Bule Hora University
Faculty of Social Science and Humanities
Department of Geography and Environmental Studies

Course Information

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CHAPTER ONE

DEFINITION AND BASIC CONCEPTS

1. Livelihood: Definition and Concepts

- Livelihood refers to the means or strategy of **gaining a living**, including capabilities, **tangible assets**, such as natural resource, human, physical, and **intangible assets**, such as claims and access relationships.
- It does not only mean the activities that people carry out to earn a living. It means all the different elements that contribute to or affect their ability to ensure a living for themselves and their household. These include: the assets that the household owns or is able to gain access to – human, natural, social, financial and physical assets or capitals.

1.1. Livelihood Assets

- There are **five livelihood assets**, which include: physical, natural, human, social, financial
- They are presented in detail as follows:

- **Physical asset** is all about physically available materials. The basic infrastructure and production equipment and which enable people to peruse their livelihoods. The indicators include possessions of households, means of transportation, ownership/ access to production and processing equipment and its equitable access to households.

- **Natural asset** is the natural resources stocks from which resource flows useful for livelihoods are derived households naturally owned (land, water, forests, and environmental resources).
- **Human asset** is the skills, knowledge, ability to labor and good health and nutrition, education services, traditional knowledge and skills etc.
- **Social asset** is social resources (social networks, membership of groups, relationship of trust, political power, group associations).
- **Financial asset** is the about financial resources which are available to people (weather saving, credit, remittances or pension). Also, includes income and its sources which is a driver of all the rest of livelihood assets.

2.2. Livelihood Capabilities

- It is about the ability of livelihood assets and activities recovering after the occurrence of disaster in certain area.

2.3. Livelihood Activities

- Livelihood activities are also elements of livelihood that act like sources of income earning to people in different parts of the world. For instance, livelihood activities categorized as:
  - **farm activities** (crop and livestock production),
  - **nonfarm activities** (wage labor and remittances), and
  - **off-farm activities** (forest based - charcoal and firewood, black smith and the likes).

- **According to Food Summit plan 1996**, **food security** is defined as:

"when all people at all times have physical and economic access to sufficient, safe and nutritious food for healthy and active life".

- **In short, food security** is defined from three main components/pillars. These are:
  - **Food availability:** physical presence in store/stock, market …
  - **Food access:**
  - **Food utilization/consumption:** diet, diversity, frequency
- **Food stability**

- **Food insecurity**: inability to produce, access, and utilize … sufficient, safe and nutritious food). It is the reverse of food security.
- There are different **forms of food insecurity** situations observed in rural areas. These are:
- **Transitory** food insecurity- temporary food insecurity situation (more specifically, for below 3 month)
- **Chronic** food insecurity- persistent for long period of time. Unable to support himself and his family for 1-2 years and other means of social protection.
- **Famine-** is the **worst** form of food insecurity.

CHAPTER TWO

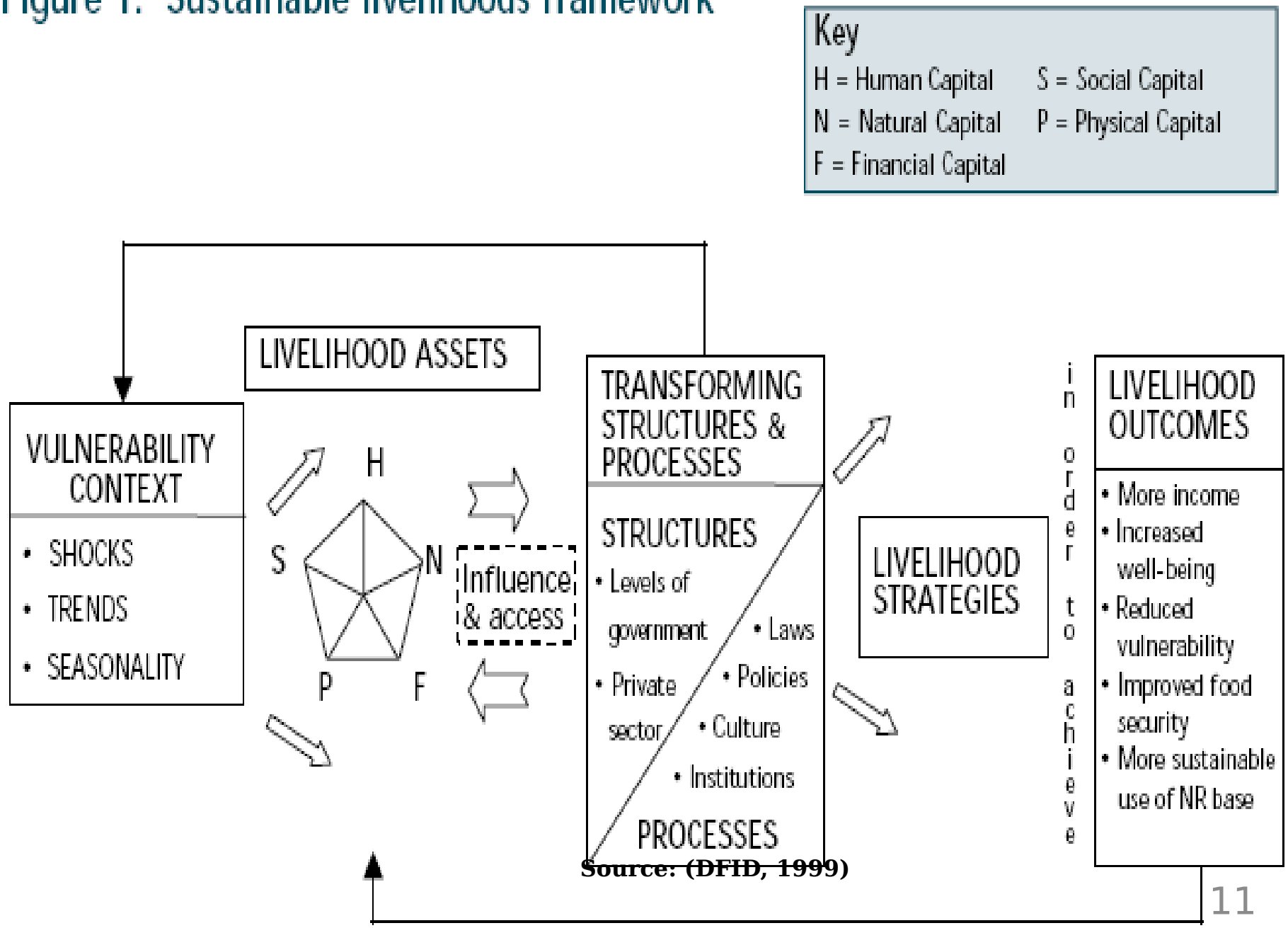
THE SUSTAINABLE LIVELIHOOD FRAMEWORK AND STRATEGIES

- **As a central goal towards development efforts, the framework supports poverty eradication by creating sustainable livelihoods for poor people through improved understanding of their livelihoods.**

- **The framework draws on:**
  - **vulnerability contexts: (shocks, trends, and seasonality);**
  - **livelihood assets: (natural capital, physical capital, human capital, financial capital and social capital);**
  - **transforming structures and processes: (markets, institutions, organizations, norms & cultures, policies &laws);**
  - **livelihood strategies; and**
  - **desired outcomes which affect poor people's livelihoods.**

- **The framework also takes into consideration the typical relationships between these factors.**

Figure 1. Sustainable livelihoods framework



Source: (DFID, 1999)

- **The framework is essentially an integrating device, helping to form and bring together different perspectives on these facets.**
- **With this recognition, the framework can be used in new project or program designs, as well as providing the capability for monitoring and impact assessments of on-going or completed activities.**
- **It can improve the design of interventions in several ways:**
  - **(i) by identifying what information is needed for making sound decisions;**
  - **(ii) by identifying different interests between stakeholders (particularly poor groups) that need to be taken into account;**
  - **(iii) by emphasizing links between the local and policy levels;**
  - **(iv) by enhancing cross-sectoral coordination.**

Some criticisms of the SLF within livelihoods literature

- **Typically, these criticisms revolve around the special attention paid to assets and vulnerability issues. Much of the criticism stems from the field of political economy and politics related to power relations.**

  For example,

  - **the 'transformation structures and processes' (e.g., policies and/or institutions) that influence livelihoods are identified in the framework but they are under-emphasized.**
  - **Also, it has been suggested that the power relations that influence those structures and processes, as well as access to and utilization of assets, are not explicitly addressed, and that the framework is also, to a great extent micro-focused.**

CHAPTER THREE

THE LINK OF SUSTAINABLE LIVELIHOOD FRAMEWORK WITH OTHER DEVELOPMENT APPROACHES

CONTENT

1. Right based approach
2. Participatory development
3. Sector wide approach
4. Integrated rural development approach
5. Development state model or theory
6. Trickle down theory

1. RIGHT BASED APPROACH (RBA)

⇒Injection of **human rights principles** into standard development thinking and practice.

⇒ RBA given more due attention for empowering of **marginalized groups**, **social and economic inequality, and boosting of both state and donor accountability**.

⇒ The rights-based approach to development was first articulated in **Northern development circles** in the mid-1990s, **when two previously distinct strands of foreign assistance and global policy—"human rights" and "development or with poverty reduction**.

⇒ As a result, later rights based development experts began urging development practitioners to assess human rights conditions

- ✓ Identify **rights-holders and duty bearers** in prospective projects;
- ✓ Ensure **local participation in project planning and implementation**;
- ✓ **Create and strengthen** mechanisms of citizen government accountability;
- ✓ **Reduce discrimination** against marginalized groups;
- ✓ **Focus on development processes**,

⇒ Among **international NGOs**, the first adopted a rights-based approach are **Oxfam and CARE**, both of which made the change in the early 2000s.

⇒ Also, **two major Northern bilateral donors**—the United Kingdom's Department for International Development **(DFID)** and the Swedish International Development Agency **(SIDA).**

⇒ **The existing Linkage between Right based approach and Sustainable livelihood framework:**

✓ Both of them were focused on issues of:

- **Poverty reduction**
- **Development**
- **Vulnerability**

2. PARTICIPATORY DEVELOPMENT

What is participation?

- → **Participation is** the process through which stakeholders' **influence and share** control over priority setting, **policy-making**, **resource allocations and access to public goods and services.**
- → It is the **organized efforts** to increase **control over resources** and regulative institutions in given social situations on the part of groups.
- → Inclusive, bottom-up approach
- → Need and priorities of all included

⇒ In the 1970s and early 1980s, a desire by **decision-makers** to more effectively **incorporate priorities of the local people in:**

- **decision-making,**
- **policy development and**
- **project implementation**

- So, through this situation the **number of participatory development approaches was introduced**.
- The re-orientation towards greater **participation in development** by individuals was motivated by the development communities desire to move from an

- **Participatory approaches** have the following methods of **development**:
  - **Rapid Rural Appraisal**
  - **Participatory Action Research**
  - **Participatory Rural Appraisal**

⇒ **The existing Linkage between Participatory development approach and Sustainable livelihood framework:**

✓ Both of them are:
  - ✓ **Community based**
  - ✓ **Development based**
  - ✓ **Concerned with resource utilization**

3. SECTOR WIDE APPROACH

⇒ **Sector-wide approach** is defined as a process in which funding for the sector, whether internal or from donors, supports a single policy and expenditure programme, under government leadership, and adopting common approaches across the sector.

⇒ A sector-wide approach ideally involve broad **stakeholder consultation in the design and implementation of a coherent sector programme** at micro, meso and macro levels, and strong **coordination among donors and**

⇒ It is a means, not an end. Its ultimate goal is and **remains poverty reduction.** As a working method, the sector-wide approach covers many aspects.

⇒ The sector-wide approach was **activated** by a series of project evaluations and studies on the effectiveness of **Dutch aid during** the **1970s and 1980s**.

⇒ **The existing Linkage between Sector wide approach and Sustainable livelihood framework:**

⇒ Their ultimate aim are:

- ✓ **Partnership or coordination between different components, both in planning and implementation stages**
- ✓ **Poverty reduction**

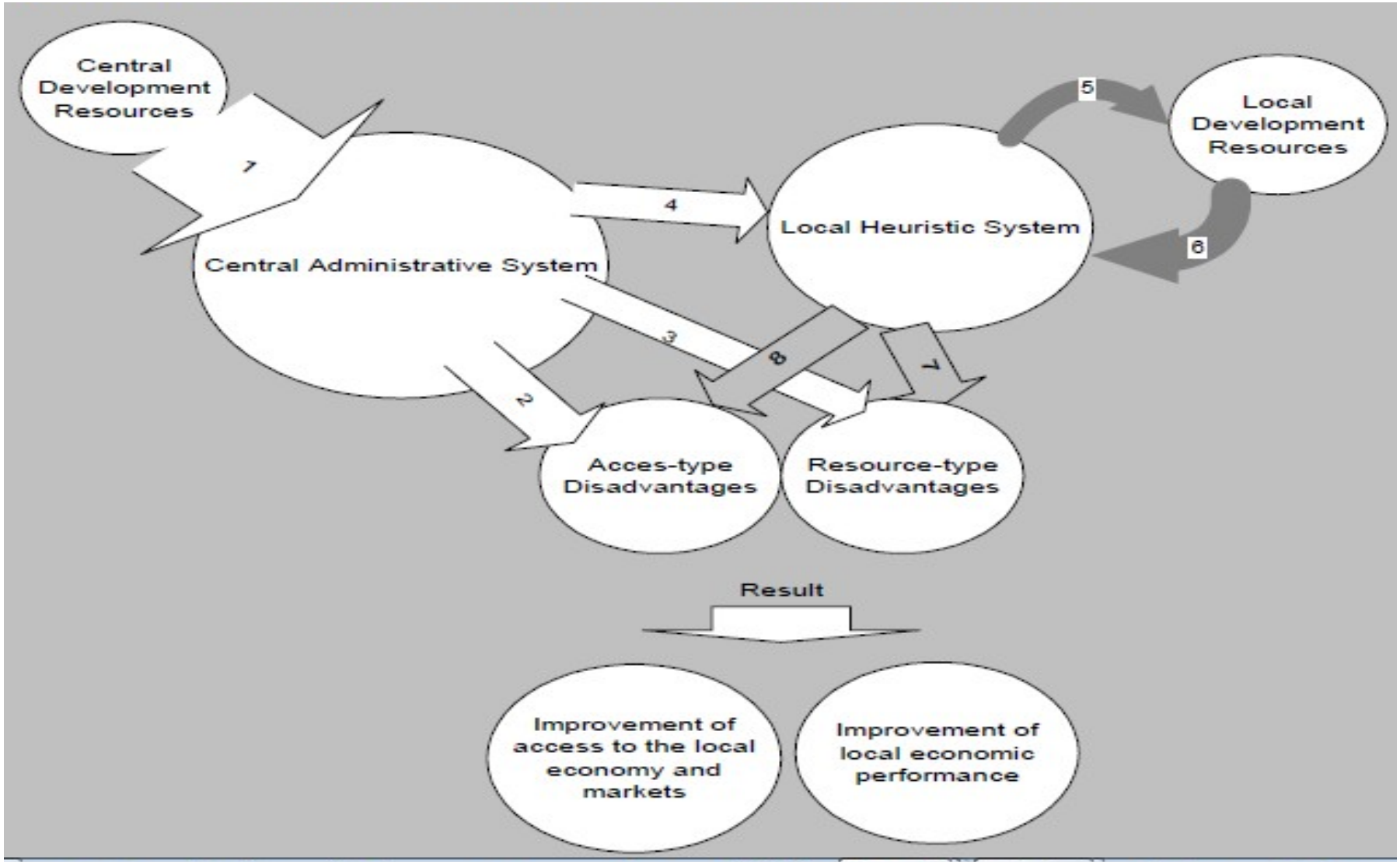
4. INTEGRATED RURAL DEVELOPMENT APPROACH

⇒ **Integrated rural development** is an ongoing process involving **outside intervention and local aspirations**; aiming to attain the **betterment of groups of people living in rural areas** and to **sustain and improve rural values; through the redistribution of central resources, reducing comparative disadvantages** for competition and finding new ways to reinforce and utilise rural resources.

⇒ It is integrated in the sense that – as **opposed to central development.**

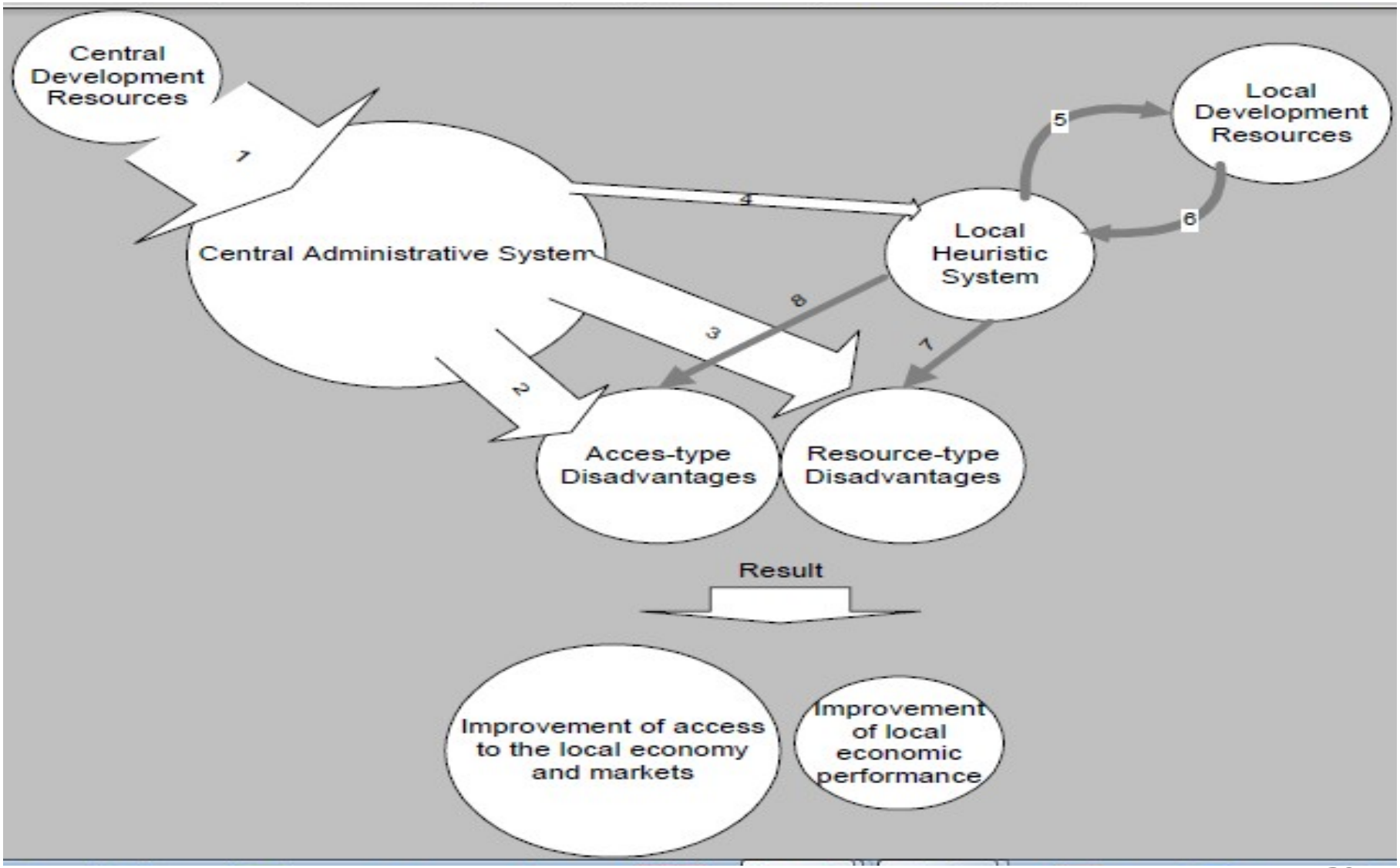
- Integrated rural development could be called **the theory of the ‘new rural development paradigm’** which tries to identify **how local development and/or the reconfiguration of rural resources can be helped by the centre**; **for the benefit of rural localities**; at the same time maintaining rural values for the future.

Figure 1. The integrated system of rural development



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Figure 2. The non-integrated system of rural development



⇒ **Three main differences** can be highlighted between integrated and nonintegrated models:

- ⇒ **Flow of resources,**
- ⇒ **Flow of information, and**
- ⇒ **Level of advancement and/or institutionalisation of local development systems.**

⇒ **The existing Linkage between Integrated rural development approach and Sustainable livelihood framework:**

⇒ Both of them are:

- ⇒**People centered**
- ⇒**Development based**

5. DEVELOPMENTAL STATE MODEL OR THEORY

⇒ **Developmental state theory**- is often conceptually positioned between a **free market capitalist economic system and centrally planned economic system**, and called a plan-rational capitalist system, **‘conjoining private ownership with state guidance**. I.e **Poland.**

⇒ One of its main purposes in introducing the idea of developmental state was **to go beyond** the **contrast between the American and Soviet economies**.

⇒ The governments of those states followed a state designed developmental path and until now have been **favoring a state interventionism over a liberal open market,** be it in the **form of East Asian fast developer**.

⇒ In this system, economic development requires a **state which can create and regulate the economic and political relationships t**hat can support sustained industrialization.

⇒ Consequently, a developmental state seems to be an interventionist state.

⇒ Moreover, the important elements of the developmental state from a **microeconomic perspective**, namely the cooperation between private business and the public sector and government.

⇒ **Private business becomes a partner for the government in the developmental Endeavour**. It is, then, private business which is an important part of the developmental state; hence a **developmental state is capitalist in nature.**

⇒ **The existing Linkage between developmental state model and Sustainable livelihood framework:** Both of them are:

⇒**Development based**

⇒**Resource utilization**

6.TRICKLE DOWN THEORY

⇒During **USA president Reagen's** economic policies, commonly referred to as **"Reagonomics"** or **supply side economics, were based on trickledown theory**.

⇒The idea is that with **a lower tax burden and increased investment, business produce (or supply) more increasing employment and worker pay**.

⇒ Reagen initially reduced the top income-tax rate from **70% to 50%.**

⇒Trickledown theory does not support **government interventions in the economy.**

⇒**The existing Linkage between trickle down theory and Sustainable livelihood framework:**

⇒Both of them are:

⇒**Development based**

⇒**People centered**

Chapter Four

Shocks and Vulnerability of Livelihoods and Food Security

Outline

1. Forms of Livelihoods

2. Livelihood vulnerability

3. Livelihood Strategies

1. Forms of livelihoods

⇒ Each and every authors classified livelihoods differently into different category. However, the most important and the more accepted classification supported by different authors is the classification by Scoones (2004):

⇒ **Natural resource based:**

1. Livestock keeping (Pastoralism)
2. Food production
3. Non- food cultivation
4. Non-farm (e.g Weaving)
5. Forest based:- firewood and charcoal

⇒ **Non-natural resource based**

1. Trade
2. Rural service (e.g. vehicle repair)
3. Rural manufacture
4. Remittances
5. Other services (Pension)

2. Livelihood and Food Vulnerabilities

⇒ **Vulnerability** is the inadequacy of adaptive mechanisms, coping mechanisms or accumulated capital or food stocks to meet people's daily needs. Generally speaking, the level of vulnerability of a household and/or individual is determined by the risk of failure of coping strategies.

⇒ It is the result of **exposure, sensitivity and adaptive capacity**. The higher exposure, higher sensitivity and lower adaptive capacity leads to higher vulnerability.

⇒Are there any differences between the following terms?

- ✓ Shocks,
- ✓ Disaster,
- ✓ Hazard,
- ✓ Risk,
- ✓ Vulnerability

Shocks

- Human health shocks
- Droughts, floods
- Economic shocks
- Conflict, civil upheaval
- Pestilence, crop diseases
- Livestock health shocks

⇒The strength of a given livelihood is not only measured by its productive outcomes, but equally by its **resilience to shocks**, **seasonal changes** and **trends**.

⇒**To say the livelihood of the community is vulnerable we will check the following**:

- ❖ Availability of resources,
- ❖ income-generating opportunities,
- ❖ and demand for products and services.
- ❖ trends in politics and governance, technology use and economics.

⇒The changes in above criteria's causing in-availability of assets and the opportunities to transform those assets into a "living". Under such conditions, people must adapt existing strategies or develop new strategies in order to survive.

⇒**Food vulnerability**:

More specifically, **food vulnerability refers to the entire range of factors that place people in danger of food insecurity.**

The degree of food vulnerability of an individual, a household, or a group of people is determined by its exposure to risks and by its aptitude or ability to confront risks situation and to survive them.

3. Livelihood strategies

⇒ A livelihood strategy is **the way or options that are arranged and selected by any individual people to sustain his /her life,** such as diversification, strengthening, restoration and protection of their livelihood.

⇒ The way a household copes with and withstands economic shocks depends on the options available in terms of capabilities, assets (including both material and social resources) and activities.

⇒Livelihood strategies are **composed of the various activities** investment strategies and reproductive choices, undertaken by the household to generate a living.

⇒A major influence on people's choice of livelihood strategies is their access to assets and the policies, institutions and processes that affect their ability to use these assets in order to achieve positive livelihood outcomes.

⇒As an intrinsic part of the assets-activities-outcomes cycle, livelihood strategies are generally adaptive over time, responding to both opportunities and changing constraints.

3.1 Categories of Livelihood Strategies

⇒Livelihood strategies have been **classified according to different criteria**.

⇒Scoones (1998) and Swift (1998) divide rural livelihood strategies into three broad categories according to the nature of activities undertaken:

1. Agricultural intensification and extensification,
2. Livelihood diversification, and
3. Migration.

1. Agricultural intensification/extensification:

- It is dependence on agriculture, either by intensifying resource use through the application of greater quantities of labour or capital for a given land area, or by bringing more land into cultivation or grazing.
- Whether households pursue this strategy will depend on agro-ecological potential and the implications for labour and capital.
- Technical developments in agriculture may also operate as a key determinant.

2. **Livelihood diversification**:

- Diversification here may be to broaden the range of on-farm activities (e.g. adding value to primary products by processing or semi-processing them), or to diversify off-farm activities by taking up new jobs.
- It may be undertaken by choice for accumulation or reinvestment purposes, or of necessity either to cope with temporary adversity or as a more permanent adaptation to the failure of other livelihood options.

3. **Migration**:

⇒ Migration may be **voluntary or involuntary**. As a critical strategy to secure off-farm employment

⇒ It may rely on and/or stimulate economic and social links between areas of origin and destination. Kinship structures, social and cultural norms may strongly influence who migrates.

Reasons for livelihood diversification?

Farming (single livelihood activity) alone does not provide a sufficient means of survival. Most rural households he suggests increasingly rely on constructing a diverse portfolio of activities and income sources in order to survive and to improve their standard of living. This includes both on- and off-farm activities undertaken to generate income (i.e. monetary and non-monetary contributions to household

Summary of livelihood Strategies

Devereux et al

Strategies of the poorest group – 'peasant labourers'.

Food crops: Maize grown to meet HH consumption needs. Few if any cash crops (tomatoes, sunflower, maize).

70% secure cash from agricultural. labour. 60% secure cash income from grass-cutting & firewood etc.

20% of HHs engage in crafts; and 20% in petty trade

Strategies of accumulating farmers

High earnings from tomato and maize sales

62% derive income from renting out tractors or oxen etc; 54% derive income from other trade (wives make a notable contribution from beer brewing; further 46% derive income from crafts.

CHAPTER FIVE

Causes of Livelihood and Food Insecurity

Outline

1. **Agro-climatic** (moisture stress, aridity, variability of rainfall)
2. **Environmental** (soil degradation, vegetation and water resource depilation)
3. **Disaster risks** (natural disasters and manmade disasters)

1.1. Moisture stress

- The **water shortage** is the **major problem throughout** the world, particularly **in arid and semiarid areas** that affecting agricultural production and the communities livelihoods under pressure.
- **Soil moisture** will decline with **higher temperatures** and **evapo-transpiration**, especially **in the sub-tropics, leading to sustained drought conditions** in some areas and **flooding in other areas where rainfall intensity increases** but **soil moisture decreases.**

- The **moisture stress** represents the most important factor **affecting growth of plants**.
- **Moisture stress imposed** during the **vegetative**, **flowering** and **early maturity stages**.
- The **decrease in soil moisture** can be contribute to **low agricultural productivity** and hence causing impacts on **livelihood and food insecurity** situation in the areas.

1.2. Aridity

- Aridity is basically a **lack of water**, so that an arid area is characterized by **small amounts of precipitation**, occurring **infrequently**, **unreliably**, and often in the form of heavy downpours.
- Consequently, **arid areas can be linked with the occurrence of deserts** since the conventional definition of a desert is an area receiving less than 250mm of rainfall per year.

- A **more precise definition** of deserts and arid areas can be produced through **measuring water balance**. This is based on the relationship between;

(1) **Input** of water as precipitation

(2) **Output** of moisture resulting from **evapo transpiration**, and

(3) **Changes** in **water held in the ground**.

- In arid areas there is **high potential evapo-transpiration** since the **volume of water that could be lost** through evaporation and transpiration is **greater than** the volume of water which is **actually available**.

Causes of Aridity

i) Atmospheric High Pressure

- Most deserts lie in the centre or on the west coast of continents, between 15° and 30° north or south of the Equator. Air which has been warmed at the equator rises, cools and eventually descends at 30^{o} north and 30^{o} south of the equator. This descending air warms and, as a consequence, its water-holding capacity increases.
- In turn, **very low atmospheric humidities** at these latitudes formed , **making cloud formation or rain unlikely.**

ii) Rain Shadow

- This is the effect produced by **tall mountain** ranges (known as **orographic belts**). The **windward slopes** of such barriers will be **wetter** than the **leeward slopes**, which may therefore experience an arid climate.
- **Orographic effects** of this kind are responsible for the relative aridity of the **western slopes of the Rockies and the Andes** and, for example, **the eastern slopes of the Cascade mountains in Washington and Oregon.**

- As the air rises on the **windward slopes** of the mountains, pressure decreases and it cools, resulting in condensation, cloud formation and rain. However, as air then descends on the **leeward sides** of these large, mountainous regions, pressure increases and the air is warmed, thus preventing condensation.
- This effect is particularly pronounced when mountain ranges are on the **east of a continent**, such as in **Australia**. In addition, it is thought that **the Gobi Desert of central Asia,** which is largely north of the subtropics, has formed due to air **descending from the Himalayas.**

iii) Cold Ocean Currents

- Several deserts lie along western coasts where, **due to the action of circulating wind currents**, there is upwelling of cold sea water. This cools the passing air masses, reducing the amount of water that the air can hold, so limiting the amount of precipitation which can be held.
- The **Atacama desert** on the **west coast of South America and the Namib desert** on the **west coast of Africa have formed in this way**.

iv) Continentality

As an air mass moves over a continent it will lose moisture as precipitation. Equally the **air will take up very little moisture due to the low evaporation rates over land surfaces.** This means that areas in the **centre of continents** have very **little rainfall** simply because the **air has become much drier.** This effect is best seen on large continents such as **Australia, North America and Asia.**

In general, any **arid and/ or in desert climate areas** known for its **scarcity water resource and it is challenged the survival of the communities in the areas**. As a result, **low production** were gained in this areas, especially **low agricultural productivities**.

1.3. Variability of rainfall

- The variability of rain fall in **time** and **amount** affects the **agricultural productivities**.
- If there **is impacts on agricultural productivity**, the **communities livelihood will be affected and then food insecurity situation** may be seen in the areas.

2. Environmental Factors

2.1. Soil degradation

- Soil/ or land degradation, defined as **“a reduction in the capability of the soil to support a particular use”** (Blaikie and Brookfield, 1987), is considered to be one of the major problems facing the world (UNEP, 1992).
- There are many recognized forms of land degradation, including **soil erosion, salinization, soil contamination, loss of soil organic matter, decline in nutrient levels, acidification, and loss of soil structure.**
- **Desertification** currently affects the **world’s populations’ livelihood and land resources.**
- Much of this degradation is undermining **economic development** and is **already irreversible with current technology**.

2.2. Vegetation and Water Resource Depilation

- Both are **inseparable terms**. For instance, **when vegetation resources are depleted** with higher rates unavailability of **water** is expected with the same rates of vegetation depletion.
- The existence of **scarcity of water** in certain areas **have greater impact on their livelihoods** and **contribution for food insecurity**.

3. Disaster risks

What is disaster?

⇒**Disaster** has multiple and changing definitions. However, based on the common element of those definitions, It is defined as **unusual events that affect the coping capacity of the affected community.**

⇒In general, it is a **sever damage** or disruption to the functioning of a community as **a consequence of a hazard causing** widespread **human, material, economic or environmental losses which exceed the ability of the affected community** to cope using their own resources.

- It results from the combination of **hazards, conditions of vulnerability and in-sufficient capacity** of the communities.
- **Disasters** can be **broadly categorized into two categories**:
  1. Natural disasters
  2. Manmade or technological disasters.

1. Natural Disasters

- Natural disasters is **unusual events happened naturally** throughout different parts of the world.
- Natural disasters are classified as **geophysical (earthquakes), meteorological (storms), hydrological (floods), climatological (droughts), or biological (epidemics).**
- There is **increasing trend of natural disasters observed throughout the world**, especially of **hydro- meteorological disasters**.
- As different publications revealed, **floods** are the **most commonly occurring** natural disaster, followed by **droughts and related disasters, epidemics, and earthquakes and tsunamis**.

- Due to the **occurrence of natural disasters**, the livelihood of communities can be impacted. Among those consequences:
  - ✓**Asset lose, human death and injuries**
  - ✓**Low agricultural production (low crop and low livestock production)**
  - ✓**Migration of the community from their residential areas**

2. Manmade disasters

- It is a type of disaster occurred as a result human being activities, such as **air pollution** and **Wild or forest firing** and **wars** have occurred continuously throughout this world, which also **shows the frequency of man-made disasters** over time.
- The economic and social costs of man-made disasters including **financial crises**, and **civil conflicts etc**.
- Due to the occurrence of manmade disasters, the community are impacted by different factors. Among those :
  - ✓**Human death and injuries**
  - ✓**Migration**
  - ✓**Low production**
  - ✓**Challenges on livelihoods and then food insecurity.**