



## **Khanya-aicdd's experience of using the Sustainable Livelihoods Approach**

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## **Glossary**

CBP	Community Based Planning
CBW	Community Based Worker
CDD	Community Driven Development
DFID	Department for International Development
IRDP	Integrated Rural Development Plan
OECD	Organisation for Economic Co-operation and Development
SLA	Sustainable Livelihoods Approach
SRL	Sustainable Rural Livelihoods
UNDP	United Nations Development Programme

# 1 Introduction

## 1.1 Background

Khanya has been involved in the SLA since mid-1998, when we were asked to write a paper on Decentralisation and Sustainable Rural Livelihoods (SRLs) for the first DFID conference on Sustainable Livelihoods held in July 1998 – out of this arose a piece of research on Institutional Support for SRLs in Southern Africa, undertaken in Zambia, Zimbabwe and South Africa. This also linked to previous DFID-funded work in decentralisation in Zambia and Zimbabwe.

As a result of this work Khanya bid to be part of a group of organisations contracted to support DFID to develop and apply the SLA, linked to a Sustainable Livelihoods Support office that had been established. A significant number of assignments were undertaken through this including a number of papers. In addition a series of multi-country action learning projects were developed to address specific issues emerging from this (on community-based planning, (CBP) and on community-based worker systems, (CBWs)). The flow of this emerging work and thinking is in Table 1 and a list of projects in Annex 1.

**Table 1: Evolution of Khanya-aicdd's involvement with the SLA**

Year	Activity	Results/learnings/Implications
1998	Research and paper on Decentralisation and SRLs	<ul style="list-style-type: none"> <li>Some key findings were when decentralisation is relevant and where not, issues of complexity, economies of scale etc</li> </ul>
1999-2000	Research on Institutional Support for SRLs in Southern Africa	<ul style="list-style-type: none"> <li>Develop 6 Governance Issues as adjunct to SLA – later this is linked to community-driven development (CDD)</li> <li>Adapt SL framework to make it more understandable</li> <li>Develop vertical transect methodology for analysing systems</li> <li>Develop approach to livelihoods analysis Develop Free State Poverty Strategy using SLA</li> <li>Highlight key gap in implementing SLA is weakness of link between community and local government level</li> <li>Go back to DFID suggesting further work on involving community in planning and allocation of resources, and on community-based services</li> </ul>
2000	Contracted to support DFID's SLSO. Participate in no of fora, undertake no of assignments:	<ul style="list-style-type: none"> <li>Present on our SL work for DFID in Washington</li> <li>Facilitate workshop for OECD on sustainable development</li> <li>Facilitate workshop in Vietnam on DFID's aquaculture research and SLs</li> </ul>
2001+	Start regional newsletter on Sustaining Livelihoods in Sub-saharan Africa	<ul style="list-style-type: none"> <li>23 editions produced so far drawing on experience from Khanya and many other partners in the region</li> </ul>
2001-5	Action Learning on Community-Based Planning (CBP) in Uganda, SA, Ghana, Zimbabwe (addresses 1 <sup>st</sup> Governance Issue)	<ul style="list-style-type: none"> <li>Develops methodology for participatory planning linked to local government planning system, as well as discretionary funds to communities to take forward their plan. Methodology one of best internationally to incorporate the SLA, and embeds both framework and principles</li> </ul>

Year	Activity	Results/learnings/Implications
		<ul style="list-style-type: none"> <li>• Highlights importance of funding communities</li> <li>• Methodology upscaled in SA and Uganda and eventually national policy</li> <li>• Develops approach to multi-country and multistakeholder peer learning process, using an action learning cycle, and its link to upscaling processes</li> </ul>
2001-2	Mangaung Integrated Development Plan	<ul style="list-style-type: none"> <li>• Apply SLA in a city development plan, which also builds on CBP which is carried out right across the city and informs the city plan</li> </ul>
2001	Train in Botswana on SLA	
	Develop no of papers relating our work to SLA	<ul style="list-style-type: none"> <li>• Corporate Citizenship and SLA</li> <li>• Rural Planning and SLA</li> <li>• Methodology for developing an SRL strategy (building on vertical transect methodology)</li> <li>• Literacy and the SLA</li> <li>• Linking macro and micro</li> </ul>
	Evaluation of UNDP's Global SL Programme (using sample in SA, Malawi and Egypt)	<ul style="list-style-type: none"> <li>• Programmes tried to be too ambitious and not only tried to analyse holistically, but then implement all aspects, rather like an IRDP</li> </ul>
	Facilitation of workshop on rural development for World Bank, including presenting on SLA	<ul style="list-style-type: none"> <li>•</li> </ul>
2001-3	Redesign of Forestry Services in Uganda using a livelihoods approach (addresses 2 <sup>nd</sup> Governance Issue)	<ul style="list-style-type: none"> <li>• Livelihoods-based market research methodology developed which illustrates where forestry can contribute to livelihoods</li> <li>• New services designed and piloted, notably community forestry workers, and influences National Forestry Plan</li> <li>• Subsequently led to EU programme which is rolling out community forestry workers at present</li> </ul>
2002	Present on Upscaling CBP to workshop on CDD in Washington	<ul style="list-style-type: none"> <li>• Illustrates upscaling modalities for CDD, and the link between CDD and SLA</li> </ul>
	Design of Livelihoods recovery through Agriculture Programme, Lesotho	<ul style="list-style-type: none"> <li>• No of initiatives funded – tests out NGO contracting to implement a diverse programme</li> </ul>
	Training of DFID State Coordinators in Nigeria on SLA	<ul style="list-style-type: none"> <li>• Develops approach to see how to apply SLA to add value to the work they are undertaking</li> </ul>
	Design of Sustainable Livelihoods Programme for Limpopo, South Africa, UNDP	
	Present our work on SLA at EU Rural Development Forum, and to Aga Khan Dev Fund, funded by DFID	
2002-4	Research funded by ESRC on Goodbye to Projects? The Institutional Impact of a Livelihood Approach on Projects and Project Cycle Management	
2002-3	Development of Sustainable	<ul style="list-style-type: none"> <li>• Developed design of programme that would support</li> </ul>

Year	Activity	Results/learnings/Implications
	Rural Livelihoods Programme for Botswana	SL projects in Botswana – subsequently decided not to take forward as DFID involvement in Botswana reduced
2003-5	Work on powers and functions of different levels of government in South Africa for national Dept of Provincial and Local Government (all Gov issues)	<ul style="list-style-type: none"> <li>Builds on the 6 Governance issues and applies in a context of the overall system of devolution of powers and functions to provinces/local government</li> </ul>
2004-7	Action learning on community-based services in SA, Lesotho, Uganda and Kenya (addresses 2 <sup>nd</sup> Governance Issue)	<ul style="list-style-type: none"> <li>Eventually second major action learning project funded by DFID using approach developed in CBP</li> <li>Develops model for systematic approach to community-based services, guidelines and policy implications</li> <li>Highlights variants ranging from 5 hour a week volunteer to full-time paid fees (eg community-animal health worker)</li> <li>Prime Minister of Lesotho opens Regional Policy Forum and Lesotho decides to take on community-animal health worker model</li> </ul>
2006-7	Design of community-animal health worker system to address Notifiable Avian Influenza (2 <sup>nd</sup> – 5 <sup>th</sup> Governance Issue)	<ul style="list-style-type: none"> <li>Development of whole system to implement the model, building on learnings from the CBW project</li> <li>Being applied linked to IFAD project</li> </ul>
2006-8	Building Sustainable Livelihoods – research and evaluation in 21 urban and rural nodes in SA for Dept of Social Dev't (DSD)	<ul style="list-style-type: none"> <li>Research applies the SLA</li> <li>Staff trained in SLA and customised version created</li> <li>Role of front-line staff in implementing 1<sup>st</sup>/2<sup>nd</sup> Governance Issues clarified</li> <li>Proposals for changes to the way DSD supports poor people to implement the approach effectively</li> </ul>
2007	Regional Policy Forum on CBWs opened by Prime Minister of Lesotho	<ul style="list-style-type: none"> <li>Guidelines and policy brief launched with Ministers and permanent secretaries from across the region – unfortunately no resources to follow up but Lesotho keen to apply community animal health workers nationally, partly to face threat of avian flu</li> </ul>
2008-11	Supporting DSD to implement the SLA	<ul style="list-style-type: none"> <li>Contracted by DSD for 3 years to implement the findings of the research including developing a national Community Development Policy Framework, toolkit for community development practitioners, use of CBP, SLA training</li> </ul>
2008	SLA training accredited and fee-paying training starts	<ul style="list-style-type: none"> <li>First fee-paying course</li> </ul>

The next sections seek to take various elements of the SLA, and the learnings that we have developed in relation to these.

## 2 Applying and adapting the conceptual base

### 2.1 SL Framework

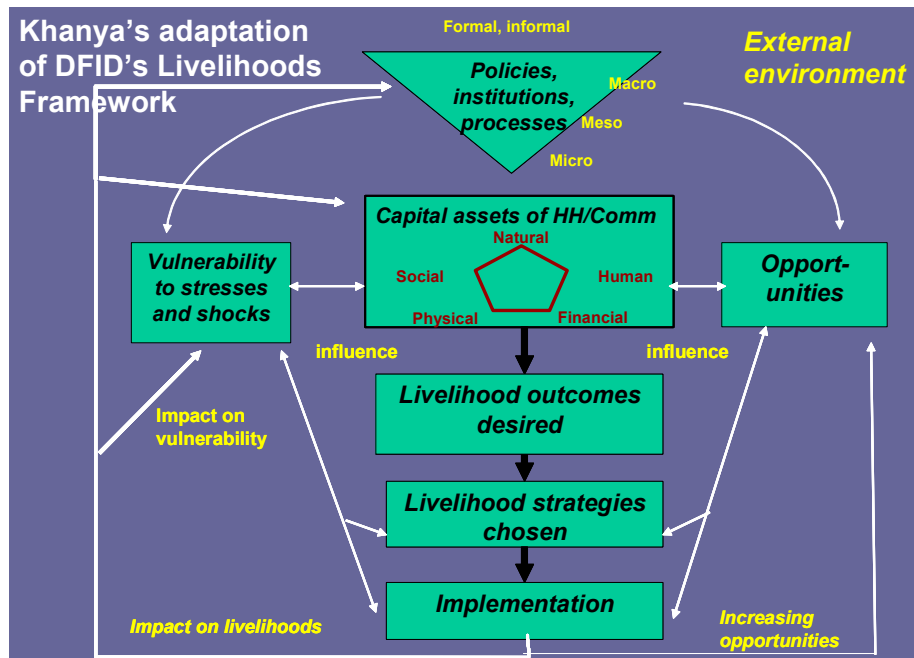
Khanya has adapted the SL Framework to make it easier to understand and our version of this is shown in Figure 1. This has communities in the centre (their assets), surrounded by the external environment which faces them (vulnerabilities/risks, PIP box, opportunities). There is then a flow as they have certain livelihood outcomes they are looking for, and then choose their livelihood strategies to achieve these based on their assets, and the external environment. Once these are implemented these should impact on their assets, reduce their vulnerabilities, and may influence the PIPs. We have now applied this in a number of settings, eg:

- In structuring the Poverty Eradication Strategy for the Free State, South Africa
- In developing the methodology for community-based planning, including tools to assess each of these components
- In the Integrated Development Plan for Mangaung
- In evaluating livelihoods and DSD services on the 21 urban and rural nodes in South Africa

In applying this, a number of issues emerged apart from the general flow issue:

- The need to have opportunities, which means this can then be used for a SWOT – with the assets being strengths and their absence weaknesses, and vulnerabilities being close to risks
- While some push for political as a 6<sup>th</sup> asset, that this can be accommodated in social, or in the PIP box
- That the assets don't adequately take into account emotional and spiritual development – and this can almost be seen as a third dimension coming out of the page – like a Maslow's pyramid with the assets tending to be at the physical level
- Major elaboration on the PIP box in much of the rest of our work (see later) – this covers a huge world of issues
- Not being fixated on having to have just the 6 assets, but making it clear to people that this can be adapted

**Figure 1: Khanya's adaptation of the SL framework**



People find the framework very helpful as it gives a holistic picture of the things that need to be taken into account when describing a livelihood, when planning for changes to livelihoods, or in evaluating livelihoods.

Figure 2 shows the application of the assets pentagon in planning services that could enhance livelihoods in the Northern Cape, South Africa as part of a strategic planning process for the Department of Social Services and Population Development.

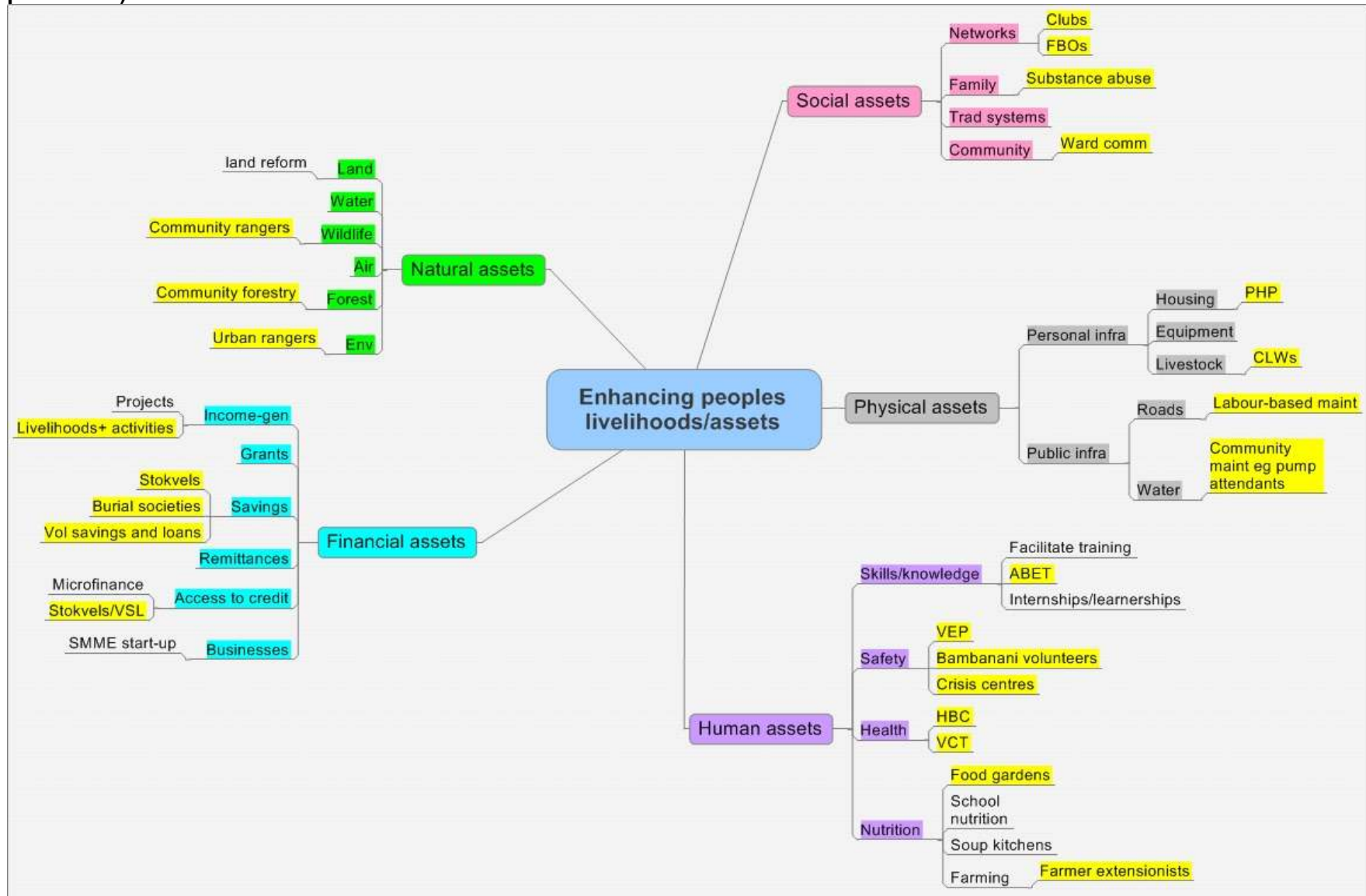
Clearly some of the work in applying the SLA is in looking at how one develops different assets, eg financial, food security (part of human), skills (part of human) etc, while using a livelihoods lens.

## 2.2 The SL principles

The SL principles are a bit harder for people to appreciate – they can understand why the framework describes a livelihood, but are often unsure how these principles relate. The way we express it is how the development system needs to work to promote sustainable livelihoods. This moves from just the promotion of SLs, to an approach to development.

We use the second version of these principles produced by Carney as in Table 2 below. Overall we have found it very helpful to have a set of principles which we can refer to, which are beyond our individual whim and seen to have international credibility, and therefore some of the more awkward ones are less easily avoided. As development is in the end about values – it provides a set of values which can provide a foundation for programmes or projects and that is in itself very helpful. Table 2 indicates some of our learnings against the different principles.

Figure 2: Application of assets pentagon to envision services (those coloured yellow are applicable for community-based processes)



One of the criticisms of the SLA is that it is silent about power, but in fact in our experience the principles have many implications for power relations eg:

- Empowerment is explicit – empowering partners and beneficiaries
- Responsive and participatory – implies that those involved must participate and hold duty bearers to account
- Micro-macro links – that views of citizens must influence meso and macro levels, and that policy needs to be based on realities and views at lower levels
- Strengths-based – gives people power – rather than treating them as helpless
- Partnerships – means that power needs to be shared

So the principles in fact have very significant implications for power relations.

When we train we sometimes allow people to develop their own set of principles, and then relate these to the SL principles. Usually there is a lot of synergy between these. Sometimes people do suggest others, and those should be taken on – it is part of unpacking the values which is essential when interventions based on people are taken forward. If there is not an agreement on common values then interventions are doomed to failure.

**Table 2: Learnings about the SL principles**

SL principle	How we have applied this	Key learnings
Overall	<ul style="list-style-type: none"> <li>• In developing principles for specific programmes, eg CBP</li> <li>• In an evaluative or project design matrix, eg for Botswana SRL Programme, Sustainable Coastal Livelihoods Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Very helpful in focusing on whether this is a livelihood intervention or not</li> </ul>
People-centred	<ul style="list-style-type: none"> <li>• Developing priorities in planning based on people's preferred outcomes</li> <li>• Focusing on the livelihoods of small-scale cotton farmers in Nampula, Mozambique, not cotton production</li> </ul>	<ul style="list-style-type: none"> <li>• People struggle with this but it is very important, eg focusing on people not sector.</li> <li>• Many projects that call themselves livelihoods focused fail this test, eg NAADS in Uganda focusing on single enterprises</li> </ul>
Empowering	<ul style="list-style-type: none"> <li>• Methodologies that empower citizens, as well as empowering our partners through learning-by-doing approaches</li> </ul>	<ul style="list-style-type: none"> <li>• It is important not just to see this in terms of the ultimate beneficiaries, but also partners</li> <li>• While it may seem self-evident, in fact it is often missed</li> </ul>
Responsive and participatory	<ul style="list-style-type: none"> <li>• Developing responsive and participatory systems eg CBP</li> <li>• Developing accountability using participatory mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>• Participatory people find easier – responsive is quite revolutionary and much more difficult for government in particular. This therefore is a powerful principle to use</li> </ul>
Holistic	<ul style="list-style-type: none"> <li>• In undertaking a holistic analysis of livelihoods, eg in CBP, local government planning, or evaluations</li> <li>• In looking at how implementation can be holistic, through effective coordination systems</li> </ul>	<ul style="list-style-type: none"> <li>• It is very important to have a holistic understanding but then action can be focused as the links in the bigger picture are known</li> <li>• Where people have tried to implement covering all aspects of a holistic picture it has often failed, eg UNDP's Global SL programme which became an IRDP</li> <li>• Coordination is however very difficult, particularly at higher levels and is a constant tension</li> <li>• Having an integrated plan is very helpful, eg a local government or ward</li> </ul>

SL principle	How we have applied this	Key learnings
		plan
Sustainable	<ul style="list-style-type: none"> <li>Looking for economic, social, institutional and environmental sustainability in our work – although the last has not been a major focus for us</li> </ul>	<ul style="list-style-type: none"> <li>An innovation was the addition of institutional sustainability – in practice most projects or programmes fail due to lack of institutional sustainability</li> <li>So we aim to design interventions from the beginning based on what the likely parameters of sustainability are likely to be, the level of resources, staffing, coverage etc</li> </ul>
Strengths-based	<ul style="list-style-type: none"> <li>This is a fundamental principle and indeed one of the reasons why we were attracted to the SLA in the first place.</li> <li>We have applied this in terms of CBP – how can we build on a community's strengths, but also institutionally, how can development systems build on the strengths of different organisations – implying the need for partnerships</li> </ul>	<ul style="list-style-type: none"> <li>This is easier said than done, and while one can say build on the strengths of what exists all too often we are tempted to recreate. However there are large institutional costs to this, as for example creating a new institution is much more costly and has more risks of failure than building on an existing one (unless it is completely dysfunctional)</li> </ul>
Micro-macro links	<ul style="list-style-type: none"> <li>This principle was also decisional for us in taking on the SLA</li> <li>We have applied this in making development systems work (eg roles at different levels in CBP, or CBW), in Steering Committees of projects, in looking at decentralisation</li> </ul>	<ul style="list-style-type: none"> <li>This is also quite revolutionary, as for example people from the centre often resist having their regional staff in management processes, or implementers involved in steering committees</li> <li>There is a challenge about how to extend this most effectively so for example beneficiaries play a full role in Steering Committees, in accountability mechanisms</li> </ul>
Conducted in partnership	<ul style="list-style-type: none"> <li>Creating partnerships for programmes crossing sectors (technical sectors, plus private/public), and levels, so building on different perceptions and strengths</li> <li>Creating multistakeholder local economic development agencies</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
Disaggregated (community heterogenous)	<ul style="list-style-type: none"> <li>Developing a methodology for CBP which explicitly disaggregates the community and understands different social groups' livelihoods separately before combining</li> </ul>	<ul style="list-style-type: none"> <li>Very important and works</li> </ul>
Long-term and flexible	<ul style="list-style-type: none"> <li>Seeking for longer-term involvements (currently we are looking for 5 year involvements) and seeking to build flexibility into processes</li> <li>Using process approaches in design and building in mechanisms into contracts that can permit review and change</li> </ul>	<ul style="list-style-type: none"> <li>This is a challenge as depends on how financiers approach this including government and donors.</li> </ul>

One of the issues that is emerging in application of soft systems approaches has been the importance of being explicit about values or worldviews. This also emerges in the work of Wilber for example at the Integral Institute. The SL principles provide a way of making these explicit and provide a set that most people find compelling, for example in community-based planning (see Annex 2), in developing a SL support programme for the Department of Social Development in South Africa, or for the Strengthening Management for Impact (SMIP) Programme funded by IFAD.

### 2.3 The 6 Governance Issues

The PIP box of the SL Framework covers a very wide spectrum of issues:

- Levels – micro, meso, macro
- Western (often colonial) systems and traditional systems (sometimes referred to as formal and informal but often the latter are formal), legal and by tradition
- Different sectors

We have tried to use the assets pentagon to extrapolate to what PIPs there are at different levels, and this makes for a very complex diagram. In trying to simplify this complexity, Khanya-aicdd came up with 6 Governance Issues, based on what one would aim to see at different levels, if the SLA were being implemented.

The resultant issues that we developed are shown in Box 1.

#### **Box 1: 6 Governance issues**

##### ***Empowered communities at micro (community) level***

1. People active and involved in managing their own development, claiming their rights and exercising their responsibilities
2. A network of responsive, active and accessible services, whether community-based, private sector or by government

##### ***Strengthened management of services at district and local government level (meso)***

3. At local government level (lower meso) services facilitated, provided or promoted effectively and responsively, coordinated and held accountable
4. At the upper meso level (province/region), support and supervision are provided to the levels below, as well as strategic regional planning

##### ***Realigned centre - macro (national, regional and global) level***

5. The centre providing strategic direction, redistribution and oversight, and responsive to micro and meso-level realities and inputs
6. International institutions and processes help to promote the capacity of nation states to take on strategic roles to eradicate poverty.

We developed these in our first major research project on the SLA, and these have set an agenda for action which we have been following up ever since. A meeting was held with Bridget Dillon, DFID's Social development Advisor and Mike Drinkwater of CARE in South Africa, to try and bring together the rights-based approach and the SLA. In doing this the phrase was added "claiming their rights and exercising their responsibilities". Then again in interacting with the community-driven development group under Hans Binswanger in the World Bank, it was realised that there was tremendous overlap between these governance issues and CDD. Afterwards Khanya explicitly linked the two (and in fact Khanya's work on micro-macro levels also influenced the elaboration in the Bank).

Table 3 once again shows how we have applied these and the learnings from this.

**Table 3: Experiences of applying the 6 Governance Issues**

Governance issue	How we have addressed this	Learnings
1. People active and involved in managing their own development, claiming their rights and exercising their responsibilities	<ul style="list-style-type: none"> <li>• Promoting community-based planning processes to maximise local ownership and community action</li> <li>• Mechanisms for funding projects at community level</li> <li>• Building local level structures such as ward committees, CBOs</li> </ul>	<ul style="list-style-type: none"> <li>• Government is often very sceptical of what communities can do – in our experience they can do a lot if supported</li> <li>• Much more needed on this area</li> </ul>
2. A network of responsive, active and accessible services, whether community-based, private sector or by government	<ul style="list-style-type: none"> <li>• Promoting community-based services as a systemic response (eg for home-based care) so community groups are providing services to each other. This builds on what exists anyway rather than a professional-based system of services which is inaccessible</li> <li>• Developed livelihoods-based market research as a way of identifying appropriate services eg in forestry sector</li> </ul>	<ul style="list-style-type: none"> <li>• Community-based systems can work, are one third the cost of traditional government-only systems and are particularly applicable for service needed frequently, that are not technically complex, and don't have economies of scale</li> <li>• Livelihoods-based market research was successful at identifying services needed</li> </ul>
3. At local government level (lower meso) services are facilitated, provided or promoted effectively and responsively, coordinated and held accountable	<ul style="list-style-type: none"> <li>• Promoting accountability processes by local communities for ensuring that aspirations of persons, households and communities are fulfilled.</li> <li>• Support to local government/district levels to improve services</li> <li>• Working on effective local government planning that builds on community-based plans, addressed poverty, and is strategic about economic development</li> </ul>	<ul style="list-style-type: none"> <li>• Improved planning is possible</li> <li>• That effective coordinated plans requires a funding mechanism at local government level that provides incentives for participation, eg through a district development grant</li> <li>• There is still a major lack of effective accountability mechanisms and much more work is needed here</li> </ul>
4. The province/ region supporting and supervising the levels below, and undertaking strategic regional planning	<ul style="list-style-type: none"> <li>• Support to provincial/regional levels to improve management of services and accountability</li> <li>• Facilitation of provincial development plan (for Free State) and provincial poverty eradication strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Support and supervision role inadequate in many places, and often underestimated in decentralisation processes</li> </ul>
5. Centre providing strategic direction, redistribution and oversight, and responding to micro and meso-level realities and inputs	<ul style="list-style-type: none"> <li>• Analysis of powers and functions of tiers of government, using 6 governance issues as base (Lesotho and SA)</li> <li>• Involving national government to see the lessons for policy from the emerging work</li> <li>• Working on national policies eg Community Development in SA, National Forest Plan in Uganda, using a responsive process</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
6. International institutions and processes promote the capacity of nation states to take on strategic roles to eradicate poverty.	<ul style="list-style-type: none"> <li>• Linkage to donor-funded programmes to share lessons</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>

These issues with the SL principles have been used explicitly as part of the project appraisal process, e.g. for the Sustainable Coastal Livelihoods Programme, or Botswana SRL Programme, as part of the design phase to ensure that the design is optimised to impact on livelihoods.

Using these has helped provide a strategic direction to Khanya's work, and provided a compelling logic, eg in presentations to the World Bank in October 2008, this was seen to be very powerful.

### **3 Overall experiences of applying the SLA**

The previous sections outline some of the components of the SLA and learnings around these. Table 1 also shows a timeline with some of the range of projects we have undertaken related to livelihoods. Another way of looking at this is the different types of ways we have applied the livelihoods approach and the learnings from these.

#### **3.1 Planning**

We have applied the SLA in planning in a number of ways:

- In developing the community-based planning system to guide the components of the planning process (eg planning using preferred livelihood outcomes as the core basis for prioritisation), as well as how this is done (eg using the disaggregated principle so that different social groups are identified and livelihoods analysis undertaken on each). This worked well and CBP is probably one of the best applications internationally of the SLA in a tool. Annex 2 shows the principles on which community-based planning are based which have been adapted from the SL principles (Khanya 2004);
- In guiding the areas to be covered in the Free State Poverty Eradication Strategy or Mangaung Local Municipality's Integrated Development Plan (the different asset categories);
- Adapting the framework to include opportunities, and then using the SWOT that results as a basic way of summarising planning data, eg in CBP;
- In planning forestry services in Uganda using a livelihoods focus to assist in market research for appropriate accessible services (see Box 2).
- In considering possible services to support livelihoods (see Figure 2):

**Box 2: Rethinking Forestry Services in Uganda** (Harrison et al, 2004)

Khanya trained NGOs to analyse livelihoods in sample communities in 8 districts in Uganda, including people's preferred livelihood outcomes. The potential role that forestry could make was identified eg for income, food, fuel, building materials, fodder, and then what services could best support these. Some services such as extension for agroforestry required frequent and technically not very complex extension advice, and it was suggested that community forestry workers could provide this. Other services required included market information on prices, and it was suggested this could be provided by cellphone.

Pilots were carried out in 3 districts, Masindi, Luweero and Soroti, and the community forestry workers have been institutionalised. An EU Programme is now taking this forward.

#### **3.2 In project and programme design**

The SLA has been used to guide programme design for the Sustainable Coastal Livelihoods Programme in South Africa, or for the Botswana SRL Programme. As mentioned previously using the principles and 6 Governance Issues as part of the appraisal helped to ensure that potential weaknesses were avoided.

A common misunderstanding with the SLA is the perception that a livelihood only refers to how people raise **income**, and not how they secure their life. Therefore action on livelihoods is conflated often with SMME development activities. The latter is a specialised activity requiring business skills, marketing plans, cash flows etc and is one aspect of a livelihood. A key distinction that we are trying to draw is between SMME support (taking the income part of assets as shown in Figure 2) from broader action to support people's quality of life or livelihood. Table 2 shows a distinction between support to SMMEs and livelihoods.

**Table 4: Comparing SMME support with a livelihoods approach**

<b>SMME - 1st economy</b>	<b>Self-employed /survivalist–2nd econ</b>	<b>Livelihoods+: Mainly 2nd economy</b>
<ul style="list-style-type: none"> <li>• Separate entity from the members</li> <li>• Profit-making and business driven</li> <li>• must understand cash flow and clear understanding of market</li> <li>• Involves risk</li> <li>• Competition</li> <li>• Has number of legal registrations it must comply with</li> </ul>	<ul style="list-style-type: none"> <li>• Individual</li> <li>• Very simple trading operation</li> <li>• Focus on net income</li> <li>• Often cash-based</li> <li>• Good basis for entrepreneur training</li> <li>• Must understand cost of sales Easier to move to SMME</li> </ul>	<ul style="list-style-type: none"> <li>• Not in business (eg food prod) but to enhance the livelihoods - about the members and their needs</li> <li>• Focus not income but income may be an element – livelihoods+</li> <li>• Survival of the project/business not nec. the issue – but that people have enhanced their livelihood</li> <li>• Many social benefits eg solidarity</li> <li>• Difficult to move to SMME as mindset different</li> </ul>

Another challenge in relation to design is a frequent obsession with projects and programmes as an implementation modality, with limited time frames, and narrow objectives – one type of ideological obsession. In some cases as with DFID the reverse has been true, with a denial of any role for projects, and not seeing their potential as a strategic learning site – a different ideological obsession. Thus the Forestry project mentioned previously was closed as DFID closed all projects in Uganda, regardless of their individual worth. Table 5 shows a comparison of different concepts of projects.

**Table 5: Rethinking projects/programmes**

<b>Project as understood now – income-generation as charity</b>	<b>Project as understood now – development=infrastructure</b>	<b>Different approach for the future – strategic project as learning intervention</b>
<ul style="list-style-type: none"> <li>• Focuses on a few people</li> <li>• Focused on income in many cases but struggle</li> <li>• Clients do not own project</li> <li>• Clients dependant on the project and no sustainability</li> <li>• Collapses when funding stops</li> <li>• Lessons never learnt and cycle repeats</li> <li>• Short-term political benefit (spend money)</li> </ul>	<ul style="list-style-type: none"> <li>• Improving services seen as construction of new infrastructure</li> <li>• Attention to capital budget not how operational budget is spent</li> <li>• Expensive</li> <li>• Maintenance a challenge</li> </ul>	<ul style="list-style-type: none"> <li>• Focuses on a system, eg youth clubs, or service delivery process eg HBC, supporting food gardens, soup kitchen</li> <li>• Anyone interested involved eg develops own backyard garden</li> <li>• Learning is core</li> <li>• Focuses on operational budget (usually where most money spent)</li> <li>• Once system developed mainstreamed into budgets</li> <li>• Based on partnerships</li> <li>• Huge opportunities for major effects on people's quality of life (livelihood)</li> <li>• Long-term benefit at scale</li> </ul>

### 3.3 In evaluations

Livelihoods analysis can be a core part of impact evaluations, as well as looking at PIPs. Khanya was part of a consortium employed to analyse the situation with livelihoods in the 21 priority urban and rural nodes in South Africa, as well as services of the Department of Social Development. From a qualitative perspective the livelihoods of project beneficiaries was assessed. Table 4 shows how data was summarised to show the livelihoods of unemployed youth and the implications for services.

**Table 4: Summary of livelihoods of unemployed youth – Alfred Nzo Node (from Khanya 2006)**

Strengths	Weaknesses	Opportunities	Threats	Preferred outcomes
<ul style="list-style-type: none"> <li>• Have an education (grade 12) and even a diploma.</li> <li>• Have practical skills eg hair dressing, catering and baking.</li> <li>• Eat 2+ meals a day.</li> <li>• Have access to cellphones</li> <li>• Good political leadership</li> </ul>	<ul style="list-style-type: none"> <li>• Have limited material assets.</li> <li>• Unemployed.</li> <li>• Poor infrastructure.</li> <li>• Live with large families.</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• To start successful businesses</li> <li>• Youth forums.</li> <li>• Community police forums</li> <li>• Youth organisations.</li> <li>• Local government that supports youth initiatives.</li> <li>• DSD youth projects.</li> </ul>	<ul style="list-style-type: none"> <li>• HIV and AIDS.</li> <li>• Migrant labourers competing for work.</li> <li>• Corrupt government officials.</li> <li>• Crime.</li> </ul>	Generating income

Current livelihood strategies	Possible livelihood strategies	Recommendations to improve programme design and role of DSD	Potential role of others
<ul style="list-style-type: none"> <li>• Starting businesses such as catering services, security services, hair-dressing</li> <li>• Undertaking casual/ short-term employment</li> <li>• Trading, eg selling cigarettes on the street</li> </ul>	<ul style="list-style-type: none"> <li>• Improving access to employment eg through learnerships, skills training, SMME support in the area</li> <li>• Improving opportunities to start small businesses building on local strengths and opportunities</li> <li>• Providing services in the community which also trains and empowers them, eg training as community-based workers such as peer educators, support for elderly</li> <li>• Development of credit unions/Stoekvels and voluntary savings and loan (VSL) schemes to provide microfinance and investment for small-scale income generation</li> </ul>	<ul style="list-style-type: none"> <li>• Funding and support for learnerships, skills training</li> <li>• Link to SMME support agencies (do not try to provide). Support the development of youth clubs where youth can explore different opportunities</li> <li>• Facilitate and fund introduction of community-based services (e.g. through Social EPWP)</li> <li>• Support development of credit unions, VSL schemes etc</li> </ul>	<ul style="list-style-type: none"> <li>• Dept of Labour to support training and learnerships</li> <li>• Private sector to support learner-ships and mentor youth</li> <li>• Sport, Arts and Culture to support youth clubs</li> <li>• Other organisations can also support community volunteers, eg police, fire, paralegals etc</li> <li>• NGOs e.g. CARE to provide training and support</li> </ul>

In addition in the quantitative part of this evaluation a SL Index was prepared. The SL principles and 6 Governance Issues can also be used as an evaluative matrix for how the intervention is impacting on the development system. This was used for example in

Zimbabwe to illustrate the impact a wide range of programmes were having on different levels, and notably on local government. What is commonly seen as an intervention may have a positive impact on one level but a negative at another. For example some service delivery NGOs may improve services at local level (Gov issue 2), but in the process substitute for and undermine the role of government (weaken Gov Issue 3). Similarly government intervention may improve services (Gov Issue 2/3) but create dependency (weaken Gov Issue 1).

### **3.4 In implementing services**

The forestry example has already been quoted, as well as the development of community-based service models (see CBW 2007). Khanya is working with the Department of Social development to develop and implement a toolkit for community development practitioners to implement the SLA as part of their work.

## **4 Where to next with livelihoods?**

## Annex 1 Khanya-aicdd projects directly linked to the SLA

Date	Country	Client	Project	Publications
1999	South Africa	Department of Agriculture and Land Affairs, Eastern Cape	<a href="#">Institutional Support for Sustainable Rural Livelihoods in the Eastern Cape</a>	<a href="#">Institutional Support for Sustainable Rural Livelihoods in Eastern Cape</a>
1999	Zambia	Ministry of Community Development and Social Services / Ministry of Local Government and National Housing	<a href="#">Institutional Support for Sustainable Rural Livelihoods in Zambia</a>	No Publication
1999	Zimbabwe	Ministry of Local Government and National Housing	<a href="#">Institutional Support for Sustainable Rural Livelihoods in Zimbabwe</a>	<a href="#">Institutional Support for Sustainable Rural Livelihoods in Zimbabwe</a>
2000	South Africa, Zambia, Zimbabwe		Institutional Support for Sustainable Rural Livelihoods in Zambia, Zimbabwe and South Africa	
1999 - 2000	South Africa	World Bank, Washington	<a href="#">Facilitation of World Bank Workshops on Poverty Eradication</a>	No Publication
2000-2001	Botswana	Ministry of Finance and Economic Planning, Botswana/DFID	<a href="#">Development of Project design and Guidelines for Botswana Sustainable Rural Livelihoods Programme</a>	No Publication
2000 - 2001	Ghana, Guinea, Mali, Ethiopia	UN Department of Economic and Social Affairs	<a href="#">Artisanal Mining and the SLA</a>	No Publication
2001 - 2003	Uganda	Uganda Forestry Sector Coordination Secretariat.	<a href="#">Redesign of Forestry Extension using the SLA</a>	NRP
2002-3	Botswana	DFID/Ministry of Finance and Economic Planning	Development of Sustainable Rural Livelihoods Programme for Botswana	Publication
2004 - 2005	South Africa	Department of Environmental Affairs and Tourism, South Africa	<a href="#">Lesson-Learning Process for Sustainable Coastal Livelihoods Programme (SCLP)</a>	<a href="#">Briefing 1 The Lesson Learning Process</a> <a href="#">Briefing 2 Value of the Coast</a>
2006 - 2007	South Africa Malawi Zimbabwe	Southern Africa Trust (SAT)	<a href="#">Reviewing Best Practices in Funding Communities</a>	No Publication
2005-8	South Africa	Department of Social Development, SA	Assessment of livelihoods and DSD services in the 21 priority urban and rural nodes	Many publications
2008-11	South Africa	Department of Social Development, SA	Support to Dept of Social development to implement the SLA	No publication

2000	South Africa Malawi Egypt	Bureau for Development Policy, UNDP	<a href="#">Evaluation of UNDP's Global Sustainable Livelihoods Programme</a>	Evaluation report
2000	South Africa	Department of Social Welfare/Free State Government, Free State	<a href="#">Free State Poverty Eradication Strategy</a>	No Publication
2000	South Africa	DFID, London	SLA and literacy	Publication
2000	South Africa	DFID, London	Rural Planning and Sustainable Livelihoods	Publication
2000	South Africa	DFID, London	Methodology for Regional Sustainable Livelihoods Strategy	Publication
2000	International	DFID, London	<a href="#">Micro-Macro: Policies and Institutions for Empowering the Rural Poor</a>	Publication
2000	South Africa	Free State Department of Social Welfare	<a href="#">Training Social Development staff in Participatory Learning and Action (PLA) Concepts, Tools and Methods</a>	No Publication
2000	South Africa	Marine and Coastal Management, Department of Environmental Affairs and Tourism	<a href="#">Design of Sustainable Coastal Livelihoods Programme</a>	<a href="#">Sustainable Coastal Livelihoods Programme Briefing 1 The Lesson Learning Process Sustainable Coastal Livelihoods Programme Briefing 2 Value of the Coast</a>
2000	South Africa	Mpumalanga Province	<a href="#">Facilitation of a Training Workshop on Sustainable Livelihoods, PRA and PLA Concepts, Tools and Methods</a>	No Publication
2000	International	OECD/DFID London	<a href="#">Workshop on National Strategies for Sustainable Development</a>	No Publication
2000	Vietnam	Overseas Development Institute, London	<a href="#">Workshop on Incorporating the SLA into DFID's Aquaculture Research</a>	No Publication
2001	South Africa	Department of Local Government, Spatial Solutions/ Department of Environmental Affairs and Tourism	<a href="#">Facilitation of Environmental Implementation Plan for the Free State</a>	No Publication
2001	Botswana	BRIMP project	<a href="#">Training on Sustainable Livelihoods, PRA and PLA Concepts, Tools and Methods</a>	No Publication
2001	South Africa, Zambia	DFID, London	Corporate Citizenship and the	Publication

			Sustainable Livelihoods Approach	
2001	South Africa, Malawi, Egypt	UNDP New York	Evaluation of UNDP's Global SL Programme	Publication
2002	South Africa	Human Sciences Research Council	<a href="#">Research into Social Capital in the context of Sustainable Livelihoods in South Africa</a>	No Publication
2002	Lesotho	CARE Lesotho	<a href="#">Design of Livelihoods Recovery through Agriculture Project</a>	No Publication
2002	Nigeria	DFID Nigeria	<a href="#">Training in Sustainable Livelihoods Approach</a>	No Publication
2002	South Africa	UNDP	<a href="#">Design of sustainable livelihoods project for Limpopo Province</a>	No Publication
2003	South Africa	Sustainable Coastal Livelihoods Programme	<a href="#">Training in Sustainable Livelihoods</a>	No Publication
2002-4	South Africa, Uganda, Tanzania, UK	DFID, London	<a href="#">Goodbye to Projects? The Institutional Impact of a Livelihood Approach on Projects and Project Cycle Management</a>	<a href="#">Goodbye to Projects? The Institutional Impacts of a Livelihood approach on Development</a>
2007	South Africa	Department of Social Development, SA	Training in the SLA	No publication

## Annex 2: Application of the SL Principles in Community-Based Planning

Key principles that this approach to CBP are based on include:

- we need to ensure that **poor people are included** in planning (and so the tools seek to make sure that poor people are identified and their livelihoods analysed);
- systems need to be **realistic and practical**, the planning process must be implementable using available resources within the district/local government (and so must link in and integrate with existing processes, particularly local government planning);
- planning must be linked to a **legitimate structure** (the ward and ward committee);
- planning should **not be a once off** exercise, but should be part of an ongoing process, with planning, implementation, M&E, and annual reviews;
- the plan must be **people-focused and empowering** (and so the plan is based around the livelihoods of different groups, and the community produces their own plan with support from ward and municipal facilitators);
- we must **build on strengths and opportunities** not problems (which makes us more likely to succeed and not to be paralysed by the problems);
- plans must be **holistic** and cover all sectors (and so address the reality of people's lives, and not the artificial sectoral distinctions of government);
- planning should promote **mutual accountability** between community and officials (and so upward and downward accountability is critical);
- there must be **commitment** by councillors and officials to both plan and implement, and there must be someone responsible to ensure it gets done (hence the commitments and preconditions the municipality needs to undertake).

So while the planning process is initiated and co-ordinated by the municipality the plan is owned by the ward (represented by the ward committee), and a ward facilitator should lead on the planning. The municipality empowers its ward councillors and committees to facilitate a planning process that will enable each committee to generate a mandate for its term of office.

### Box 1.3

#### Principles of the sustainable livelihoods approach

For effective pro-poor development interventions must be:

- People focused
- Participatory and responsive
- Based on strengths not needs
- Holistic
- Based on partnerships
- Sustainable (economic, social environmental, and institutional )
- Flexible and dynamic

#### Maano le maano a matjha, ha o a sebedisa kgafetsa a tla o thusa.

If you are planning something new, ideas keep on coming and if you use that frequently it will definitely help.

*A Batswana proverb*

**Annex 3: References (all available at [www.khanya-aicdd.org](http://www.khanya-aicdd.org))**

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