • What rights are respected and ignored? • What is the relationship between the different groups (e.g., pastoralist and farmers)? • What are the power relations in terms of age, gender, caste, class, other? • What sort of cultural beliefs or norms influence access to resources (e.g., do dietary restrictions prohibit healthy foods from vulnerable groups such as children or pregnant or lactating women)? • What are the existing institutions that impact availability, access, and utilization of food (e.g., markets, grain boards, health centers)? • What relevant legislation exists that may facilitate access to food? (e.g., subsidized fertilizers, catch limits in fisheries, international agreements regulating common resources like waterways and lakes)? • What policies impact food security in the country (e.g., sectoral polices, macroeconomic policies, redistributive policies, regulations)? • Does the country import food? What is the impact on the market? • Are markets fair and competitive? • What is the impact of decentralization? • What are the effects of these Systems on food security? Are there unintended effects? Are they positive or negative? What happens in practice vs. what is written down? • What are the existing transaction costs within the markets for both buyers and sellers of food and cash crops?
Livelihood Strategies	Availability Access Utilization Risk mitigation	• How do the different well-being groups ensure their food security? • How and why has this changed over time? • How do livelihood Strategies put people at risk for food insecurity (e.g., migration may increase the risk of HIV)? • What Strategies appear to be most effective? • What trade-offs are made by people in different well-being Strategies? • What coping Strategies are used by various groups? • What Structures are put in place to protect livelihoods from risk?

IHD Element	FFP Food Security Element	Questions
Shocks, Cycles and Trends	Availability Access Utilization Risk mitigation	• What Shocks affect food security (e.g., illness, earthquakes, hurricanes, cyclones) in the community? • Which well-being groups are most affected? • How do they cope with the Shock when it happens? • Are there Cycles that exist that may affect food security (e.g., drought, floods, and locusts)? How frequently do these events occur? • Has this changed over time? • How does the cost of food change over the course of the year? • How does the price of farming inputs change over the course of the year? • How have the prices of commodities changed? • How do people mitigate the impact of Shocks, Cycles, and/or Trends on their livelihoods? • How do food supplies change over the course of the year? • What have the food security Trends been over time in the area? • What Trends exist within the market that enhance or limit food security? • How do food stores change over the course of the year? • What are the Trends vis à vis morbidity and mortality, temperature, rainfall, natural resource use, prices? • How has purchasing power changed over time? Inflation? • What type of political or security risks occur in the area? • What are the yields over time of key crops?
Outcome		• What factors enhance or prevent attainment of food security?

(Source: Adapted from DFID 2001)

ANNEX 4
STANDARD FORMAT FOR A VULNERABILITY ASSESSMENT REPORT (WFP)

Executive Summary

1. **Objectives and Methodology of the Assessment**
   - Objectives of the assessment
   - How primary data were collected, the number and distribution of the sites visited and community groups/households interviewed, and how they were selected
   - Secondary data sources used
   - Approach/methods used to analyze the data
   - Limitations of data and basis for generalizing from the sample to the population, uncertainty/confidence in the data and consequent conclusions, recommendations for follow-up data collection and analysis, if appropriate

2. **Socioeconomic Background — Pre-Crisis Conditions in the Affected Areas**
   - Population and livelihood groups, their typical food security profiles and vulnerabilities
   - Macro-economic situation, production systems, trade patterns, and fiscal and other policies affecting food security
   - Political and social structures: social support systems, how they operate, whom they do/do not cover; power structures and their implications for the food security of different groups
   - HIV prevalence rates, treatment facilities and services

3. **Nature of the Shocks and General Demographic Impact**
   - Nature of the Shocks/crisis, their general effects on population (e.g., morbidity and mortality) and infrastructure in different areas
   - Numbers displaced, expected duration of displacement, whether those displaced have lost all means of livelihood

4. **Food Availability and Markets**
   - Impacts on local/national food stocks and food production forecasts, changes in expected levels of imports, actions by government and others to increase supplies
   - Impacts on prices and market integration; logistic bottlenecks or administrative regulations inhibiting the movement of goods; action by government, traders or others to repair infrastructure and facilitate market functioning; market's capacity to meet current and future food demand

5. **Livelihoods and Households' Access to Food**
   - Impacts on local economies, employment opportunities, demand for local produce and services; action being taken to restore economic activity; seasonal considerations; when and how much activity and demand for local produce/services are expected to recover
   - For each distinct population group: impacts on livelihood Assets, sources of food and income (including entitlements from social networks/political allegiances) and obligatory expenditures (including rent, fuel, water, shelter, health, loan repayments, etc.); trade-offs between food and non-food needs; the type and sustainability of

coping Strategies adopted; when and how well livelihoods are expected to recover; present food access shortfalls and how they are expected to evolve
- Actions by government and others to enable households to access sufficient food; and how long those actions will continue with available resources

6. Food Consumption and Utilization: Nutritional and Health Status
- Impact on the diets of each distinct population group; their ability to prepare food
- Present nutritional status and nutritional risks; disease-related mortality rates; water, sanitation and other public health concerns that threaten lives and nutritional status; HIV prevalence rates
- Actions by government and others to address problems of food use and consumption,
- Malnutrition and the main public health risks (including HIV)

7. Current and Future Problems and Risks for Food Security and Livelihoods; Assistance Required
- Synthesis of the current situation, likely evolution and risks for food supplies, markets, livelihoods, household food access shortfalls and nutritional status
- Other actors in the area working on issues related to food insecurity
- Scenario(s) for the next six to 12 months and two to five years
- Numbers of people requiring assistance in different areas/population groups, levels of assistance required; when assistance will be required
- What would happen without any response or an inadequate response within the critical specified period

8. Response and Targeting Options
- Possible food and non-food responses to problems of food supply/availability (if any), markets, household food access, malnutrition and long-term food security (livelihoods); the advantages and disadvantages of each response
- Social, political, security, logistical constraints; potential negative effects of current and possible future assistance Strategies
- Capacities (including resources) of communities, NGOs, local authorities and the government to provide assistance or implement externally supported programs

9. Recommendations and Proposed Assessment Follow-up
- Recommended package of responses to most appropriately address the identified problems, with reasons
- For any food assistance: types and quantities of commodities, when required, proposed sources (external, local or other), targeting and implementation arrangements
- Specific aspects/indicators to be monitored during the next three, six and 12 months
- Arrangements (or recommendations) for follow-up assessments, if needed

Annexes
- Maps of the affected areas
- Assessment instruments used
- Seasonal calendar (and any other significant summary diagrams)
- Schedule of the assessment activities and site visits
- Members of the assessment team

(Source: Adapted from World Food Program 2005)

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