

SYLLABUS

CLIMATE AND SOCIAL VULNERABILITY: CONCEPTS AND POLICY APPROACHES*

Professor Jesse C. Ribot
Meeting Three Hours Each Week

This course is offered in the Fall semester of every other year: 2011, 2013, 2015.

Course Description

Existing climate variability and likely climate change call for policies to protect vulnerable people who eke out their livelihoods in a changing environment. Students will explore: 1) causes of climate-related stress and disaster; 2) theories of vulnerability and adaptation; 3) practices and policies designed to reduce economic loss, hunger, famine and dislocation in the face of climate trends and events. Focus on multiple policy scales affecting poor and marginal populations, who are disproportionately vulnerable when facing climate stress, drawing on case examples primarily from the developing world.

This course explores how policy can produce or reduce vulnerability. The course will examine:

1. Causes of climate-related stress and disaster.
2. Theories of vulnerability and adaptation.
3. Practices and policies designed to reduce economic loss, hunger, famine and dislocation in the face of climate trends and events.

The course will focus on multiple policy scales affecting poor and marginal populations, who are disproportionately vulnerable when facing climate stress. It will draw on case examples primarily from the developing world.

As course assignments, students will be asked to 1) provide comments on the weekly readings and 2) write a twelve-page research proposal or analysis of the causal structure of vulnerability in a specific case. The assignments (and how they differ for graduate and undergraduates) are described in detail below the syllabus.

The course will provide students with a theoretical base and policy-analytic skills applicable to increasing security and wellbeing of the poor.

Grading

- 20% attendance & participation in class. Two or more unexcused absences = F grade.
- 20% one-paragraph 'Comments on weekly readings'. You must submit for all but two classes. If you miss more than two = F grade.
- 10% lead class discussion for at least two assigned articles.
- 15% take home midterm essay exam, assigned week 7 due week 8.
- 35% 12-page 'writing project' (policy research proposal) due at final class session.

* The development of this course has been generously supported by the Environmental Change Institute (ECI) of the University of Illinois—see: <http://eci.illinois.edu/>.

Contents

Contents.....	2
Course Assignments (see assignments description at end of Syllabus):	3
Week 1: Introduction—Why Climate and Vulnerability?	3
WEEK 2: Reading Vulnerability	3
WEEK 3: Entitlements—defining the concept	4
WEEK 4: Critiquing and Expanding Entitlements	5
WEEK 5: Entitlements, Vulnerability and Environment	5
Week 6: Vulnerability and Livelihoods	7
Week 7: Adaptation: Is there a Theory?	7
Week 8: Adaptation Research and Applications	8
Week 9: Climate and Migration – vulnerability and adaptation	9
Week 10: Measures and Indicators	9
Week 11: Adaptation Policy.....	10
Week 12: Global Policy on Climate and Adaptation	11
Week 13: Justice, Representation and Human Rights	11
Week 14: Justice, Representation and Human Rights	12
Week 15: Future Research Directions.....	12
Course Assignments.....	13

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Course Text Books:

- Drèze, Jean and Amartya Sen. 1989. *Hunger and Public Action*. Oxford: Clarendon.
- Ellis, Frank. 2000. *Rural Livelihoods and Diversity in Developing Countries*. Oxford: Oxford University Press.
- Roberts, J. Timmons and Bradley C. Parks. 2007. *Climate of Injustice: Global Inequality, North-South Politics, and Climate Policy*. Cambridge: MIT Press.

Course Assignments (see assignments description at end of Syllabus):

- Weekly comments on readings
- Twelve-page research proposal or analysis of the causal structure of vulnerability

Week 1: Introduction—Why Climate and Vulnerability?

- Objectives
- Structure of course/syllabus
- Assignments
- Student understandings of vulnerability
- My model of vulnerability

WEEK 2: Reading Vulnerability

Required Readings

- Füssel, Hans-Martin. 2007. "Vulnerability: A Generally Applicable Conceptual Framework for Climate Change Research." *Global Environmental Change*, Vol. 17, No. 2, pp. 155-167.
- O'Brien, K., Eriksen, S., Nygaard, L. P. and Schjolden, A. 2007. "Why Different Interpretations of Vulnerability Matter in Climate Change Discourses." *Climate Policy*, Vol. 7, pp. 73–88.
- Roberts, J. Timmons and Bradley C. Parks. 2007. *Climate of Injustice: Global Inequality, North-South Politics, and Climate Policy*. Cambridge: MIT Press.
 - Ch. 3: "Not the Day after Tomorrow: Learning from Recent Climate Disasters," pp. 67-102.
 - Ch. 4: "An Analysis of Cross-National Patterns of Risk," pp. 103-132.
- IPCC (Intergovernmental Panel on Climate Change). 2007. "Assessment of Adaptation Practices, Options, Constraints and Capacity" (ch. 17) in M.L. Parry, O.F. Canziani, J.P.

Palutikof, P.J. van der Linden, and C.E. Hanson, Eds. *Impacts, Adaptation and Vulnerability*. Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change. Cambridge: Cambridge University Press, pp. 717-743.

Suggested Additional Readings

- Adger, W. Neil. 2006. "Vulnerability." *Global Environmental Change*, Vol. 16, pp. 268-281.
- Kates, Robert W. and Sarah Millman. 1990. "On Ending Hunger, The Lessons of History," (Ch. 15) in Lucile F. Newman, ed. *Hunger in History: Food Shortage, Poverty and Deprivation*. Oxford: Blackwell, pp. 389-407.
- Millman, Sarah and Robert W. Kates. 1990. "Toward Understanding Hunger," (Ch. 1) in Lucile F. Newman, ed. *Hunger in History: Food Shortage, Poverty and Deprivation*. Oxford: Blackwell, pp. 3-24.
- Füssel, Hans-Martin, and Richard J.T. Klein. 2006. "Climate Change Vulnerability Assessments: An Evolution of Conceptual Thinking." *Climate Change*, Vol. 75, pp. 301-329.

This class introduces some basic concepts in the field of climate and society. I discuss how to draw out theories implicit in the definitions used in articles and books on climate and vulnerability or adaptation.

WEEK 3: Entitlements—defining the concept

Required Readings

- Drèze, Jean and Amartya Sen. 1989. *Hunger and Public Action*. Oxford: Clarendon.
 - Ch 1: Introduction, pp. 3-19.
 - Ch 2: Entitlements and Deprivation, pp. 20-34.
 - Ch 4 (section 4.1): Society, Class and Gender, pp. 46-47.
 - Ch 8: Experience and Lessons, pp. 122-164.
- Swift, Jeremy. 1989. "Why are Rural People Vulnerable to Famine?" *IDS Bulletin*, Vol.20, No.2, pp. 8-15.
- Wisner, Ben. 1976. "Man-Made Famine in Eastern Kenya: The interrelationship of Environment and Development," Discussion Paper No. 96, Institute of Development Studies at the University of Sussex, Brighton, England.

Suggested Additional Readings

- Sen, Amartya. 1981. *Poverty and Famines: An Essay on Entitlement and Deprivation*. Oxford: Oxford University Press.
- Sen, Amartya. 1984. Rights and Capabilities. In Sen, Amartya (ed). *Resources, Values and Development*. Oxford: Basil Blackwell.

In this class we discuss the basic elements of the entitlements approach to the analysis of

vulnerability. There are basically three approaches you will come across in your readings. Hazards literature characterizes the consequences of events on static communities. They view risk as being an attribute of a hazard (event or trend). The entitlements literature gives us a basis for understanding the social and political economic causes of risk, viewing risk as residing within social organization (rather than as something that comes from the sky). Integrated approaches build on entitlements (using the 'livelihoods' literature) while exploring the links between social organization and context.

WEEK 4: Critiquing and Expanding Entitlements

Required Readings

- Watts, Michael J. and Hans Bohle. 1993. "The Space of Vulnerability: The Causal Structure of Hunger and Famine." *Progress in Human Geography*, Vol. 17, No. 1, March, pp. 43-68.
- Bohle, Hans-G. 2001. "Vulnerability and Criticality: Perspectives from Social Geography." IHDP Update 2/01, pp. 3-5. See: http://www.ihdp.uni-bonn.de/html/publications/update/IHDPUpdate01_02.html.
- Watts, Michael J. 1987. "Drought, Environment and Food Security: Some Reflections on Peasants, Pastoralists and Commoditization in Dryland West Africa." In Michael H. Glantz, ed. *Drought and Hunger in Africa*. Cambridge: Cambridge University Press.
- Rain, David R. 2009. "Vulnerability and the City: How activity patterns and the built environment affect urban residents' responses to disease and hazard threats; the case of Accra, Ghana." Washington, DC: The George Washington University Seminar in Urban Studies. Pp. 15.

Recommended Readings:

- Watts, Michael J. 1983. "On the Poverty of Theory: Natural Hazards Research in Context," (ch. 13) in Ken Hewitt, ed. *Interpretations of Calamity*. London: Allen Unwin, pp. 231-262. [Included as a critique of *hazards* literature.]
- Gasper, Des. 1993. "Entitlement Analysis: Concepts and Context." *Development and Change*, Vol. 24, pp. 679-718.

WEEK 5: Entitlements, Vulnerability and Environment

Required Readings

- Ribot, Jesse C. 1995. "The Causal Structure of Vulnerability: Its Application to Climate Impact Analysis." *GeoJournal*, Vol. 35, No. 2, pp. 119-122.
- Leach, Melissa, Robin Mearns and Ian Scoones. 1999. "Environmental Entitlements: Dynamics and Institutions in Community-based Natural Resource Management." *World Development*, Vol. 27, No. 2, pp. 225-247.
- Turner II, B.L., Pamela A. Matson, James J. McCarthy, Robert W. Corell, Lindsey Christensen, Noelle Eckley, Grete K. Hovelsrud-Broda, Jeanne X. Kasperson, Amy Luers, Marybeth L. Martello, Svein Mathiesen, Rosamond Naylor, Colin Polskyje, Alexander Pulsipher, Andrew Schiller, Henrik Selin, and Nicholas Tyler. 2003. "A Framework for

Vulnerability Analysis in Sustainability Science." *Proceedings of the National Academy of Sciences US*, Vol. 100, pp. 8074-8079.

- Turner II, B.L., Pamela A. Matson, James J. McCarthy, Robert W. Corell, Lindsey Christensen, Noelle Eckley, Grete K. Hovelsrud-Broda, Jeanne X. Kasperson, Amy Luers, Marybeth L. Martello, Svein Mathiesen, Rosamond Naylor, Colin Polsky, Alexander Pulsipher, Andrew Schiller, Henrik Selin, and Nicholas Tyler. 2003. "Illustrating the Coupled Human-Environment System for Vulnerability Analysis: Three Case Studies." *Proceedings of the National Academy of Sciences US*, Vol. 100, pp. 8080-8085.

Additional Readings on Vulnerability and Environment

- Hans G. Bohle, Thomas E. Downing, and Michael J. Watts, "Climate Change and Social Vulnerability: Toward a Sociology and Geography of Food Insecurity." *Global Environmental Change* 4, no. 1 (1994): 37-48.
- Agarwal, Bina. 1993. "Social Security and the Family: Coping with Seasonality and Calamity in Rural India." *Agriculture and Human Values*, pp. 156-165.
- Kabeer, Naila. 1991. "Gender Dimensions of Rural Poverty: Analysis from Bangladesh" *Journal of Peasant Studies* 18, pp. 241-62.
- Jackson, C. 2003. "Gender analysis of land: Beyond land rights for women?" *Journal of Agrarian Change* Vol. 3, pp. 453-480. [cf Agrawal 1983.]
- Agarwal, Bina. 1983. "Gender and land rights revisited: exploring new prospects via the state, family and market," *Journal of Agrarian Change* Vol. 3, pp. 184-224.
- Burton, Ian, Robert W. Kates, and Gilbert F White. 1978. *The Environment as Hazard*. New York: Oxford University Press.
- Cannon, Terry. 2000. "Vulnerability Analysis and Disasters," (ch.2) in D.J. Parker, ed. *Floods*. London: Routledge, pp. 45-55.
- Downing, Thomas. 1991. "Assessing Socioeconomic Vulnerability to Famine: Frameworks, Concepts, and Applications." Final Report to the U.S. Agency for International Development, Famine Early Warning System Project, January 30, 1991.
- Kasperson, R.E., K. Dow, E. Archer, D. Caceres, T. Downing, T. Elmqvist, S Eriksen, C. Folke, G. Han, K. Iyengar, C. Vogel, K. Wilson, G. Ziervogel. 2005. "Vulnerable Peoples and Places", pp. 143-164 in R. Hassan, R. Scholes, and N. Ash, eds. *Ecosystems and Human Wellbeing: Current State and Trends*. Vol. 1, Washington, D.C.: Island Press.
- Smucker, Thomas A. and Ben Wisner. 2008. "Changing Household Responses to Drought in Tharaka, Kenya: Vulnerability Persistence and Challenge." Journal Compilation, Overseas Development Institute. Oxford: Blackwell.

This section outlines an approach to analyzing the causal structures of vulnerability in the face of environmental variability and change. How do we take environment and social forces into account? What are the gender, class, caste, ethnic and other social divisions along which vulnerability is differentiated and produced and reproduced? How do we identify the causes of that vulnerability?

PROJECT: Please submit one paragraph describing your intended project. Please specify your

research question or case to be studied and why it is important or interesting. Please also include a bibliography with at least five key documents you will use for background. I will provide feedback over the next two weeks.

Week 6: Vulnerability and Livelihoods

Required Readings

- Ellis, Frank. 2000. *Rural Livelihoods and Diversity in Developing Counties*. Oxford: Oxford University Press.
 - Ch 1: Livelihoods, Diversification, and Agrarian Change, pp. 3-27.
 - Ch 2: A Framework for Livelihood Analysis, pp. 28-50.
 - Ch 4: Poverty and Income Distribution, pp. 77-96.
 - Ch 6: Environment and Sustainability, pp. 117-137.
- Cannon, Terry. John Twigg, Jennifer Rowell. N.d. (2003?) *Social Vulnerability, Sustainable Livelihoods and Disasters*. Report to DFID, Conflict and Humanitarian Assistance Department and Sustainable Livelihoods Support Office, pp. 1-63.
- Bebbington, A. (1999) "Capitals and Capabilities: A Framework for Analysing Peasant Viability, Rural Livelihoods and Poverty." *World Development*, Vol. 27, No. 12, pp. 2021-44.

Suggested readings:

- Ellis, Frank. 2000. *Rural Livelihoods and Diversity in Developing Counties*. Oxford: Oxford University Press. Chs. 3 and 7.
 - Ch 3: Determinants of Livelihood Diversification, pp. 55-75.
 - Ch 7: Gender and Rural Livelihoods, pp. 139-158.
- Scoones, Ian. 2009. "Livelihoods Perspectives and Rural Development," *Journal of Peasant Studies*. Vol. 36, No. 1. Pp. 171-196.
- Blaikie, Piers, T. Cannon, I. Davis, Ben Wisner. 1994. *At Risk: Natural Hazards, People's Vulnerability and Disasters*. London: Routledge. Also see their updated version: Wisner, Benjamin, Piers M. Blaikie, and Terry Cannon. *At Risk: Natural Hazards, People's Vulnerability and Disasters*. Edition: 2. Published by Routledge, 2004.
- Prowse, Martin. 2003. "Toward a Clearer Understanding of 'Vulnerability' in Relation to Chronic Poverty." CPRC Working Paper No. 24, Chronic Poverty Research Centre, University of Manchester, Manchester, UK, pp. 1-41.

Livelihoods approaches are widely used in the analysis and treatment of poverty, vulnerability and the enhancement of 'adaptation' and 'adaptive capacity' (to be discussed in more detail next week). What does a livelihoods approach contribute to an understanding of the causes and persistence of vulnerability? How does this approach help to identify pathways toward reduced vulnerability?

Week 7: Adaptation/Adaptive Capacity: Is there a Theory?

Required Readings

- Mortimore, Michael and W.M. Adams. 2000. "Farmer Adaptation, Change and "Crisis" in the Sahel." *Global Environmental Change*, Vol. 11, pp. 49-57.
- Brooks, Nick. 2003. "Vulnerability, Risk and Adaptation: A Conceptual Framework." Working Paper 38, Tyndall Centre for Climate Change Research, Norwich UK, pp. 1-20.
- Yohe, Gary and Richard S.J. Tol. 2002. "Indicators for Social and Economic Coping Capacity—Moving Toward a Working Definition of Adaptive Capacity." *Global Environmental Change*, Vol.12, pp. 25-40. [compare with Brooks 2003]
- Sabates-Wheeler, Rachel, Tom Mitchell and Frank Ellis. 2008. "Avoiding Repetition: Time for CBA to Engage with the Livelihoods Literature?" *IDS Bulletin*, Vol. 39, No. 4, pp. 53-59.
- Prowse, Martin and Lucy Scott. 2008. "Assets and Adaptation: An Emerging Debate." *IDS Bulletin*, Vol. 39, No. 4, pp. 42-52.
- Tanner, Thomas and Tom Mitchell. 2008. "Entrenchment of Enhancement: Could Climate Change Adaptation Help to Reduce Chronic Poverty?" *IDS Bulletin* Vol. 39. No. 4, September, pp. 6-15.
- Demetriades, Justina and Emily Esplen. 2008. "The Gender Dimensions of Poverty and Climate Change Adaptation." *IDS Bulletin*, Vol. 39, No.4, September, pp. 24-31.
- Agrawal, Arun. Forthcoming (2009). "The Role of Local Institutions in Adaptation to Climate Change," in Robin Mearns and Andrew Norton, eds. *Social Dimensions of Climate Change: Equity and Vulnerability in a Warming World*. Washington, DC: The World Bank, pp. 1-65.

Recommended Readings:

- Duarte, Mafalda, Rachel Nadelman, Andrew Peter Norton, Donald Nelson, and Johanna Wolf. 2007. "Adapting to Climate Change: Understanding the Social Dimensions of Vulnerability and Resilience." *Environment Matters*, June-July, pp. 24-27.[Fairly useless—could eliminate]
- Smit, B., I. Burton, R.J.T. Klein, and R. Street. 1999. "The Science of Adaptation: A Framework for Assessment," *Mitigation and Adaptation Strategies for Global Change* 4: 199–213.
- Carter, T. R., M.L. Parry, H. Harasawa, S. Nishioka. 1994. *IPCC Technical Guidelines for Assessing Climate Change Impacts and Adaptation*, University College, London, and Centre for Global Environmental Research, Tsukuba, Japan, pp. 1-59.
- Davies, Susanna and Naomi Hossain. "Livelihood Adaptation, Public Action and Civil Society: A Review of the Literature." *IDS Working Paper*, No. 57. Brighton: IDS Sussex.

Week 8: Resilience Approaches

Required Readings

- Leach, Melissa (ed.) 2008. Re-framing Resilience: a Symposium Report, STEPS Center, Institute for Development Studies, Sussex. Pp. 18. [<http://www.steps-centre.org/PDFs/Resilience.pdf>]
- Nelson, D.R., W.N. Adger and K. Brown. 2007. "Adaptation to Environmental Change:

Contributions of a Resilience Framework," *Annual Review of Environment and Resources*, Vol. 32. [compare with Leach 2008]

PROJECTS: Discuss Progress on Assignments
Each student gives a 5 minute outline of their idea

Week 9: Climate and Migration – vulnerability and adaptation

Required Readings

- Biermann, Frank, and Ingrid Boas. 2007. Preparing for a Warmer World. Towards a Global Governance System. Amsterdam: The Global Governance Project, Global Governance Working Paper, No. 33, pp. 44. See: <http://www.environmentmagazine.org/Archives/Back%20Issues/November-December%202008/Biermann-Boas-full.html>.
- Brown, Oli. 2008. *Migration and Climate Change*. In: International Organization for Migration (IOM): Research Series, No.31, Geneva: IOM, pp. 64.
- Warner, Koko, Tamer Afifi, Olivia Dun, Marc Stal, and Sophia Schmidl. 2008. *Human Security, Climate Change, and Environmentally Induced Migration*. Bonn: United Nations University- Institute for Environment and Human Security, pp. 69.

Suggested Readings

- Cutter, Susan L., Boruff, Bryan J., Shirley, Lynn W. 2003. "Social Vulnerability to Environmental Hazards." *Social Science Quarterly*, Vol. 84, No. 2, pp. 242-261
- Black, Richard. 2006. "Moving backwards? Migration in Sub-Saharan Africa," in Barbara Marshall, ed. *The Politics of Migration: A Survey*. London: Routledge, pp. 112-129.
- Warner, Koko. 2007. *Perspectives on Social Vulnerability: An introduction*. In SOURCE No. 6/2007. Bonn: United Nations University Institute for Environment and Human Security (UNU-EHS).

PROJECT: Please submit a draft of your project today and sign up to see me in my office hours so we can discuss your proposal.

Week 10: Measures and Indicators

Required Readings

- Amy Luers, David Lobell, Leonard Sklar, C. Lee Addams, Pamela Matson. 2003. "A Method for Quantifying Vulnerability, Applied to the Agricultural System of the Yaqui Valley, Mexico." *Global Environmental Change*, Vol. 13, pp. 255-267.
- Deressa, Temesgen, Rashid M. Hassan, Claudia Ringler. 2008. "Measuring Ethiopian Farmers' Vulnerability to Climate Change Across Regional States." IFPRI Discussion Paper 00806, Environment and Production Technology Division, October. Washington DC: IFPRI, pp. 1-22.
- Downing, Thomas E. and Anand Patwardhan. 2005. "Assessing Vulnerability for Climate Adaptation." Technical Paper 3, in Bo Lim, Erika Spanger-Siegfried, Ian Burton, Elizabeth

Malone and Saleemul Huq, eds. *Adaptation Policy Frameworks for Climate Change*. Cambridge: Cambridge University Press, pp. 67-89.

Recommended Readings

- Adger, W Neil, Nick Brooks, Graham Bentham, Maureen Agnew, and Siri Eriksen. 2004. "New Indicators of Vulnerability and Adaptive Capacity." Tyndall Center for Climate Change Research Technical Paper, no. 7, January.
- Bern, C., et al. 1993. "Risk Factors for Mortality in the Bangladesh Cyclone of 1991." *Bulletin of World Health Organization*, Vol. 73, pp.72-78.
- Tilly, Charles. 1998. *Durable Inequality*. Berkeley: University of California Press.
- Hedger, Merylyn, Martin Greeley and Jennifer Leavy. 2008. "Evaluating Climate Change: Prop-Poor Perspectives." *IDS Bulletin*, Vol. 39, No. 4, pp. 75-80.

Week 11: Adaptation Policy

Required Readings

- Eakin, Hallie, Emma L. Tompkins, Donald R. Nelson, John M. Anderies. 2009. "Hidden costs and disparate uncertainties: Trade-offs involved in Approaches to Climate Policy," pp. 212-226 in W. Neil Adger, Irene Lorenzoni and Karen O'Brien (eds.) *Adapting to climate change: thresholds, values, governance*. Cambridge: Cambridge University Press.
- Lemos, Maria Carmen and Emma L. Tompkins. 2008. "Creating Less Disastrous Disasters." *IDS Bulletin*, Vol. 39, No. 4, pp. 60-66.
- Davies, Mark, Bruce Guenther, Jennifer Leavy, Tom Mitchell and Thomas Tanner. 2008. "'Adaptive Social Protection': Synergies for Poverty Reduction." *IDS Bulletin*, Vol. 39, No. 4, pp. 105-112.
- Pierro, Rachele and Bina Desai. 2008. "Climate Insurance for the Poor: Challenges for Targeting and Participation." *IDS Bulletin*, Vol. 39, No. 4, pp. 123-129.
- Niang-Diop, Isabelle, and Henk Bosch. 2005. "Formulating an Adaptation Strategy." Technical Paper 8 in Bo Lim, Erika Spanger-Siegfried, Ian Burton, Elizabeth Malone and Saleemul Huq, eds. *Adaptation Policy Frameworks for Climate Change*. Cambridge: Cambridge University Press, pp. 183-204.
- Burton, I. S. Huq, B. Lim, O. Pilifosova, and E.L. Schipper. 2002. "From Impact Assessment to Adaptation Priorities: The Shaping of Adaptation Policy." *Climate Policy*, Vol. 2, pp. 145-149.

Recommended Readings

- Eakin, Hallie and Maria Carmen Lemos. 2006. "Adaptation and the State: Latin America and the Challenge of Capacity-building under Globalization." *Global Environmental Change*, Vol. 16, No. 1, pp. 7-18.
- Chambers, Robert. 1989. "Vulnerability, Coping and Policy", in Chambers, Robert, ed. *Vulnerability: How the Poor Cope*, I.D.S. Bulletin, Vol. 20, No. 2, pp. 1-7.

PROJECTS: Project Discussions (30 minutes each with assigned discussants)

Week 12: Global Policy on Climate and Adaptation

Required Readings

- Oxfam America. Forthcoming. "Adapting to Climate Change: How Building Stronger Communities can Save Lives, Create Jobs, and Build Global Security." Draft Policy Report. Pp. 34. [Ribot will circulate electronic copy.]
- McGray, Heather, Anne Hammill, Rob Bradley, E. Lisa Schipper and Jo-Ellen Parry. 2007. *Weathering the Storm: Options for Framing Adaptation and Development*. Washington: World Resources Institute.
- Two current policy documents TBA

Recommended Readings

- Original text of the UNFCCC and Kyoto Protocol and some IPCC material:
 - UNFCCC: <http://unfccc.int/resource/docs/convkp/conveng.pdf>
 - KP: <http://unfccc.int/resource/docs/convkp/kpeng.pdf>
 - *Intergovernmental Panel on Climate Change*, Geneva. 4th Synthesis report, available Sept. 6, 2007 on the web at <http://www.ipcc.ch/>
- Coudouel, Aline and Stefano Paternostro. 2005. *Analyzing the Distributional Impacts of Reforms: A Practitioner's Guide to Trade, Monetary and Exchange Rate Policy, Utility Provision, Agricultural Markets, Land Policy, and Education*. Washington: The World Bank.
- Robin Mearns and Andrew Norton, eds. 2009 (forthcoming). *Social Dimensions of Climate Change: Equity and Vulnerability in a Warming World*. Washington, DC: The World Bank.
- Tanner, Thomas. 2008. "Climate Risk Screening of Development Portfolios and Programmes." *IDS Bulletin*, Vol. 39, No. 4, pp. 87-95.

PROJECTS: Project Discussions (30 minutes each with assigned discussants)

Week 13: Justice, Representation and Human Rights

Required Readings

- ICHRP (International Council on Human Rights Policy). 2008. *Climate Change and Human Rights: A Rough Guide*. Stephen Humphreys and Robert Archer, eds. Geneva: ICHRP.
- Roberts, J. Timmons and Bradley C. Parks. 2007. *Climate of Injustice: Global Inequality, North-South Politics, and Climate Policy*. Cambridge: MIT Press.
 - Ch 1: Introduction: Wet Feet Marching, pp. 1-24.
 - Ch 2: A Model of North-South (Non-) Cooperation, pp. 25-66.
- O'Brien, Karen. 2006. "Are We Missing the Point? Global Environmental Change as an Issue of Human Security." *Global Environmental Change*, Vol. 16, No. 1, pp. 1-3.

Recommended Readings

- Moser, Caroline and Andy Norton (with Tim Conway, Clare Ferguson and Polly Vizard). 2001. *To Claim our Rights: Livelihood Security, Human Rights and Sustainable Development*. London: Overseas Development Institute.

PROJECTS: Project Discussions (30 minutes each with assigned discussants)

Week 14: Justice, Representation and Human Rights

Required Readings

- Polack, Emily. 2008. "A Right to Adaptation: Securing the Participation of Marginalised Groups." *IDS Bulletin*, Vol. 39. No. 4, September, pp. 16-23.
- Phillips, Kristin D. 2009. "Hunger, Healing and Citizenship in Central Tanzania." *African Studies Review*, Vol. 52, No. 1, pp. 23-45.
- Sachs, Woolfgang. 2008. "Climate Change and Human Rights," *Development*, Vol. 51, pp. 332-7.

PROJECTS: Project Discussions (30 minutes each with assigned discussants)

Week 15: Future Research Directions

Required Readings

- Lund, Christian. Forthcoming (2010). "Approaching Development—An Opinionated Review," *Progress in Development Studies*. Pp. 21. PDF will be provided with permission from author.
- Mitchell, Tom and Thomas Tanner. 2008. "Defining a Future Research Agenda on Pro-Poor Adaptation." *IDS Bulletin*, Vol. 39, No. 4, pp. 130-132.
- Nagel, Joane, Thomas Dietz and Jeffrey Broadbent. 2009. Proceedings of the Workshop on Sociological Perspectives on Global Climate Change. Arlington: NSF. Pages 1-29.
- Ribot, J.C. 2009. "Vulnerability does not just come from the sky: framing grounded pro-poor cross-scale climate policy," in Robin Mearns and Andrew Norton (eds.), *Social Dimensions of Climate Change: Equity and Vulnerability in a Warming World*. Washington, DC: The World Bank.

Course Synthesis Discussion

PROJECTS: Project Discussions (30 minutes each with assigned discussants)

PROJECT: Final project is due one week from final class.

Course Assignments

1. Comments on weekly readings:

Weekly comments on the readings should touch on each article and should not exceed one-page per week (minimum 12-point font, single spaced, 1.5-inch margins). Please try to evoke in your comments:

- a. What do the articles contribute to theory or to data?
- b. What are the interesting hypothesis or research questions in the articles?
- c. Vis-à-vis your own interests, what do you find surprising, new and interesting in the articles, and why?
- d. What are some strengths and shortcomings of the articles?
- e. Compare and contrast the arguments or theoretical positions of the paper where possible.
- f. What was incomprehensible to you in the articles? What did you not understand?

In short, this assignment is designed so that you come in with good discussion questions grounded in the readings. One paragraph is enough. One page is maximum.

2. Writing Project:

Undergraduate Writing Project: The writing project for Graduates is expected to be considerably more in-depth than for Undergraduates. For the undergraduates, either of the two kinds of projects outlined below (for Graduate students) may be chosen. Undergraduates, however, also have the option of writing *a policy brief*. A policy brief involves 1) identifying a specific policy problem in a specific place, 2) reviewing the literature on the causes and solutions for the target problem, 3) writing a set of recommendations for resolving the policy problem, and 4) justifying those recommendations. A policy brief is a maximum of eight double-spaced pages (not including bibliography). The policy brief must clearly identify its policy audience (a specific set of policy makers, a specific set of funding agencies, or a group of practitioners involved in the design and implementation of vulnerability reduction policies and projects). A policy brief must be written in a specific format that begins with a one-page (single spaced) executive summary that includes prominently the need for a policy change, the recommendations, and their justification. A more detailed outline for the policy brief will be distributed by the professor. You can also find your own sample policy brief after which to model your assignment.

Graduate Writing Project:

Twelve-page double-spaced paper (minimum 12-point font) to be written in the form of:

- an analysis of the causal structure of vulnerability for a specific case, or
- a policy research proposal.

Please submit one paragraph describing your intended project by week five of class. Please

specify your research question or case to be studied, and why it is important or interesting. Please also include a bibliography with at least five key documents you will use for background.

Please submit a draft of your project by the eighth week of class. I will provide feedback. The final paper is due on the last day of class.

If you choose to analyze the causes of vulnerability in a specific case, you will need to choose a case, evaluate the causal structure of vulnerability using one of the theoretical frameworks from the literature, and develop vulnerability-reduction strategies for an existing group exposed to environmental stressors. You can choose any group anywhere in the world. You must choose a case with sufficient data available in the secondary literature to support your analysis.

If you choose to write a policy research proposal, the assignment requires:

1. developing a policy research question or hypothesis;
2. locating it within the literature;
3. explaining its broader policy significance (that is, making it clear why anyone should care about what is being investigated and what might be found);
4. explaining what data are necessary for answering the question;
5. explaining the methods to be employed for obtaining and analyzing the data (i.e. tracing out how empirical observations will be related to the question or hypothesis);
6. estimating a time line; and
7. estimating funding needs.

A policy research question addresses an unresolved problem (related to climate adaptation or vulnerability reduction) that has policy relevance. The question must also have theoretical relevance—let us know how answering it will contribute to the broader understanding of this problem for instances other than your particular case. At a minimum, your proposal should identify a problem where better understanding or information is likely to help us to formulate a better solution.

A typical policy-research proposal has the following components (this is just an example—you can use a different outline if you wish):

- I. Abstract—200 words
- II. Introduction
 - a. Problem statement
 - i. What is the problem to be explored
 - ii. Why is it important and to whom is it important
 - b. Summary of debates around the problem
 - c. Summary of hypothesis and research questions
- III. Background—What does the literature have to say about your problem
- IV. Research Questions and Hypotheses
- V. Case

- a. Where you are going to study your problem
 - b. Why this is an advantageous place for studying your problem
- VI. Methods
- a. How you get from your questions to answers
 - b. Time line

One useful way to organize a methods discussion is to break down the problem as follows:

Hypothesis or Primary Research Questions	Operational Questions	Data Required to answer operational questions	Methods for gathering data
<p>Hypothesis 1: Decentralization reforms leads to better representation.</p> <p>Hypothesis 2: More democratic representation leads to more efficient forest management</p> <p>Question: What is the relation between representation and forestry management outcomes before and after decentralization reforms?</p>	<p>How has representation changed over time (before and after decentralization)?</p>	<p>Measure of representation (i.e. accountability plus responsiveness) change over time in each case:</p> <ul style="list-style-type: none"> -Change in accountability -Change in responsiveness -Change in citizen engagement -Change in popular demands being reflected in decisions being taken 	<p>Measures before and after decentralization policy implementation of:</p> <ul style="list-style-type: none"> -Observation of sanctioning by population -Surveys of popular demands -Surveys of decision maker understanding of popular demand -Observation of decision making processes -Decisions (or policies) made
	<p>How have outcomes varied over time (before and after decentralization reforms)?</p>	<p>Measure of outcomes over time</p> <ul style="list-style-type: none"> -Change in forest management -Change in hectares under management -Quality of forest 	<ul style="list-style-type: none"> -Observation and historical interviews concerning change in forest management -Documentation of forest service of forests under

		health -Change in local income from forests	management -Transect studies of ligneous density and species mix before and after decentralization reform
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This table is just an example—in the problem definition or background section you would also have to define your variables and explain what theory has to say about the relations—and why you expect a particular kind of relation.

- VII. Budget
- VIII. Bibliography