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Empowerment for Sustainable Development: Towards Operational Strategies

Engaging Stakeholders in Support of Sustainable Development Action

Decision-makers Summary

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INTRODUCTION

Action for empowerment has been increasing within communities around issues of access to resources and entitlements, capacity building, the nurturing of leadership and local initiative and institutional development. The contributions from which this summary has been developed resulted from several questions that need to be addressed as we engage in the process of promoting sustainable development in decision making. Can people be empowered or is self-empowerment the only feasible answer? What are the roles and responsibilities of external "change agents" in the process of empowerment? What is the role of education and information, and what kinds of education and information contribute to empowerment? What should the sequencing of interventions be in the quest to empower people and their communities?

This report, a decision-making summary of a comprehensive document of the same title to be released shortly, provides some answers to some of these questions, but does not attempt to sequence actions identified as necessary for the empowerment of people. Such sequencing is a long-term context specific undertaking, which will only be possible following detailed information and analysis of a given community's internal and external relations.

The report clarifies conceptual issues around sustainable development, poverty, impoverishment and empowerment and describes the linkages among these concepts. It then addresses specific issues which have been of concern to decision makers and have formed part of interventions aimed at the empowerment of communities. These issues include education, local knowledge systems, environmentally friendly technologies, community-based resource management options, government restructuring, legal reforms and institutional change. We conclude by offering decision makers within non-government organizations, government departments, extension services, business, multilateral and international development agencies, "underlying principles" which provide a framework for integrating empowerment in policy formulations and which reinforce community efforts at achieving sustainable livelihoods.

The process of empowerment, while perceived by many to be problematic in terms of its operational value, is useful in galvanizing the necessary moral commitment on the part of people, institutions and international organisations to address issues of poverty and sustainable livelihoods. An understanding of empowerment as basically dealing with questions of differential access to internal and external power, powerlessness and social change as well as the role of stakeholders in the empowerment process, is crucial to instituting countervailing processes for change towards sustainable development.

The process of empowerment will undoubtedly differ from situation to situation of vulnerability, thereby challenging change agents and communities to evolve coping and adaptive strategies based upon the extent of the presence or absence of empowerment elements such as access to knowledge and skills, access to income, assets and credit facilities and access to entitlements over land, among others.

The Stakeholders in empowerment processes include the state, businesses, planners and policy makers and other elements of the civil society at international, regional, national, subnational and local levels

The disempowered and impoverished communities of the developing countries constitute the basic entry points for empowerment strategies. However, it is important to extend the vision of empowerment to national governments, some of which are being progressively disempowered by macro policy adjustment programs over which they appear to have no capacity to exercise control.

SUSTAINABLE DEVELOPMENT: FROM CONCEPT TO PRACTICE

The concept of sustainable development, although far from achieving definitional consensus, has galvanized the energies of those seeking to find solutions to environmental, socio-economic, political and economic ills. It reflects both the global threats to humanity highlighted by the Stockholm Conference, the Brundtland Commission and UNCED; as well as opportunities to address the new era of transition towards fundamental changes globally.

Indicators of sustainable development:

- The preservation of the renewal potential of natural resources;
- Maintenance of environmental sink capacity to assimilate wastes, sewage and emissions;
- Improvements in the quality of life through entitlements to the means of production, political and social organization and the satisfaction of basic needs; and
- Economic development which addresses problems of underconsumption and overconsumption.

Sustainable development implies a process of change in which the utilization of resources, the direction of investments, the orientation of technological innovation and exchange, and institutional change, reflect both future and present needs (WCED: 46). The notion of equity is central to sustainable development and implies a more equal distribution of assets and the enhancement of capabilities and opportunities of the most deprived. At the practical operational level sustainable development means:

- Ensuring that production processes do not overexploit the carrying and productive capacities of the natural resource base and compromise the quality of the environment, thus limiting the options of the poor, the present and future generations; and
- Ensuring that people have basic human rights and freedoms to participate in the political, economic, social and environmental spheres of their communities and societies.

The road map towards sustainable development outlined above points to the complexity of the system within which problems of development and the ecosystem are linked, and calls for the development of new approaches in support of development processes which integrate production with resource conservation and enhancement with assurances of sustainable livelihoods. One of the mechanisms through which this can be achieved is through empowerment which gives communities the capacity to deal with the interaction between ecosystem, political and socio-political changes that affect their livelihoods adversely.

POVERTY AND IMPOVERISHMENT

The definition of poverty has been arrived at through the identification of the poor through the specification of a set of basic or minimum needs and the inability to meet those needs; and aggregating the characteristics of this set of poor people into an overall image of poverty (Sen, 1981). Some of the key definitions and measurement concepts which have evolved include:

- Poverty line: The minimum level of household consumption that is socially acceptable, often calculated on the basis of an income of which two-thirds would be spent of a "food basket" which provides the least-cost essential calories and proteins;
- Absolute poverty: The state where income falls below the minimum standard of consumption (poverty line);
- Relative poverty: A state of deprivation relative to existing societal norms of income and access to social amenities;
- Pockets of poverty: Localised poor communities in the midst of affluence in the developed countries; and.
- Mass poverty: found in the developing countries where the poor constitute a major fraction of the population.

The poor are found in diverse socio-ecological communities such as arid and semi-arid lands and wastelands, in humid rain-forests, in river and lake bake basin, estuaries and coastal areas, in the slums and shanty-towns of cities in the developing countries, as well as in the prairies and urban areas of the developed worlds. They include peasants, the landless rural labourers, the displaced victims of famine and wars, the nomadic people, the indigenous people, the unemployed workers in the urban centers, the slum and shanty-town dwellers, the fishermen, petty traders, farmers, women, children and infants.

The following conditions characterize the poor:

- Isolation due to peripheral location from centers of trade and information:
- Vulnerability because of few buffers against contingencies such as disasters, social conventions, physical incapacity and exploitation; and

 Powerlessness due to ignorance of their rights in the face of exploitation by the elites, lack of access to legal advice and employment opportunities, reducing their capacity to bargain effectively (Chambers, 1983).

Poverty, therefore, is defined as a condition of lack of access to options and entitlements which are social, political, economic, cultural and ecological.

Impoverishment, on the other hand, is an active process that leads to diminished access to options and entitlements. It is continuously reproduced and generated by currently active global mechanisms including environmental degradation, resource depletion, inflation, unemployment and debt. These mechanisms have set in motion the erosion of livelihood options for the poor and the deepening gap between the rich and poor nations. In order to reverse this trend a mix of strategies which include giving back the control of resources such as land, forests etc., and their utilization to communities; sharing the knowledge and information to manage these resources for current populations and for posterity; dismantling the trade barriers that harm developing countries and promoting trade with equity; as well as providing the environment in which community's innovation and creativity can thrive to generate sustainable livelihoods.

EMPOWERMENT FOR SUSTAINABLE DEVELOPMENT

The word "empowerment" has been known to be a very slippery concept within the development discourse. It has meant various things to different people and constituencies and has covered such issues as good governance, legitimacy of governments, the transformation of economies to self-reliant endogenous human-centered development, a process enabling collective decision-making and collective action, and popular participation.

In general, a much more rigorous definition of empowerment has required that the slipperiness surrounding the concept be acknowledged and work done towards creating a common understanding of the concept and opportunities for its operationalisation.

The context within which we have attempted to build this understanding is poverty alleviation and sustainable development. Trends have shown that in spite of decades of "development" poverty levels in developing countries have continued to increase. The response to this apparent lack of development has been a proliferation of literature that has attempted to reconceptualize development and focus on people as mediums and objects of development — of poverty alleviation and sustainable human development goals.

Empowerment, therefore, has become the mechanism through which these broad goals can be achieved. The concept affirms the need to build the capacity of communities to respond to a changing environment by inducing appropriate change internally as well as externally through creativity, innovation and commitment to sustainable development goals. The principles embodied in the concept of empowerment include inclusiveness, transparency and accountability. In addition, a strategy for empowerment has to be a multifaceted, multi-dimensional process involving the mobilization of resources and people's capacities. The process has to foster consciousness about inequality. It also has to foster the right spirit to overcome self-blame and recognize the potential power within the community to effect change.

The process of empowerment of the poor cannot be isolated from the economic and political realities at the national, regional and international levels; and the absence of local capacity that enables people to participate effectively in their own development. In some

instances, governments in developing countries have been rendered powerless to empower their communities by structural adjustment programmes, rising debt, falling commodity prices and declining terms of trade. This has resulted in the further impoverishment and disempowerment of the poor with resultant degradation of the environment as the poor resort to various survival options that are not sustainable, including increased intensification of agriculture on marginal lands and increasing the intensity of their resource use. It is in consideration of this dynamic interaction among impoverishment, sustainable development and empowerment that we conclude that processes of impoverishment are also processes of disempowerment and development that is not sustainable.

To understand how empowerment might best serve poverty alleviation and sustainable development goals it is important to consider the mutual and dynamic interactions between social, political, cultural, economic and ecological factors which might be key in reproducing impoverishment processes or reversing these processes towards sustainable patterns of living (see figures 1 and 2). The trigger towards impoverishment and unsustainable patterns of living might be both external macro-level conditions such as the fall in the terms of trade and internal conditions such as discriminatory economic policies contributing to production distortions. The trigger towards sustainable patterns of living might be increasing options to the poor by providing them with a true capacity to cope with a changing socio-ecological environment - the capacity to adapt and to be self-reliant, endogenously define goals, priorities, identity and values.

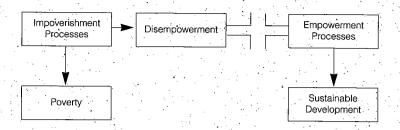


Figure 1. Illustrates the Interrelationships Among Processes of Empowerment, Disempowerment and Impoverishment and Sustainable Development.

Some of the necessary conditions for empowerment include:

- Local self-reliance, autonomy in the decision-making of communities and direct participatory democracy;
- Provision of space for cultural assertion and spiritual welfare;
- Provision of space for experiential social learning, the articulation and application of indigenous knowledge in conjunction with contemporary scientific knowledge;
- Access to entitlements over land and other resources, education for change and other basic needs;
- Capacity to achieve food self-sufficiency and sustain it;
- Access to income, assets and credit facilities and the capacity to create credit facilities;
- Access to knowledge and skills (both endogenous and exogenous) for the maintenance of constant natural capital stock and the environmental sink capacity;
- Access to skills-training, problem solving techniques, best available appropriate technologies and information without which the knowledge and skills become virtually useless; and
- Participation in decision-making processes by all people, and in particular women and youth.

Furthermore, empowerment embodies greater consciousness, group identity and practical realization of the creative potential of the poor; reconstruction of group identity by upgrading the skills and knowledge base and assets of the poor as they become initiators of interventions; and participation by the poor exercising power for

themselves through collective decisions, organizations and actions (Independent Group on South Asian Cooperation, 1991).

This can only occur if the major actors in sustainable development as identified through the UNCED process and by Agenda 21 such as national governments, non-governmental organizations (NGOs), the business community, multilateral development agencies such as UNDP and UNICEF and financial institutions including the IMF and World Bank, play an enabling and facilitative role in creating a conducive environment for communities to engage in a self-empowerment exercise for the achievement of sustainable livelihoods.

Empowerment for sustainable development means giving to people and communities the true capacity to cope with the changing environment, for increased social awareness, higher levels of social and economic participation and the utilization of new insights on ecological processes of change and self renewal, as societies and communities strive to enter the transition towards sustainable patterns of development. To achieve this requires the strengthening of the meaning and reality of the principles of inclusiveness, i.e. engaging relevant stakeholders in a process of change; transparency and accountability which gives legitimacy to any process and decisions reached.

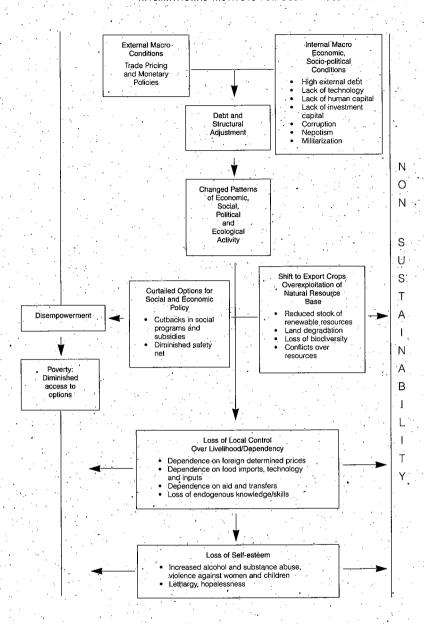


Figure 2. Impoverishment, and Non-sustainability Linkages. (Economic/Socio-political/Ecological).

ENGAGING STAKEHOLDERS IN PURSUIT OF SUSTAINABLE LIVELIHOODS

The stakeholders in empowerment processes include governments, business organizations, planners, policy-makers and other elements of the civil society at the international, regional, national, sub-national and local levels. True empowerment, which can be sustained over time and ecological changes, requires two-way communication as well as two-way power relations amongst stakeholders. Under such conditions, both accountability and authenticity in interventions can be generated as the poor find space to exercise their initiative and innovation; and resource providers and facilitators come to grips with their powerlessness to understand and unleash the creativity and entrepreneurship of knowledge-rich and economically poor people.

While disempowered and impoverished communities constitute the basic entry point for empowerment strategies, it is important to extend the vision of empowerment to national governments which are seen to be progressively disempowered by macro-micro policy adjustment programs over which they appear to have no capacity to exercise control. Action for empowerment has been on-going within communities around issues of access to resources and entitlements, capacity building, the nurturing of leadership and local initiative and institutional development. Some conditions that both enable and constrain empowerment have been advanced. To take this work further, a strategic need has been identified to articulate approaches aimed at forging alliances between communities and other stakeholders such as the freedom to make alliances, legal and constitutional reforms, reform of financial institutions and access to and dissemination of relevant information which may have impeded the success of communities' efforts to empower themselves to meet their livelihood needs and work towards sustainable development goals.

A REVIEW OF ENTRY POINTS FOR EMPOWERMENT FOR SUSTAINABLE DEVELOPMENT

Education

Education has for some time been seen as a fundamental tool in empowering the poor with its potential to reduce inequalities in the size and distribution of income and to increase the productivity and earnings of the poor. However, there is a general perception that education is in crisis globally and that the crisis is not purely economic. Many systems of education in current use are seen to support and reinforce non-sustainable development models, hence the criticism that education represents a "shaky vehicle for the structural changes needed in the socio-economic and political spheres which are crucial in enabling the poor to participate in their own development". The need has been identified to structure education in such a way that it provides basic job related knowledge and skills, as well as encourage greater understanding of how individual and group action can help combat ecological degradation, promote processes of democratization and foster the ability for critical analysis and problem-solving. These approaches place new demands on the state to devolve decision-making, fiscal authority and the delivery of services to communities.

Validation of Local/Traditional/Indigenous Knowledge Systems

The idea of rediscovering and validating local/traditional/indigenous knowledge systems which may help redefine social, economic and ecological viability is finding its way into the development discourse. Examples from India show how, given an enabling environment, communities and individuals can release their creativity and innovation to solve problems of livelihoods. Some caution that the emphasis on local knowledge should be seen in its most progressive sense and should not encourage the perpetuation of non-sustainable practices. The locus for rediscovering local knowledge should be to investigate to the fullest extent whether communities have viable options to propose, and if so adopt them.

Access to Environmentally Friendly Technologies

One of the issues that empowerment strategies need to focus on is access by the poor to environmentally friendly technologies that are needed to generate sustainable livelihoods. Local knowledge and skills that are in place will solve certain types of problems and certain aspects of the problem. Where knowledge has to be further developed recourse has to be made to tap into external sources. The problems of intellectual property rights and its impact on access have been the subject of countless publications. A specific strategy will have to be devised to address this issue with the view of opening up access by the poor to technologies that facilitate the generation of sustainable livelihoods.

Community-based Resource Management

The general focus of empowerment initiatives on community-based resource management is not only pragmatic but also offers a viable strategy for sustainable livelihoods. The approach lends itself to collective responsibility at all stages of the development cycle from problem identification to solution. It is also in keeping with the traditions of many poor communities. The example of the charcoal producers in a St. Lucia mangrove forest provides an illustration of how local-level institution building for empowerment can lead to sustainable resource use. While conflicts over government management of resources has been over the issue of land-use rights and the distribution of income within communities, governments still have a role to play to meet the legitimate expectations of the local community.

Restructuring Government and Legal Reforms

The actual modality of restructuring government and engaging in legal reforms may be region or country specific.

In general, legal reforms need to target for change specific components of a legal system, whether focusing on the disempowerment of disadvantaged women and communities or on legal factors contributing to ecological crises. These include:

- Structures of society established to enforce law and order such as the police, courts and other law enforcement agents;
- The substance of the law, that is, what the law says about the rights and obligations of citizens; and

• Culture, the attitudes, practices and behaviour of people in a given society.

The substance of the law in itself cannot be effective in empowering communities without the necessary effective enforcement mechanism and a community that perceives tangible benefits from the law.

The notion of the state disempowering itself has been graphically illustrated by the case of the government of the Northwest Territories of Canada. The success of the process of government self-disempowerment and community empowerment hinges on the ability of the incumbent government to live within its means, the presence of a political will as a driving force to forge ahead with the process, and putting in place a mechanism to turn over both resources and responsibilities to the communities. The lessons learned from this process is that the objective of empowering communities is a good part of good government. A community that is empowered will make less demands on the declining, debt-committed resources of central governments. In addition, the feeling of ownership of 'development' outcomes will instill a willingness among people to work towards reinforcing national progress rather than contribute to its disintegration.

Institutional Change

The thrust of institutional change as an empowering process recognizes institutions as not static but constantly undergoing change towards either sustainable or non-sustainable forms of development. The kinds of changes that are needed require a focus on poverty alleviation and sustainable development. In this regard, it would be useful to approach the issue of institutional change through the projection of the role of human agency at local/community, national and international decision making levels in changing socio-economic and political structures. Important stages in this process include:

- Defining clearly the role of facilitators or external resource providers in the empowerment process;
- Specifying conditions under which each level of action becomes critical;
- Identifying circumstances under which national government can be enabled to empower others; and
- Outlining the extent to which participatory inquiry can and has impacted on self-mobilization.

UNDERLYING PRINCIPLES: EMPOWERMENT FOR SUSTAINABLE DEVELOPMENT

In considering strategies for empowerment for sustainable development three factors need to be acknowledged:

- That strategies for empowerment should always be based on the understanding of the 'anatomy of power'. This helps to identify sources of power in personality, property and organization, which will vary according to regions, cultures and the nature of risks experienced at any given time;
- That the processes of empowerment cannot be isolated from economic and political realities at the national, regional and global levels;
- That empowerment for sustainable development requires a combination of endogenous and exogenous driven processes for it to succeed.

The following underlying principles are key to the formulation of strategies for empowerment for sustainable development:

People with power will not willingly give up power to those without

If this is true, then some of the options for the empowerment of the poor may involve endogenous empowerment efforts which recognise the poor as subjects rather than objects of a change process. The strategy here may entail engaging the poor in a long-term process of:

- Regaining their self-esteem, their self-respect and their initiative;
- Strengthening their organisational capacity and working towards the recognition and validation of their knowledge, their internal leadership and their capacity to identify options to which they need access; and
- Identifying and utilising conduits for the articulation of their view on the values of the rich and non-poor and their apparent benevolence.

The need for resources, particularly financial and informational, is critical to consolidate the gains by the poor, to place them in a position to dialogue with the different levels of government from a

position of strength and avert negative external inroads into their sources of livelihoods.

The dramatic changes occurring within countries towards transparency and inclusiveness point to the impact of people's demands for involvement in the ecological, economic, social and political decision-making processes, and the governments' recognition of the risks (to their integrity) involved in resisting the drive for change.

National and international business leaders have been challenged to play an active role in supporting communities to achieve sustainable livelihoods. Business leaders will benefit from building on the strategies outlined in the IISD and Business Council for Sustainable Development publications: "Business Strategy For Sustainable Development" and "Changing Course" respectively.

Empowerment is a process that results in win-win solutions in the long-term

Those who benefit from short-term unsustainable practices, including business and governments will ultimately lose. Governments in developing countries have been disempowered by structural adjustment, rising debt, falling commodity prices and declining terms of trade.

While the international community has the responsibility to restore confidence and dignity to governments in developing countries through the policies they pursue in bilateral and multi-lateral relations, the governments of the poor countries also are required to show greater political will to empower people to be active partners in securing sustainable livelihoods and in nation building. They need to understand empowerment processes as liberating.

The sharing of information and knowledge and fostering crosscultural dialogue can be an enriching experience for both the "powerful" and the "powerless".

Lessons can be drawn from the experiences of non-governmental organisations in projecting institutions for creativity and innovation embedded within the culture of communities and from "change-oriented" governments and international institutions.

- In Africa, the Organisation of Rural Associations For Progress (ORAP) has mobilized communities around their cultural philosophy of working together and pooling resources, of interdependence, self-discovery and self-reliance. The litmus test for this philosophy was the crippling drought in Zimbabwe in 1989-1991, which galvanized communities to find creative ways for survival transforming them from victims to victors.
- In Asia, the Society for Research and Initiatives for Sustainable Technologies and Institutions (SRISTI) has initiated a network of people and activists engaged in eco-restoration and reconstruction of knowledge about ecological, technological and institutional knowledge systems of communities. The Honey Bee newsletter, which is used as a networking tool, has attracted contributions of twelve hundred innovative practices from dry regions to prove that the poor do have the capacity to conduct successfully basic research pertaining to their environment and sources of livelihoods, which can enrich the international body of knowledge.
- In Canada, the Government of the Northwest Territories has demonstrated that transferring programs and resources to community government in the context of a complex multilateral social structure is a necessary step in developing sustainable systems. It requires that the government first empower itself, mainly by avoiding fiscal crisis through fundamental restructuring of government.

Empowerment requires a commitment to the provision of space for cultural assertion and spiritual welfare

This has in the past been mistakenly associated with social fragmentation in a world where economic globalisation has brought together peoples of different races and ethnicity. It has been observed that peoples in the developing countries who have moved further away from their cultural and spiritual integrity, either voluntarily or involuntarily, have been the most vulnerable to the negative impacts of social, economic and ecological change. Hence the notion of peoples and communities seeking their identity, through culture, and abandoning the idea of "progress" or indeed "development", of which they have played no part in defining.

Increased polarisation of rural societies in the developing countries has called for the need to empower communities by strengthening

social fragmentation which generates aversion to long-term investment in productive and conservation activities.

Empowerment processes cannot be isolated from global economic and political shifts.

The source of empowerment, mainly to national governments to provide them with the capacity to initiate and manage change in their respective countries, can be derived from conditions in international trade and aid relations that will enable them to regain control over the directions of their economies as well as their human resource development. These conditions include:

- The transformation of institutions of finance and of trade to resolve the long-standing issues of debt and the structural adjustment programs, whose failure to address the problems of sustainable livelihoods of the poor has largely been accepted, hence UNICEF's 'adjustment with a human face'; of unfavourable terms of trade which to some have not been adequately addressed by the last Uruguay round of GATT; and of control over resources and environment in the hands of transnational companies;
- The review of the Overseas Development Assistance (ODA) provided by the OECD countries to determine the impact of such assistance on human resource development, that is, capacity building, technology sharing, etc. The review should be structured in such a way that it sheds light on its empowerment goals, namely, that it is targeted to the needs that have been expressed, and that these needs do not compromise the integrity of the social, economic and ecological fabric of the recipient community. The ongoing foreign policy review of the Canadian government could benefit tremendously from this outlook.

Without the major transformation of institutions at the international level, gains made at national and local levels towards empowerment will not be sustained. Efforts at empowerment for sustainable development have to be based on the understanding that "empowerment" just like "development" is not a systematic upward progression toward the ideal propelled by a grand design, but a tortuous and random process driven by a number of factors, innovation, spontaneity and commitment being just a few of them. This conception of empowerment embraces the role of human agency, of compassion, culture and spirituality in advancing sustainable development goals.

TAKING THE NEXT STEP

The above underlying principles call for a significant change in the way decision makers do business in support of sustainable development goals. The effectiveness of these principles, in terms of generating action for empowerment, lie in their collective use rather than singling one and turning it into a fad. We do recognise that these are not exhaustive and that they will be modified as experience informs us of what other actions are necessary for the empowerment of people. The primary audience of these principles and the work they will generate include governments, development agents, the donor community, non-government organizations and communities.

IISD and other institutions have taken one step in the direction of engaging the poor in their own empowerment and policy makers in supporting that process. Work is underway to capture actions that people, households and communities adopt to achieve sustainable livelihoods in response to a change in their "normal" circumstances. These actions are referred to as adaptive strategies.

The underlying conceptual underpinnings of this work is that sustainable livelihood systems are impacted positively or negatively by three interrelated factors: local adaptive strategies (i.e., action on the ecological, socio-political and economic fronts) which are a product of synergies derived from local and external knowledge systems; national and international policy conditions including trade and aid; and other external factors such as technological innovations.

Highlighting processes and outcomes at specific levels at which these factors are operational will generate insights that will empower communities to mobilize their options to make the transition from poverty to sustainable livelihoods, and open a window for decision makers into what communities perceive to work given identified opportunities and constraints.

EMPOWERMENT FOR SUSTAINABLE DEVELOPMENT: TOWARDS OPERATIONAL STRATEGIES

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