



FRAMEWORKS FOR COMMUNITY ANALYSIS



Sustainable Livelihood (SL) Framework



- What is a 'livelihood'?
 - 'A livelihood comprises the capabilities, assets and activities required for a means of living'
- What is a 'sustainable livelihood'?
 - 'A livelihood is sustainable when it can cope with and recover from stresses and shocks, maintain or enhance its capabilities and assets...'

(Chambers and Conway, 1992)

Sustainable Livelihood (SL) Framework



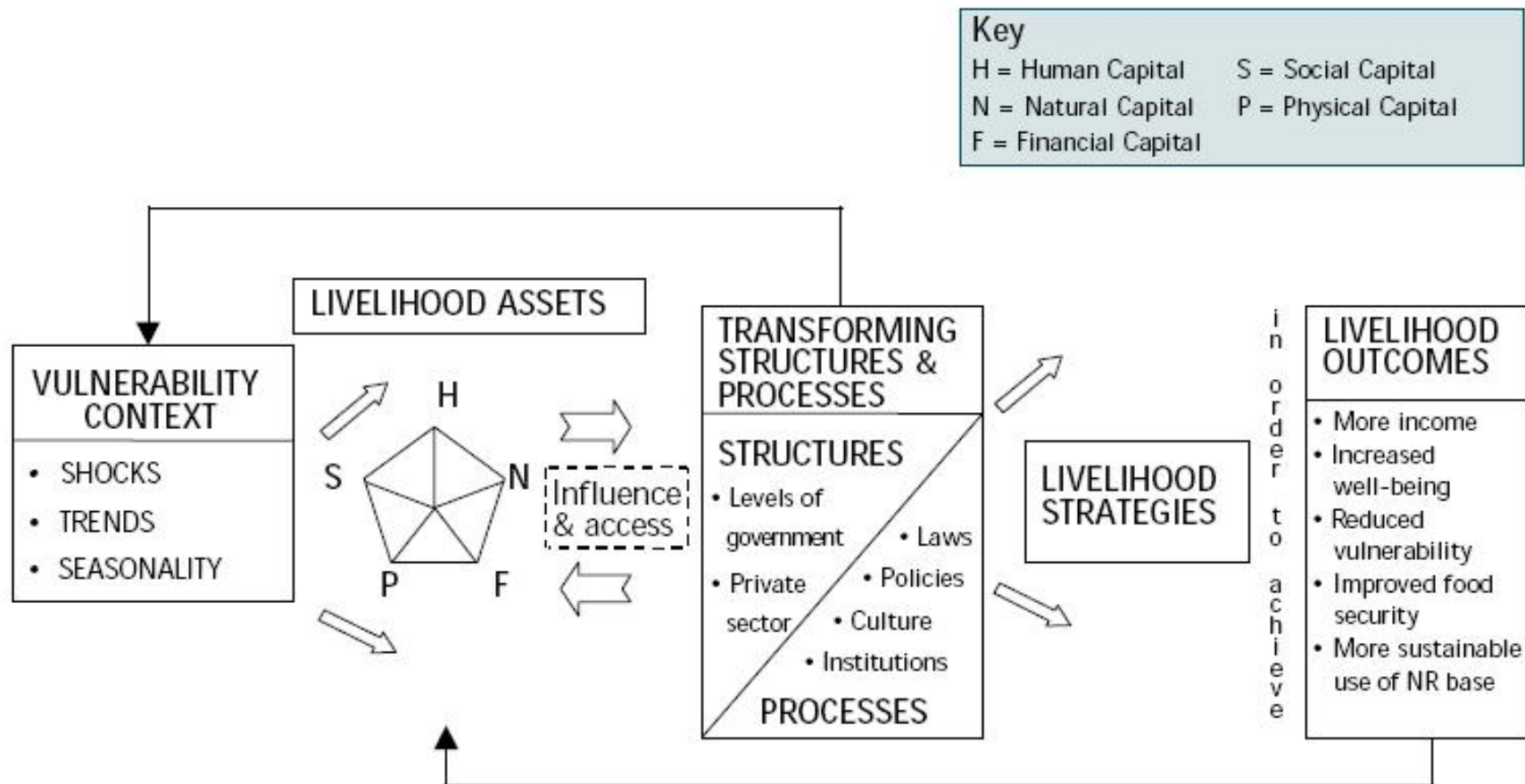
- SL framework
 - Developed by IFAD (International Fund for Agricultural Development)
 - based on evolving thinking about poverty reduction, the way the poor and vulnerable live their lives, and the importance of structural and institutional issues
 - helps to organize the factors that constrain or enhance livelihood opportunities and shows how they relate to one another

Sustainable Livelihood (SL) Framework

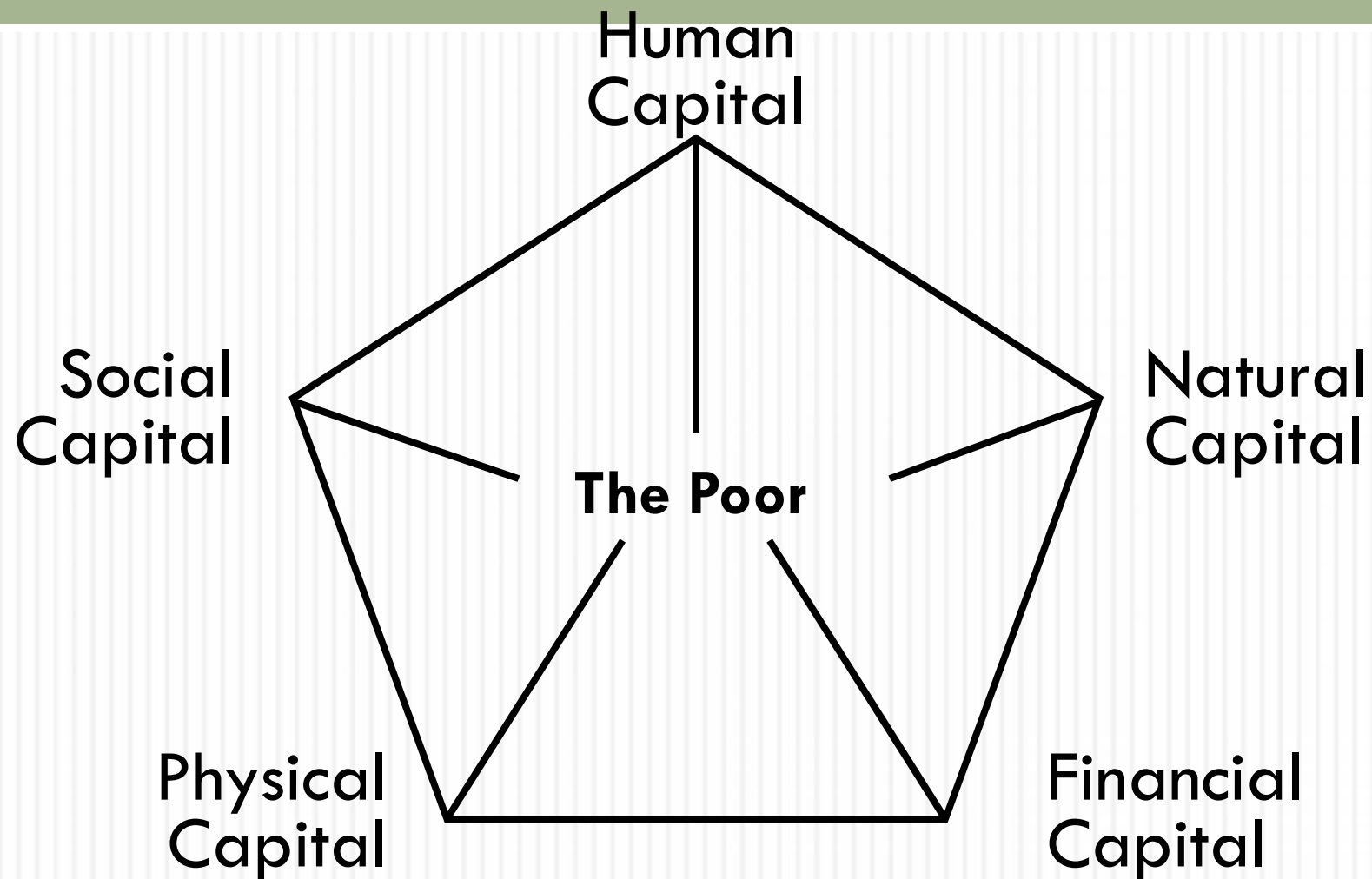


- SL framework
 - A guide for people in the analysis of development practice and issues
 - an effective tool for facilitating analysis and identifying “ways forward”
 - Suggest development activities that are people-centered, responsive and participatory, multilevel, conducted in partnership with both the public and private sectors, dynamic, and sustainable

Sustainable Livelihood (SL) Framework



Livelihoods assets



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Human Capital

- Health
- Nutrition
- Education
- Knowledge and skills
- Capacity to work
- Capacity to adapt

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Natural Capital

- Land and produce
- Water & aquatic resources
- Trees and forest products
- Wildlife
- Wild foods & fibres
- Biodiversity
- Environmental services

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Physical Capital

- Infrastructure
 - transport - roads, vehicles, etc.
 - secure shelter & buildings
 - water supply & sanitation
 - energy
 - communications
- Tools and technology
 - tools and equipment for production
 - seed, fertiliser, pesticides
 - traditional technology

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Social Capital

- Networks and connections
 - patronage
 - neighbourhoods
 - kinship
- Relations of trust and mutual support
- Formal and informal groups
- Common rules and sanctions
- Collective representation
- Mechanisms for participation in decision-making
- Leadership

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Financial Capital

- Savings
- Credit/debt - formal, informal, NGOs
- Remittances
- Pensions
- Wages

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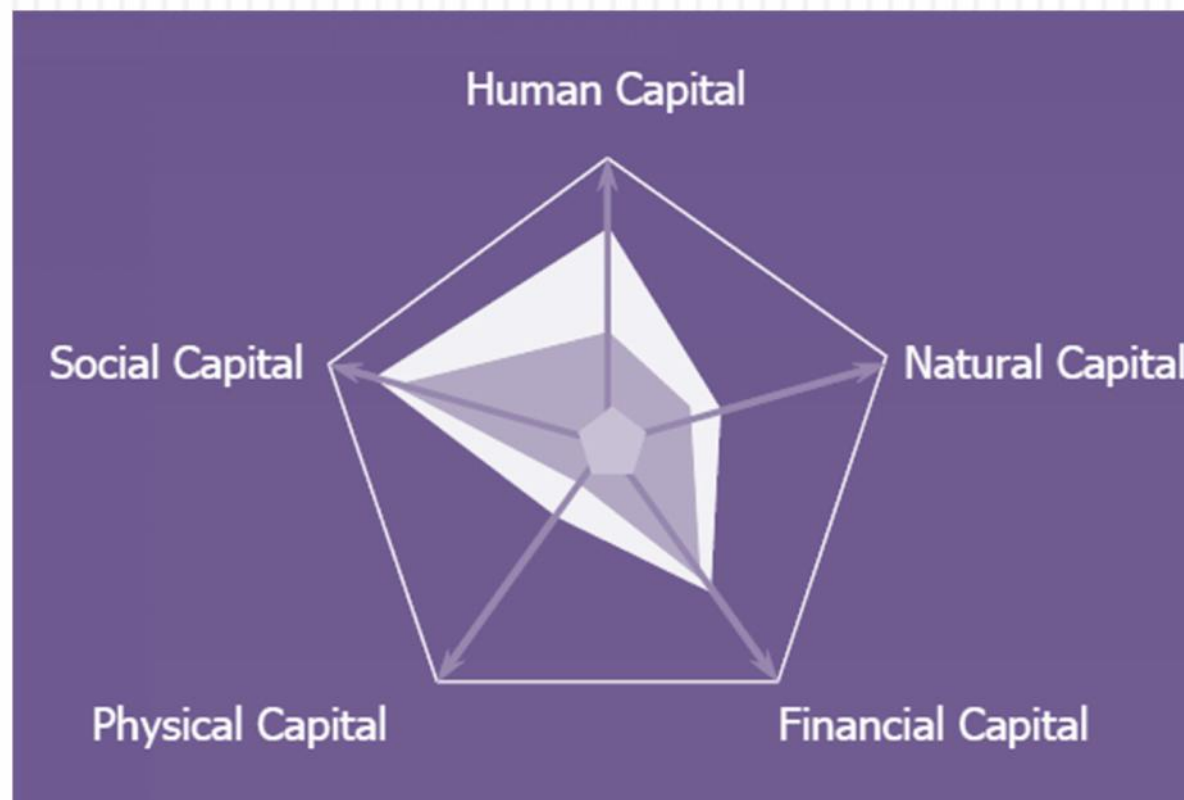


The Asset Mix

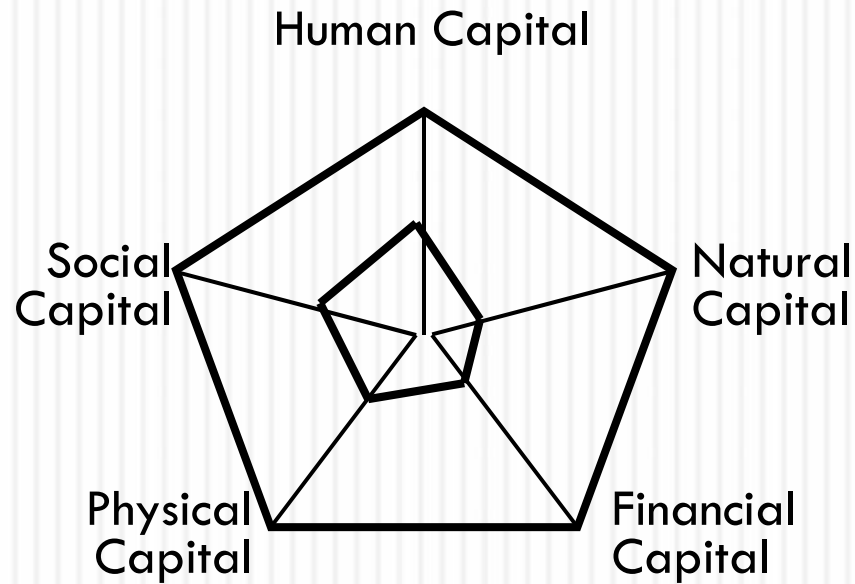
- Different households with different access to livelihood “assets”
- Livelihoods affected by:
 - diversity of assets
 - amount of assets
 - balance between assets

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The Asset Mix



**Landless
female
agricultural
labourer**



Human capital

- labour capacity
- no education
- limited skills

Natural capital

- landless
- access to common property resources

Financial capital

- low wages
- no access to credit

Physical capital

- poor water supply
- poor housing
- poor communications

Social capital

- low social status
 - descrimination against women
 - strong links with family & friends
 - traditions of reciprocal exchange
- = an extremely reduced “livelihood pentagon”**

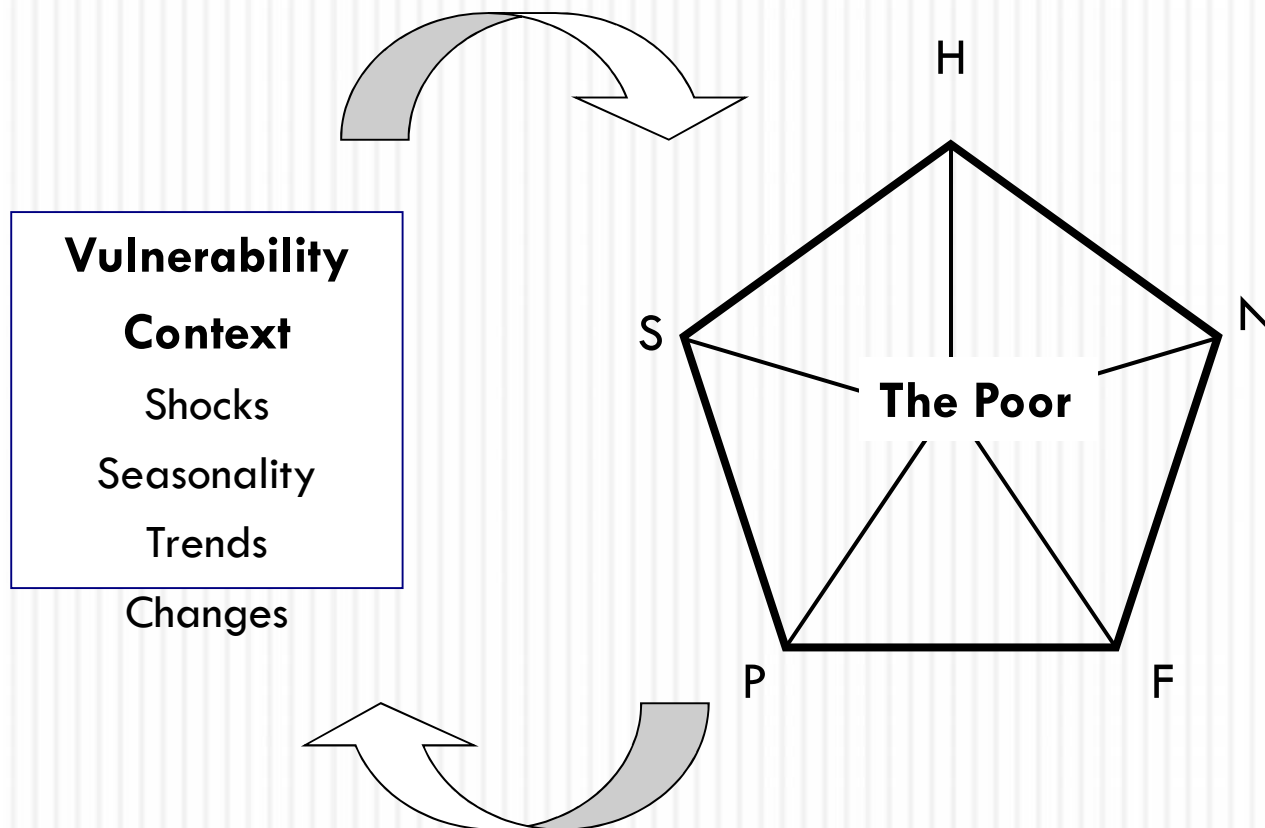
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“Vulnerability” Context

- **Shocks**
 - ▣ Floods, droughts, cyclones
 - ▣ Deaths in the family
 - ▣ Violence or civil unrest
- **Seasonality**
- **Trends and changes**
 - ▣ Population
 - ▣ Environmental change
 - ▣ Technology
 - ▣ Markets and trade
 - ▣ Globalisation

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“Vulnerability” Context



Policies, Institutions & Processes

- **Policies**

- of government
- of different LEVELS of government
- of NGOs
- of interational bodies

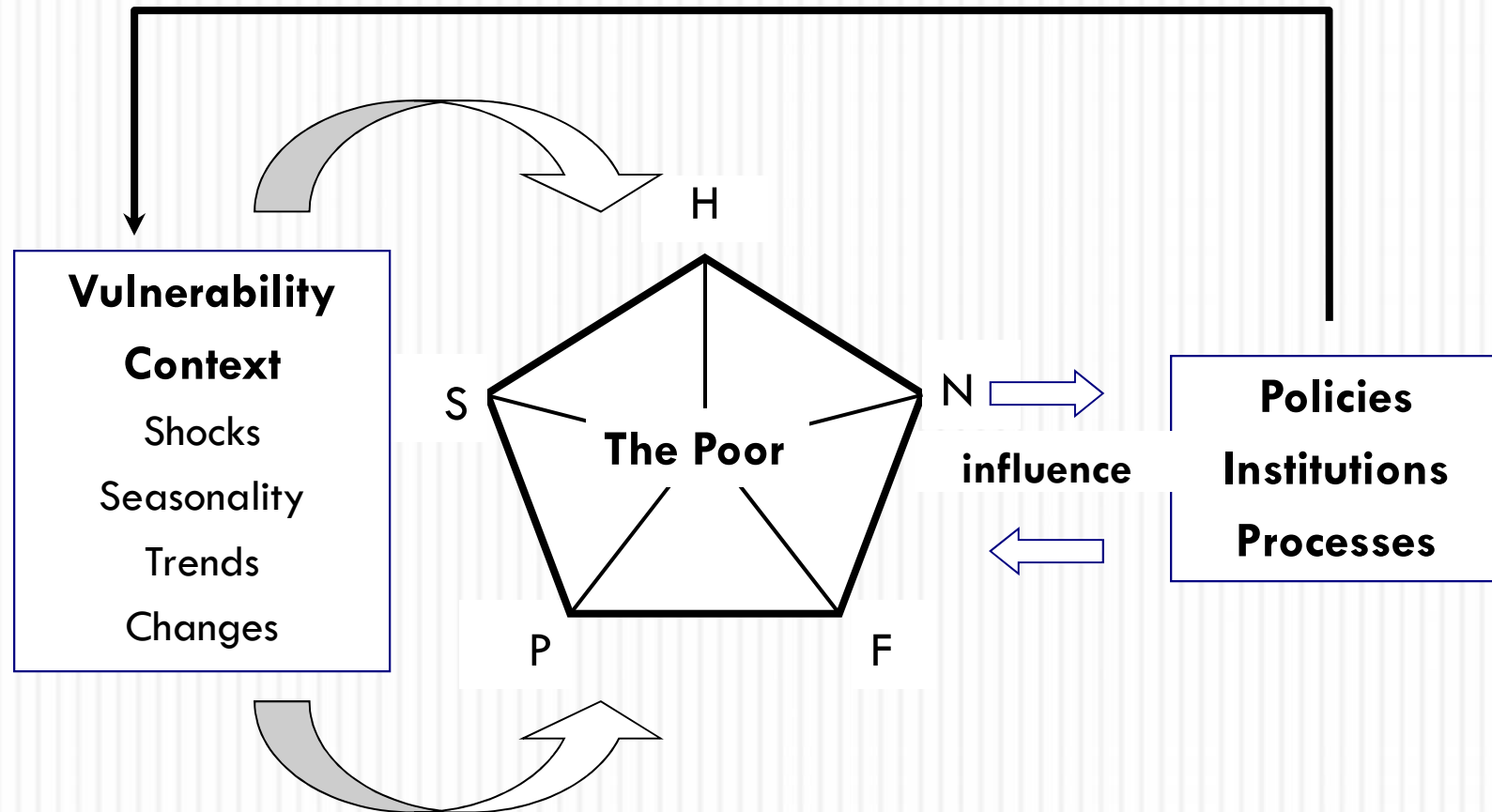
- **Institutions**

- political, legislative & representative bodies
- executive agencies
- judicial bodies
- civil society & membership organisations
- NGOs
- law, money
- political parties
- commercial enterprises & corporations

- **Processes**

- the “rules of the game”
- decision-making processes
- social norms & customs
- gender, caste, class
- language

Policies, Institutions & Processes



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Livelihood Strategies

Combining:

- the assets they can access

Taking account of:

- the vulnerability context

Supported or obstructed by:

- policies, institutions and processes.

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Livelihood Strategies

- Actors aim to achieve livelihood outcomes
- Decisions on livelihood strategies may invoke
 - Natural-resource based activities
 - Non-natural resource based and off-farm activities
 - Migration and remittances
 - Pensions and grants
 - Intensification versus diversification
 - Short-term versus long-term outcomes

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Livelihood Outcomes

Potential livelihood outcomes can include

- Improved food security
- Higher income
- Reduced vulnerability
- Increased well-being
- Protected rights of access
- Recovered human dignity

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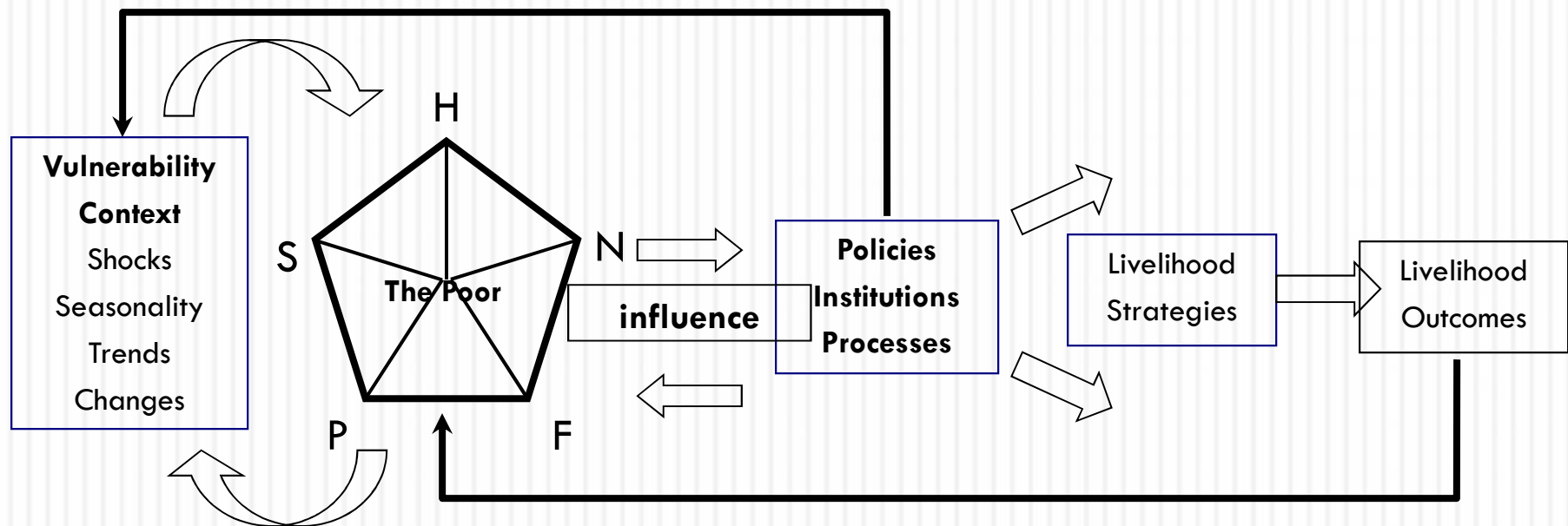


Livelihood Outcomes

Poverty - a “poor” livelihood outcome:

- based on a fragile or unbalanced set of livelihood assets
- unable to sustain to shocks, changes or trends
- not supported, or actively obstructed by policies, institutions and processes that do not allow assets to be used as they might
- livelihood options combined in a “bad” or unsustainable strategy

The Sustainable Livelihoods Framework



Sustainable Livelihood (SL) Framework

Pros

- Addresses some of the “grey areas”
 - Places the poor firmly at the centre – makes people visible
 - Suggests the importance of clear definition of who is at the centre of the analysis
 - More specific regarding key institutions and processes – and provides a more practical approach to analysing institutional and policy issues
 - Incorporates political dimension more explicitly
 - Helps understand entry points – based on opportunities and aspirations, possible at different levels (identifying them still depends on good analysis)

Sustainable Livelihood (SL) Framework

Pros

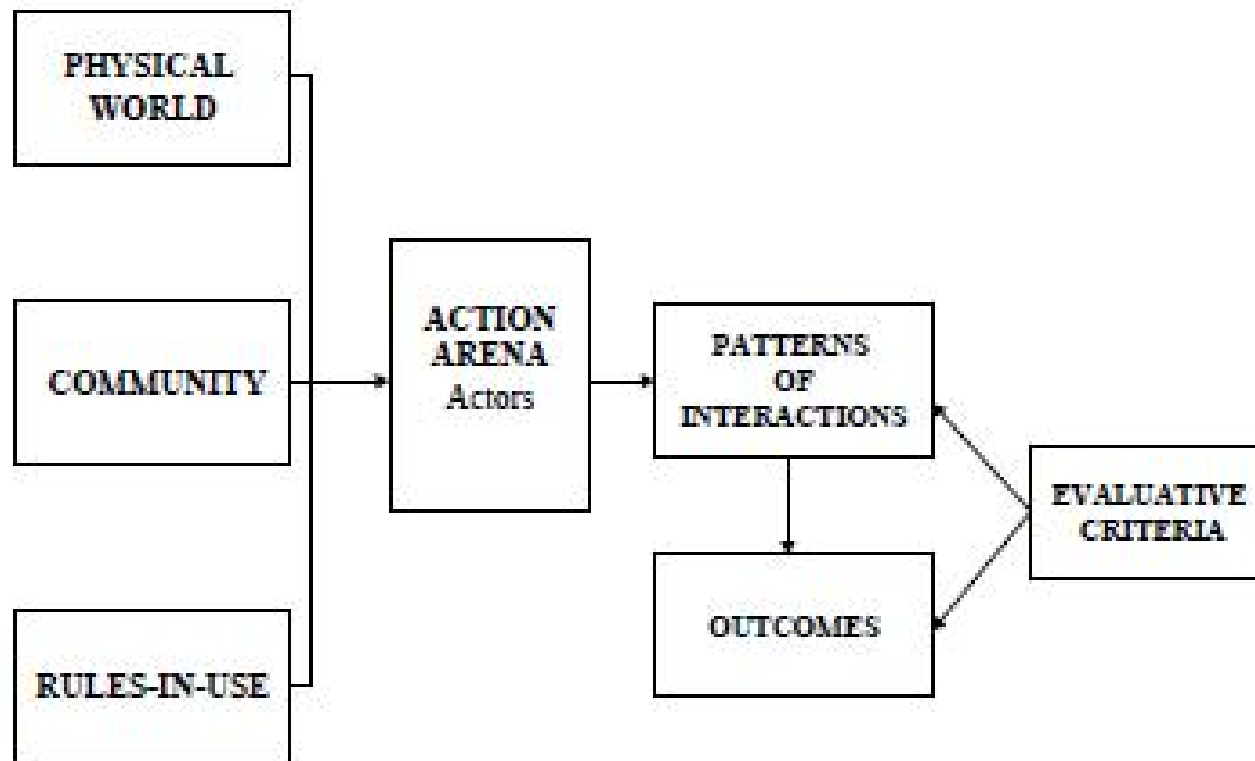
- Very useful as conceptual or heuristic tool, Not necessarily easier to explain but more complete
- Helps to see links between different factors affecting livelihoods
- Specifically identifies many features – politics, rules, social norms, gender/age/class/ethnic issues – that will help make it more culture specific
- Helps build cross-sectoral and potentially, cross-institutional dialogue
- Encourages discussion

Sustainable Livelihood (SL) Framework

- **Cons**

- It's one way of “organising” the complex issues surrounding poverty but it's not the only way
- Limited practical assistance for application
- Non-sectoral approach does not match reality
- Downplayed importance of focused technical/ financial support services, increased emphasis on ‘soft’ issues e.g. capacity-building, social organization, participation

Institutional Analysis & Development (IAD) Framework



Institutional Analysis & Development (IAD) Framework

1. Define the policy analysis objective and specify the analytic approach

- ☐ What is happening in the policy arena?
- ☐ How do observed outcomes compare to policy objectives?
- ☐ Which outcomes are satisfactory? Which are not?
- ☐ Which outcomes are most important?
- ☐ When are these outcomes occurring?
- ☐ Where are they occurring?
- ☐ Who is involved?
- ☐ How are policy outcomes occurring?

Institutional Analysis & Development (IAD) Framework

2. Analyze physical and material conditions

- What is the economic nature of the policy activity?
- How is this good or service provided?
- How is it produced?
- What physical and human resources are required?
What technologies and processes?
- What are storage requirements and distribution channels?
- What is the scale and scope of provision and production activity?

Institutional Analysis & Development (IAD) Framework

3. Analyze community attributes

- What is the size of the community and who is in it?
- What knowledge and information do members have?
- What are member' values and preferences?
- What are members' beliefs?
- What are members' beliefs about other participants' strategy preferences and outcomes?
- How homogeneous is the community?

Institutional Analysis & Development (IAD) Framework

4. Analyze rules-in-use

- ☐ Position
- ☐ Boundary
- ☐ Authority
- ☐ Aggregation
- ☐ Scope
- ☐ Information
- ☐ Payoff

Institutional Analysis & Development (IAD) Framework

5. Integrate the analysis

- *Action Situation*
- What are the positions or roles that actors play in this situation?
- Who are the participants?
- What actions can participants take, and how are actions linked to outcomes?
- What is the level of control that each participant has over action in this situation?
- What outcomes are possible in this situation?
- What information about the action situation is available to participants?
- What costs and benefits do participants incur when they take action in this situation?

Institutional Analysis & Development (IAD) Framework

5. Integrate the analysis

Actors

- ☐ Resources
- ☐ Valuations
- ☐ Information Processing
- ☐ Selection Processes

Institutional Analysis & Development (IAD) Framework

6. Analyze patterns of interaction

- Structure of economic and political participation
- Information flows

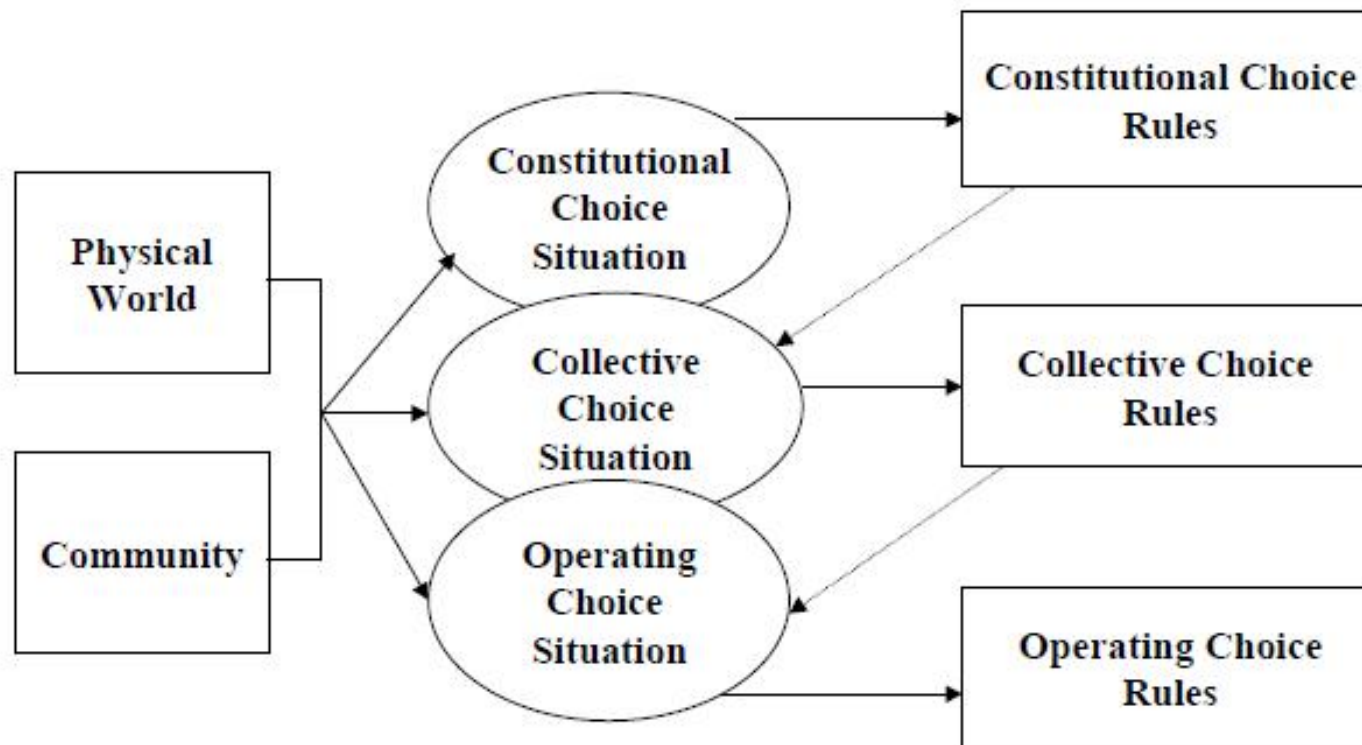
Institutional Analysis & Development (IAD) Framework

7. Analyze outcomes

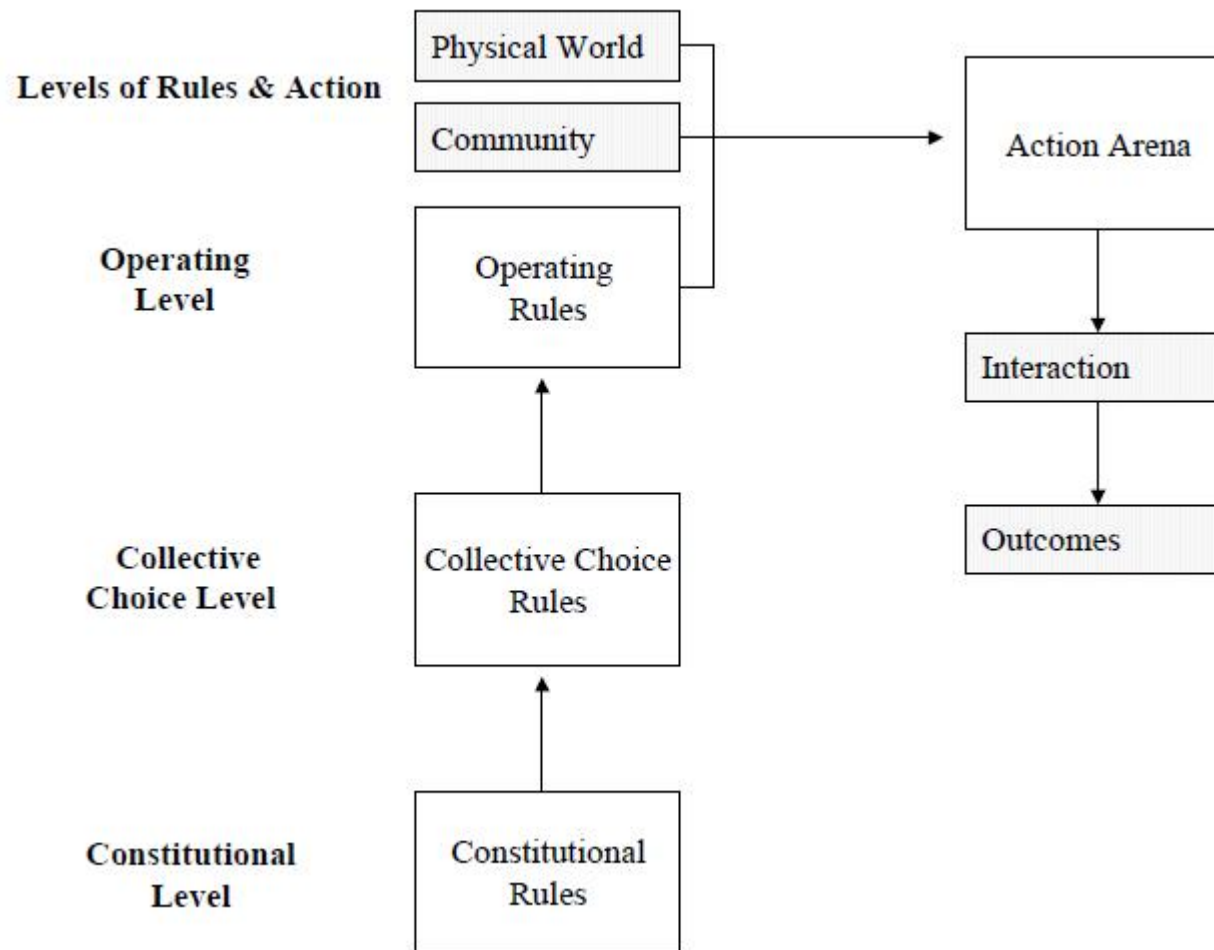
- ☐ Efficiency
- ☐ Fiscal Equivalence
- ☐ Distributional Equity
- ☐ Accountability
- ☐ Conformance to general morality
- ☐ Sustainability/Adaptability

Institutional Analysis & Development (IAD) Framework

Rules and Policy System



Institutional Analysis & Development (IAD) Framework



Institutional Analysis & Development (IAD) Framework

IAD Domain	Minneapolis	Boston
<i>Physical World</i>	4-way square intersection. Severe winter weather. Well-marked streets. Few potholes. Heavy traffic.	4-way traffic circle. Moderate snow, ice, and rain. Poorly marked streets. Many potholes. Congested traffic.
<i>Community</i>	Homogeneous Communitarian	Heterogeneous Individualistic
<i>Rules-in-Use</i>	Pedestrian has right-of-way. Otherwise, driver in intersection has right-of-way. No traffic signal. Drivers enter intersection when there is no one waiting in an opposing lane. Traffic control is a low priority for metro police. AAA campaign to encourage polite driving habits.	No pedestrians. Driver in outer lane of traffic circle has right-of-way. No traffic signal. Drivers simultaneously and continuously enter and exit traffic circle using all available lanes possible. Traffic control is a low priority for metro police. No AAA campaign.

Institutional Analysis & Development (IAD) Framework

IAD Domain	Minneapolis	Boston
<i>Action Arena</i>	Traffic control	Traffic control
<i>Patterns of Interaction</i>	Sequential queuing.	Chaotic queuing.
<i>Outcomes</i>	Average time through intersection, collisions, property damage, etc.	