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Abstract

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Keywords

international development, sustainable livelihoods approaches, human rights based approaches, labor rights

Comments

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Principles in International Development:
Sustainable Livelihoods and Human Rights Based Approaches

by

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The opinions expressed are those of the author. They are offered for the purpose of discussion and contribution to research. They are not statements of official Department of Labor or Bureau of International Labor Affairs policy.

The current Performance Goal of the USDOL Bureau of International Labor Affairs (ILAB) is to "[i]mprove worker rights and livelihoods for vulnerable populations" (ILAB 2011). This rights-livelihoods goal reflects the broadening over the last twenty years of ILAB's scope of activities, which has evolved into having a more steady focus on developing economies. The purpose of this paper is to provide context for the furthering of ILAB's rights-livelihoods goal by examining the main principles of two key development approaches that emphasize rights or livelihoods. The intent is not to determine which approach is better – that would depend on situational needs and priorities, and the the literature are too vast to explore here. Rather, understanding the fundamentals of these approaches can help to inform ILAB's current thinking and enhance the connection of ILAB's work with concepts in the broader development community.

The analysis in this paper is relevant to a number of ILAB's on-going activities. First, ILAB's technical assistance programs now strive to meet both rights-oriented and livelihood-oriented aims. Second, much of ILAB's work is driven by legislative (e.g., bilateral free trade agreements, Generalized System of Preferences) and other mandates (e.g., Executive Orders) that call for labor rights monitoring and enforcement in a greater number of countries, particularly developing countries. Third, ILAB's engagement with international organizations has broadened its country policy discussions. Labor and employment meetings of the G-8, for example, have expanded to the G-20 involving more diverse economies than in the past, including economies that are now or recently emerging from a development transition to a wealthier status. Fourth, the International Labor Organization (ILO), with which ILAB works closely, has gone from having a solely rights-based emphasis as expressed in the 1998 *Declaration on Fundamental Principles and Rights at Work* to a rights-based *and* livelihoods-oriented perspective as expressed in the 2008 *Declaration on Social Justice for a Fair Globalization* (International Labor Conference 2008). In particular, the 2008 Declaration holds that the ILO Decent Work Agenda is universal, obliging all Members to pursue its interconnected objectives of employment, social protection, social dialogue, and rights at work. Finally, ILAB's research agenda aims to understand what approaches work – and why -- in the developing world, including strategies that address issues such as child labor, forced labor, and a lack of work that can lead to poverty or other forms of vulnerability.

This paper originally intended to explore the terminology of livelihoods approaches in the literature and among key international development donor agencies. Those interests shifted toward an interest in how the principles of broad, comprehensive *Sustainable Livelihoods Approaches* (SLAs) compare to those of the more focused but complementary *Human Rights Based Approaches* (HRBAs), both of which are relevant to ILAB's performance goal. Therefore, this paper first looks at SLA definitions of livelihood sustainability and key background information. This is followed by a description of HRBAs. Two typologies are then developed to aid in comparing the key principles of SLAs and, for HRBAs, those advocated by the United Nations (UN). The paper briefly notes some key limitations of each approach, and closes with concluding thoughts.

I.   Sustainable Livelihood Approaches

SLA discourse began in the mid-1980's to early 1990's as some development researchers and institutions sought a comprehensive way of thinking and communicating about livelihoods in a manner that incorporates the principles and findings in the 1987 Report of the World Commission on Environment and Development (known as the Brundtland Commission)(UN General Assembly 1987).[1] They sought a perspective of development that captures the daily, complex, inter-related systems and socio-economic dynamics that constrain households. SLA discourse was also driven by a need to build on and go beyond the dominant development approaches (Chambers and Conway 1991; Department for International Development (DFID) 1999). Chambers and Conway describe traditional (largely pre-1990) approaches to development as taking an overly narrow and simplistic focus, primarily addressing either production-based (food supply), employment-based (full-time jobs), or poverty-based (income relative to a poverty line, or consumption) issues. To overcome that, SLAs aim to ensure that interventions are highly responsive to and centered around the people that are being served or targeted, and are therefore highly participatory projects that foster micro-level ownership while valuing multiple stakeholder (meso and macro levels) involvement. SLA principles are to be creatively applied as appropriate to an institution's issue or situation analysis process and integrated into project intervention strategies.

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[1] The Commission was chaired by Gro Harlem Brundtland, former Prime Minister of Norway.

The literature on livelihood-related issues and approaches in development spans several disciplines and sectoral lines, such as rural or agricultural development and economics, and includes multi-sectoral approaches such as asset-based approaches,[2] SLAs and HRBAs. SLAs stand out for various reasons. First, SLAs use a conceptual framework[3] that is open to identifying the largest variety of possible root causes of livelihood barriers and related entry points for strategic intervention, rather than entering a situation with a predetermined strategy or sectoral focus. Second, SLAs emphasize key concepts of capability, equity, and sustainability, each of which will often depend somehow, but perhaps not crucially on, human rights and governance-related components of development. Third, they share a perspective that pro-poor development should serve people (especially poor rural households) *and the local environment* in a direct manner rather than peripherally or indirectly as might other approaches. Fourth, SLA discourse offers a unique set of definitions of terms and concepts that have been pivotol to broadening the way that livelihoods are understood in development. SLA definitions of "livelihood" and "sustainability" are particularly recognized in the development field.

Three subsections follow. The first illustrates the broadening definition of the term "livelihood." The second does the same for "sustainable." The third describes briefly the history and influence of the two broadened terms together in SLAs.

Livelihood

Definitions for "livelihood" can be viewed as spanning a spectrum between narrow (focused or basic) and broad (complex and/or comprehensive). The narrow definitions reflect common understanding such as from the *Merriam Webster Dictionary* (online 2011) which defines a livelihood as "a means of support or subsistence" where subsistence is defined as "the minimum

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[2] Siegel (2005) states that asset based approaches underlie livelihoods approaches, and have been advocated by various donor agencies. Asset based approaches emphasize assets as the root driver or factor that determines livelihood strategy options. According to the Chambers and Conway definition of livelihood, assets are just one of various factors that can affect a livelihood as presented later in this paper.

[3] For purposes of this paper, a framework is a visual and conceptual tool that captures an institution's perspective or thinking about the relationship of systems and elements affecting the populations it serves. A framework helps to shape the way that one researches, assesses and prioritizes the scope of problems, needs, and objectives for a new program or project. It can also be employed throughout a program as an anchoring or re-structuring tool. SLA frameworks vary by institution visually but hold in common most key concepts and components. In fact, SLA thinking perhaps peaked in popularity from 1997-2002 when DFID developed an SLA framework to guide its application of SLA principles at the program level (see Appendix 1). This came about when DFID identified sustainable livelihoods (among other things) in its oft-cited *White Paper* as a policy priority. (In 2002 DFID ceased its use of SLA as a policy priority; it currently embraces a rights approach).

(as of food and shelter) necessary to support life."[4] Similarly, the *Oxford English Dictionary* (online 2011) defines livelihood as "a means of securing the necessities of life." Thus, a livelihood typically is associated with a primary means of living: a job(s), other forms of monetary income, and in-kind forms of sustenance that enable persons to have food, shelter and clothing.

At the other extreme is a broad SLA definition. It became commonly cited in the literature since the mid-1990's and is largely attributed to Chambers and Conway (1991, 6):

> *A livelihood comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living.*

This definition acknowledges that securing a livelihood can be complex and may necessitate access to health care, education, land and other natural resources (especially for the rural poor), and even services that secure one's legal rights to employment and wages or otherwise. Rather than being a stand-alone definition that provides clarity, however, this is more of a concise description of various inter-related components, concepts and dynamics. Because of its implied complexity, it must be broken-down to be properly understood and truly defined. The components are as follows (Chambers and Conway):

- **"Capabilities**: what a person or household is capable of doing and being...[5] Livelihood capabilities comprise the ability to gain a livelihood, including abilities to cope with stress and shocks, to be dynamically adaptable, and to explore and exploit opportunities." (25)

- **"Assets**: resources and stores (tangible assets), and claims and access (intangible assets) [or, material and social means, respectively], which a person or household commands and can use towards a livelihood."(25)
    - **"Resources**: include land, water, trees, and livestock; and farm equipment, tools, and domestic utensils. Assets are often both stores and resources, as with livestock, trees and savings."(8)

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[4] The same source defines "sustenance" as "a means of support, maintenance or subsistence."
[5] The source attributes this component to Amartya Sen.

- o **"Stores**: include food stocks, stores of value such as gold, jewellery and woven textiles, and cash savings in banks of thrift and credit schemes." (7)

- o **Access**: opportunity in practice to use a resource, store or service, or to obtain information, material, technology, employment, food or income.

- o **Claims**: demands and appeals which can be made for material, moral or other practical support or access. Claims are based on combinations of right, precedent, social convention, moral obligation, and power.

The idea is that livelihoods realistically require effective use, maintenance and enhancement of assets and capabilities (assets and capabilities are also commonly referred to as capital: human, social, natural, physical, financial, political).[6]

Comparatively, the narrower-in-scope, more common definition of livelihood refers to a direct or primary means of living, while the broader definition includes both direct and indirect, and secondary-level (means-to-the-means) sources and components of making a living. The two definitional extremes do not necessarily negate or conflict with each other but one is intentionally and significantly more comprehensive in the scope of components that development strategies would need to take into account.

Sustainability

Concepts of sustainability also range from narrow to complex. In its most basic narrow use, "sustainable" can refer to simply a means of living that is supportable or that can withstand over time (*Merriam Webster Dictionary* online) (e.g., five or more years). In the development field, however, "sustainability" is used broadly. The most commonly cited origin of sustainability in this sense comes from the Brundtland Commission report: "Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (UN General Assembly 1987, para 1). As discussed in that report, this points to the notion that efforts to improve social equity and economic growth must be approached with sensitivity to the pertinent environmental factors that constrain and/or enable them. Development efforts, then, should value both social sustainability and environmental sustainability (defined below), and strategize around two sets of target populations across time (current and future generations), and two levels of environmental circumstances (local and global).

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[6] See, for example, DFID's framework in Appendix 1.

Ecologists, sociologists, economists and others, including SLA proponents, have adopted this concept and expanded it to suit their respective fields. For example, the *New Palgrave Dictionary of Economics Online* states, "Sustainability concerns the specification of a set of actions to be taken by present persons that will not diminish the prospects of future persons to enjoy levels of consumption, wealth, utility, or welfare comparable to those enjoyed by present persons" (Bromley 2008). SLAs offer definitions similar to the following (adapted from Chambers and Conway; DFID 1999):[7]

Livelihood sustainability (or security): the ability of a household to adopt a livelihood that can cope with and recover from stresses and shocks, maintain or enhance its capabilities and assets now and in the future without undermining the natural resource base.

Chambers and Conway define shocks and stresses as follows:

"Shocks are impacts which are typically sudden, unpredictable, and traumatic, such as fires, floods, storms, epidemics, thefts, civil disorder, and wars. Contrasts [with] stresses." (25) [bold added]

"Stresses are pressures which are typically cumulative, predictable, and variously continuous or cyclical, such as seasonal shortages, rising populations, declining soil fertility, and air pollution. Contrast [with] shocks" (26) [bold added]

This definition seems to contain three challenging components: 1.) an ability to have a strong, resilient livelihood, 2.) across time (now and in the future), 3.) while being environmentally responsible. In addition, Chambers and Conway highlight "equity" as a critical component and core value of the sustainable livelihoods definition and define it quite broadly also:

"Equity… [implies] a less unequal distribution of assets, capabilities and opportunities and especially enhancement of those of the most deprived. It includes an end to discrimination against women, against miniorities, and against all who are weak, and an end to urban and rural poverty and deprivation."(4)

Assessing livelihood sustainability from an SLA perspective can also be approached by looking at the following **systems** of sustainability that are discussed more widely in other development

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[7] Hussein observes that the Chambers and Conway definition formed the basis for the definition of "sustainable livelihood" as used in most organizations compared in his study.

circles. These concepts are either explicitly or implicitly referenced within the livelihood sustainability definition above:

- **Environmental sustainability**: maintaining or enhancing natural resource productivity and potentials (including net benefits in terms of livelihood assets and opportunities) for future generations. (adapted from Chambers and Conway; DFIDb)

- **Economic sustainability**: the maintaining and sustaining of a given level of expenditure over time (such as meeting a baseline of economic welfare; such a level can be situation-specific). (DFIDb)

- **Institutional sustainability**: the ability of prevailaing structures and processes to continue functioning over the long term and contribute to the continuous improvement of the livelihoods of the poor. (DFIDb)

- **"Social sustainability**: the ability of a human unit (individual, houehold or family) to cope with and recover from stresses and shocks, to adapt to and exploit changes in its physical, social and economic environment, and to maintain and enhance capabilities for future generations" (Chambers and Conway). Social exclusion is minimized while equity is maximized (DFIDb). (Social dynamics such as gender relations and networks should be taken into account.)

As originally presented by Chambers and Conway, SLAs should have a livelihoods strategy that supports (ie., meets or exceeds the "maintaining" standard) as many of these systems as is practicable as each pertains to part of the definition of sustainable livelihoods. While social and environmental (esp. local) sustainability are emphasized the most in SLA discourse, they are dependent to some extent on economic and institutional sustainability. All systems are intricately connected and context-specific. Impacts in each sustainability system must be considered in order to truly estimate the net loss or gain for that system and for livelihood sustainability overall. If, for example, increased farming opportunities lead to soil erosion or to serious health hazards due to unsafe pesticide use, the activities would be deemed environmentally, and perhaps economically and socially unsustainable despite any short-term increase in jobs or incomes. It could also be institutionally unsustainable if any increase in government safety and health inspections occurs by depriving other sectors in need of inspections or existing resources. Moreover, if corruption impedes the occurrence or effectiveness of inspections, resulting in a system of bribes or deprivation of workers wages or other rights, this would be economically unsustainable for the workers. SLAs aim to consider all these components of an intervention by taking a local, holistic, and context-specific perspective.

The excerpt in Box 1 is an example of a longterm sustainable livelihoods project with socially and economically sustainable goals for improving rural womens' livelihoods in Bangladesh. It found that increases in assets, equity and nutrition may not be enough to increase incomes, at least partly due to the complex reality of the womens' lives. The conclusion reflects an SLA-style of thinking: an open-minded, holistic and context-specific perspective that points to involving households and communities in order to achieve social and economic sustainability.

Box 1: Improving Womens' Assets, Equity, and Income -- Household, Group, and Community Involvement in Bangladesh

Research from the International Food Policy Research Institute has investigated the longterm impact of agricultural technologies (vegetable and polyculture fish production) on men's and women's asset accumulation and nutritional status in rural Bangladesh. Household surveys were carried out ten years apart (1996-97 and 2006-07) at three sites where non-government organisations have disseminated these technologies to increase incomes and address micronutrient deficiencies.

[F]indings show that the way in which projects are implemented affects their capacity to increase women's and men's assets, and that… targeting groups may achieve gender equity and nutritional goals more easily, yet this does not necessarily lead to more effective governance or increased income. Some groups… dissolved because of conflicts within the groups and income gains were relatively small due to the need to divide the proceeds among many members. Such programmes can, however, lead to greater cooperation between women and men. Some of the women's groups, have begun bringing in male members to act as a link between the group and the wider community, and to fulfill specific functions (such as bookkeeping) that the women are not trained in.

A more nuanced approach to group formation and technology diffusion would allow groups to tap both male and female resources within the household and the community – with the clear goal of reducing gender inequities in ownership and control of assets.

Source: Quisumbing and Kumar, as cited in the Institute of Development Studies (IDS) *Insights,* 2012.

In brief, the terms "livelihood" and "livelihood sustainability" as used by SLAs reflect a broad, multidimensional definition and scope for development interventions that reflect the principles of the World Commission on Environment and Development. For clarity, the livelihood sustainability definition attempts to include the *ideal* array of components that development efforts should address and *it is this all-encompassing idealism that is perhaps the heart of what makes the SLA unique*. However, SLAs are intended to be applied flexibly so there could be a tendency for some agencies to gravitate towards or emphasize certain sustainability systems

more than others. The policies and programs could in reality reflect widely differing aims or levels of sustainability, thus diluting the heart of the SLA. Finally, because the key terms above are used by other approaches but with narrower meanings, the words should be used carefully to avoid misunderstandings in policy and program circles.

History and Implementation of SLAs

The seminal work of Chambers and Conway in 1991 is one of the most frequently cited sources on SLA thinking. Although their work was intended for heuristic purposes, much of it has been maintained. The basic aim, for example, of SLA thinking has remained the same: to improve current and future poor rural household livelihoods *while maintaining the viability of the environment.* It has a primary though not exclusive focus on agricultural or rural contexts and interests in natural resource (e.g., land and water) conservation. This focus is necessary because the world's poorest and most overlooked or vulnerable people are most typically found in rural households that depend on natural resources for their survival, yet their livelihoods often do not preserve those resources over time. More appealing and sustainable rural livelihoods might also ease pressures on, and issues related to, increased urban living. In addition, Chambers and Conway argue that anticipated population growth makes it imperative physically in terms of the planet's natural resources, and ethically to adopt environmentally sustainable livelihoods for future generations.

It was thought that limitations of the earlier approaches had stemmed in large part from narrowly defined development concepts and false assumptions about poor people's livelihoods. In response, one of Chambers and Conway's unique and pivotol contributions was a set of broader definitions of common terms (much of which is presented above) that they and others had developed, and which have been well-received and only slightly modified by institutions since then. In fact, the overall appeal and influence of SLA thinking has been considerable as indicated by the variety of major non-governmental organizations (NGOs) that have adopted SLAs, albeit to different extents (see Hussein 2002).[8]

An agency-specific SLA framework should help analysts and implementors to identify the breadth of contextual, project-specific nuances that are the most essential for a given project,

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[8] Hussein provides concise historical information about which SLA principles each selected agency in his study has adopted, in what way, and the year of adoption.

primarily at the research and planning stages. Among other things, the framework should help stakeholders to understand what "sustainable livelihood" means in a context-specific, practical manner: what it encompasses or looks like in the present and what it could look like in the future through a project intervention. Agreement on this may not come easily as stakeholders will need to understand the area of consistency among livelihood definitions brought to the table, and to find agreement.

The flexible nature of the application of SLAs enables a wide array of projects to be considered as SLAs even if key attributes are not all maintained. It is also common for non-SLA projects to have many of these characteristics without explicitly adopting them as principles or elements resulting from an SLA framework; distinguishing them from SLAs therefore can be challenging. At the project level this may not matter in terms of outcomes but at broader policy and operational levels that include multiple stakeholders, there are practical resource, planning and monitoring implications for explicitly adopting an SLA. Most primary is the need to seek precision in the definition of "sustainable livelihoods" and its potential implications for any given project. A definition, for example, that includes and prioritizes environmental sustainability could require significantly more amounts of resources than one that minimizes its attention to this component.

II.   Human Rights Based Approaches

The literature on HRBAs in development have also grown since the mid-1990s. Offenheiser and Holcombe (2003) describe HRBAs as addressing the structural, systemic rights-barriers to people's empowerment, capacity-building, and government accountability. They depict HRBAs as being in contrast to the Western-based welfare model that dominated 20th Century development. The welfare model essentially held that poverty alleviation would occur by providing the particular public goods or fields of knowledge (e.g., food, technical know-how) that were absent from a situation. With development aid, the government and then the market would meet the poor's basic needs. But limited gains were made as social justice issues and the systemic root causes of poverty were not addressed, and the poor were treated as charity rather than active participants. Instead, HRBAs shift imbalanced power relationships between State and citizen toward more equitable access by the poor and marginalized to entitled resources,

what CARE refers to as a "facilitation and transformation" type of model (Nyamu-Musembi and Cornwall 2004).[9]

The literature indicates that HRBAs generally focus on strengthening good governance (broadly-speaking) based on human rights standards and principles. More specifically, they focus on protecting the human interest-based aspects of laws and regulations, and improving the institutions, organizations and services that protect those interests. In doing so, Nyamu-Musembi and Cornwall note that HRBAs support accountability of all stakeholders to each other, including citizens, donors, States, NGOs, and private sector actors (especially global corporations and financial institutions). The latter have more recently received increased attention with regards to more actively respecting human rights as per the 2011 UN Guiding Principles on Business and Human Rights (UN General Assembly 2011). Although these Guiding Principles are at an early stage of development, they can help expand HRBA (and other) interventions and enhance the context for rights compliance and accountability in general.

It appears that a confluence of factors enabled HRBAs to grow beyond the initial focus on civil and political rights and become inclusive of poverty. Nyamu-Musembi and Cornwall observe that they came to be embraced by development agencies starting at the 1993 Vienna Conference on Human Rights and then at the 1995 World Social Development Summit at Copenhagen. They attribute HRBA's current widespread popularity to factors related to: geo-politics, such as the end of the Cold War which thereby enabled economic, social and cultural human rights to come to the fore; NGO campaigning for a broader array and prominence of human rights; shifts in donor funding from specific programming toward direct support of other governments' national level budgets; a need for beneficiaries to participate in more democratic decision-making over government resources; and the absence of controversial language from the 1960's and 1970's regarding North-South global inequalities and the Right to Development discourse.[10] Thus, these factors appear to have reflected domestic and global trends or imperatives, and to

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[9] See Appendix 2 for an illustration of the evolution of development approaches as experienced by CARE.
[10] The source explains that the 1986 U.N. Declaration on the Right to Development reflected efforts among Third World state members of the UN to pass reforms that were fair to poor countries, and in the process pointed out inequalities between North and South states, for the realization of the right to development. Language considered controversial included, for example, emphasis on "…a collective duty of all states to eliminate barriers such as unfair trade rules and the debt burden, effectively pointing an accusing finger at the industrial countries"(8). Industrial countries wanted aid to be voluntary and at their discretion, rather than a legal obligation.

have enabled rights to receive their due attention following, but not necessarily due to, the limitations of earlier development approaches.

Three brief subsections follow. The first distinguishes HRBAs from approaches that simply have rights components, and notes the main ways that HRBAs are implemented. The second presents a key 2003 UN statement that provides a normative framework for HRBAs. The third links HRBAs to poverty elimination and, implicitly, livelihoods development.

HRBAs Defined and Their Implementation

International human rights are defined by the Office of the UN High Commissioner for Human Rights (OHCHR; 2006) as follows:

> *Human rights are universal legal guarantees protecting individuals and groups against actions and omissions that interfere with fundamental freedoms, entitlements and human dignity. Human rights law obliges Governments (principally) and other duty-bearers to do certain things and prevents them from doing others*.(1)

An HRBA from a UN perspective should therefore revolve around legally-guaranteed human rights, the identification of duty-bearers' obligations, and strategies to fulfill those rights that are not being met. However, not all interventions with a rights component are HRBAs per se. Nyamu-Musembi and Cornwall observe that there is an array of definitions for "human rights based approach" and suggest that "rights-based approach" is distinct, broader, and often used interchangeably with the former. They explain that a rights-based approach allows for issues concerning general fairness or people's sense of entitlement, such as intellectual property matters, to be addressed without being *internationally recognized and human* rights. Rights-based or –related approaches can also refer to programs that simply use the concept of particular rights (e.g., inclusion, institutional accountability) to support other approaches or frameworks (e.g., SLAs) that otherwise are not founded on, shaped by or held accountable to international human rights principles and instruments. Some of these cases may self-identify as being rights-based but this can simply be "window-dressing" or "repackaging" without signficantly affecting what is done. Care should therefore be taken when using rights language to ensure clear communication. For simplicity this paper focuses on HRBAs.

Piron and O'Neil (2005) suggest a typology of human rights assistance that captures some of the distinctions mentioned above (see Box 2).

Box 2: Donor Approaches to Integrating Human Rights

Human rights-based approaches	Human rights mainstreaming	Human rights dialogue	Human rights projects	Implicit human rights work
Human rights considered constitutive of the goal of development, leading to a new approach to aid and requiring institutional changes.	Efforts to ensure that human rights are integrated into all sectors of existing aid interventions (e.g. water, education). This may include 'do no harm' aspects.	Foreign policy and aid dialogues include human rights issues, sometimes linked to conditionalities. Aid modalities and volumes may be affected in cases of significant human rights violations.	Projects or programmes directly targeted at the realisation of specific rights (e.g. freedom of expression), specific groups (e.g. children), or in support of human rights organisations (e.g. in civil society).	Agencies may not explicitly work on human rights issues and prefer to use other descriptors ('protection', 'empowerment' or general 'good governance' label). The goal, content and approach can be related to other explicit forms of human rights integration rather than 'repackaging'.

Excerpt from Piron and O'Neil 2005 (8).

Piron and O'Neil found that human rights projects are the most common form of assistance or mechanism for addressing human rights, as are mainstreaming and dialogue. The most abundant projects are those related to civil and political rights. They also found that negative "conditionality" features of aid are common, meaning that aid is conditional upon compliance or progress with rights or other policy terms, but the application and impact of conditionality and related political dialogue has not been well documented (perhaps due to political sensitivities).

Gauri and Gloppen (2012) suggest that HRBA strategies or mechanisms can be grouped into the following categories:

1. global compliance with treaties;
2. policy and programming of donors and executive agencies;
3. rights talk (consciousness-raising); and,
4. constitutionally-based legal mobilization (domestic courts).

However, they found that empirical data are limited in most of the four areas above, perhaps in part because achieving development-related effects (e.g., social and cultural shifts) likely

requires long-term processes, especially for treaties and rights-talk initiatives. They suggest that it is now mainstream practice for development organizations with HRBA policies and programs (category 2) to adopt a broad array of strategies. But existing research indicates that the impacts of those strategies are mixed and highly situational, thus requiring further research overall.[11]

UN Statement of Common Understanding

The mainstreaming of human rights has been strategically led by the UN system since its 1997 UN reform program (Piron and O'Neil). To guide and bring consistency to these mainstreaming efforts, in 2003 various UN agencies issued a Statement of Common Understanding (UN Development Group 2003) (see Box 3).[12] It is intended to serve as a common though flexible HRBA normative framework for the UN's development agencies in particular, which share the general aim of promoting respect for, and protection and fulfillment of, human rights. This breakthrough contribution has added specificity to the key components of an HRBA.

Box 3: Core of the UN Statement of Common Understanding

1. *All programmes of development co-operation, policies and technical assistance should **further the realisation of human rights** as laid down in the Universal Declaration of Human Rights and other international human rights instruments.*

2. ***Human rights standards** contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments **guide all development cooperation and programming** in all sectors and in all phases of the programming process.*

3. *Development cooperation contributes to the **development of the capacities of 'duty-bearers'** to meet their obligations **and/or of 'rights-holders'** to claim their rights.*

(bold-type added)

The Common Understanding perhaps sets the bar for HRBAs due to the UN's longstanding and authoritative role in promoting human rights. It emphatically grounds the UN approach not only in international human rights laws but in their instruments and standards (see Appendix 2). Details of the Common Understanding are presented and compared to SLAs in the next section.

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[11] Note: their research does not draw on examples from labor rights approaches other than child labor (and only peripherally).
[12] The statement was developed by general consensus among numerous agencies, including the ILO.

But in general it links what had been a variety of UN HRBA efforts to the human rights standards and principles that guide all UN programming, as follows:

- Universality and inalienability
- Indivisibility
- Interdependence and interrelatedness
- Non-discrimination and equality
- Participation and inclusion
- Accountability and the rule of law. (UNDG (14))

For purposes here, these are considered higher-level, umbrella principles under which may fall any number of more specific principles. A labor rights approach or perspective, for example, is one of several types of HRBAs (e.g. civil, political, cultural approaches) that would add more specific rights and standards to their programming (e.g., freedom of association and collective bargaining) and would fall under these umbrella principles. Note that the ILO perhaps uses a labor rights approach broadly speaking but in fact approaches its work from the perspective that peace is predicated on social justice, and the ILO explicitly aims to promote *both* labor and other human rights (ILO website).

Poverty

The literature suggests that HRBAs have a clear role to play in fighting poverty. Gauri and Gloppen suggest that with regards to poverty, HRBAs generally emphasize that the elimination of extreme poverty 1.) is a moral imperative and 2.) necessitates that the poor have the political power to make claims (to assert their rights). They propose that HRBAs can be defined as principled approaches that "justify demands against privileged actors, made by the poor or speaking on their behalf, for using national and international resources and rules to protect the crucial human interests of the globally or locally disadvantaged"(3). *The OHCHR (2006) holds that strengthening the rights of the poor may be necessary for creating an enabling environment for poverty alleviation and sustainable human development, including the strengthening of livelihoods.* It sees economic growth as often being instrumental in realizing human rights but it is a means of development, not the goal.

Nonetheless, HRBA intervention strategies do not *necessarily* target or involve the poor, or try to explicitly combat systemic poverty. Even where there is a priority to address survival needs in war-torn socieities or basic institutional capacity building in extremely impoverished areas,

HRBAs may not be the most practical approach at least initially (Piron and O'Neil). Rather, Gneiting (2011) argues that these kinds of problems or challenges go beyond the realm of human rights factors alone and may lend credence to the belief that not all causes of poverty can be addressed through human rights. It should also be noted that HRBA discourse does not define livelihoods and sustainability although HRBAs do address certain elements of SLAs such as access to assets as defined earlier, and sustainability systems.

III.   SLAs and HRBAs Compared

Clear understanding of how the fundamentals of SLAs and HRBAs compare requires looking at their main principles. This may be more clearly done in side-by-side typologies or groupings rather than descriptive text.

Existing comparisons in the literature of SLAs and HRBAs are helpful but rare. DFID (2001), Moser and Norton (2001) and Conway, et al. (2002) are the only sources found that do so. DFID's comparison is quite brief and limited in details. It emphasizes the complementarity of the two approaches concerning the importance of entitlements and access to rights and resources but rights-based approaches were noted as still being new at the time. The other two sources more thoroughly discuss the relative strengths, weaknesses and complementarity of the approaches, and elaborate on the potential for these to be integrated for improved sustainable development. But they neither list explicitly the main principles of each approach nor offer a categorical comparison of them, which this paper seeks to contribute.[13]

The other sources for this paper include several that list the principles of one approach or the other in a non-categorical manner but all sources are largely forward-looking and aim to support or refine that approach. They tend to note only generally how an approach builds on other prior (named or unnamed) approaches. Although there is large consistency among sources about the main principles and ideas of each approach, the sources inconsistently and often interchangeably identify them as either principles, elements or values without defining these terms, thus causing confusion.[14]

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[13] The authors actually go beyond the basic principles, which have each been well-addressed elsewhere albeit separately, and propose a new integrated framework that could be useful for ILAB to explore in a separate paper.
[14] Although in substance the SLA sources commonly share the same or similar principles, values and elements, the term "principles" may be most commonly used and is therefore used here for ease of comparison.

Finally, few sources reviewed for this paper mention the UN Common Understanding, which was released *after* most other sources.[15] Although the literature indicates no single authoritative source or framework for HRBAs, the Common Understanding combined with statements from the OHCHR now appear to hold the strongest weight. Because these UN agencies have much experience as donors, implementers and researchers, and have a leading role in international development, it is prudent to closely examine their perspective. Moreover, Piron and O'Neil found that the principles of most agencies with program-oriented sets of human rights principles appear to be variations of those found in the Common Understanding.[16]

This section presents two tables of categorized principles found in various SLA sources and, for HRBAs, as identified in the Common Understanding and by the OHCHR. An analysis follows at both the language (word choice) level and the substantive (effective meaning) levels.

For purposes here, principles are defined broadly as follows:

> Principles: *fundamental norms... or values that represent what is desirable and positive for a person, group, organization, or community, and help it in determining the rightfulness or wrongfulness of its actions. Principles are more basic than policy and objectives, and are meant to govern both*. (Web Finance Inc., BusinessDictionary.com 2012)

Accordingly, in the Common Understanding two types of good programming principles are listed: those that are 1.) generally considered essential for HRBAs and 2.) those that are "necessary, specific and unique" to HRBAs (UN General Assembly 1987 (37)).[17] The first is a broad list of general essentials that are common in development. These appear akin to the core principles of SLAs. They are, therefore, treated as broad, guiding principles in Table 1 alongside the appropriate SLA principles. The second type of principle may have more explicit application to particular program components and so they are compared with the respective principles of

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[15] Nyamu-Musembi and Cornwall as well as Piron and O'Neil touch on the Common Understanding but not in detail, nor strictly in comparison with SLAs.

[16] Although the Common Understanding refers to principles as distinct from elements, the latter appear to be subsets or sub-principles; the term "principles" is therefore used here for simplicity and for ease of comparison with SLA "principles."

[17] These two groupings are actually called "elements" in the Common Understanding but appear consistent with the definition of principles used here (see also the previous footnote). The order of these lists here has been switched from how they appear in the source for comparative purposes only.

SLAs in Table 2, although the principles in the two tables are not mutually exclusive.[18] As used in Table 2, program components are simply common types of (select) processes or phases involved with developing an intervention strategy and plan.

The discourse makes clear that any SLA or HRBA will share a common way of thinking that nonetheless is flexible enough to be appropriately adapted to a given context. The exact wording of the principles, therefore, may change and some may be removed or added, as appropriate. The principles help shape the analytical mindset but do not specify or require hard rules for program assessment, design or strategic planning. As noted earlier, however, HRBAs offer a framework based on international norms that can and should be more consistently applied across interventions than the principles of most other frameworks.

In the tables below, for HRBAs any words in *italics* are from the Common Understanding; words not in italics reflect language used by the OHCHR. The language used for SLAs reflects commonly cited phrasing from key sources.[19]

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[18] Some elements listed in the Common Understanding are redundant within and/or between the two groupings. They may be likewise repeated in the tables herein or, where appropriate, combined to fit the typology of the respective table.

[19] See especially Chambers and Conway; IDS 2013; and DFID 1999a.

Guiding Principles

Table 1:   Guiding Principles of the UN Human Rights Based Approach and Sustainable Livelihoods Approach

	TOPIC	HRBA	SLA
1.	**Aim/focus**	Promoting & protecting (directly furthering) human rights principles, standards (short- and long-term implied) *Reduce disparity*	Elimination of poverty; pro-poor, sustainable livelihoods and natural resources (short and long-term emph.) people-centered, dynamic
2.	**Motivation/ rationale**	Intrinsic rationale – morally, legally the right thing to do; rights are necessary for human dignity and are *universal, inalienable, indivisible* Instrumental rationale – better, more sustainable human development outcomes (Poverty often results from disempowerment & exclusion)	Development needs a lens that recognizes: -- complexity of people's lives (multiple activities, goals, changing circumstances) -- interdependence of livelihood components and influences in context of global population -- vulnerability and risks related to external factors, esp. natural resources
3.	**Target Groups**	Rights-holders and duty-bearers *marginalized, disadvantaged, excluded groups*	Rural household emphasis, esp. informal labor market, other identifiable social groups impoverished, most vulnerable
4.	**Partnerships**	Multiple, *strategic, sustained*	Multiple, public and private
5.	**Directionality/ Levels of Activity**	*Top-down and bottom-up approaches (synergistic)* multi-level, esp. State (macro)	Bottom-up multi-level, esp. households (micro)
6.	**Informed by**	Recommendations, standards, principles of international human rights bodies & mechanisms (e.g., UN, Millenium Dev. Goals)	Poor people's perceptions of own constraints, needs, strengths, priorities, potential
7.	**Equality/ Power relations**	*Empowerment, reduce disparity; non-discrimination and equality* transforming distributions of power/dynamics affecting governance; non-discrimination build on people's capacity needs	Empowerment, increase equity of assets, capabilities, opportunities; end to discrimination build on people's strengths, not just needs
8.	**Participation/ Ownership (control)**	Local stakeholders (at all levels, esp. macro and meso) are *key actors and owners of the process*; *analysis includes all stakeholders* *participation is a means and a goal* "active, free and meaningful" (per UNDRD)	Local stakeholders (at all levels, esp. rural household) active, iterative

9. Accountability	*Outcomes and processes monitored and evaluated with measureable goals and targets* (incl. impacts on poverty) *programs support accountability to all stakeholders* *rule of law*	Ensure direct policy, institutions & process (PIPs)[20] linkages to poor people's needs
10. Livelihood	[No clear definition. Narrow definition implied.]	Multi-dimensional, including direct and indirect means of living and comprehensive set of elements Strengthening, diversification
11. Sustainability	[No clear definition.] Institutional (policy, laws, capacity) and empowerment-based efforts (to empower people to participate in policy-making and hold duty-bearers more accountable).	Multi-dimensional across systems (economic, social, institutional, environmental) and generations

In terms of language, several identical or similar words can be easily identified:

- Poverty reduction or elimination (aim)
- Sustainability (aim, motivation, partnerships, sustainability)
- Interdependence (motivation, informed by)
- Multiple (partnerships)
- Multi-level (directionality)
- Empowerment (equality, sustainability)
- Local stakeholders (participation)
- Active (participation)
- Marginalized, disadvantaged, excluded groups/impoverished, most vulnerable (target groups)

Some of these words and their principles are similar due to the broader international context that helped shape them. HRBAs are not just modern, new approaches to development but have evolved from a peace-oriented, global sense of morals and ethics for human well-being. They are informed by international human rights bodies and mechanisms that have shaped development in various spheres, and which profess a number of key principles that SLAs and other approaches incorporate, including most of those listed earlier in this paper. The Common Understanding also benefited from the lessons learned from SLAs of the 1990's. SLAs, although focused on people's uniquely expressed needs and priorities and sustainability of natural

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[20] PIPs are a complex piece of SLAs that have been difficult to understand and address adequately. They can include inter-related issues of social relations, social and political organization, governance, service delivery, resource access institutions, and policy and processes. (IDS 2011)

resources, also grew in part out of a similar and perhaps parallel global consensus that led to the Bruntland Commission's report. Although SLAs do not revolve around the rights themselves, they are similarly grounded in international morals and ethics, and can enhance the impacts of rights by connecting interventions to livelihoods development.

Note that HRBAs and SLAs explicitly support several principles related to sustainability: equality, partnership, participation and accountability. For HRBAs, duty-bearers including policy-makers and policy, institutions and processes (often referred to as PIPs) in particular are to be held to their responsibilities by empowered citizens (especially the disadvantaged), and all partners in development interventions are to be accountable to each other. The idea is that sustainable relationships, combined with monitoring and evaluation (M&E) using objective measures and tracking to gauge impacts, are key to ensuring on-going if not permanent promotion, protection and fulfillment of rights. SLA support for these is similar but less clear for M&E. That is, while case studies are abundant and there is support for M&E of outcomes and processes (see Table 2 below), the key principle related to accountability mainly emphasizes ensuring linkages to people's needs.

Stronger differences in language used are numerous but the most obvious and telling one is this: HRBAs use the word "rights" in abundance whereas SLAs use "people." HRBAs also do help or prioritize the interests of people but their language emphasizes people's rights from the start. SLAs seek people's input on what should be emphasized or focused on in a given project, whether rights or otherwise, and can help identify how to sequence the improvement of various rights (ie., incrementally address them) rather than prioritizing some and excluding others (see DFID 2001). *This is the clearest, most explicit distinction in the language of each approach.*

Three additional substantive distinctions can be made, as follows.

1. **Livelihood improvements are sustainable for each approach but for different reasons.** For SLAs livelihood sustainability is the explicit and primary *goal,* achieved through any number of entry points for intervention as discussed earlier in this paper. For HRBAs it is a motivating factor and an implied *hope* rather than the aim. HRBAs support sustainable human development outcomes through the furthering of human rights but do not necessarily implement interventions that have a direct connection to forms of livelihood subsistence, income, or poverty alleviation.

So when these connections are not prioritized in an intervention, an HRBA may only indirectly combat poverty by helping to assert people's inclusion, influence on policy-making, and non-discriminatory treatment. Its true net impact in terms of sustainable livelihoods is therefore uncertain and highly situational. Nonetheless, when livelihoods are targeted by HRBAs, it is believed that there will be long-term (sustainable) outcomes if the rights are preserved and enforced.

2. **The scope of each approach's aim/focus has practical implications for sustainability.** Sustainability is complex for SLAs and, therefore, more challenging to achieve. As stated previously, the SLA definition of livelihood sustainability reflects an all-encompassing idealism that is perhaps the heart of what makes the SLA unique and important in development. But it is this comprehensive idealism that may hinder it from succeeding for practical reasons. For HRBAs sustainability may be more feasible because of its focused attention on the furthering of rights and obligations -- an HRBA's most distinguishing and valuable feature. Because an HRBA builds on and applies international standards and mechanisms, it can bring a pre-existing power of law, legitimacy or credibility. At a practical level, this may support or even be crucial for achieving sustainable impacts.

3. **PIPs are recognized as important but are prioritized differently**. PIPs are included in SLAs and the discourse clearly recognizes their importance to eliminating poverty. But in terms of the principles PIPs are not as prominently addressed in SLAs compared to the more explicit attention and priority that is given to people. Therefore, what SLAs offer towards improving entitlements or claims and institutional sustainability is less strong. For HRBAs, PIPs are primary areas of concern and expertise, rather than the broader array of the needs of people or households, and are seen as necessary for the effective and sustainable furthering of rights (and often the reduction of poverty). In this regard, HRBAs can be seen as focusing on a subset of what SLAs cover at a more general level. For example, the discourse recognizes that human rights can be critical tools for SLA goals by focusing governments on sustainable entitlements and services for the poor (Conway, et al.; DFID 2001; also, see case studies in Hussein) which can be critical for economic and social sustainability. These can include the enforcement of rights such as payment of wages, workplace health and safety, and union organizing, among other things.

Programming Principles

Table 2 presents principles that appear to be more programmatic and structural-related components or phases of each approach. They are based on the same sources cited for Table 1.

Table 2: Principles for Program Components of the UN Human Rights-Based Approach and Sustainable Livelihoods Approach

PROGRAM COMPONENT	HRBA	SLA
Problem assessment (scope)	*Status of rights claims (entitlement) & duties (obligations), people's capacities to claim their rights or fulfill obligations.* typically state-level (institutions) w/civil society possibly multidimensional, sectoral	people-centered, esp. household level open to various constraints needing attention, esp. risks and variability at household level multidimensional, multi-sectoral
Timeframe	Immediate and/or progressive steps (min. threshold required) expected of State, (with long-term benefits expected)	short and long-term benefits across generations
Analysis of root causes	*Immediate, underlying and structural (basic) causes of non-realization of rights (*related to *development problems)* inequality gaps between rights-holders & duty-bearers	Open Inclusive, iterative gaps between policies, institutions, processes (PIPs, e.g. governance, social relations context) and poor people's realities (micro, meso, macro links)
Strategic Planning/Implementation (programming, solutions)	*Build (sustainable) capacity* of governance, claims services, people to be able *to claim rights/fulfill obligations* (e.g., behavior change, legislation, institutions, policy, voice) *measurable goals & targets*	Open to governance and non-governance (incl. capacity-building) flexible solutions that are open to various entry points of intervention (e.g., education, health, finance, social protection)
Monitoring and evaluation (M&E)	Of *outcomes, processes*, and structures as *guided by human rights standards and principles* may require strengthened capacities (statistical, budgetary) to do so	Of outcomes, processes

Because the guiding principles of HRBAs and SLAs were already identified in Table 1 and those principles govern the more program-specific ones in Table 2, it is only necessary to discuss below the main unique and necessary principles.

In terms of similarities, the words commonly used and therefore indicating necessity rather than uniqueness, include:

- Multidimensional (problem assessment)
- Gaps (analysis of root causes)
- Governance (strategic planning)
- Outcomes and processes (M&E).

As indicated in Table 2, these words are applied in different ways but their language indicates areas of compatibility.

In terms of differences (uniqueness), three main points can be made which repeat in part earlier comments:

1. SLAs are unique in their heavy use of the word "open" whereas HRBAs are unique in their heavy use of "right(s)."

2. SLAs uniquely emphasize the importance of identifying risk factors, forms of vulnerability, and livelihood variability in people's lives, especially at the household level. HRBAs on the other hand implicitly understand that rights are necessary to lessen risks and vulnerabilities or to improve people's ability to cope with them, and therefore start with a more focused lens.

3. HRBAs explicitly emphasize the importance of measurable goals and targets that will enable effective M&E. Because they are guided by existing international standards (however flexible or vague many of those may be), HRBA programming has the ability to bring to the table some sense of direction or even a minimal threshold of obligations that duty-bearers at the State-level will be expected to meet. SLAs on the other hand also value M&E to ensure efforts are truly meeting people's needs in a sustainable manner but wording regarding measurements is absent from the SLA discourse studied.

IV.   Limitations Noted in Practice

Although this paper focuses on concepts and principles, there are some key general limitations *in practice* as raised in the discourse that are important to mention. The limitations identified are not necessarily exclusive to one approach or the other, but are simply presented here based on the general level of attention or emphasis given to them among the sources for this paper.

For SLAs, the literature is vast so there may be any number of key limitations within a specific area of application (e.g., agriculture, literacy, health, etc.), which this paper does not look at. Rather, there are two relevant, general lessons learned. First, a key limitation or challenge of SLAs appears to be in the area of multi-sectoral stakeholder involvement. Rather than focusing on one unit in a donor agency to lead a project, and partnering with just one ministry in a target country, a multi-sector approach requires coordination within an agency and between agencies. As Clark and Carney (2008) explain regarding DFID's experience, this requires sufficient, sustained senior management support to ensure availability of greater staff and financial resources, more time, and flexibility with these and other parties (see also Hussein; Conway, et al.). However, in practice a single sector or ministry does tend to take the lead in implementation and a project will accordingly reflect that sectoral emphasis (Conway, et al). The consequence is that without a multisectoral emphasis, there may be limitations on other principles concerning partnerships and the multidimensional scope of an intended intervention.

Second, despite their comprehensiveness, SLAs are often not sufficient as stand-alone approaches. There are imminent issues in development that SLAs struggle to address, such as issues affecting urban settings; broader dynamics such as climate change and migration issues; power and gender issues; and, improvements to countries' national-level policy and economic-related systems or processes and institutions. SLA frameworks recognize the important role of PIPs in addressing some of these matters but they do not specialize in effective strategies for how to improve them in a sustainable (enforced) manner within a larger, people-oriented strategy. In fact, how SLAs should improve social and political power dynamics (privileged vs. vulnerable) across class, income, race, or gender lines is not clear and has been cited as a main shortcoming (Conway, et al). Rather, SLAs in practice have been associated with smaller scale or local projects despite their conceptual preference for micro-macro linkages (Clark and Carney; Hussein). When these local projects are constrained by national or societal issues such as those mentioned, then sustainability will be at risk. Conway, et al. suggest that *practitioners are combining SLA with other approaches, such as HRBAs, in part to adequately address some of these limitations* (see also Hussein), and even suggest that rights may be the only way to ensure that a government prioritizes livelihoods-related opportunities and provisions for the poor.

As for HRBAs, in practice there appear to be three main areas of limitation that are most relevant here. First, although there appears to be shared understanding among practitioners of rights-based concepts and principles, there may still be a need for more specific operational guidelines especially for those agencies that do not have a clear or strong rights-mandate and therefore face greater constraints (Gneiting; McInerney-Lankford 2009). Gneiting found that such guidelines are needed to address practitioner uncertainties that revolve in particular around the tone of interaction (e.g., confrontational vs. cooperative interaction with States), level of engagement (e.g., local vs. national level), and form of intervention (e.g., advocacy vs. service delivery). Otherwise, Gneiting suggests that practitioner uncertainties can lead to a watered-down or simplified (ie., safe) approach that is not solidly grounded in the normative framework and strength of human rights laws (see also McInerney-Lankford). The UN Development Group has a number of resources for its staff and partners for such purposes.[21]

Second, true accountability in practice is more easily said than done. Public accountability is needed of project partners, especially duty bearers, which can be difficult when government institutions are highly centralized (Piron and O'Neil). There also needs to be more rigorous monitoring and evaluation of donor approaches and of intervention strategies and impacts across the short and long-term. Because of a lack of effective, reliable accountability mechanisms and empirical data, it remains unclear how HRBAs affect the actual enjoyment of rights, whether positive impacts occur in a sustainable manner, and how HRBAs affect other actors more broadly. Gneiting found that measuring *tangible* human rights changes was frequently cited in the literature as a difficulty. Rather, M&E efforts and studies tended to focus on short-term, immediate outcomes concerning consciousness-related social indicators (e.g., increased voice of excluded groups, inclusion, mobilization) and institution-related indicators (e.g., responsiveness of state institutions). Piron and O'Neil point out that their intended synthesis of HRBA studies was highly constrained by a lack of independently verified, empirical, timely and complete data.

Third, aid agencies can face political and cultural forms of resistance to human rights. Piron and O'Neil suggest that the most common reason for reluctance from aid agencies to engage in HRBA activities is "…the fear of rejection of the human rights agenda by official partners, for example on the grounds of political interference in domestic sovereignty or cultural

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[21] For an agency-specific example, see the UN Development Program's manual (2006).

relativism"(40). This can be an issue even for less controversial causes such as childrens rights. UNICEF, for example, has faced constraints in contexts of sharp ethnic divisions, such as resistance to the collection of disaggregated data by ethnicity, or the provision of services in minority languages.

V.   Conclusion

ILAB takes a two-pronged approach to its work by improving both worker rights and livelihoods for vulnerable populations. Its work may affect rights or livelihoods separately, or may address them together in a given intervention, policy topic, or research effort. This paper sheds light on the broader development underpinnings of that work: the fundamental principles and perspectives of HRBAs and SLAs.

The analysis in this paper finds that while SLA principles distinctly emphasize people and openness with a comprehensive, idealistic approach to livelihood development, HRBA principles emphasize people's rights with a focus on institutional capacity-building, especially governance. It also finds that the unique value-added of each approach may be unclear in a number of aspects since SLA and HRBA principles are generally congruent and complementary. Their differences may simply boil down to whether, when, and the extent to which human rights and governance-related components are prioritized in a given situation. Because most of ILAB's work involves rights and governance-related components, deeper understanding of these aspects is important. This paper may serve as a first step toward that end.

Specifically, ILAB can benefit from this analysis of the broader development context in two main ways. First, for policy and programming purposes, it can help ILAB enhance communication, understanding and consensus-building about its areas of interest among stakeholders in a given setting. This could be helpful especially at the beginning of an initiative, project or discussion where there may be a variety of assumptions and interpretations of concepts and principles related to livelihoods, sustainability and human rights. To work effectively with its diverse stakeholders, knowledge of these and other development approaches could prove essential to effectively addressing conceptual conflicts and avoiding misunderstandings.
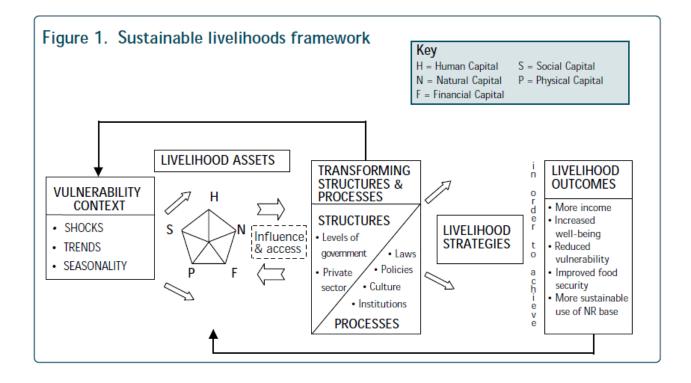
Second, for research purposes, the literature does not clarify the circumstances or contexts in which one approach would be better than the other, especially for sustainability. There is some

indication that a hybrid of the two may be ideal but a lack of rigorous research prevents clear answers. This paper therefore concludes that what is needed is more systematic, organized research to determine when to apply an approach to a situation or need; when to combine approaches; and, when to sequence the approaches (e.g., in separate steps or phases) for optimal impacts. More rigorous research of the impacts of ILAB's own activities would provide highly valuable insight to labor rights approaches, an area in the literature that is sorely lacking in evidence and which could inform the broader human rights and livelihoods communities in general.

Appendix 1

DFID's SUSTAINABLE LIVELIHOODS FRAMEWORK UNTIL 2002
(Excerpt from DFID 1999b)

Figure 1. Sustainable livelihoods framework

Appendix 2

EVOLUTION OF DEVELOPMENT APPROACHES TO POVERTY

In 2005, CARE depicted the evolution of its approach as being reflective of trends in the broader development community's thinking, as shown in the Table below (Excerpt from McCaston 2005 (8)). SLAs would best fit into the Development and the Facilitation & Transformation service types, while HRBAs would fit into the Facilitation & Transformation and the Liberation service types. CARE described its approach to development as a hybrid: a Household Livelihood Security Framework combined with a Rights Based Approach and emphasis on gender equity and diversity.

Table 1: Shifts in Development Thinking – COMBINING TECHNICAL & SOCIAL SOLUTIONS

	Four Ways to Conceptualize Change and Responses to Poverty Adapted from: Training for Transformation Volume III (1996)			
Type Of Service	**WELFARE**	**DEVELOPMENT**	**FACILITATION & TRANSFORMATION**	**LIBERATION**
Type of Change	Functional Change		Structural Change	
Causes of the problem	• Circumstances beyond the control of local people • Bad luck or fate • Natural disasters	• Lack of education • Lack of resources causing livelihood insecurity • Lack of opportunities • Inadequate technology	• Inadequate sociopolitical structures • Discrimination & inequality • Skewed economic system and wealth polarization	• Exploitation • Domination • Oppression • Alienation
	Technical Solutions		Social Solutions	
Program goals	• Relieve immediate suffering	• Address basic needs • Improve livelihood security & resilience • Develop self-sufficiency • Promote personal empowerment	• Livelihood security & resilience • Promote and build fair economic, social, political, legal and education structures	• Challenge & overcome exploitative structures
Types of service programs	• Famine relief • Refugee centers • Clinics, curative medicine • Care of disabled • CARE packages •	Technical training in: • Basic literacy, • Agriculture, • Income producing activities, Health and nutrition, • Savings & credit, • Personal empowerment	• Advocacy • Responsible governance • Programs to transform inequalities • Institutional capacity building • Social mobilization on rights & responsibilities	• Trade unions & international labor law • Political parties • Radical social movements
Type of Leadership	• Strong reliance on authority	• Consultative • Encourages participation	• Enabling • Highly participatory • Shared responsibility	• Shared by delegation of authority from base up

CARE's Efforts to Align our work with our Vision = Combining Technical & Social Solutions

Appendix 3

INTERNATIONAL LAW INSTRUMENTS
RELATING TO HUMAN RIGHTS
(from OHCHR website)

INTERNATIONAL LAW

CHARTER OF THE UNITED NATIONS - format

THE INTERNATIONAL BILL OF HUMAN RIGHTS
- Universal Declaration of Human Rights 1948
- International Covenant on Economic, Social and Cultural Rights 1966
- International Covenant on Civil and Political Rights 1966
- Optional Protocol to the International Covenant on Civil and Political Rights
- Second Optional Protocol to the International Covenant on Civil and Political Rights, aiming at the abolition of the death penalty

THE CORE INTERNATIONAL HUMAN RIGHTS INSTRUMENTS and their monitoring bodies
There are nine core international human rights treaties. Each of these treaties has established a committee of experts to monitor implementation of the treaty provisions by its States parties. Some of the treaties are supplemented by optional protocols dealing with specific concerns.

		Date	*Monitoring Body*
ICERD	International Convention on the Elimination of All Forms of Racial Discrimination	21 Dec 1965	CERD
ICCPR	International Covenant on Civil and Political Rights	16 Dec 1966	CCPR
ICESCR	International Covenant on Economic, Social and Cultural Rights	16 Dec 1966	CESCR
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women	18 Dec 1979	CEDAW
CAT	Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	10 Dec 1984	CAT
CRC	Convention on the Rights of the Child	20 Nov 1989	CRC
ICRMW	International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	18 Dec 1990	CMW
CPED	International Convention for the Protection of All Persons from Enforced Disappearance	20 Dec 2006	CED
CRPD	Convention on the Rights of Persons with Disabilities	13 Dec 2006	CRPD

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