The utility of the Sustainable Livelihoods Framework in NGOs in Peru

by

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ACRONYMS

CFDO – Community Fisheries Development Office (Cambodia)
DFID – Department for International Development (UK)
FAO – Food and Agriculture Organization of the United Nations
IDL – International Development Consultancy Group (UK)
IDS – Institute of Development Studies (UK)
IFAD – International Fund for Agricultural Development (Italy)
IIED – Institute for Environment and Development (UK)
IISD – International Institute for Sustainable Development (Canada)
IMM Ltd. – IMM Ltd.
MDG – Millennium Development Goals
NGO – non-governmental organization
ODI – Overseas Development Institute (UK)
RRA – Rapid Rural Appraisal
SID – Society for International Development (Italy)
SL – Sustainable Livelihoods
SLF – Sustainable Livelihoods Framework
SLSO – Sustainable Livelihoods Support Office (DFID, UK)
UEA – University of East Anglia (UK)
UNALM – Universidad Nacional Agraria La Molina (Perú)
WCED – World Commission on Environment and Development

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ABSTRACT

The Sustainable Livelihoods Framework (SLF) has slowly emerged over the last twenty years as a response to a call for more sustainable development and effective steps toward poverty alleviation. SLF emphasizes the importance of a sustainable livelihood, using the resources to which one has access, and recognizing the vulnerabilities, policy, and other forces that may affect livelihood security, while striving to achieve the outcomes local people seek. This framework has been applied amply to poverty reduction efforts in Africa and Asia, but very little of it has been seen in Latin America.

NGOs play a crucial role in implementing and utilizing the framework in order to achieve the Millennium Development Goals in poverty reduction as laid out by the UN. This thesis analyzes rural development NGOs' goals, principles and methodologies in Peru, comparing them to SLF for similarities and differences in current approaches. Using a three phase process of individual interviews, a presentation on SLF, and follow-up group interviews for each of 12 NGOs, data was collected on current practices and NGO opinion of the possibilities of utility of the framework in their work of poverty reduction in Peru, as well as their perception on donor agency influence on their projects and methodologies.

The study found that NGOs in Peru are using many elements of SLF, including the goals, principles, and capitals component. These elements are present in the NGOs, but are not being applied as holistically as the framework suggests. Methodologies differ in that SLF focuses on analysis, while the NGOs tend to focus on technology transfer. Donors do have influence on methods and projects, and it would be beneficial for donors to contribute to NGO learning of SLF. Overall, NGOs expressed interest in learning more about SLF for possible implementation, and stated it would be useful for their work in poverty reduction.

RESUMEN (SPANISH)

La metodología de Medios de Vida Sostenibles (MVS) ha emergido lentamente en los últimos veinte años como una respuesta hacia un desarrollo sustentable y hacia pasos efectivos que lleven a aliviar la pobreza de las comunidades. MVS enfatiza la importancia de un desarrollo sostenible usando los recursos a los que se tiene acceso total. Además reconoce las debilidades, políticas y otras fuerzas externas que podrían afectar la seguridad del medio de vida, al mismo tiempo que concentran todos los esfuerzos para cumplir las metas que el proyecto se ha trazado. Esta metodología ha sido aplicada para reducir la pobreza en África y Asia, pero muy poco en Latino América.

Las ONGs juegan un papel crucial en la implementación de esta metodología para alcanzar las Metas de Desarrollo del Milenio en cuanto a reducción de pobreza establecidas por las Naciones Unidas. Esta tesis analiza las metas de desarrollo rural de las ONGs, principios y metodologías en el Perú, comparándolas con MVS en aspectos de igualdad y diferencias en la manera de implementarlos, usando un proceso de tres fases de entrevistas individuales, una presentación de MVS y entrevistas de carácter grupal con 12 ONGs. Los datos fueron colectados de prácticas diarias y de opiniones de las ONGs acerca de las posibilidades de utilizar esta metodología en el trabajo diario de reducción de la pobreza en el Perú, así como determinar cual es la influencia de las agencias donantes en los proyectos y metodologías ha implementarse.

La investigación demuestra que las ONGs en el Perú usan muchos elementos de MVS incluyendo cuales son sus metas, principios y el capital disponible. Estos elementos se encuentran presentes en las ONGs pero no están siendo aplicados tal como la metodología lo propone. Las metodologías usadas en el Perú difieren de MVS en que las última se focaliza

en el análisis, mientras la primera en la transferencia de tecnología. Las agencias donantes tienen una fuerte influencia en los métodos y proyectos ha realizarse y podrían contribuir a que las ONGs aprendan de MVS como metodología. En términos generales las ONGs expresaron el interés en aprender más acerca de MVS como metodología ha ser adoptada y expresaron que sería útil su implementación para la reducción de la pobreza en las zonas elegidas.

CHAPTER 1: INTRODUCTION

Introduction

The idea of sustainable development was first introduced in the 1960s with the awareness of the effects chemicals and industrialization can have on the environment and on humanity (Carson 1962). The idea was further developed in the 1980s and defined by the Brundtland Commission in 1987 as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (WCED 1987b: 43). It is seen as apportioning environmental, social and economic resources for the well-being of all, both present and future generations. "For development to be sustainable it must integrate environmental stewardship, economic development and the well-being of all people—not just for today but for countless generations to come. This is the challenge facing governments, non-governmental organizations, private enterprises, communities and individuals" (IISD 2005: 1).

With this in mind, in the 1980s and 1990s international development agencies had seen their efforts falling short of goals for rural development (Veltmeyer 2002, Kay 2005). Sadeque (2000:4) noted, "The mixed results of conventional poverty reduction strategies are not only disappointing but also point out that the strategies employed to combat poverty have failed to take into account the poverty process itself by uncovering the multi-dimensional causes and factors of poverty." To address this predicament development theorists began to call on the countries of the world to improve their strategies for development (WCED 1987b). The Brundtland Commission gave humanity the charge to make development sustainable (WCED 1987b). Along with this charge came an additional notification that

poverty alleviation would not work unless it recognized the need for sustainable livelihood security (WCED 1987a).

The purpose of the sustainable livelihoods (SL) approach is to eradicate poverty through participatory, people-centered means, transforming policy, reducing vulnerability, and seeking to build local people's capacity for a sustainable livelihood. The SL framework was formulated to incorporate these points for better understanding of livelihoods. Chambers and Conway (1992:1) defined a 'sustainable livelihood' as:

> A livelihood comprises people, their capabilities and their means of living, including food, income and assets... A livelihood is environmentally sustainable when it maintains or enhances the local and global assets on which livelihoods depend, and has net beneficial effects on other livelihoods. A livelihood is socially sustainable which can cope with and recover from stress and shocks, and provide for future generations.

A livelihood that is economically, environmentally and socially sustainable will allow people to become self-reliant and escape the problems of poverty.

This framework and approach have become well known in Africa and Asia, but in comparison little has been seen of them in Latin America. However, NGOs in Latin America may be precisely the group that needs a SL approach in order to influence policy and poverty reduction programs to be more effective increasing the well-being of local peoples through improved understanding of current livelihoods (Bebbington 2004). Rural development NGOs in Peru have been around for many years, endeavoring to alleviate poverty in the region using the tools and methodologies available through training, trial-and-error, and their funding agencies. In this thesis, I investigate the perceptions NGOs have of the SL

framework compared to their current practices, as well as their perceptions of donor influence on their work.

CHAPTER 2: LITERATURE REVIEW

The Problem of 'Poverty'

Poverty is a persistent problem throughout the world. For at least half a century, people at all levels have been trying to combat poverty in many different ways. Their definitions of poverty have been just as varied as their attempts at reducing it. Some have defined (or better stated, measured) poverty as simply a numerical indicator of income: less than $1 or $2/day (World Bank 2005). Another indicator that is used is hunger. By taking into account the quantity of food available per person nationally and the magnitude of inequality in access to food, the FAO approximates that 800 million people worldwide suffer hunger each year (FAO 2003). That is about one of every eight people (World Fact Book, 2005). Poverty can also be defined in other terms, including: need, standard of living, limited resources, and lack of basic security, lack of entitlement, multiple deprivation, exclusion, inequality, class, dependency, and unacceptable hardship (Spicker 1999). As Deleeck, et al. (1992: 3) state, "Poverty is not restricted to one dimension, e.g. income, but it manifests itself in all domains of life, such as housing, education, health." Most importantly, the word poverty carries with it the moral exhortation to do something about it and try to correct it (Spicker 1999).

Instead of researchers and government officials defining poverty, another and potentially better way is for local people to define it. In a study on poverty in Peru, Susana Franco (2003) held focus groups of impoverished urban and rural men and women. Each of these groups created their own definition of poverty according to their experience. The urban group defined poverty as lack of employment or instability in their livelihoods, difficulty saving or obtaining credit, physical insecurity (i.e. being victims of crime and physical abuse

by alcoholic husband), lack of unity in community, lack of support from government and international aid institutions, deficiency in material needs (i.e. lack of money resulting in insufficient food or malnutrition, inadequate housing and clothing), low education levels (capabilities) and lack of will-power, powerlessness, and ill-health. The rural groups' definition focused more on the amount of land to which one has access or lack of sufficient employment and the material needs of poverty (they do not have enough to buy what they need). They mentioned they are highly susceptible to bad weather affecting their crops and their harvest due to lack of coping mechanisms. Hope is placed in the next generation escaping from poverty by attaining a better education and obtaining better employment.

Poor economic opportunities, social reputation, lack of transparency and participation in government, and neglect of local institutions strengths reinforce poverty and social exclusion (Sadeque 2000). In order to foster change that will lead to resolving these problems, public policy and public action need to be reinforced for the benefit of the excluded and impoverished. Of course, many have tried with an array of approaches to reduce poverty in some way.

Past Approaches to Poverty Reduction

Throughout history many attempts have been made on tackling these issues with only minor changes for the better and quite a few steps in the wrong direction. Development proponents have been working for years to discover the silver bullet for poverty eradication. According to Ellis and Biggs (2001), in the 1950s peasant society and agriculture was considered "backward", and development was modernization—fix poverty by making them "modern". Flora and Flora (forthcoming) point out that the Third World was to be remade in

the image of the First World. In the following decade, the focus of development was on technology transfer, exemplified by the initiation of the Green Revolution (i.e. the United States' and Europe's "duty" to increase the productivity and spread the use of widely consumed crops). The 1970s brought a focus on basic needs along with an increase in Green Revolution practices. Integrated Rural Development (a development approach aimed at being holistic, but was too all-inclusive and rigid to function practically) was born during this time, though it quickly piddled out in the 1980s (Ellis and Biggs 2001). In that decade, structural adjustment reigned among international lending institutions and Third-World countries trying to solve development problems with the hopes that economic changes at the macro level would trickle down to the bottom-of-the-totem-pole people. Noticing that the top-down approach was not working, a proliferation of non-governmental organizations (NGOs) emerged to begin working from the bottom-up with local people. Rapid rural appraisal (a quick assessment of a community, eliciting the knowledge of local peoples) gained popularity, and women were included in the development process. The 1990s saw the rise of microcredit institutions to lend small amounts of money to the poor to start their own small businesses. Also at this time, intended beneficiaries were invited and expected to begin participating in their empowerment.

According to Chambers and Conway (1992), the old way of doing development was not working for specific reasons. Generally, the three previous main concepts of working with development were to increase food production, create new forms of full-time employment, and get people above an arbitrarily chosen, numerically based poverty line. These modes of thinking only addressed the surface of the problems (more food and money)

without dealing with their underlying complex and diverse causes, such as land entitlement, command of food supply, or the aspirations of a household.

Without governments or development institutions consulting with the people in impoverished areas about what they wanted or was important to them, development efforts could never be truly effective or long-lasting. Throughout the time the above mentioned development strategies were evolving, development organizations found bits and pieces of their structures to be more effective than others at achieving the goal of poverty reduction. Etching away the material that was not working so well and delving into what was important to the intended beneficiaries, livelihoods became more and more the focus of what was working for poverty reduction. Sustainable development principles served as a foundation for designing a new development approach based on livelihoods and included what is important to local people. This approach is known as the Sustainable Livelihoods Approach.

The Emergence of Sustainable Livelihoods

Development workers worldwide had seen the need to change government's definition of poverty and include the "poor" in forming that definition and in the process of development. Doing so enabled more people to build on their capacities and work toward establishing equal treatment for themselves and better environmental, social and economic practices for their communities. These three things, capability, equity, and sustainability were proposed as both an end and means for achieving a sustainable livelihood (Chambers and Conway 1992). A sustainable livelihood is defined as "the capabilities, assets (stores, resources, claims and access) and activities required for a means of living… which can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, and

provide sustainable livelihood opportunities for the next generation; and which contributes net benefits to other livelihoods at the local and global levels and in the short and long term" (Chambers and Conway, 1992: 6).

The report by the Brundtland Commission in 1987 first introduced the idea of "sustainable livelihoods" (SL) (WCED 1987a: 3). Its popularity quickly spread among key development organizations and academic institutions in the UK including International Institute for Environment and Development (IIED), Overseas Development Institute (ODI), and Institute of Development Studies (IDS), the United Nations Development Programme (UNDP), as well as Society for International Development (SID) in Rome and International Institute for Sustainable Development (IISD) in Canada (Solesbury 2003). These institutions began developing frameworks and implementing SL programs into their projects in Africa and Asia. Britain's Department for International Development (DFID), in 1997, presented a White Paper that established

- their commitment to the elimination of poverty through the International Development Targets (Millennium Development Goals) and

- that sustainable livelihoods would be one of their priority policy objectives, along with human development and the environment.

DFID's Sustainable Livelihoods Framework came out shortly thereafter with the Sustainable Livelihoods Guidance Sheets (DFID 1999) to explain it, and the Sustainable Livelihoods Support Office (SLSO) was created to help link up all sustainable livelihoods efforts of the various participating organizations. Projects in South Asia, East Africa, and southern Africa have been implemented and evaluated by DFID and other donor agencies and universities using sustainable livelihoods approaches.

The Sustainable Livelihoods Framework

The sustainable livelihoods (SL) framework helps us to think thoroughly about the various aspects of people's lives and understand how they link together, such as their vulnerability, the assets and resources that help them survive and prosper, the policies and institutions that affect their livelihood, how people respond to threats and opportunities, and what people hope to achieve in their lives. The framework DFID created (Figure 1) demonstrates the various components of complex livelihood strategies and the relationships between them. Below, the components of the SL framework are briefly summarized, including the vulnerability context, livelihoods assets, transforming structures and processes, livelihood strategies, and livelihood outcomes.

Figure 1. Sustainable livelihoods framework
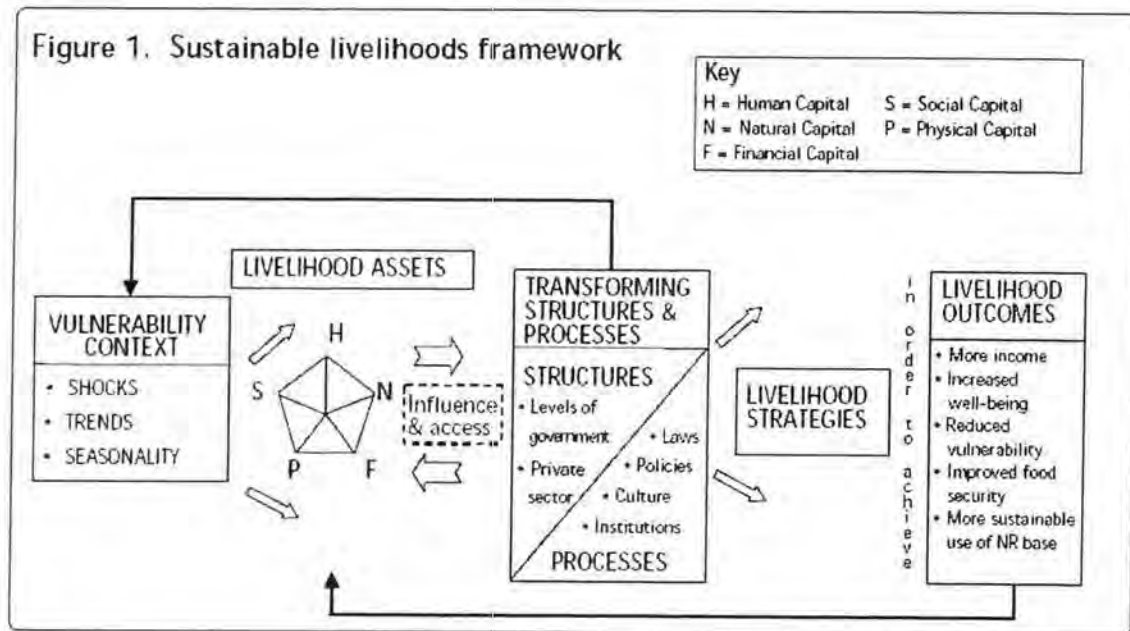
From: DFID Sustainable Livelihoods Guidance Sheets, 1999

Vulnerability context.

The vulnerability context is the external environment in which the population exists, making them vulnerable. These include trends (demographic growth, economy, technology),

shocks (natural and economic disasters, plagues, conflicts), and stresses (prices, production, health, work opportunities). The more resilient people are, the better they will be able to manage vulnerability.

Livelihood assets

Capital assets are an important part of the sustainable livelihoods framework. In order to be considered a capital, it must be a resource that is invested in order to create new resources (Flora, et al. 2004). Within DFID's framework are five capitals, consisting of Human, Social, Physical, Financial, and Natural capitals. (In different models sometimes more or fewer capitals are chosen.) DFID uses an 'asset pentagon' to demonstrate the importance of the various assets available to people and the inter-relation that exists among those assets.

Human capital is the knowledge, education, health, skills, and abilities of person. Within a household it is the quality and amount of labor available. Aside from its own intrinsic value, human capital is necessary to use the other four types of capitals to achieve sustainable livelihoods.

Social capital is "the social resources upon which people draw in pursuit of their livelihood objectives" (DFID 1999: 2.3.2). These include networks, relationships of trust and reciprocity, and formalized groups. Social capital reduces the costs of working together, making the local economy run more efficiently, as well as facilitates the development and sharing of knowledge.

Natural capital refers to land, forests, marine/wild resources, water, air quality, erosion protection, storm protection, and biodiversity. This range of assets is closely tied to the vulnerability context, as it is particularly susceptible to shocks and seasons. While

natural capital is obviously important to those that specifically derive their livelihoods from natural resources, it also a vital part of everyone's lives as it directly affects health and well-being, enabling us with food, air to breathe, and transportation.

Physical capital includes transportation, tools and equipment, shelter and buildings, clean, affordable energy, water supply and sanitation, and access to information. It is the infrastructure and goods that are required to make livelihoods.

Financial capital is the monetary resources people use to accomplish their livelihood goals, referring to both stocks as well as flows. These include savings, credit, pensions, and remittances. Easily converted into other forms of capital, financial capital is quite versatile, although usually the least available to the poor.

Policy, Institutions and Processes (Transforming structures and processes)

The structures and processes determine the access, terms of exchange, and the economic and other returns of any form of livelihood. Structures (public sector, private commercial, civil society) and processes (policy, legislation, institutions, culture) exist at all levels that impact livelihoods. This aspect of the framework is meant to promote "equitable access to competitive markets for all." Culture is also included in 'structures and processes' because it plays a role in determining how things are done, as well as feelings of inclusion and well-being (DFID, 1999).

Livelihood Strategies

"Livelihood strategies" refers to the variety of activities, the combination thereof, and the choices people make so as to provide for themselves and their families and achieve their goals. Previously, scholars and development practitioners thought was that livelihood options were fairly cut and dry with rural people farming and urban poor working as laborers.

However, recent studies show that there is a very diverse range of livelihood options existing for both rural and urban poor.

"The sustainable livelihoods approach… seeks to develop an understanding of the factors that lie behind people's choice of livelihoods strategy and then to reinforce the positive aspects (factors which promote choice and flexibility) and mitigate the constraints or negative influences" (DFID, 1999: 2.5). SL does not encourage any particular livelihood strategy; rather it promotes choice and self-determination through improving access to the capital assets.

Zoomers (2001:15) makes a point to mention that farmers' livelihood strategies may not be "the result of deliberate and strategic behavior. Changes are not always brought about by systematic or conscious behavior, and many decisions will not imply free choice but adaptation to ever-changing internal and external circumstances." These strategies also may not be moving farmers' in the direction of the overall goals they hope to achieve.

Livelihood Outcomes

The term 'livelihood outcomes' refers to the aims local people have in mind when configuring their livelihood strategies. What do people want to achieve through their livelihood strategy? Why do they want to achieve those goals? Livelihood outcomes help us to understand the motivation behind what people do, what their priorities are, and how they may respond to different opportunities (DFID, 1999). It should be noted here that DFID purposefully chose the term "outcome" over "objectives" to emphasize a focus on the achievements and progress the stakeholders' desire. Several categories for possible livelihood outcomes proposed by DFID are better income, increased well-being, reduced vulnerability, better food security, and sustainability. Based on participatory enquiry into

desired outcomes, indicators can be developed to make sure local people's goals are being achieved.

It is possible for trade-offs to occur between livelihood outcomes, as not everyone is seeking the same goals. The DFID Guidance Sheets suggest considering the effects on other aspects of livelihoods and trying to come to a 'mutually acceptable solution' among stakeholders.

The Principles of the Sustainable Livelihoods Framework

The sustainable livelihoods framework has several core principles that act as a kind of philosophy for achieving poverty reduction to address the problems mentioned above. These principles are to be people-centered, holistic, dynamic, building on strengths, linking micro and macro levels, participation, and sustainability.

People-centered

The core idea of a sustainable livelihoods approach is that *people* are the reason for development. The approach starts with an analysis of people's livelihoods and how they have changed over time. Local people are fully involved and their views respected; their definition of poverty is used. There is a focus on the policy and institutional impact on people and their households, and influencing these policies and institutional arrangements to promote the agenda of the poor. It also strives to help people to achieve their own livelihood goals, while taking into consideration sustainability issues. "People—rather than the resources they use or the governments that serve them—are the priority concern" (DFID 1999: 1.3).

Holistic

The sustainable livelihoods framework helps us to think holistically about the vulnerability of the poor, the assets and resources that help them live and prosper, the policies and institutions that affect their livelihoods, how they respond to threats and various opportunities, and what they hope to achieve. It takes into account the multiple influences on people's lives, the multiple livelihood strategies and desired outcomes, and the multiple actors. It is applicable across sectors, geographical areas and social groups.

SLF is a way of organizing the many affecting factors in one's life or household, and how those factors influence each other. DFID (1999: 1.3) does not intend it "to be an exact model of the way the world is, nor does it mean to suggest that stakeholders themselves necessarily adopt a systemic approach to problem solving." The framework aims to assist in making development more effective by gaining "a realistic understanding of what shapes people's livelihoods and how the various influencing factors can be adjusted so that, taken together, they produce more beneficial livelihood outcomes" (DFID 1999: 1.3).

Dynamic

The sustainable livelihoods approach is highly dynamic. The Sustainable Livelihoods Guidance Sheets explain the role of dynamism in SLF:

> [The SL approach] seeks to understand and learn from change so that it can support positive patterns of change and help mitigate negative patterns. It explicitly recognizes the effects on livelihoods of external shocks and more predictable, but not necessarily less damaging, trends. Attempting to capture and build upon such livelihood dynamism significantly increases the scope of livelihood analysis. It calls for ongoing investigation and an effort to uncover the nature of complex, two-way cause and effect relationships and iterative chains of events (DFID 1999: 1.3).

Dynamism and flexibility are key to sustainable livelihood analysis. Flexibility toward changing circumstances allows for adjustments to enhance effectiveness.

Building on strengths

Instead of focusing on problems and difficulties, this approach focuses on strengths. It recognizes everyone's inherent potential and what the positives are in each situation. What successes has the community achieved? What capacities already exist in a household from which the family can benefit? The sustainable livelihoods framework looks to remove constraints that face the poor in order to realize the potential of individuals, households, and communities (DFID 1999).

Micro-macro linkages

Development practices tend to be either micro and local, or macro and higher level policy. By only focusing on only one level, the impacts of policy on rural areas may be forgotten or deemphasized, or the needs of local people ignored. The sustainable livelihoods approach attempts to bridge the difference between working at these two levels by "emphasizing the importance of macro level policy and institutions to the livelihood options of communities and individuals" (DFID 1999: 1.3). The approach also strives to better inform the policy level through local lessons, focusing on what actually happens in rural areas versus what the assumed impact will be from policy.

Participation

In order to be truly empowering, people need to participate in their own development. Participation of community members in research and development is a vital part of the success of the sustainable livelihoods framework. Participatory approaches allow people to express their desires for their livelihood strategies and outcomes, and to obtain their

objectives while building on their strengths. Development practitioners as well as local people can also better understand the effects of policies and institutions on livelihoods by using participatory means.

Sustainability

Sustainability here refers to environmental sustainability, economic sustainability, social sustainability, institutional sustainability, and the sustainability of livelihoods. The sustainability of livelihoods means they are "resilient... [to] external shocks and stresses; are not dependent upon external support (or if they are, this support itself should be economically and institutionally sustainable); maintain the long-term productivity of natural resources; and do not undermine the livelihoods of, or compromise the livelihood options open to, others" (DFID, 1999, 1.4). Sustainability does not mean that a livelihood cannot change; rather, it means one builds upon the assets they possess for continual improvement. Sustainability ensures the progress attained in development programs is long-lasting. It implies the empowerment of poor peoples because they are able to continue the operation of complex projects without external management.

Suggested Tools and Methodologies

The Guidance Sheets provided by DFID (1999-2001) include common tools that can be used in sustainable livelihoods analysis. These sheets stress that there are already many existing tools and checklists that can be used throughout the many components that make up a livelihoods analysis for both general information and more specific analysis of key issues. Some suggestions include environmental checklists for highlighting livelihood opportunities, health, security and vulnerability, and empowerment. Gender analysis can be utilized to look

deeper at social relations, access and control, activities, and needs. A government assessment will be useful for understanding "state viability, sovereignty, structure of government, transfer of power and electoral arrangements, levels of government, government effectiveness, and treatment of the population" (DFID 2000: 4.3). Institutional appraisals will also be necessary to uncover the distribution of responsibilities between government and local people and institutions, their roles and organizational structure, etc. Briefly, other areas of investigation include macro-economic analysis, market analysis, risk assessment, social analysis, stakeholder analysis, strategic conflict assessment, and strategic environmental assessment. Specific tools suggested to study the above mentioned areas are case studies, participatory methods, sample surveys, timelines, seasonal calendars, transect walks, resource maps, social maps, preference ranking, matrix ranking, wealth ranking, and Venn diagrams.

This framework is not intended as a fixed recipe for poverty reduction. It is a way of understanding people's livelihoods and the environment in which they exist, so that appropriate steps can be taken toward poverty reduction by local peoples, development institutions, and policy makers. "Adopting a sustainable livelihoods approach provides a way to improve the identification, appraisal, implementation and evaluation of development programmes so that they better address the priorities of poor people, both directly and at a policy level" (DFID 1999: 1.2). The Sustainable Livelihoods Framework is both a way to understand the livelihood strategies of the poor and a way to stimulate participatory focused discussion, leading to a more holistic form of development. It is based on the views and concerns of poor people to make poverty reduction more adept to truly alleviating poverty. The Sustainable Livelihood Framework (SLF) uses the definition of poverty given by the

poor. It is able to capacitate the poor to rise above their own poverty line. It is both an analysis and an approach to development practice. The starting point for all development work (rights based, environmental, etc.) should be sustainable livelihoods.

An Example of a Successful SL Project

One example (DFID 2001) of the Sustainable Livelihoods Framework in action is the Feeder Road Project (FRP) in Zambezia, Mozambique. The project began in 1995 without considering sustainable livelihoods approaches; rather it was designed to rehabilitate feeder roads in an area of the country that had been suffering from long-term conflict. A main objective was to increase local interest in improving physical access sustainably for the people in this rural area. They decided to train and employ local contractors and workers and use labor-based methods for constructing the roads rather than employing external, mechanically based techniques.

By 1998, the project implementers began using a sustainable livelihoods lens on the project and noticed that sustainability was dependent on more than just the availability of the physical infrastructure, but also local people's ability to use and maintain the roads. Internal and external forces would make it difficult for the new roads to serve their purpose if the project did not address these problems. For example:

- Outside companies threatened to take land from roadside communities for logging
- Land tenure was insecure for people displaced by the war
- Although equality was one of the project goals, women were insufficiently represented in road gangs

- A question arose over whether the roads should be for motor vehicles or for more local purposes of foot or bicycle

- HIV infection was a threat among road gang members and road camp supporters.

Following a project output review, many changes were made over the next few months and years to address these concerns. They include:

- A component addressing land insecurity for the roadside communities

- Introducing measures to amend gender imbalance in road gangs

- Starting women-only road maintenance gangs; begin a study of other barriers of women employment

- Implementing awareness and mitigation activities for HIV/AIDS

- Strengthening the analysis of the socio-economic impact and the selection of roads for reconstruction

- Commissioning a study of the environmental impact

- Assisting newer contractors with business development

- Studying "Barriers to Access" in Zambezia and holding a conference for stakeholders to discuss the findings

- Conducting a review of these initiatives, their impact, and the possibilities for further support to enhance livelihoods through improvements to access.

These changes shifted the focus of the project from the roads to "how roads and road building affect the people who live nearby and who might eventually use them as part of their livelihoods strategies" (DFID 2001: 7.2). The Sustainable Livelihoods Framework in this project helped assure that local people were benefiting from the new feeder roads.

Partnerships have also been formed among local institutions, NGOs, and the government levels.

Strengths and Weaknesses of the Sustainable Livelihoods Approach

The Sustainable Livelihoods framework has been applied many times in projects and livelihood analyses, showing its strengths and effectiveness. It has been shown to be functional along side other methodologies, useful in poverty reduction efforts at various levels, as well as in understanding people's livelihoods with the aim of improving access, policy, and quality of life. SL approaches are not without their criticisms, however. These, though, can usually be overcome when proper techniques are applied.

The approach has proven useful in supporting other development methodologies. For example, Gilling et al. (2001) studied the relationship between sector-wide approaches, the SL framework, and rural poverty reduction. They found that the SL framework contributes to sector-wide approaches to focus more successfully on poverty reduction. Toufique (2001), in a study on rights and livelihoods in Bangladesh, found that SL approaches are complimentary to rights based approaches. Another study also showed that sustainable livelihood approaches are quite useful in formulating Poverty Reduction Strategy Papers (Norton and Foster 2001).

Other studies have found SL approaches to be useful in achieving measurable reductions in poverty. Ellis and Biggs' (2001) review of rural development techniques in the past 50 years, asserts that the livelihoods approaches potentially have the most effective base for impacting policy and reducing poverty. Robert Chambers (1995) also outlined the impact of working with sustainable livelihoods on poverty reduction. By focusing on the

priorities of the poor, giving them voice, and reducing vulnerabilities, poverty reduction efforts will be more successful. (See also Pretty and Hine 2001, and Gilling, et al. 2001).

In forming policy and creating poverty reduction interventions, the importance of understanding the livelihoods of local peoples should not be underestimated. SLF was created, and has proven useful, as a guide for comprehending livelihoods for policy and project development. Ellis (1999) points out that the SL framework is particularly useful for policy development, because it emphasizes people, their assets and activities rather than focusing on sectors and their effectiveness. That allows for policy-makers to strengthen their poverty reduction efforts. Wilkes (2003:2) points out "A better understanding of livelihood assets and processes can be useful in identifying more relevant interventions that differ from some of the conventional interventions made by projects in agro-pastoralist areas and in the animal husbandry sector." Nicol (2000: 7) also noted the advantage the sustainable livelihoods concept in policy-making: "… the approach can assist in creating clearer links between the expectations of policy makers and donors (in their drive to mobilize communities around a 'demand-based' theme) and the capacities and motivations to undertake this new role on the part of communities and households."

Sustainable livelihood approaches take a wide view of rural development by working with more than one poverty issue. For example, in Cambodia, SLF was applied to examine people's livelihoods. The reasons behind their poverty was addressed by understanding the factors pinpointed in the framework, which led to developing a Country Strategy Paper for reducing poverty in Cambodia (Turton 2000). The Overseas Development Institute (ODI) also applied the approach in water projects, incorporating the various elements of SL to make

the projects more sustainable by centering on people rather than the resource, with greater positive impact on the communities being served (Nicol 2000).

The SL approach has also been successfully used to understand poverty. Orr and Mwale (2001), in their research on the changes in livelihood strategies of families in Malawi, found that the SL framework was more effective and useful than RRA (Rapid Rural Appraisal) in analyzing the reasons why the people were in poverty. In Indonesia, DFID used the framework in analyzing poverty (Mukherjee, et al. 2002). The SL framework proved invaluable for gathering the definition of poverty of local people and evaluating livelihoods, then recognizing specific points for improvement in implementation of interventions.

Livelihoods of diverse cultures or groups also can be better understood using the Sustainable Livelihoods Framework. Harvey (2004) used SLF in a study on HIV/AIDS in southern Africa. By using this approach, he uncovered the ways in which HIV/AIDS affects the livelihoods of families and communities where the disease is prevalent. This enabled him to make suggestions as to where humanitarian aid will be best directed to allow for food security. Ellis and Freeman (2004) used the framework in a study of four countries in Africa to grasp the livelihoods and poverty situation among villages. By doing so, the authors were able to pinpoint areas of macro-level policy that could be improved upon to assist in poverty reduction. The Vietnamese Ministry of Planning and Investment Partnership to Assist the Poorest Communes conducted a somewhat similar study among Coastline Communes (Luttrell, et al. 2004). This study of livelihoods of coastal communities, using SLF, enabled the Ministry to identify weak areas in their planning policy and create pro-poor poverty reduction strategies for the particular area of need.

The sustainable livelihoods approach is not without its critics. One gap in the framework that Dorward, et al. (2003) noted was a lack of emphasis on markets in the formation of livelihood strategies. They mention that this can be overcome by making markets a particular aspect to pay attention to while focusing on interactions between institutions and access to assets. Another critique of SL approaches is that while the principles are sound, it is not pragmatic enough to actually achieve poverty reduction (Toner 2003). Carney (2002) also mentions that another concern about the SL approach is that it does not address gender or rights issues. Kay (2005) says that while the sustainable livelihoods approaches have many advantages, it does not give enough attention to political power or class relations, nor does it emphasize sufficiently the historical processes that play a role in poverty.

While the Sustainable Livelihoods Framework has proven to be a successful development approach, and is well-known by NGOs and other large international institutions in Africa and South Asia for roughly ten years, it has been employed in relatively few instances in Latin America. In the same year DFID released the Guidance Sheets on Sustainable Livelihoods, Anthony Bebbington (1999) developed another SL framework for the context of Latin America. This, too, has not been used as extensively in Latin America as in other regions of the world. Relatively few case studies have been conducted in Latin America using a SL approach. (Several that do exist include: Marsh 2003, Bebbington 2001, IISD 2004). Exactly why so little focus has been placed on poverty elimination using SLF in Central and South America is unknown. One theory is the shifting focus of development agencies toward Africa and their extreme situation of deprivation (Ashley and Maxwell 2001) and the rising population living in poverty in Asia (IFAD 2001). Another theory is

that a specific point of the United Nations' Millennium Development Goals (MDGs) is directed at reducing poverty in Africa and the Sustainable Livelihoods Framework was developed and focused on as Britain's response to the MDGs (see UN 2005, UN General Assembly 2000, and DFID 1997).

In 1999 when SL use was just gaining popularity and preliminary work was being done, DFID chose three countries in Latin America along with many in Africa and Asia for case studies (Ashley and Carney 1999). In Bolivia the framework was used in project design and identification. They found the framework was applicable at both the policy level and working directly with local people. However, at the time there was no translation of the DFID Guidance Sheets in Spanish, making it difficult to share information. In an evaluation and redesign of a program in Brazil, the framework assisted in a comparison of projects for English-speaking stakeholders. This team felt a loss of local ownership and that DFID was imposing its own agenda. Mexico was the third country chosen from Latin America. The SL framework was applied to reviewing the impact of activities and identifying entry points. While the framework "created interest among government and other donor partners," several obstacles arose impeding the uptake of SL. These included lack of materials in Spanish and Mexican policies and institutions that were not conducive to SL or poverty focus. These cases may have led to less focus on Latin America with the SL approach in the following years.

Why the Sustainable Livelihoods Framework?

With the proliferation of NGOs entering the development arena in the past three decades, information sharing among them has heightened with their many formal and

informal linkages with governments, international NGOs, and social movements (Fisher 1997). As the number of governments, NGOs, and international development agencies in the "developing world" turn their focus to poverty reduction, more and more tools are made available for that purpose.

The Sustainable Livelihoods Framework is a tool for analysis, as well as an impetus for positive change in poverty reduction. Rural development NGOs, with their work on the ground level, are prime candidates for utilizing SLF; however, according to Bebbington (2004) NGOs have been slow to pick up the concept, especially in Latin America, perhaps due to lack of funding. Solo de Zaldivar (2003: 162) also suggests a "holistic and integrated understanding of social reality" would be a step in the right direction for Latin American NGOs.

Bebbington (2004) explains that NGOs in Latin America are precisely the groups that should be using sustainable livelihoods approaches in their work. NGOs have claimed that they are focused on livelihoods but they do not appear to be keeping up with the changes in livelihood formations of the populations with which they work. This is due to NGOs' continued assumption of livelihoods being predominately agricultural. Bebbington (2004:186) is surprised "that NGOs should have been so slow in recognizing these tendencies and in recognizing the changing significance of certain assets, and of certain economic activities, within livelihood strategies." He recommends:

> It is more important to provide interventions of a sort that help people build the livelihood strategies they see as most desirable and most feasible, rather than interventions that presume to know the type of livelihood strategy that people most want… It is also hard to change because most NGOs in the region depend on financial support from other sources – in the form of contracts, project grants or

institutional grants. In many cases these resources come from Europe and North America, or if they come from Latin American governments do so from public programmes that themselves have international funding. Thus, for interventions to become more open-ended and more adapted to the sorts of mobile, multi-activity and flexible livelihoods that people increasingly seem to live in the region, then these international sources must also change their views of the conditions on which they will transfer resources globally. (Bebbington 2004:187-188)

I hypothesize that NGOs in Latin America, specifically Peru, are already using many elements of SLF in their work without formally learning about the framework, and that furthering their knowledge about formal aspects of SLF will be of benefit to them and their beneficiaries, as it has among those in Africa and Asia.

Research Questions

1. Are NGOs in Peru that work in rural development for poverty reduction aware of the Sustainable Livelihoods Framework and are they using it? If so, how did they learn about it?

2. Which, if any, of the elements of the SL framework do NGOs in Huancayo and Lima, Peru use (whether or not they have learned of it formally)?

3. Do NGOs perceive the SL framework as being useful to them with their work in poverty reduction after learning about it formally? And for what reasons?

4. What are NGOs' perceptions of donors' influence on their work?

CHAPTER 3: METHODOLOGY

My research was guided by one main hypothesis and five sub-hypotheses to answer the research questions I had.

Main Hypothesis:

NGOs in Peru use many elements of the sustainable livelihoods framework without being formally trained in it, and would find it useful for their work in poverty reduction to learn about it formally.

Sub-Hypotheses:

1. The goals and principles of NGOs are similar to the goals and principles of SLF.

    The indicators I used to test this sub-hypothesis are: number of similar goals and number of similar principles.

2. The tools and methodologies of NGOs are compatible with SLF.

    The indicators I used for sub-hypothesis 2 are: the number of tools or methodologies of NGOs that coincide with the goals and principles of SLF and the methods suggested by DFID for applying an SL approach (see DFID 2000, section 4).

3. NGOs are working with the five forms of capital from SLF (human, natural, social, financial, and physical).

    The indicator I used for this sub-hypothesis is the number of capitals a NGO works with of the five forms of capitals from SLF (human, natural, social, financial, and physical).

4. NGOs in Peru feel it would be useful for their organization to learn more and possibly implement SLF.

The indicators for this sub-hypothesis are the number of positive responses NGOs give when asked their opinion of SLF.

5. NGOs perceive donors to have quite a bit of influence on their methodologies and projects.

Indicators for this sub-hypothesis are the number of positive responses to NGOs' perception of donors' influence.

I tested these hypotheses by examining the principles, goals and methodologies of NGOs in two cities of Peru and comparing them to the Sustainable Livelihoods Framework of the Department for International Development (DFID).

Location

This study was conducted with nongovernmental organizations (NGOs) in two different regions in Peru. The first was the central highland region of Huancayo, Junín with an approximate population of 430,000. Located in the central mountain region of the country at 3,200 meters above sea level, Huancayo is the capital city of the Department of Junín and the central market hub of the region. It has a rich indigenous history, with people from nearby villages bringing handicrafts and goods to sell here.

The second area of study was the coastal city of Lima, located on the shores of the Pacific Ocean. It is the capital of Peru as well as the province of Lima. Lima has approximately 7 million inhabitants, with roughly another 2 million on the city outskirts. It

is the country's main center for transportation, industry, business, and culture. The two areas were selected with the goal of to comparing NGOs working in rural development located in a more rural area with those in an urban setting.

Figure 2: Map of Peru

From: World Fact Book, 2005

Initial Selection of NGOs

NGOs were selected based on their involvement in programs and projects for the elimination of rural poverty. A total of fourteen NGOs (9 in Huancayo and 5 in Lima) and two university extension programs in Lirna were initially selected and all agreed to participate in the study. However, in Huancayo, seven NGOs participated to the completion of the project, while two were unreachable after the initial meeting. Five NGOs participated in Lima; the two divisions of university extension were unreachable after initial contact.

NGOs:

Huancayo

NGO 1: Formed 15-20 years ago in Huancayo. They focus on sustainability, gender and equality, human rights, and ethnicity and culture, to promote institutional strength and sustainable development.

NGO 2: Formed 15-20 years ago in Huancayo. Works in agricultural development, livestock development, agroindustry development, and gender equality. They support the management of local and regional development with gender equality, contributing to the reduction of material poverty and improving the quality of life of rural families through better nutrition, education, health, human rights and community participation.

NGO 3: Came to Huancayo 40 years ago. Works with rural development in adult capacity building in health and nutrition, and good agricultural practices to increase the quality of life for families in poverty.

NGO 4: Formed 5-10 years ago in Huancayo. They focus on promoting quality of life for rural communities according to community proposals for integral and sustainable development.

NGO 5: Formed 15-20 years ago in Huancayo. Their goal is to improve the quality of life for men and women, especially in less-favored areas, developing productive, organizational, political, and cultural capabilities, for equality and social inclusion.

NGO 6: Founded 15-20 years ago in Huancayo. This NGO strives to reduce poverty by creating sustainable income and employment, through building the abilities of producers and training in agroecological practices, to improve quality of life for

small- and medium-scale farm families. They also work with these producers in value-added products for Fair Trade, shortening the market chain for better prices.

NGO 7: Formed 15-20 years ago. One program of this NGO is located in Huancayo working in rural development, health, and micro business/economic management capacities. They work with small-scale farmers with agroecology.

Lima

NGO 8: A Peruvian institution, with more than 50 years working with the promotion and protection of health and food security, and rural and urban development. They also have programs in microfinance, as well as prevention and management of disasters.

NGO 9: Founded in Peru 15-20 years ago. They work with a multidisciplinary team to improve the quality of life of vulnerable groups in the country through active participation of communities, programs, effective and efficient projects that respond to a detailed analysis of the needs of the population. They strive to strengthen the capacities of people that are poor and vulnerable so that they themselves achieve social and economic development sustainably. Their areas of focus are health and nutrition, microcredit, production and marketing, the environment, and research. Increase income of families in poverty and extreme poverty with a focus on food security.

NGO 10: Founded in Lima 20-25 years ago. They promote sustainable human development through programs and projects for production, training, and consultancy in the areas of agriculture, fishing, education, and health, oriented toward integral development.

NGO 11: This NGO was founded in Lima 20 years ago. Their goal is to contribute to human and sustainable development through promoting healthy work environments. They currently work in three areas: health of workers, local development, and environmental health.

NGO 12: Operating in Peru for over 40 years. Their mission is to provide relief to the needy and promote their holistic development, demonstrating a commitment through humanitarian activities and sustainable social development. They have projects in health, agricultural/livestock development, economic development, basic services and infrastructure, basic education, disaster preparedness and response, and civil society strengthening.

These NGOs are funded by a variety of international aid agencies from Europe, North America, and Japan. I refer to these aid agencies as donors or funding agencies, using the terms interchangeably. The NGOs do not receive funds from the Peruvian government.

Limitations of the Study

Some limitations of the study that might be considered are mentioned here. I carried out the research with NGOs in two regions of Peru, which may be more prone to certain methodologies in their work because of the large number of NGOs in the country and the history of Peru as an agricultural nation.

Another possible limitation of the study is my appearance as the researcher. As a Caucasian American female, I may have had influence on the data collection as interviewees reacted to their perceptions of me as a foreigner speaking Spanish. Participants may have

responded in either a more positive or negative manner toward me as the researcher, depending on their feelings toward Caucasians, Americans, and/or women in general.

Data Collection

So as to understand what the NGOs are currently doing as for methods, and what their goals and principles are, and then compare those particulars to the SL framework and the organizations' opinions of it, I designed the project with before and after interviews around a presentation workshop on the SL approach. The data were collected using individual semi-structured interviews, group workshops, and final group interviews. First, I conducted the individual interviews with the director and several field technicians of each NGO about the principles, goals, and methodologies used in their organization (See Appendix A for List of First Interview Questions). After this set of interviews was completed, I held a half-day workshop on DFID's Sustainable Livelihoods Framework for the NGO. Within several days a follow-up interview was conducted with the NGO team members who attended the workshop. The group compared the similarities and differences of goals and principles of SLF with those of their organization currently (See Appendix A for List of Second Interview Questions). This process was repeated for each NGO.

Overall, the study included 49 individual interviews, 12 workshops, and 12 group follow-up interviews.

Informants: Individual Interviews

After contacting the NGO and having their agreement to participate, I selected the individuals to interview by consulting with the director of each institution. I strived to interview at least one director and then 3-4 team members who work in the field directly with

beneficiaries, to gain a thorough understanding of what they do, what the institution's goals

and principles are, and how they accomplish their work. With the help of the directors and

their recommendations, I was usually able to meet that goal. (One exception was NGO 9;

they only had two team members from their department to interview—the director and

another supervisor). The team members I interviewed were typically from the range of

expertise their organization required, such as agronomy engineers, sociologists,

anthropologists, and health supervisors.

Figure 3: List of NGOs and Number of Participants

NGO	Number of Individual Informants	Specialties of those individually interviewed (if available)	Number of participants in group interview
NGO 1	5	Economics, sociology, agriculture	8
NGO 2	5	Rural development, livestock production, agro industry, sociology	8
NGO 3	4	Crop production, health and nutrition, market development	5
NGO 4	4	Health and nutrition, agricultural production	6
NGO 5	5	Sociology, rural development, sustainable livestock production, agricultural extension	6
NGO 6	3	Agroecology, sociology, rural development	12
NGO 7	4	Agricultural extension, anthropology	3
NGO 8	4	Nutrition, environment, agricultural production	5
NGO 9	2	Production and marketing	4
NGO 10	4	Rural development, agronomy, health	8
NGO 11	4	Agronomy, agroecology, rural development, livestock production	4
NGO 12	5	Sociology, M & E, livestock production, micro lending	6

Participants/Informants: Workshop and Group interviews

For the workshop on the SL framework for each NGO, individual interview

informants were invited to attend along with other team members. Participants for the

workshops thus included individual interview respondents, other field technicians, supervisors, and directors. NGOs 4 and 6 also invited other individuals that work in rural development from outside their organizations to participate in the workshop.

Informants for the group interview following the workshop consisted of those who had attended the workshop whose schedule allowed them to be present at the group interview.

Data Analysis

The following section describes how I analyzed the data according to how the data was collected: individual interviews and group interviews. Similar methods are used for both the individual interviews and the group interviews, with the differences as indicated below.

Individual Interviews

I analyzed the first, or individual, interviews using a statistical program for social sciences (SPSS). I defined the variables using the principles from the SL framework, and then goals, objectives and tools mentioned in the interviews (see Appendix B for variables). I checked the interviews for the variables, looking for either the name or the idea the variable represents. I then coded informants' responses with '1' for yes, they talked about the variable being present in their work in their organization, and '2' for no, they did not mention the variable being present in their work in their organization.

Once the responses were coded, I calculated the frequencies and percentages of the responses for each variable in order to determine how many goals and principles, tools and methodologies, and forms of capital team members from the NGOs are using. [Note: the percentages from first interviews frequencies are based on all respondents from the NGO, so

a sociologist might not talk about an agricultural production technique, and vice versa.]

From the individual interview data set (n=49), I calculated the percentages of 'yes' answers

from each NGO for each variable, changing the sample size to 12 (Example: one NGO with

five respondents, four of the five respondents mention the variable, making the pooled

response for that NGO 80%). I also coded these percentages: any percentage > 1% received

a 1 for "present in the NGO" and < 1% received a 2 for "not present in the NGO."

Second interviews

To analyze the second, or group, interviews I also used SPSS. I defined the variables

using the principles and components of the SL framework (see Appendix B), and then the

final variable as their response to the final interview question (Do you perceive the

Sustainable Livelihoods Framework as possibly being useful to your organization in your

work for poverty alleviation?). I scanned the group interviews for the variable name or the

idea the name represents. Once again I coded the responses using '1' for yes, they mentioned

the variable is present in their work in their organization, and '2' for no, for either they said

the variable was not present in their work in their organization, or because they did not

mention the variable or any aspect thereof. For the final variable 'utility', I coded the

responses based on an overall consensus the group reached during the interview. Responses

were coded '1' for yes, the framework will be completely useful; '2' for no, it will not be

useful at all; '3' for yes, parts of the framework will be useful; and '4' for possibly, it may be

useful but we would need to study it further.

CHAPTER 4: FINDINGS

The results of the data analysis and discussion are presented below with the sub-'hypothesis to which they correspond.

Sub-hypothesis 1: Goals and principles of NGOs are similar to the goals and principles of SLF.

For this sub-hypothesis, I use the goals and principles of NGOs in Peru to compare them to the goals and principles of SLF.

All of the NGOs said their goals, principles, and methods were more similar to SLF than they were different. NGO 7 said their methods were complementary. One person responded, "*¿Diferencias? Me parece que no hay. Lo que hay es complementaridad de enfoque.* Differences? It doesn't appear to me that there are any. What there is is complementarity of approaches." Similarities that participants pointed out include the goal of helping to take people out of poverty; improving quality of life for those with fewer economic resources; local rural development; sustainability; people are the center of the work; working to strengthen capabilities; and the principles.

Two NGOs (7 and 11) felt there were differences in their goals, principles, or methods compared to SLF. Differences these NGOs pointed out include the NGO's focus point being more on the technical, economic and quantitative themes rather than qualitative ones, and the definition of poverty used. NGO 11 felt the term '*pobre* poor' was offensive; they preferred the term '*menos recursos económicos* less economic resources.' One participant explained:

"El termino 'pobreza' aquí en el Perú está relacionado con una cuestión económica, una cuestión moral, una cuestión social. O sea, por eso el termino 'pobreza' no se ajusta a la realidad nuestra. En realidad, tenemos mucha carencia de muchas cosas, ¿no? Porque generalmente es la visión de él que tiene plata, o sea, quién tiene el dinero es quién hace el enfoque. The term 'poverty' here in Peru has to do with an issue of economics, an issue of morals, a social issue. In other words, that's why the term 'poverty' doesn't fit our reality. In reality, we are in need of many things, no? Because generally it's the vision of the one that has the silver, or the one that has the money that creates the approach."

Ten NGOs responded that their goals, principles, and methods were generally not different.

Goals

Goals that are addressed in the SL framework are reducing the vulnerability of the poor, improving access to and transforming structures and processes, enhancing livelihood strategies, and achieving desired livelihood outcomes.

In the group interviews, four NGOs (1, 2, 8, and 10) mentioned working with aspects of the vulnerability context, while eight did not mention it. NGO 6 said they had recently started thinking about the vulnerability of those they work with, asking who are the most vulnerable and how can we overcome it? How can we help people be less vulnerable? One participant from NGO 2 stated:

Yo he notado de que se está haciendo de manera implícita se está trabajando ya Medios de Vida Sostenibles, porque al diversificar la producción o sea agrícola o agropecuaria se está haciendo que el sustento del pueblo o de la gente se asegure, ¿no? sea sostenible en el tiempo, que la gente vive bien, y vive en su propia zona, evitando la migración y evitando otros problemas. I have noticed that Sustainable Livelihoods is already being used implicitly, because by diversifying production, be it agricultural or livestock, it's making the support of the pueblo sure, no? and

sustainable during time, that the people live well, and live in their own zone, avoiding migration and avoiding other problems.

Individual interviews showed that other NGOs are working with the vulnerability context but did not mention it in the group interview. Other aspects of the vulnerability context addressed by the NGOs during the individual interviews are diversification and market expansion. Individual respondents from NGOs 1, 2, 3, 5, 6, and 7 (or 20.4% of the informants) also mentioned having the goal of diversification, meaning they strive to help beneficiaries diversify in agricultural or livestock production. Another 49% of respondents mentioned they are trying to expand the market for the products the beneficiaries produce.

Five of the NGOs (1, 2, 5, 10, and 12) interviewed in groups mentioned working with influence and access to structures and processes. From the individual interviews, 24.5% of respondents try to inform local people of their rights, or work with rights issues. Also, 77.6% of respondents said a goal for them was to assist in the creation of and/or strengthen local organizations. Another goal many individual respondents (42.9%) work with is of sociopolitical issues.

Half of the NGOs (1, 4, 6, 7, 8, and 10) mentioned working with transforming structures and processes in some way. In the individual interviews, 36.7% mentioned having the goal of supporting women, and 69.4% of respondents have the goal of helping to shape leaders.

In the group interviews, eight NGOs (2, 3, 5, 6, 8, 9, 10, and 11) said they work with livelihood strategies. In the individual interviews, members of ten NGOs (1, 2, 3, 4, 5, 6, 7, 8, 9, and 10) (34.7% (17/49) of respondents) had a focus on forming livelihoods for their

beneficiaries. Another 34.7% of respondents have the goal of helping beneficiaries find work or better work. Of those interviewed 65.3% reported having the goal of improving agricultural production.

From the individual interviews, team members of all of the NGOs mentioned striving to achieve the livelihood outcomes as categorized by the DFID guidance sheets (more income, increased well-being, reduced vulnerability, improved food security, sustainable use of natural resources). Of the individual interviews, 53.1% of respondents have the goal of specifically increasing income of the beneficiaries. Respondents from eleven of the NGOs specifically mentioned aiming to improve the quality of life of those with whom they work. All of the NGOs also said they are working with some form of training for producers and sustainable natural resource use.

Principles

Principles from the SL approach are people-centered, holistic, dynamism, building on strengths, participation, and sustainability.

Eleven of the twelve NGOs reported being people-centered. Only NGO 9 did not mention being people-centered in the group interview, although at least one team member from their organization had mentioned it in the individual interview. During the group interview, NGO 6 said "*El humano es el centro de lo que hacemos.* Humans are the center of what we do." From eleven NGOs during the individual interviews, 46.9% (23/49) of those interviewed thought of their work as being people-centered. No one from NGO 4 mentioned the principle of being people-centered in the individual interviews.

Five NGOs (1, 3, 6, 10, and 12) during the group interviews talked about being holistic. One NGO said, "*La perspectiva integral es una cosa que caracteriza ambos tipos*

de aproximación al trabajo. The holistic perspective is one thing that characterizes both types of approaches of work." In the individual interviews, though, only 4 respondents from four NGOs mentioned holism as a principle they try to apply.

Five NGOs (1, 2, 8, 10, and 11) mentioned they are dynamic or flexible in their work or methods in the group interview. In the individual interviews, 26.5% (13/49) of respondents from eight NGOs mentioned dynamism or flexibility as something important in their work. NGO 8 said:

> *Yo creo que el hecho en que nos hallamos estamos incluyendo nuevos metodologías y nuevas estrategias de acuerdo a las necesidades...[E]l trabajar te da experiencia, en el camino te da necesidad de ir innovando nuevas metodologías e investigando y recogiendo información y luego vas incluyendo estas nuevas tendencias que se va dando el camino, por ejemplo los proyectos sociales, midiendo los indicadores, los marcológicos. Y todo esto se va ingresando la institución, de acuerdo con la necesidad que tiene la institución por evaluar a si misma... Todo esto significa que tiene que sustituir nuevas cosas, nuevas metodologías, buscar cambios, buscar como mejorar su trabajo.* I believe that how we are now, we are including new methodologies, new strategies according to needs... [T]he work gives you experience, and along the way you need to begin innovating new methodologies and researching and collecting information, and later you include these new trends that the path gives you, for example social projects, measuring indicators, frameworks. And all of this the institution continues to take in according to the need the institution has for evaluating itself... All of this means that you have to substitute new things, new methodologies, look for changes, look for how to improve your work.

Eleven NGOs concentrate on building on strengths. NGO 4 did not mention this component during the group interview. From the individuals, 36.7% (18/49) of those interviewed focus on building strengths. These individuals belong to ten different NGOs.

From the individual interviews 38.8% (19/49) of respondents from nine NGOs, work with macro-micro linkages and building partnerships. Half of the NGOs (1, 4, 6, 8, 9, and 12) in the group interviews try to work with macro-micro linkages.

Nine NGOs (1, 2, 4, 6, 7, 8, 9, 11, and 12) mentioned concentrating on sustainability in general during the group interview. Five NGOs (1, 2, 6, 8, and 11) highlighted environmental sustainability; another five (2, 5, 8, 9, and 11) mentioned economic sustainability; and four (1, 6, 8, and 12) brought up social sustainability. In the individual interviews 57.1% (28/49) of respondents, from ten NGOs, mentioned sustainability as a priority for their organization.

Eight NGOs (1, 2, 3, 4, 5, 8, 9, and 12) mentioned working with the participation of beneficiaries in the group interview. During the first interviews with individuals from each NGO, 79.6% of respondents (39/49) mentioned the participation of local people in their work. In the individual interviews, all NGOs mentioned using participatory means in their work, with at least 50% of those interviewed from each NGO stating so.

According to the group interviews, NGOs each apply at least two of the SLF goals and three similar principles. Also, the NGOs were found to be working with up to four of the same goals and even all seven of the SLF principles.

Summary

The NGOs in this study appear to be working with the goals and principles of the Sustainable Livelihoods Framework. NGOs in this study are working with the goals the framework has for poverty reduction in reducing vulnerability, improving access to and transforming policies and institutions, working with livelihood strategies or livelihood outcomes. The principles of SLF are also held by the NGOs. However, not all the goals or

principles are held by all of the NGOs, nor are they found among all of the actors within each NGO. Some of the goals and principles that were less common in the NGOs are holism, dynamism, and influencing policy and processes.

A number of responses changed for the NGOs between the individual interviews and the group interviews. For the goals and principles outlined by the framework, the groups of NGOs seemed to have more tendency to respond negatively (i.e. they did not apply the principle or goal or it was not mentioned), than when questioned individually. In the cases where responses changed to the variable being present, it suggests that the team was reminded of, or recognized a component of their work they had not thought of individually. However, the cases in which responses changed from being present to not being present were surprising, and suggest that some elements of SLF may exist in the organization on a smaller basis, and not at every level or in each area of the NGO. It can also suggest that once I presented the definition of an element of the formal framework, the organization, as a group, no longer agreed it was a component with which they worked.

Sub-hypothesis 2: Tools and methodologies of NGOs are compatible with SLF.

By examining the tools and methodologies of NGOs and comparing them to the goals and principles of SLF, along with the suggestions DFID makes for using an SL approach, we can see if the NGO is on the same track.

Methods DFID suggests for doing a sustainable livelihoods analysis include stakeholder analysis, gender analysis, participatory approaches, environmental checklists, governance assessment, institutional appraisal, macro-economic analysis, market analysis, participatory poverty assessment techniques, risk assessment, social analysis, strategic

conflict assessment, strategic environmental assessment, empowering methods, and working with partners.

The individuals interviewed from the NGOs use a variety of tools and techniques for carrying out their work. One technique is *Campesino a Campesino* Farmer to Farmer exchanges as mentioned by 34.7% (17/49) of respondents. Another program is adult education (mentioned by 22.4% of respondents). Respondents (32.7%) said they use local facilitators from the communities they work with to help in their projects. Of those interviewed, 24.5% use some participatory appraisal and 4.1% specifically mentioned rural participatory appraisal.

Other tools and methods used by the NGOs are *Escuelas de Campo de Agricultores* Farmer Field Schools as a tool for training farmers, mentioned by 34.7%; 16.3% of respondents teach Integrated Pest Management to beneficiaries; and demonstration plots with farmers, mentioned by 24.5% of respondents.

Individual informants (12.2% (6/49)) said they use *bancos comunales* or communal funds or bank for the community as a tool to promote access to credit.

Another technique used by several NGOs (8.2% (4/49) of respondents) is to charge a small fee for the services they provide to beneficiaries to enable sustainability for their institution and to prevent problems that arise both for beneficiaries and the institution when services are free.

Summary

The tools and methodologies recommended by the SL guidance sheets refer specifically to carrying out a SL analysis and understanding what the needs of the communities are for assistance, while the tools and methodologies mentioned by the NGOs

are directed toward project implementation, technical training or technological transfer. Two similar tools suggested by DFID that are being used by several NGOs are participatory assessments and working with partners. The tools used by the NGOs, while for the most part do not lean toward a SL analysis, may be appropriate for project changes or implementation after a livelihoods analysis has been carried out, where appropriate.

Sub-hypothesis 3: The NGOs are working with the five forms of capital from SLF (human, natural, social, financial, and physical).

Through the both the individual and the group interview process, NGOs and their team members revealed they are working with the forms of capital assets SLF recommends as areas for recognizing in the formation of livelihoods. NGOs, however, also pointed out they may be working with several of the forms of capital, but not in an integrated manner as SLF suggests.

Human capital

From the group interviews, all of the NGOs reported working with human capital, through some form of capacity building, education and training programs, or health programs. NGO 6 commented "*El capital humano es primordial.* Human capital is fundamental."

NGOs are working with building human capital in many ways. The learning technique known as *Campesino a Campesino* Farmer to Farmer exchanges is used by respondents from 7 NGOs in their work, respondents from 6 NGOs use adult education programs, and 8 NGOs use local facilitators from the communities they work with to help in their projects. Of those interviewed, 36.7% from 9 NGOs mentioned having the goal of

supporting women. Respondents from 10 NGOs said their institution works with health of local people. All 12 NGOs have the goal of helping to shape leaders. Informants from nine NGOs work with gender equality. Eight NGOs work with hygiene issues.

Natural capital

All of the NGOs but one (NGO 7) during the group interviews said their organization works with natural capital. that individual respondents mentioned a number of techniques for working with natural capital from each of the NGOs. Out of all of the NGOs, 34.7% (17/49) of those individually interviewed use *Escuelas de Campo de Agricultores* Farmer Field Schools as a tool for training farmers; 16.3% (8/49) of respondents teach Integrated Pest Management to beneficiaries; 40.8% (20/49) of the respondents said their organization works with or is concerned with the environment. Of those interviewed, 18.4% (9/49) reported working with agroecology; 28.6% (14/49) of those interviewed work with livestock production; and 24.5% (12/49) of respondents mentioned having demonstration plots with farmers.

Physical capital

Four NGOs (3, 8, 10, and 12) said they work with physical capital. The other eight did not mention working with physical capital in the group interviews. From the individual interviews, 53.1% work with *agroindustria* (the value-added aspects of agronomy). Of those interviewed 65.3% reported having the goal of improving agricultural production.

Financial capital

Nine of the twelve NGOs mentioned working with financial capital. NGO 4 said they work with financial capital because it has the capability to improve lives and provide a better income. The individual interviews revealed that 20.4% (10/49) of respondents work with

micro lending, and 12.2% (6/49) mentioned having *bancos comunales* or communal funds or bank for the community.

Social capital

Almost all (eleven of the twelve NGOs) spoke about working with social capital. NGO 7 did not mention working with social capital in the group interview. Participants from NGO 4 said social capital helps them work at more than one level, like a ladder for achieving development. From the individual interviews, 38 respondents said a goal for them was to assist in the creation of and/or strengthen local organizations; 21 said they work with sociopolitical issues; and 5 respondents said they are striving to create solidarity among the groups or communities with which they work.

Four NGOs also mentioned dealing with other forms of capital that they considered important that are not considered in SL. NGO 1 brought up working with political capital as part of the sustainable development for which they strive. NGO 6 and NGO 11 referred to *capital de trabajo* or work capital within their organization. NGO 8 mentioned moral capital.

During the group interviews, when I asked about the similarities or differences between the organization and SLF, several NGOs replied they were working with the capital assets from SLF, but not in an integrated manner. One respondent said:

> *De lo que nosotros trabajamos, no todos trabajamos, de repente, los cinco medios de igual manera. Siempre hay algo de lo cual más priorizamos nosotros. Por ejemplo, en el caso de salud, nosotros trabajamos bastante lo que es el medio humano, el financiero trabajamos muy poco. Sí, se va relacionando de repente con algunos medios, pero no todos, no siempre en conjunto los cinco.... De repente, lo que te puedo decir, es que siempre tenemos los conceptos, pero aplicar en la práctica los cinco medios en conjunto es bien difícil, de repente requiere de un equipo con mayor dimensión. Nosotros acá en los proyectos que trabajamos, son proyectos digamos no*

tan multidisciplinarios. Of what we work, we don't all work the five resources in the same way. There is always something that we put first. For example, in the case of health, we work a lot with human capital, but we work very little with financial capital. Yes, sometimes we work with some of the capitals together, but not everything, not always all of them together... Perhaps what I can tell you is that we always have the concepts, but applying all five together in a practical way is quite difficult. It would require a team with greater scope. We here, the projects that we have, shall we say, aren't so multidisciplinary.

Other respondents in several NGOs also talked about the capitals pentagon after the SLF presentation, commenting on the integrated way the capitals can work together when using the framework. They said currently their practices do not include an integrated approach, such as the pentagon, to working with capitals.

Summary

NGOs are working with at least two or three of the capitals, although not in an integrated manner as the SL framework entails. All of the NGOs are working with human capital. They are also all working with natural capital, although NGO 7 did not mention it in the group interview. Four NGOs specifically mentioned working with physical capital in the group interview. Financial capital is also being emphasized in nine NGOs, and eleven NGOs are working with social capital in some way, as mentioned in the group interviews.

Changes in responses were noted from individual to group responses for working with capital assets as well. One example is in the group interview NGO 7 did not mention working with natural capital; however, in the individual interviews, team members from NGO 7 spoke often of working with natural capital. Their team members pointed out during the individual interviews they work with *Escuelas de Campo* Farmer Field Schools, the agroindustry, improving production, and they are concerned about the environment.

Individual interviews show more NGOs do work with physical capital than was suggested by the group interviews. The individual interviews revealed ten of the NGOs are working with improving health or hygiene of families. NGO 3 has assisted in the construction of water piping to kitchens for improved hygiene during meal preparation. All of the NGOs strive to increase markets of their beneficiaries, by instructing beneficiaries in the construction of, or use of, small machinery for value-added processes to crops.

NGOs found the capitals pentagon to be a very interesting concept that may assist in their work with beneficiaries, focusing on resources that may be ignored otherwise. However, they also noted it would require perhaps more training of personnel to successfully implement a project with all of the capital categories.

Sub-hypothesis 4: NGOs in Peru feel it would be useful for their organization to learn more and possibly implement SLF.

When questioned whether or not they felt the Sustainable Livelihoods approach would be useful to their work, five NGOs (2, 3, 6, 7, and 12) replied 'yes, it would be very useful'; five NGOs (1, 4, 5, 9, and 11) replied 'yes, parts would be useful'; and two (8 and 10) replied 'it may be useful with further study'. None of the NGOs replied it would not be useful to them. Comments from the NGOs included: it could be very useful with more information (NGO 8); more than useful, it's necessary (NGO 7); yes, it's valuable and will support the work and we would like to learn more (NGO 1); we should put it into practice (NGO 6); it is extremely useful because of the conceptual framework (NGO 12); it would be difficult to determine its usefulness without having put it to practice, but it looks that it might enrich or complement an analysis (NGO 10); yes, it will provide a deeper, more holistic

analysis (NGO 5); it can help us work with a macro level (NGO 4); using all of the aspects of SLF will help achieve sustainability (NGO 3); it's a base from which to start (NGO 9); it can help our institution in some aspects (NGO 11); it will be quite useful as a guide to follow and achieve results (NGO 2).

The teams that I interviewed following the SLF presentation expressed interest in the framework. Many wanted more information about SLF and several participants commented they were going to start implementing segments of the framework immediately in the areas they supervise. Ten NGOs gave a positive response (yes, completely, and yes, parts) when asked for their opinion on possible usefulness of SLF in their organization. No NGO said it would not be useful at all to them.

Sub-hypothesis 5: Perception of Funding Agencies' Influence

I also asked each of the individual interviewees for their opinion on whether or not funding agencies played a role in their methodology or project schema. Twelve participants responded that donors had a lot of influence on their work, be it through suggested methodologies, projects, detailed results, etc. They emphasized that donors are demanding in their requirements for proposals and quantitative results. Another 21 respondents said funding agencies had some influence on the methodologies or projects for their organization, mostly depending on the donor. A number of individuals said certain donors are more demanding than others, some with many requirements and suggestions, and others that are more flexible in project guidelines. Eleven interviewees replied donor agencies do not have much influence on their organization; donors simply provide the money for their projects and require a report on the results. Five participants did not respond to the questions on funding.

Some said donors may provide an occasional suggestion for a methodology or how to reduce costs, but overall it's the NGO's project ideas, methodologies, and work, allowing them to be flexible with their tools and methods where necessary. Several people responded they purposefully do not seek or work with funding agencies that are too demanding or require projects or aspects thereof that contradict their principles or religious doctrine. One person commented they have noticed a decrease in funding agency monies coming to their region due to the tsunami in Asia in December 2004 as well as other possible crises in other parts of the world. A few of the respondents divulged that funding was running down on some of their projects and they worried about what would happen to the beneficiaries.

With regard to donor agencies' influence on methodology and projects, some respondents replied that donors have little to do with their work other than checking to make sure the money is going to where it is supposed to be going. Alternatively, other respondents said they did have a great deal of influence in their projects. One person said:

> *Yo creo que hasta ahora, todavía tienen mucha influencia, porque en muy pocas ocasiones, dependiendo poco de la estrategia que tenga la institución, los donantes normalmente proponen las líneas de trabajo. Y creo que si bien es una forma de ayudar, consideramos de que debe ser el país o en las comunidades quienes definan cuales son sus prioridades. Al salir, yo creo que la política de apoyo bilateral que hay allí entre los donantes y nosotros de acuerdos bilaterales debe ser recogiendo las necesidades desde la comunidad. Por eso resulta en un problema de pobreza en el mundo porque las soluciones vienen de afuera. Entonces no han sido asimiladas, no han sido consideradas como las más prioritarias para la comunidad. La comunidad lo ha hecho porque tiene la necesidad de recibir fondos y hacer actividades, hacer obras, porque subsiste con eso, pero no ha cambiado la situación. Una política diferente podría producir cambios significativos. El día en que las comunidades puedan ser actores, podrían tener soluciones que nacen de ellos mismos.* I believe

that even now, they still have a lot of influence, because in a few occasions, depending on the strategy the institution has, the donors typically put forth the lines of work. I believe that is a form of help; however, we consider that it should be the country or the communities that define their priorities. I believe that the politics of bilateral support that exists between the donors and us from bilateral agreements should be recognizing the needs of the community. This results in a problem of poverty in the world because solutions come from the outside. So they have not been assimilated, they have not been considered as the highest priorities by the community. The community does it because it needs the money; it needs public works and activities, because it subsists through these means. But it hasn't changed the situation. A different policy could produce significant changes. The day that the communities can be actors, they will have their own solutions that come from them.

These NGOs recognize the difficulty of working with funding agencies in their stringency of proposals, results, and reports. None noted the advantages of having good records and using these to improve their programs.

Another respondent noted how important the donors are for their work:

Sí hay influencia. Todo lo que hacemos es por el dinero de las agencias. Ya el proyecto y el dinero están terminando. A veces no podemos hacer todo lo que queremos por no tener el dinero. Yes, there is influence. Everything we do is because of the agency money. The project is ending soon and the money along with it. Sometimes we can't do all that we want to because of not having the money.

Main hypothesis: NGOs in Peru use many elements of the sustainable livelihoods framework without being formally trained in it.

Specifically looking for NGO knowledge of the formal SL framework, I asked participants in the group interviews about their awareness of the framework before the study.

The main hypothesis was tested through this line of questioning, as well as examining the other aspects of SLF from the sub-hypotheses.

Three NGOs had individuals that had heard of SLF. NGOs 1, 9, and 10 each had one individual that had heard of SLF by name but did not know what it was. NGO 10 also had one other individual that had recently returned from Spain where she had learned elements of SLF. Other members present in the group interviews in almost all of the NGOs stated they had heard of or work with sustainable development practices but not specifically heard of "*medios de vida sostenibles* sustainable livelihoods" or the framework. None of the NGOs were working formally with SLF. It does not appear to matter whether the NGOs are located in an urban setting (Lima) or a more rural area (Huancayo) for access to information on SLF.

The main hypothesis is supported by the low number of respondents that had actually heard of SLF, and the sub-hypotheses support identifying the many components of the framework that are used by the NGOs.

CHAPTER 5: DISCUSSION AND CONCLUSIONS

This study has examined the utility of DFID's Sustainable Livelihoods Framework among NGOs in Peru. The framework was designed for implementation in less-developed countries, as a product of a call for improved results in poverty reduction by the United Nations (DFID 1999). It uses sustainable development practices to achieve these results, focusing on a crucial aspect in everyone's lives, and which demands sustainability—their livelihood. This kind of approach was little known in the research area in NGOs, an important group that according to Bebbington (2004) should be employing the framework for increased understanding of current livelihood issues for their beneficiaries.

I investigated rural development NGOs' use of the components of SLF within each organization along with their perception of the framework for their work in poverty reduction, and their perception of donor agency influence on their methods and projects. Five significant findings stand out among the results including the application of the framework elements, the difference in NGO methodologies, funding agency influence, the utility of the framework for the NGOs, as well as the efficacy of my research methods.

SLF components present, but not integrated

I found that NGOs in Peru are working with segments of the sustainable livelihoods framework, but in a disconnected manner. The organizations follow or use some of the principles, specialize in and work with the capital assets categories, and are striving for the same ends as SLF of poverty reduction and a better quality of life for the people with whom they work. All of the NGOs are working with between 2 to 4 of the 5 main goals of the SL approach. They are also currently applying between 3 to 7 of the principles. The capitals

pentagon that is presented in the framework created a great deal of interest among the participants. They agreed their organizations were working with at least two and up to all five of the capital assets mentioned in the framework. Several of the NGOs were also working with other forms of capital (i.e. political capital, moral capital, and work capital) they felt were important but that are not mentioned in the DFID SL framework.

However, in general the NGOs do not employ the overall framework in its completeness in a connected scope for achieving a holistic, integrated view of livelihoods in the regions they work. As mentioned in Chapter Four, respondents recognized many aspects of SLF they work with but they said they do not work with them in a holistic manner.

The elements that are present were not recognized by the NGOs as being part of a framework. A number of participants stated that the pieces of the framework were very similar to what they currently do; however, they had not seen them as a part of a framework or to be used as a holistic approach together. Components of the framework that are being used by the NGOs remain as disconnected pieces, rather than the integrated approach to understanding livelihoods as is the aim of SLF.

After I presented the Sustainable Livelihoods Framework to the NGOs, I expected an increase in positive responses (yes, we do that) for each variable as participants recognized a piece of their work in the framework presentation. While in some instances this did occur, there were a surprising number of negative responses (no, we do not do that or it was not mentioned) after the presentation for the variables that had been mentioned by individuals in a NGO. Participants did say, however, that the approach was very similar to what they currently do. This suggests that some of the elements are present only at an individual or smaller level, and not with the group or organization as a whole. Once again, this points out

the lack of integration of the elements or component of SLF for the NGOs. Without having the entire package of the framework, the elements that are being used remain as just bits and pieces.

Differences in methodologies

The Sustainable Livelihoods approach focuses on analysis and developing strategies based on conscious choices or awareness of assets and strategic investments –to achieve "success" or goals as defined by the communities. The Guidance Sheets suggest certain methodologies that will be useful in obtaining an analysis and furthering understanding of current livelihood practices, goals, and hindrances. This approach does differ from the more technological transfer approach the NGOs in the study tend to use.

The NGOs do some analysis using participatory methods to understand the needs of the communities with which they work. However, when asked about the methodologies they use, respondents talked of field techniques for farmer learning, improved hygiene, or animal health. They spoke of means for getting more participation in the classes or projects they offer. These methods are necessary for project implementation, but they may be enhanced by the SLF suggestions for analysis. The NGOs may also find with an SL analysis, efforts could be refocused on other livelihood aspects.

The funding agency's role

Monies are necessary for project implementation, thus the organizations are dependent on funding agencies. NGO practices are often 'donor directed' for funding purposes, within the overall goals of each NGO. Respondents said the range of influence on

projects and methodologies by their donors varies from very little to quite significant,

depending on the funding agency. NGOs typically, but not always, receive some advice,

suggestions, or minor training for projects from funding agencies. Up to the time of this

research, however, none of the NGOs in the project had received any direction pertaining to

SLF from their donors. Though, as Bebbington (2004) points out, these donor agencies

could make a greater contribution to poverty alleviation through proper support of NGO

learning and practices in livelihood analysis.

The Sustainable Livelihoods Framework is an option to achieve a more sustainable

development in Peru through NGOs that can be made more readily available by donors to

those organizations, while honoring the critical pieces of the framework NGOs are already

using. NGOs in the study expressed interest in learning more about the framework and, in

this preliminary view, found it to be beneficial to their work in rural areas. Donors could

contribute to supporting SL learning and development of new skills by the NGOs, while

making sure to acknowledge the components the NGOs are already utilizing. If funding

agencies provided the approach to organizations, these elements could be picked up fairly

easily by the NGOs because many of the elements are already present at least on an

individual level basis.

The utility of SLF

NGOs showed interest in the SL approach for their work in rural poverty reduction.

They acknowledged that their learning about the framework thus far was preliminary, though

they expressed enthusiasm for experimenting with the framework, and further discussing

possible changes in their organizations that would assist them in following the holistic

techniques in the framework. Overall, respondents said SLF appeared to be very useful in its

suggestions for poverty reduction. Particularly, respondents expressed interest in how the

framework was holistic, including many aspects that affect livelihoods and well-being. They

said it emphasized the importance of identifying and using all assets wisely, something

participants recognized they may not currently be doing. Respondents conceded that it is

important to try to bridge the gap between the micro and macro levels as the framework

recommends, yet acknowledged that this can be a difficult undertaking.

Respondents commented many aspects of the SL approach may be useful for them in

their efforts for rural development. Several individuals had reservations about a few of the

elements of the framework including the perspective coming from external sources and the

use of the term "poor"; however, all of the NGOs stated they would like to learn more about

the framework, in order to possibly implement it in their work.

Research methods

The methods I used in this research were quite useful in establishing rapport with the

individuals and NGOs as we discussed their organizations and this new framework. Using

semi-structured interviews with open-ended questions allowed for respondents to emphasize

the aspects that are important to them in their work, while still focusing on elements that

were pertinent to the study. By having three stages of the study (1. Individual interviews, 2.

SLF presentation, 3. Group interview) with each NGO, learning progression and reflection

occurred.

Suggestions for Further Action Research

The study of rural development, poverty alleviation and sustainable livelihoods approaches, especially in Latin America, will continue to be a fruitful area of action research for development practitioners. This study has concentrated only on the current possibilities for utility of SLF in NGOs in Peru. I was able to introduce several NGOs to this concept, but their interest, for the most part, remains unsatiated. NGOs expressed interest in learning more about SLF and testing it in their projects and the communities where they work. They also stated this framework should be presented to the state level so there could be a more effective collaboration of efforts between the micro and macro levels.

APPENDIX A: INTERVIEW QUESTIONS

First Interview Questions

1. How did your organization begin? *¿Cómo se originó su organización?*
    - Why did the organization choose to settle/develop in Montaro Valley?
    ¿Por qué la organización escogió desarrollarse en Huancayo?
    - What were the founding principles and goals at that time?
    ¿Cuáles eran los principios y metas fundamentales de su organización en aquel tiempo?
    - What methodologies did you develop to help local people address their issues?
    ¿Qué metodolgías desarrolló para ayudar a la gente local para tratar sus problemas o necesidades?
    - Has the organization changed since then?
    ¿Cómo ha cambiado la organización desde aquel tiempo?
    - How have the wants or needs of the people you serve changed since that time?
    ¿Cómo ha cambiado la gente a quién se ayudó desde aquel tiempo?

2. How have your methodologies changed over time?
    ¿Cómo ha cambiado sus metodologías durante esta época?

    - What are the most successful things you currently do?
    ¿Cuáles son las cosas más exitosas que se está implementando actualmente?

3. How are your methodologies benefiting local people? *¿Cómo se benefician las personas locales de sus metodologías implementadas?*

    What things are you adapting to new circumstances? *¿Qué aspectos está adaptando para circunstancias nuevas?*

    What are your goals for the future? *¿Cuáles son las metas a futuro?*

    Do your current programs meet your needs for achieving future goals? And the needs of those you serve? *¿Sus progamas actuales satisfacen sus necesidades para alcanzar futuros objetivos? ¿Y las necesidades de aquellos a los que sirves?*

4. How much influence do donors have on projects and methodologies? *¿Cuánta influencia los donantes tienen en los proyectos y metodologías?*

    What are the projects where donors are most eager to partner? *¿Cuáles son los proyectos dónde los donantes están más dispuestos a participar?*

    Have these changed over time? *¿Han cambiado estos en el tiempo?*

Second Interview Questions

1. Had you heard about the Sustainable Livelihoods Framework previously? *¿Había escuchado acerca del enfoque Medios de Vida Sostenible (MVS) antes de mi visita?*

   How much had you heard about it? Where did you learn about it?
   ¿Cuánto había escuchado acerca de MVS? ¿Dónde lo aprendió?

2. What are the similarities or differences of these compared with MVS? *¿Cuáles son las similaridades o diferencias entre sus metodologías actuales comparada a MVS?*

3. Do you perceive SLF as possibly being useful to your organization in your work for poverty alleviation? *¿Perciben que MVS podría ser útil al trabajo de eliminación de la pobreza de la ONG?*

APPENDIX B: INTERVIEW RESPONSE VARIABLES

List of variables for individual interview responses

Name of Organization	Presence of goal aumentar ingresos
Name of Respondent	Presence of goal empleo
Presence of participation	Presence of goal calidad de vida
Presence of dynamism	Presence of goal diversificacion
Presence of focus on strengths	Presence of goal fortalecer organizaciones
Presence of macro micro	Presence of goal salud
Presence of focus on sustainability	Presence of goal agroindustria
Presence of holism	Presence of goal formar lideres
Presence of people centered	Presence of goal equidad de genero
Presence of focus on livelihoods	Presence of goal microempresas
Presence of cobrar agricultores	Presence of goal sociopolitico
Presence of demonstration plots	Presence of goal ampliar el mercado
Presence of ECAS	Presence of goal medio ambiente
Presence of Campesino a campesino	Presence of goal higenie
Presence of IPM	Presence of goal mejorar produccion
Presence of educacion de adultos	Presence of goal solidaridad del grupo/comunidad
Presence of comunity facilitators	Presence of goal agroecologia
Presence of bancos comunales	Presence of goal ensenar derechos
Presence of capacitacion/charlas	Presence of goal trabajar con animales
Presence of diagnostico participativo	Presence of goal apoyo de la mujer
Presence of diag. rural participativo	

List of variables for responses in group interviews

|	
name of ong	presence of mvs
number of participants heard of MVS	in general methods are similar
in general methods are different	works with vulnerability context issues
concentration on capitals in general	concentration on human capital
concentration on natural capital	concentration on physical capital
concentration on financial capital	concentration on social capital
concentration on other form of capital	works with influence and access to structures/processes
works with transforming structures/processes	works with livelihood strategies
works with achieving livelihoods outcomes	concentration on being holistic
concentration on centrado en las personas	concentration on building on strengths
concentration on dynamism/flexibility	concentration on sustainability
concentration on macro-micro linkages	concentration on economic sustainability
concentration on environmental sustainability	concentration on participation
concentration on social sustainability	will mvs be useful to your organization?

Frequencies from Individual Interviews
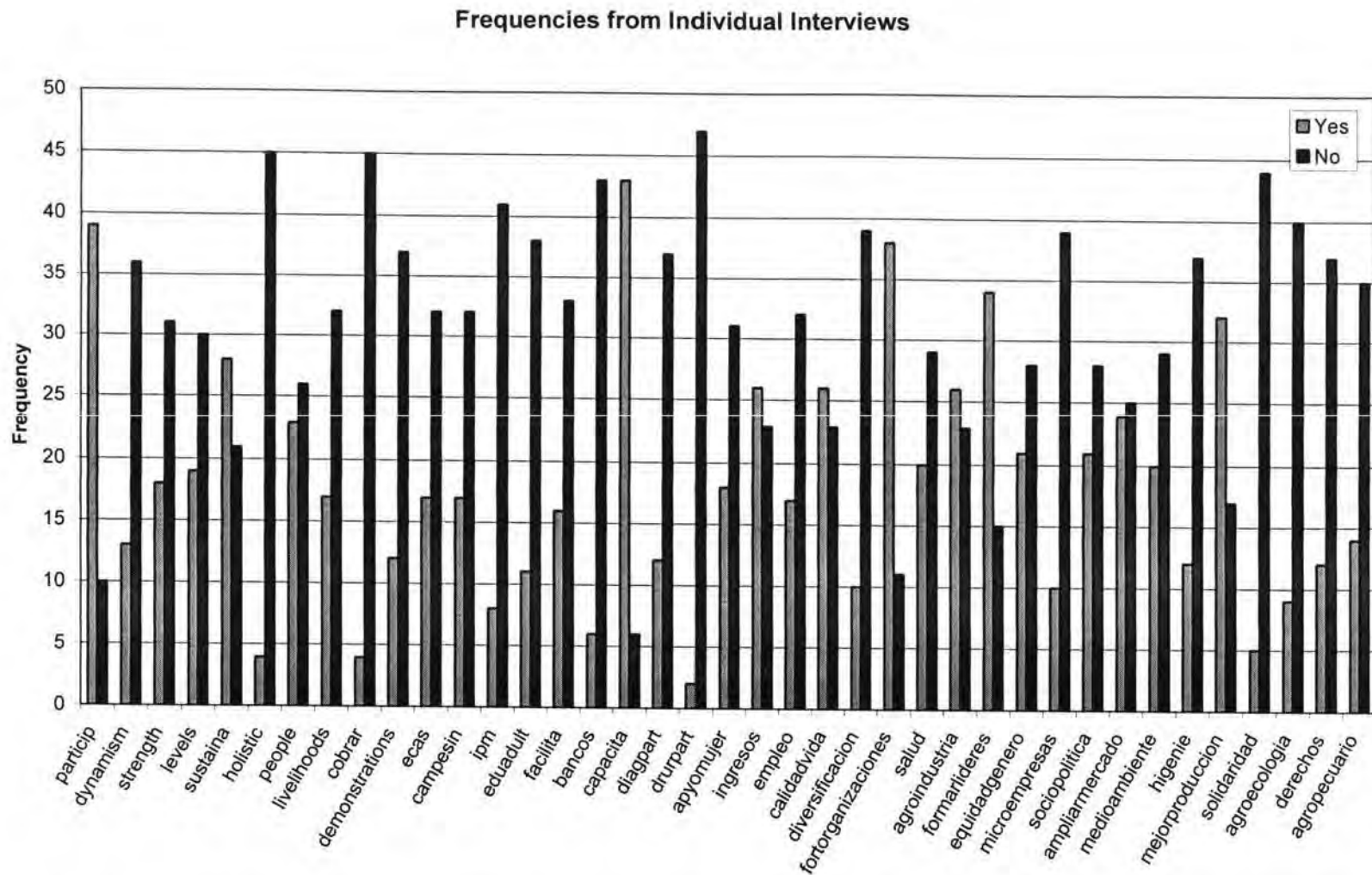
Figure 1: Number of present/not present (yes/no) responses from individuals according to variables for the first interviews. See Appendix B: Table 1 for list of variables.
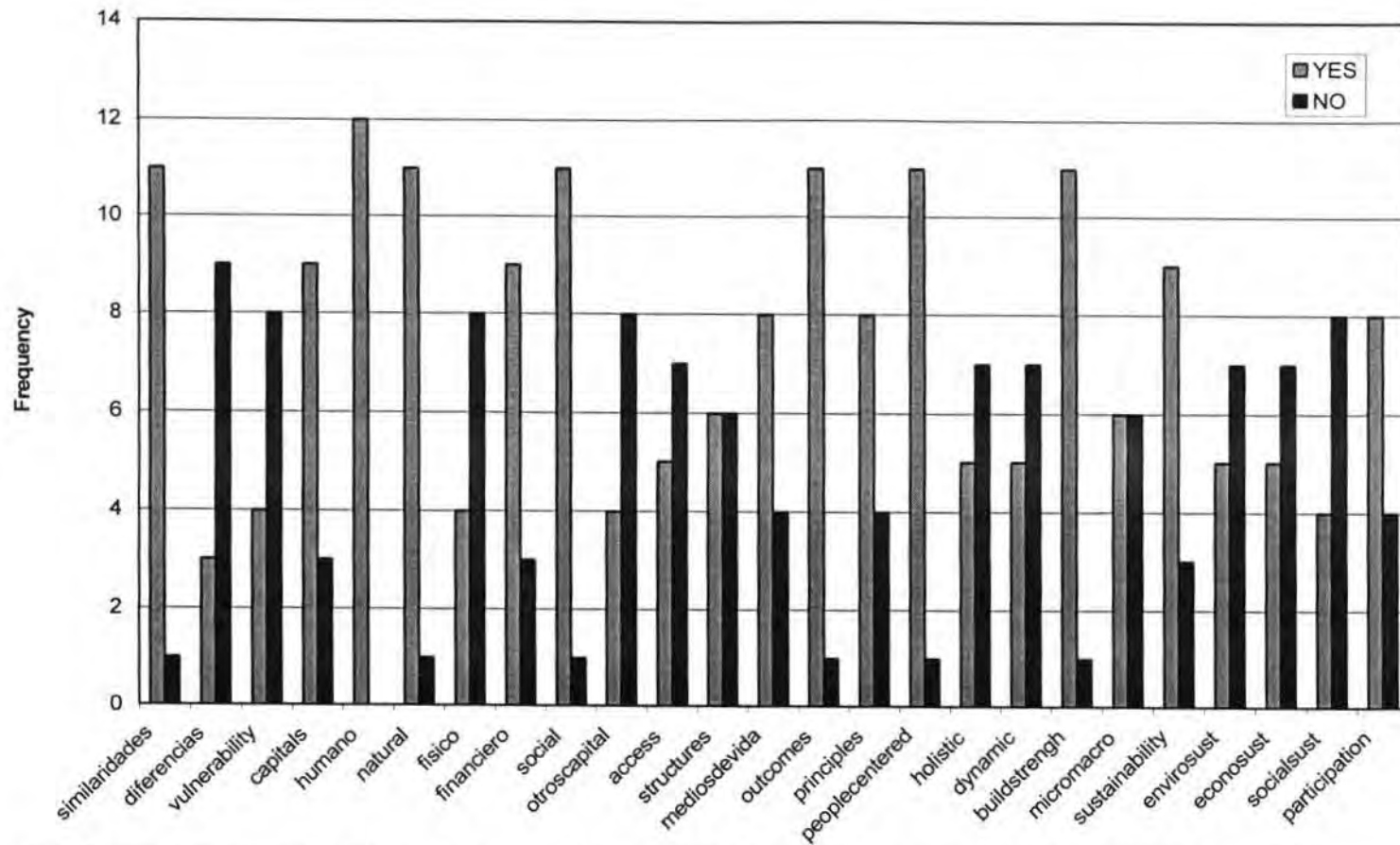
Frequencies from Group Interviews

Figure 2: Number of present/not present (yes/no) responses according to variable during second interview with NGOs (n=12). See Appendix B: Table 2 for list of variables.

APPENDIX D: POWERPOINT PRESENTATION TO NGOS

Medios de Vida Sostenibles (MVS)

Abril de 2005
Heather Hughes
Iowa State University
(UNALM/TPPS)

Introducción

- Nombre
- De donde eres
- Algo que te gusta hacer

Objetivos

- Introducir los conceptos básicos y elementos practicos del enfoque MVS
- Crear una base en que se puede añadir.

Que significa

- No van a salir expertos hoy en MVS
- Van a poder compararlo con lo que están haciendo actualmente
- Y podrán seguir el aprendizaje (si desean) con la literatura, etc.

También...

- MVS no es...
  - Una pócima mágica
- Pero
  - "La adopción de la teoría de los medios de vida sostenibles proporciona una vía para mejorar la identificación, valoración, implantación y evaluación de los programas de desarrollo, de manera que estos respondan en mayor grado a las prioridades de las poblaciones menos favorecidas." –DFID, 1999

Orígen

- Robert Chambers, IDS, 1980s
- Salió de los inquietudes y el disgusto con la eficacia de los esfuerzos del desarrollo
- Cambios en la perspectiva de la pobreza con los métodos participativos
- Adoptado por varias organizaciones: DFID, Programa de las Naciones Unidas para el Desarrollo, Fondo Internacional de Desarrollo Agricola, CARE, Oxfam International, IDS, Banco Mundial, etc.

Definición de la Pobreza

- No solamente los ingresos / GDP
  - Sino el desarrollo humano
- No solamente los medios de sobrevivir
  - Sino la capacidad de prosperar

TIP

No ser pobre significa las personas...

- Puedan sostener las capacidades, activos y actividades necesarias para ganarse la vida.
- Puedan soportar tensiones y choques.
- Y mantener y mejorar sus posibilidades y activos
- Sin dañar la base de recursos naturales existentes

TIP

Si ponemos las personas al centro del desarrollo, necesitamos...

- ser más holístico
  - personas pobres tienen vidas complejas
- ser dinámico
  - como las amenazas y oportunidades que inciden
- sustentarse en su potencial inherente
  - en vez de en lo que no tienen
- considerar los lazos macro-micro
  - porque la poblacion es afectada por las políticas
- ser sostenible
 - medio ambiental, económico, social, institucional

Y en particular ...

◌ Necesitamos incorporar la definición de resultados deseados de la población

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*El Marco MVS*

Nos ayuda pensar holísticamente sobre:

- La vulnerabilidad de los pobres
- Los activos y recursos que les ayudan prosperar y sobrevivir
- Las políticas e instituciones que impactan sus medios de vida
- Como los pobres responden a las amenazas y oportunidades
- A que aspiran lograr los pobres

Marco de MVS
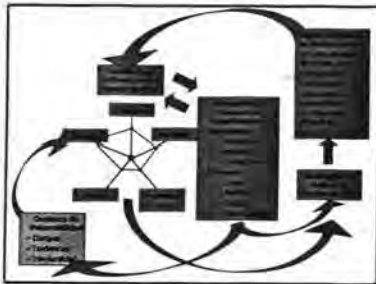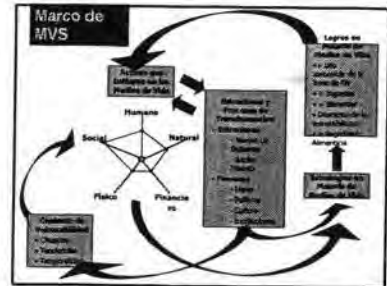
Contexto de Vulnerabilidad

El ambiente externo en que existen la población

◌ Tendencias – crecimiento demográfico, recursos, económico, gobernación, tecnología

◌ Choques – naturales, económicas, conflictos, enfermedades, sanitarios

◌ Temporadas – precios, producción, salud, oportunidades laboral

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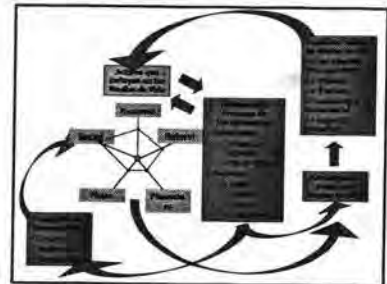
¿Cuáles son los 'activos'?

◌ Capital Humano – aptitudes, conocimiento y salud, capacidades laborales y buena salud
◌ Capital Natural – terreno, agua, animales, biodiversidad, medio ambiente
◌ Capital Financiero – ahorros, crédito, remesas, pensiones
◌ Capital Físico – transporte, energía, vivienda, comunicación
◌ Capital Social – redes, grupos confianza, acceso a instituciones

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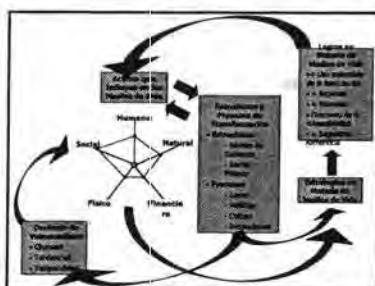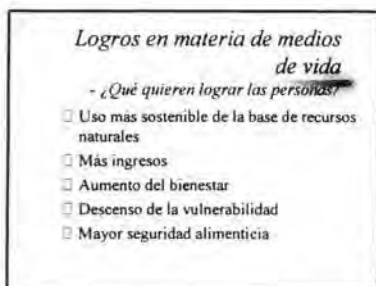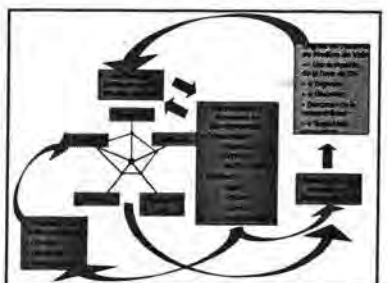*Incrementar el 'area' de los activos*

Capital Humano
Capital Social
Capital Natural
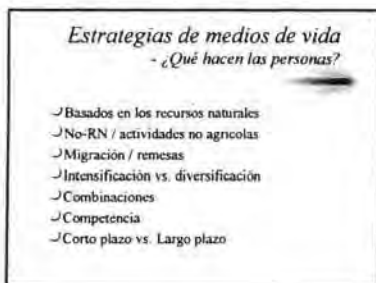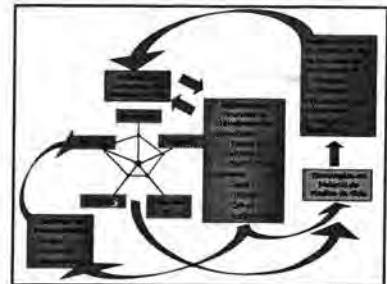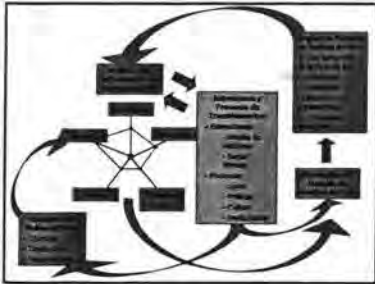Capital Físico
Capital Financiero

TIP
También es la accesibilidad de los activos

Con su vecino(s) ...

Piensan en una forma [H, N, Fn, F, S] de activo capital

- ¿Porqué es importante esta forma de activo capital?
- ¿Qué podemos hacer para cultivar esta forma de activo capital?
  - directamente
  - indirectamente

Acceso a los activos de medios de vida es afectado por las políticas e instituciones

O 'transformación de estructuras y procesos'

- Estructuras:
  - organizaciones, niveles de gobierno, comportamiento del sector privado
- Procesos:
  - políticas, leyes, 'reglas del juego' institucional, incentivos

TIP
Piensa micro,
Piensa macro,
area micro a macro

Estrategias de medios de vida
- ¿Qué hacen las personas?

- Basados en los recursos naturales
- No-RN / actividades no agrícolas
- Migración / remesas
- Intensificación vs. diversificación
- Combinaciones
- Competencia
- Corto plazo vs. Largo plazo

Nuestros intervenciones tienen que reconocer que la gente tiene diferentes estrategias para lograr sus diferentes fines

- ¿Cuán importante es "nuestra" preocupación sobre los medios de vida de las personas?
- ¿De quiénes son los medios de vida?
- ¿Qué más es importante para las personas? ¿Qué conflictos existen?

Logros en materia de medios de vida
- ¿Qué quieren lograr las personas?

- Uso más sostenible de la base de recursos naturales
- Más ingresos
- Aumento del bienestar
- Descenso de la vulnerabilidad
- Mayor seguridad alimenticia

Descanso

Nuestros medios de vida

- ¿Qué actividades hago dentro de mis empleos y afuera de mis empleos, en la casa, y otros partes?
- ¿Qué poseo o qué utilizo (activos) que me ayuda llevar a cabo mis actividades?
- ¿Qué cosas influencian (positiva o negativa) la manera en que llevo a cabo mis actividades? ¿Cuáles de las influencias puedo controlar y cuáles están afuera de mi control?
- ¿A qué aspiro en mi vida? ¿Cómo juzgo si he logrado las aspiraciones?
- ¿Cómo uso mis activos y como respondo a las influencias para lograr mis resultados actuales y alcanzar aspiraciones futuros?

¿Qué vemos?

Es complejo!

Esquema del Enfoque
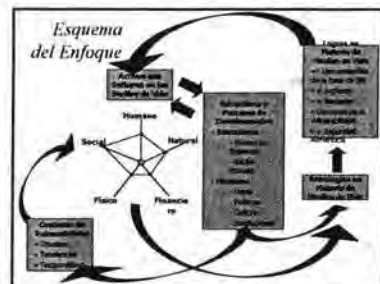
Medios de vida de otros

1. Una mujer pobre, urbana, que vende verduras en el mercado
2. Un hombre pobre, rural, trabajador agricultor
3. Un hombre más acomodado, urbano, que maneja taxi
4. Una mujer más acomodada, rural, maestra de primaria

Medios de vida de otros

- ¿En qué actividades participa la persona, en su trabajo y afuera del trabajo, en la casa, etc.?
- ¿Qué cosas necesita y utiliza la persona para llevar a cabo sus actividades?
- ¿Cuáles influencias impactan los diferentes activos y actividades? ¿Se puede controlar la influencia?

¿Y qué pasa cuando...?

- Por ejemplo:
1. Una mujer pobre, urbana, que vende verduras en el mercado.
   Una ONG apoya la formación de un grupo de vendedores al mercado y le ayuda conseguir un mejor precio fijo.
   ¿Se hace socio del grupo?
2. Un hombre pobre, rural, trabajador agricultor.
   Se abre un enlatador de hongos en la ciudad para exportar. Provee empleo e ingresos todo el año.
   ¿Debe tomar el empleo?

Los principios de MVS

- Centrada en las personas - identificar y entender los medios de vida de los marginados y excluidos
- Dinamismo - Flexibilidad
- Sustento en las fortalezas de las personas - No solamente en necesidad
- Relaciones macro-micro
- Participativa - los pobres deben ser actores principales
- Sostenibilidad - económica, ambiental, social, institucional

Como trabajamos

- Más información, más análisis, mejor alianzas
- Evaluación dell proceso
- Aprovecharse de las oportunidades – especialmente con la política e instituciones
- Equipos – hay espacio para todos

MVS en Acción:
Proyecto de Caminos Secundarios (PCS)

- 1995. Querían rehabilitar los caminos secundarios en una zona de Mozambique que sufría las consecuencias de un conflicto prolongado.
- Metas: acceso físico; interés local (sectores privado y público); mano de obra, capacitación y empleo

PCS con MVS

- Evaluación de sostenibilidad amenazas de compañías madereras, inseguridad en tenencia de tierra, no mujeres trabajadores, el uso del camino, transmisión de VIH
- Cambios: componente para abordar la inseguridad, medios para corregir desigualdad; mayor conocimiento sobre VIH-SIDA, estudio de impacto ambiental, selección de caminos de rehabilitación, desarrollo empresarial a contratistas locales, y otros

Logros y desafíos de PCS

- Logros
  - El 'fin' original del proyecto de construir un camino que brinde acceso físico se ha convertido en el 'medio' para crear activos adicionales (físicos y financieros) y limitar los posibles efectos negativos (propagación del VIH, deterioro ambiental, desahucios) de la rehabilitación de caminos sobre los pobres.
  - Establecimiento de relaciones de colaboración (ONG local, DFID, DEP, y proyecto del gob)
- Dificultad
  - ¿Quién se ha beneficiado más? La investigación sobre barreras al acceso tal vez debería ser hecha desde antes.

Resumen

- La teoría o enfoque de MVS representa una manera de concebir los objetivos, el alcance y las prioridades del desarrollo. Es un enfoque del desarrollo holístico que provee un marco para comprender las causas y dimensiones de la pobreza sin caer en la trampa de enfocarse en unos pocos factores.
- Trata de apreciar las relaciones entre los diversos aspectos de pobreza, sus causas y manifestaciones y permite la priorización más acertada en los planes de operación. Es un esfuerzo por combinar muchas herramientas y métodos ya ampliamente usados en el desarrollo, para crear una visión y comprensión compartida entre sectores.

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