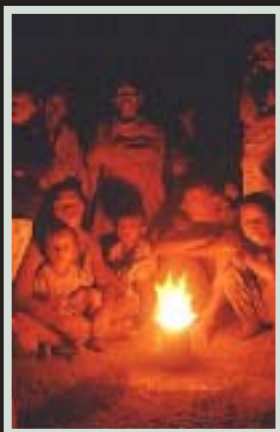




United Nations
Research Institute for Social Development



People, Power and the Environment

15 Years of UNRISD Research

A synthesis and annotated bibliography prepared for
the 2002 World Summit on Sustainable Development



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Compiled by Catherine Agg and Peter Utting

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Cover photos: Top: Dayak blockade, Sarawak, Borneo. Dayak native blockade across a logging road. Penan and Kenyah people on a 24-hour protest against commercial logging by Mitsubishi Daiya Malaysia. Copyright and credit: *Nigel Dickinson / Still Pictures*. **Middle:** A young sorghum seed struggles to grow in the region of Affole in Mauritania where farmers who were once nomads built a dam. Successive droughts and the attractions of settled life have reduced that figure of nomadic herders to about 10 per cent of the population. *Ami Vitale / Panos Pictures*. **Bottom:** Pathrad, India, August 1999. Women attend a rally at Pathrad, a village in the Maheshwar submergence area on the banks of the Narmada river, in protest of the building of 3,200 dams. *Karen Robinson / Panos Pictures*.

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Acronyms

APDC	Asian and Pacific Development Centre
CDP	Comité de Defensa Popular (<i>Popular Defence Committee</i>)
CSR	corporate social responsibility
IDRC	International Development Research Centre
IIED	International Institute for Environment and Development
ISO	International Organization for Standardization
IUED	Institut universitaire d'études du développement (<i>Graduate Institute of Development Studies</i>)
JFM	Joint Forest Management, India
NGLS	Non-Governmental Liaison Service, United Nations
NGO	non-governmental organization
NUPAUB	Núcleo de Apoio à Pesquisa Sobre Populações Humanas em Areas Umidas Brasileiras (<i>Support Centre for Research on Human Population and Wetlands in Brazil</i>), University of São Paulo
TNC	transnational corporation
UCA	Universidad Centroamericana, Managua, Nicaragua
UNA	Universidad Nacional, San José, Costa Rica
UNEP	United Nations Environment Programme
UNRISD	United Nations Research Institute for Social Development
WWF	World Wide Fund for Nature

UNRISD Programme Paper Series:

CSSM	Civil Society and Social Movements
DGHR	Democracy, Governance and Human Rights
ICC	Identities, Conflict and Cohesion
OC	Overarching Concerns
SPD	Social Policy and Development
TBS	Technology, Business and Society

Foreword

The global inquiry into the state of our planet that has preceded the 2002 World Summit on Sustainable Development paints a fairly dismal picture. Levels of absolute poverty have not declined and many environmental conditions appear to have worsened since the 1992 Earth Summit. This raises serious questions regarding the policies of governments and international agencies, as well as the social and environmental impacts of business activities. What went wrong?

Part of the problem has to do with poor analysis and weak attempts by powerful actors and organizations to apply new learning and approaches. There is a tendency to emphasize complementarities between economic, social and environmental aspects of development, and to assume that everyone can agree on environmental objectives and benefit from environmental protection. Often ignored are the contradictions inherent in development policies and processes, the trade-offs between environmental protection and human welfare, and the fact that conservation and development interventions produce winners and losers. Mainstream approaches have frequently failed to adequately address the social and political dimensions of environmental change: the impacts of conservation schemes on local livelihoods and cultural rights; the role of different actors and institutions in environmental change; the forms of social mobilization and participation that are necessary to influence policy and resource management practices; patterns of local resistance to top-down interventions; elite resistance to and co-optation of agendas that promote reform; and structural impediments to change.

Issues such as these have been central to UNRISD research in the field of environment and sustainable development. Since the late 1980s, the Institute sponsored 13 projects, involving research in approximately 40 countries, which produced 70 published works. This report summarizes some of the main research findings and briefly describes each of the publications.

What emerges clearly from this body of research is the need to better integrate environmental and livelihood objectives, to address the social and environmental impacts of policies associated with economic growth and liberalization; and to enhance the capacity of low-income groups to influence decision making that impacts their lives.

I would like to take this opportunity to thank the authors who have written UNRISD publications on environmental and sustainable development issues, and the many other researchers who were involved in the studies. I would also like to thank the large number of academic institutions, research foundations, grassroots organizations, NGOs, governments, international agencies, and publishers that collaborated with UNRISD in this field of inquiry.



Thandika Mkandawire
Director, UNRISD

Introduction

The upsurge in international concern for environmental issues in the years leading up to the 1992 Earth Summit sparked a vast amount of research, writing and debate on conservation and natural resource management. New terminology, concepts, policies and analytical approaches emerged, as did various academic debates regarding their validity and contribution to sustainable development. In the late 1980s, the United Nations Research Institute for Social Development (UNRISD) launched a research programme that addressed major concerns about the analysis of environmental issues and policies, as well as interventions associated with conservation and natural resource management in developing countries. These included the limited attention to social relations, institutions and the role of actors; issues of power; tensions between environmental protection and human welfare; contradictions in government and international policies; and structural impediments to natural resource management and development at the local level.

To highlight the importance and relevance of social, political and institutional dimensions of environmental change, UNRISD carried out 13 projects over a 15-year period (see Annex 1). These projects examined the social and environmental dimensions of deforestation, desertification, fisheries and water management, shrimp aquaculture, protected areas, grassroots environmental action, sustainable tourism, population and gender dynamics, and corporate environmental responsibility. This work, involving research in approximately 40 developing countries (see Annex 2), had three broad objectives. First, it examined the interface between social and environmental dimensions of development, particularly the way that livelihood concerns, social and power relations, development processes and government policies affect the environment and natural resource management. Second, it considered how different individuals and social groups are affected by and respond to environmental change, and how social and power relations influence environmental policies and outcomes. Third, the research assessed the effectiveness of mainstream approaches to environmental management and protection that involve interventions by governments, aid agencies, non-governmental organizations (NGOs) and business.

From a policy perspective, a fundamental concern underpinning the UNRISD inquiry on socio-environmental issues was to correct an imbalance that had emerged in the interpretation of “sustainable development”. Whereas the term had been defined by the World Commission on Environment and Development (“Brundtland Commission”) as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs”, many conservation and development agencies chose to equate “sustainable development” with “environmental protection”. The key element, people’s “needs”, was being marginalized. UNRISD work sought to bring “needs” back into the equation. This was considered important not only from the perspective of sustainable development, but also for designing and implementing measures to deal effectively with environmental degradation.

This report summarizes 15 years of UNRISD research on the environment and sustainable development, which has generated 27 books and 43 papers and reports, written or contributed to by more than 100 authors (see Annexes 3 and 4).¹ Part 1 highlights some of the main research findings related to the theory and practice of environmental and social change. Selected publica-

¹ For information on how to obtain UNRISD publications and co-publications, see Annex 5.

tions relevant to these findings are indicated by numbers that refer to entries in the annotated bibliography. These listings in Part 2 provide a brief description of each of the 70 publications, grouped into five main themes:

1. people's participation in conservation and sustainable development;
2. population, gender and the environment;
3. social dynamics of deforestation;
4. social and environmental dimensions of protected areas and tourism; and
5. business responsibility for sustainable development.

Part 1 — Research Findings

Theoretical issues and debates

To examine the relationships and interactions between the environment and society, UNRISD drew heavily on both political economy and political ecology analysis. The political economy perspective stressed the importance of institutions, social relations and power in understanding processes and outcomes, and the fact that environmental change has different impacts on different social groups. It also emphasized that social groups have different values, priorities and concerns and respond in varied ways to both environmental degradation and environmental protection schemes. The political ecology perspective emphasized how environmental factors affect development, the constraints imposed on development by environmental degradation, and the negative impacts of dominant development patterns on the environment (2).² Some working in a political economy or post-modern framework warned against establishing direct connections between people's views on environment and their material or structural position in society. Also important is the realm of ideas, ideologies, narratives and paradigms that shapes policy (41, 42, 49). This analysis also pointed out the heterogeneity of actors and organizations, and that entities such as “the state”, “the community” or a particular environment agency could simultaneously pursue different and contradictory policy approaches, partly due to the mix of ideas and ideologies within groups and organizations and changes in perspectives through time. Such an approach suggests that the tendency of mainstream environment and development agencies to adopt elements of a discourse previously associated with more radical perspectives—for example, terms such as “empowerment”—may not only derive from a constructive learning process or pressure for change, but may also be part of a strategy to legitimize agency interventions and reinforce forms of technocratic control (8).

Another theoretical undercurrent of UNRISD research was the critique of certain aspects of modernization theory—notably the notion that progress could be achieved primarily on the basis of technology, economic growth and “rational” planning and policy interventions, and that change from “traditional” to “modern” society is evolutionary and linear. Ecological modernization theory stressed the importance of technological innovation and so-called “win-win” possibilities; the potential for collaboration and partnerships between NGOs, business and government; and the capacity of capitalism and business enterprises to solve environmental problems without fundamentally transforming existing economic, political and social institutions (51). In contrast, UNRISD research often stressed the importance of history, context and structural change. Particular attention was focused on issues of power, such as various forms of conflict, resistance and struggle; changes in the correlation of social forces; patterns of elite domination, including co-optation and “hegemony”; the role of social movements and mobilization; and the participation and empowerment of disadvantaged groups.

A related theoretical concern that permeated the research agenda was to understand the relationship and respective roles of “structure” and “agency” in shaping patterns of development and environmental change. Is what happens at the local level, for example, primarily determined by biophysical, economic and social structures, or can local people significantly change their reality? Work in this area suggested that there was room for manoeuvre through various forms of grassroots

² In this section, numbers in parentheses correspond to the publication(s) in Part 2 that are particularly relevant to the findings being described.

“environmental action” (2). Nevertheless, structural aspects associated with economic development processes, market forces, land tenure patterns, social relations, national and international policies and North-South relations could not be ignored and were crucial in determining the possibilities and outcome of local-level initiatives (28). Recognition of these aspects led to a critique of views that romanticized the role of grassroots environmental action and civil society organizations, or that saw “community” as some sort of harmonious and homogenous social space (8, 20).

Some research was also informed by social movements theory, as well as debates about “old” versus “new” movements and the role of “civil society” actors in conservation and development. When UNRISD’s work on environmental issues began, the notion was in vogue that the character of social movements had fundamentally changed. Post-industrial society had generated new identities, concerns and forms of activism centred on such issues as the environment, gender, indigenous peoples and human rights. “Old” social movements—for example, labour and peasants—were thought to be in decline. UNRISD research confirmed the importance and dynamism of environmental movements and NGOs, but critically assessed their potential and limits (1, 2). Some studies challenged the idea that environmental awareness and activism were associated primarily with richer, industrialized countries or middle-class groups. In India, as in other developing countries, there were numerous grassroots groups comprising an environmental “movement” that was attempting to stop the construction of dams and mining, logging and commercial fishing activities that threatened both the local environment and livelihoods (5). UNRISD research later reassessed the claim that “old” movements were in decline. Work on land tenure reform suggested that while redistributive land reform may have dropped from the agenda of some development agencies, peasant organizations and action remained a vibrant force in many countries (65). In some countries, such as Brazil, rural trade unions were particularly active. Research on corporate environmental and social responsibility stressed the importance of trade unions in the struggle to raise labour and environmental standards in business. While the capacity of trade unions to influence this agenda suffered various weaknesses, they remained a key player. However, NGOs engaged in service delivery and advocacy activities related to corporate responsibility sometimes failed to recognize their role or to interact sufficiently with unions (50, 56).

Social and environmental connections

Research under different UNRISD projects revealed that the so-called “causes” of many types of environmental degradation are neither simple nor unidirectional (28). Rather, environmental degradation is often the outcome of interconnected factors linked to processes of modernization, export-led growth, market integration and the marginalization of certain social groups (27). Simple explanations blaming, for example, population growth, peasant farmers practising slash-and-burn agriculture, or even the actions of a multitude of individuals are likely to result in narrow, ineffective policy prescriptions (22, 31).

Local events and actions affect and are affected by regional, national and international dynamics. In India, for example, incidents such as the Union Carbide gas leak at Bhopal in 1984, or protests against dam construction, have played a role in shaping the global environmental responses of transnational corporations (TNCs) and the World Bank respectively (64). But much of UNRISD work was critical of perspectives and agency interventions that focus too narrowly on the local level and underestimate the relevance of the economic history of social systems and the way local patterns of resource use and management are affected by government policies and integration in national

and international markets. World commodity prices, interest rates, subsidy and fiscal policy, and agricultural expansion strategies, for example, can significantly affect the capacity of local resource users to adopt sustainable resource management practices (37, 63).

Forest and other forms of environmental degradation frequently arise when local groups lose control over resource use and decision making associated with the management of natural resources. Many systems of resource management, including swidden agriculture and common property regimes, which historically provided a degree of social and environmental security, have broken down, often in contexts of privatization, colonization of agrarian frontier areas, and land concentration (28).

Research in Africa debunked the claim that pastoralism is obsolete, inefficient and environmentally damaging. On the contrary, in many areas pastoralism can generate important economic and social benefits and can constitute a production system that manages and protects dryland resources more effectively than alternative systems. Yet pastoralism is under threat, due to declining rainfall, the privatization of grazing lands or their conversion to agricultural schemes, and attempts to settle pastoralists (7).

In one densely populated area of the Guatemalan highlands, a system of communal institutions had historically been relatively effective in protecting forests. This system, however, came under considerable strain as a result of pressures on the natural resource base and institutional changes. Communal regulations were gradually replaced by state regulations that went largely unenforced. Community structures and traditional regulatory measures proved to be ineffective when confronted with the growth of clandestine economic activities centred on the exploitation of forest products. Their ineffectiveness was reinforced by the fact that the state failed to guarantee community and customary rights, discriminated against Indian populations in the application of the rule of law, and aided and abetted illegal forest activities. Complementing and fuelling these institutional changes were rising demands on the natural resource base caused by population growth and, more importantly, the crisis situation affecting traditional livelihood systems and the local economy. It became more difficult for families to derive income, food and fuelwood from diversified livelihood activities. Furthermore, incomes and profits were increasingly leaving the area rather than stimulating the local economy (27).

A study on population-environment linkages in Pakistan revealed how market forces and government policies have contributed to the breakdown of collective local decision making (23). This process—which has been called “deresponsibilization”—means that local individuals, households and communities no longer feel obliged or able to respond to problems associated with environmental degradation. In such cases, there is a need to recreate social responsibility through local government, judicial systems and civic institutions.

Economic development processes often have debilitating effects on traditional resource management systems and indigenous knowledge. However, in some settings commercial and customary forms of production enjoy a more harmonious co-existence. Research in the Solomon Islands, for example, revealed that while traditional institutions and resource management systems are under pressure, local communities were able to accommodate commercial development in a customary framework through active involvement in the negotiation of rules governing resource exploitation and by adjusting patterns of social organization and the division of labour (14). Similarly, research on domestic and regional tourism in developing countries identified instances in Brazil, Mexico, South Africa and elsewhere in which local communities benefit from the growth of tourism in ways that strengthen the environment, local livelihoods and culture (43).

The social impacts of environmental degradation take many forms. Most importantly, people's livelihoods and productive capacities suffer as a direct result of the depletion and misuse of the natural resources on which they depend. Health consequences may be severe and nutritional status is likely to be affected. New demands are often made on people's labour as they adapt to changed circumstances. Both economic and psychological stresses arise from the displacement of individuals or communities from degraded areas, and social conflict may be generated by increasing pressures on the natural resource base, competing claims on scarce resources, and the upsurge in illicit activities centred on the exploitation of natural resources, especially trees, forests and wildlife.

Research in India, Kenya, Malaysia and Mexico found that women are particularly affected by environmental degradation. This is largely because they tend to be responsible for water and fuel collection, food preparation and family health care (3, 24). It cannot be assumed, however, that all environmental conservation measures will benefit women. In drought prone areas of Africa, for example, millet is a more environmentally appropriate crop than maize. However, millet processing is labour intensive, and the reintroduction of millet farming without a corresponding development of millet processing technology would increase women's workloads considerably.

Studies in several countries evidenced the importance of local efforts to manage natural resources, the range of situations in which local input is crucial to sustainable development, and the need to draw on local knowledge, management practices and institutions rather than rely excessively on external interventions (1, 37, 61). Work in Ghana showed a long history of local environmental research and experimentation that proved crucial in the defence of livelihood and the environment. In fact, in some areas farmers worked out, independent of agricultural services, responses to degradation that are quite similar to the innovative research of some national and international centres. But local knowledge and experimentation had been typically ignored by external development and environment agencies (4). Moreover, the ability of local resource users to apply environmental knowledge can be seriously constrained by socioeconomic factors such as the nature of markets, patterns of land ownership and forms of integration in the national economy. Policies, programmes and projects should aim to increase the control people have over their resources and enable them to develop or obtain the information and technology, institutions, economic resources and political space required for sustainable development.

But ensuring greater participation and creating local responsibility are not simply a matter of local-level changes and organizational efforts. Local action to rehabilitate the environment and improve livelihood is often constrained by the response of elite groups, government and international policies, and social and economic structures. Effective actions to protect, for example, forests, drylands and biodiversity may well require addressing at subnational, national and international levels a range of factors that determine the opportunities, incentives and constraints of resource users (29, 30, 63).

Mainstream interventions to protect the environment

The emphasis on social and political economy dimensions in the UNRISD inquiry on environmental issues emanated from the belief that programmes and projects concerned with conservation and natural resource management will succeed only when they address the social factors that influence the way people interact with the environment. These factors include access to employment and essential resources such as land, credit and food; indigenous and customary rights; property relations, associated not only with land but also water, trees and marine resources; and gender relations,

which may constrain women's access to capital, labour power, knowledge and time. Particularly important is the question of participation and empowerment, that is, the level of control and influence people exert over resources and decision making that affects the management of natural resources and their livelihood.

If conservation measures fail to consider the needs and rights of local people, the latter may respond in ways that undermine the environmental goals of particular programmes and projects (27). Responses may involve "apathy" or non-cooperation, the growth of illicit activities, or more overt forms of conflict. If these types of problems are to be minimized, conservation programmes must address the questions of how to distribute the benefits of such measures among individuals and groups, who will bear the costs, how costs will be compensated, and what alternatives exist for people whose livelihoods are affected by such schemes (28).

UNRISD's extensive work on protected areas in developing countries highlighted the tensions between social and environmental aspects of programmes and projects associated with natural resource management and protection. Many plans involving the establishment of national parks and reserves had contributed to the conservation of biodiversity and ecosystems but had often ignored the impacts on local livelihoods, resource management systems and culture and had excluded local people from decision making that affected their lives (42). This work showed how the costs and benefits of conservation schemes are often distributed unequally and even regressively. Given the way different groups are affected by protected-area schemes and the nature of people's responses, conservation is not apolitical and should not be imposed in a top-down manner.

In the field of agriculture, some governments have made piecemeal efforts to add a green tint to modern farms by offering incentives to improve non-crop habitats such as wetlands or hedgerows. A few countries, including Cuba and Switzerland, have gone further by developing national sustainability strategies. But farmers in most countries find it extremely difficult to switch to farming systems that conserve resources, integrate natural processes such as nitrogen fixation, or are multifunctional. This partly reflects the lack of—and indeed decline in—agricultural support services in developing countries and the fact that some governments continue to heavily subsidize "high-input" agriculture, which often has damaging environmental and social consequences. The potential for farmers to adapt their farming systems, and even survive in agriculture, is often seriously undermined by structural adjustment and other macroeconomic policies that have resulted in high interest rates, cheap food imports and cuts in government support services (64).

The past two decades have seen the emergence of another major player on the development scene: NGOs. Many mainstream conservation and natural resource management plans—associated with, for example, protected areas, reforestation, watersheds and drylands—are now supported and organized by NGOs. UNRISD research examined the role of NGOs in conservation and development, and the question of whether the much talked about potential of NGOs as agents of development and change is being realized.

UNRISD research in the Philippines and Zimbabwe highlighted not only the positive role that some NGOs have played, but also the types of capacities, and relations with communities and policy making, that are conducive to successful interventions. It also identified numerous constraints and contradictions associated with NGO interventions and cautioned against romanticizing their contribution to environmental protection and sustainable development (3, 8). Field work in Zimbabwe revealed that the strengths of many NGOs were restricted to fairly specific aspects, such as innova-

tion and experimentation on a relatively small scale. The fact that an increasing number of NGOs now act as service providers for government and donor agencies may be problematic. UNRISD research suggests that their role as promoters of “alternative” approaches to development should not be overstated (16).

A more socially oriented approach to environmental projects and programmes has both technical and political implications. Projects require longer time frames than has traditionally been the case. Participatory and socially accountable implementation procedures are typically more time-consuming and may appear less efficient in the short term, but they are often more environmentally and socially sustainable. A greater degree of flexibility in defining project goals and methods is necessary to ensure that projects are able to adapt in the best possible way to social and environmental conditions, some of which may become evident only when the project is in the implementation stage. Far greater consideration needs to be given to understanding how a particular intervention will affect different social groups, the presence of winners and losers, the integration of both social and environmental objectives, and the fact that local society is composed of social groups with distinct interests, values and priorities (28, 29). Social impact assessment is just as important as environmental impact assessment. A socially oriented project approach will require less reliance on technical “fixes” or ad hoc interventions and will use more process-oriented approaches that deal systematically with the complex range of social, economic, technological and institutional factors that account for environmental degradation.

The recognition that environmental change is an inherently political process makes issues of conflict, participation and social mobilization central to the success and failure of environmental interventions. As UNRISD work on forest policy in the Philippines showed, whether or not an agenda of participatory conservation actually takes off ultimately depends not simply on technocratic rationality and the goodwill of policy makers and agency personnel, but on having sufficient political backing to exert the necessary pressure for change and to counter the opposition and resistance to change. This is likely to require the mobilization of certain groups and the construction or strengthening of broad-based alliances (8).

Research on conservation and resource management projects also highlighted the need for development planners and practitioners to think and act beyond the local level. Successful local-level interventions often require dealing with issues, problems and contradictions at national and international levels. Protected area schemes, for example, are unlikely to succeed if macroeconomic policies are in place that sharply cut the budgets of environment ministries or support services to local peasant farmers whose survival strategies lead them to encroach on protected forest areas (28).

UNRISD work in Central America stressed the need for a more integrative and socially aware approach to environmental planning, which would address two fundamental problems: that of “macrocoherency”, or the failure to locate environmental problems in a broader development framework; and that of “microcoherency”, or the failure to integrate concerns for environmental protection with the needs and rights of local people (27). But overcoming these limitations is as much a technical and material issue of know-how, institutional capacity and resources, as a political one involving collective action and changes in the balance of social forces and patterns of influence on decision making.

Sustainable development will require efforts on the part of disadvantaged groups to form themselves into a constituency that can demand accountability from local, national and international leaders (8). Research on pastoralism in Africa recognized that while it was impossible to return to

past traditional practices, the defence of pastoralist systems and their economic, social and environmental advantages lay in the organization of pastoralists and their participation in shaping rangeland management, which is too complex an undertaking to be codified and controlled by outsiders (7).

The creation and support of a network of informed people's organizations has been shown to be effective in increasing the awareness of and response to local social and environmental problems. However, research on environmental action and movements has shown that grassroots movements are sometimes caught in a culture of opposition that limits their ability to advance the cause of sustainable development. When institutions for consultation, downward accountability and negotiation exist, it is important that they understand and utilize the mechanisms of political bargaining necessary for bringing their ideas to fruition (66).

Applying “new” concepts

A powerful combination of factors—including civil society mobilization, failed projects, ideological shifts and scientific inquiry—has forced many national and international development agencies to rethink their approach to natural resource management and conservation. There has been increasing recognition of the limits of top-down and authoritarian approaches to conservation. As a result, many environment, development and finance agencies have attempted to take on board such terms and concepts as “community-based natural resource management”, “participation”, “empowerment”, “decentralization” and, of course, “sustainable development”.

Since the mid-1990s, much of UNRISD's work examined how leading players in the fields of environment and development adopt, interpret and apply “new” thinking and approaches. Various motivations underpin these efforts to promote “people-centred development” or “participatory conservation” (8). They imply a recognition that “participation” and an integrated approach to environment interventions are often key to success. They may also reflect attempts by some aid agencies to gain legitimacy and deal with criticism and opposition by adopting a more progressive discourse. But how effective have these attempts been to apply and internalize new concepts and approaches?

Development agencies the world over now talk about “sustainable development”. The meanings attached to the term, however, vary widely. Sometimes it is still associated primarily with environmental protection. Often it implies little more than a vague sense of improvement in economic, social and environmental domains (64).

Agency efforts to promote sustainable development have, in practice, been mixed and contradictory. This partly reflects the fact that any meaningful application of terms such as “sustainable development” or “people-centred development” is often impeded by the organizational profile of aid agencies, that is, their method of decision making; the class, cultural and professional background of staff; and how resources are mobilized. Many international development and finance organizations are accountable to governments and their principal support groups rarely include the rural and urban poor, while the emphasis on “bankable” projects may stifle innovation and risk-taking, which new or different approaches to development entail (69).

More surprisingly, perhaps, there have been few systematic attempts to trace the interpretation and application of sustainable development policies and initiatives at various levels—from headquarters, through regional and national centres, to their impact on livelihoods and the environment on the

ground. However, the adoption of the term by development agencies has served as a useful reminder to the international development community that development involves far more than economic growth; that certain patterns of growth and modernization generate unacceptable social and environmental costs; and that development interventions and macroeconomic policies need to be far more sensitive to their social and environmental effects (64).

Agencies purporting to work toward sustainable development often fail to address the tension between economic, social and environmental aspects of development. They overstate the scope for complementarities and so-called “win-win” situations, and there is also a tendency to assume that “knowledge-based approaches” and information transfer are key to development. This has given rise to a new industry in the fields of conservation and development that focuses on identifying “best practices”, the elements of success in project design and implementation, and the “lessons learned”. The underlying assumption is that once the necessary knowledge is assembled, it can be disseminated around the world and successful policies and projects will, thereby, be replicated.

Many bilateral and multilateral development agencies, international financial institutions and NGOs actively support this approach. The concern raised by UNRISD research is twofold: first, such an approach has diverted attention from the contradictions and conflicts of interest inherent in development; and second, it pays insufficient attention to the fact that project success and failure are context specific—project outcomes can vary considerably in different local and national contexts, characterized by different social relations and patterns of institutional and material development (28).

In countries such as Costa Rica, the Philippines, and Senegal, there has been a significant shift toward more people-centred approaches to conservation. In Senegal (6) this produced important results in consensual decision making and policy coherency, as well as a more prominent role for civil society and grassroots organizations in national and local development. Progress, however, was undermined by a range of factors. Of particular concern was the way that national policy shifted in response to the frequent changes in international thinking and approaches related to environmental protection and development priorities. Actual implementation of participatory approaches was also undermined by both the weakening of state administrative capacity associated with structural adjustment programmes and the unintended consequences of decentralization. In some areas, decentralization created new sites of power and patronage that resulted in the misappropriation of resources and factionalism. Research in Africa showed that while governments and international agencies are encouraging “decentralization”, local entities that have acquired additional responsibilities for natural resource management are not downwardly accountable or entrusted with sufficient powers and resources (21). The mismatch between the transfer of responsibility and the transfer of resources to the local level was also found to exist in several urban and rural settings in Southeast Asia (8, 18). In the Philippines it was found that decentralization sometimes had the effect of reducing official concern for deforestation. The considerable advances in raising awareness of environmental issues at the level of central government had not occurred at the level of some local authorities. They, therefore, tended to have other priorities (8, 17).

Any shift in approach toward people-centred conservation will, of course, require a change in the mindset of technical and professional staff involved in policy and project design and implementation. Research on protected area schemes and sustainable forest management, for example, demonstrated that many agencies and personnel are now more aware of the relevance of issues of livelihood, indigenous rights and local knowledge. There has been growing recognition within development and conservation agencies that “participation” and “empowerment” are important

for the design and implementation of many types of environmental protection initiatives, given their role in ensuring that environmental goals are balanced with human welfare considerations and that policies and institutions are responsive to the priorities and needs of disadvantaged groups. In practice, however, participation is often reduced to increased consultation and dialogue with local people on terms largely determined by external agents, or to encouraging their involvement in natural resource management by offering them material resources (48). Such forms of “technocratic participation” (8) ignore crucial aspects of empowerment that give disadvantaged groups increased influence and control in decision making that affects their lives.

Agencies also often ignore the fact that rural and urban society can be composed of various social groups with different values, priorities and concerns. One study of attempts to promote community-based natural resource management of a game reserve in South Africa showed how project personnel had assumed that the local community was relatively undifferentiated and interested in biologically diverse use and management of the reserve. In practice, seven distinct livelihood systems existed, giving rise to different interests. Although village residents may go along with community-based projects, they do not necessarily subscribe to the same goals as government and donor agencies (20). This has important implications when promoting community-based approaches and participation. Questions such as who is consulted, who decides, who wants what, and who represents whom need to be addressed.

Agencies promoting community-based approaches to forest and national park protection often underestimate the social and political contexts that facilitate such approaches. In South Africa there has been some resistance to community-based schemes not only because they have been poorly designed, but also because in the post-apartheid context there are considerable expectations that democratically elected local authorities can and should assume responsibility for conservation and development. Private businesses are also being encouraged to enter into partnerships with local communities. This situation contrasts with that of rural Mexico, where there has been a long history of communal organizing for local development—and of struggle against the pattern of modernization promoted by the government and international financial institutions. Some grassroots organizations and social movements have found common cause with urban-based NGOs and international agencies promoting sustainable development, and have made use of social forestry, ecotourism and organic farming initiatives to strengthen local livelihood systems and self-reliance (19). The importance of homegrown institutions, which have gained cohesion through struggle or long experience, is also evident in India. In Andhra Pradesh, for example, *sangams* (village women’s associations), with support from NGOs and the state government, improved the lives of rural women, as well as the local environment within the semiarid Deccan Plateau, through activities that included agroforestry and soil conservation. This experience, in which poor women are gaining control of their own institutions, contrasts sharply with another: the Joint Forest Management (JFM) programme, in which the government has attempted since 1988 to ensure that forests not only contribute to conservation but also meet the subsistence requirements of local people. Although the JFM programme set up participatory committees, its success has been undermined by the limited transfer of power or benefits to local communities (64).

Societies are not only fragmented, they are becoming more polarized. Research on efforts to promote sustainable development and participatory planning in Southeast Asian cities in Indonesia, the Philippines and Thailand showed that the dominant economic model is breeding more divided societies (18). Two distinct kinds of local development initiatives were identified. Some poor urban communities are being assisted by international development agencies, local governments and NGOs

to improve their quality of life. Also, middle-class groups are organizing to improve the running of local governments. These initiatives, however, do relatively little to overcome the deep divisions in these societies and promote sustainable human development. Rather, this situation tends to support the survival of local patronage politics, which in turn undermines the success of any broader movement to promote urban development.

Governments, NGOs and multilateral organizations talking the talk of sustainable development have been joined in recent years by TNCs. Past and ongoing UNRISD research examines the discourse and practice of “corporate environmental responsibility”. An increasing number of large corporations are engaging with the corporate responsibility agenda through such instruments as environmental policies, codes of conduct, certification, reporting, stakeholder dialogues and partnerships, as well as technological improvements in environmental management systems. Yet the process of change remains fragmented, piecemeal and concentrated in specific companies and sectors (56, 57, 59). Companies often pick and choose from a wide range of potential initiatives, restrict the meaning of corporate environmental responsibility so as to exclude key aspects such as corporate influence on public policy making, and turn a blind eye to the fact that they are part and parcel of production and consumption patterns that are inherently unsustainable (50, 54).

Nevertheless, certain factors are encouraging big business to engage with the corporate responsibility agenda. They include the implementation or threat of regulations from governmental and multilateral institutions; new markets and competitive advantages associated with environmental goods, services and image; changes in patterns of industrial organization that require different stakeholder relations (50); and pressure from NGOs, trade unions, consumers and “ethical investors” (53). Large TNCs and business and industry associations are becoming increasingly aware that the pressure for change will not disappear and that they, rather than others, should be shaping, if not leading, the agenda for change (51).

The dominant approach for promoting corporate environmental and social responsibility emphasizes the role of so-called “voluntary initiatives”. While such an approach claims to go beyond government regulation, it can also be seen as related to broader macroeconomic trends associated with “deregulation” and the declining role of the state in economic and social affairs. The issue of who defines the corporate responsibility agenda, and how related costs and benefits are distributed, has important implications for developing countries. Efforts to promote corporate environmental responsibility are often driven by Northern interests and agendas without due consideration of the concerns and priorities of relevant Southern stakeholders and institutional and economic realities in developing countries (50, 59).

In recent years there has been a shift from corporate self-regulation, involving such instruments as company codes of conduct, to “multistakeholder” initiatives whereby NGOs, trade unions and multilateral organizations become involved in standard setting, independent monitoring of codes of conduct, reporting and certification (50). Some of these initiatives have addressed certain weaknesses inherent in corporate self-regulation but they are often costly and complex. The difficulties of implementing and replicating such initiatives on a large scale suggest that other forms of TNC regulation need to be considered. UNRISD research indicates that the regulation of business cannot be left to companies, industry associations and service-delivery NGOs. Institutional arrangements involving state and international regulation, watchdog activism, collective bargaining, and complaints procedures that allow different stakeholders to detect and deal with breaches of agreed standards, also have a crucial role to play (50, 51, 57, 58, 59, 60).

Some implications for policy and analysis

The purpose of UNRISD research is not to deliver standardized policy recommendations to development agencies and practitioners. Indeed, underpinning the research agenda is the view that policies to protect the environment and promote sustainable development need to be adapted to local and national contexts.

The findings from UNRISD research do, however, have a variety of policy and analytical implications, which can be summed up as follows:

- Understanding environmental degradation should not be based on simple cause and effect relationships. It is not simply the inevitable outcome of socioeconomic, technological or demographic forces. Instead, the complex interplay of actors, development processes, policies and institutions must be recognized. Environmental degradation is to a large extent the result of political choices and can therefore be addressed through reforms in policies and institutions and shifts in the balance of social forces.
- Environmental protection policies and programmes need to consider the impact of their interventions on human welfare, livelihood systems, and cultural and other human rights. Basic questions about why the environment should be protected, for whose benefit, who will incur the costs and how those costs will be compensated should also be addressed.
- Dealing with the issue of property rights is crucial in strategies that aim to protect the environment and promote sustainable development. This requires policies and institutions that recognize and defend the rights, including customary rights, of less powerful stakeholders; that balance the property rights of large corporations with social and environmental obligations; and that prevent gross inequalities in ownership of and access to land and other natural resources.
- Local knowledge, resources, participation and experimentation have a crucial role in natural resource management and conservation initiatives. They should not be crowded out by external interventions, technologies and agents. Similarly the importance of local context and history in the diagnosis and prognosis of environmental problems should be recognized and not ignored by applying standardized prescriptions and a “one size fits all” approach.
- Dealing with environmental degradation and unsustainable development at the local level often requires overcoming constraints on local development that derive from regional, national and international processes and policies. Much can be done at the local level but local action will likely be ineffectual unless carried out with supportive institutions at local, national and global levels, and unless explicit efforts are made to ensure policy coherency at these levels.

- Participation and empowerment are crucial for the design and implementation of many environmental protection initiatives given their role in ensuring that environmental goals are balanced with human welfare considerations, and that policies and institutions are responsive to the priorities and needs of disadvantaged groups. Environment and development agencies should recognize, however, that reducing such concepts to “consultation” and “dialogue” on terms largely decided by external agents may do little to promote people-centred conservation.
- There is often a wide gap between the rhetoric and practice of international development and finance agencies and TNCs. Some have proven to be more adept at adopting the discourse of social and environmental activists than at fundamentally changing their approach. NGOs, trade unions, researchers and grassroots activists have an important role to play in monitoring and watchdog activities to ensure that agency and corporate discourse is applied in practice, and to keep alive the search for alternatives.
- The potential success of interventions to protect the environment has less to do with what an external agent sees as their implicit rationality or even the amount of money thrown at “the problem”, than with the presence of supportive organizations and institutions at different levels and whether a coalition of social and political actors exists that can mobilize and sustain such support. Identifying such actors and actual or potential alliances through political economy inquiry and research is as important as the analysis of specific problems and solutions.

In the final analysis, environmental protection that contributes to sustainable development is not only about protecting natural resources. It is about enhancing people's livelihoods and respecting their rights; strengthening democratic and accountable institutions; and promoting a certain style of development that is concerned with equity and social justice.

Part 2 — Annotated Bibliography

People's participation in conservation and sustainable development

BOOKS

Grassroots Environmental Action: People's Participation in Sustainable Development

Dharam Ghai and Jessica M. Vivian (eds.)

UNRISD AND ROUTLEDGE ■ 1992 AND 1995 (PAPERBACK EDITION)

1

This collection of papers demonstrates that managing resources on the local level is essential for achieving sustainable development. The contributors emphasize the potential of grassroots environmental initiatives and participation in the South, warning that without local support sustainable development programmes are unlikely to succeed. With case studies from Africa, Asia and Latin America, this book highlights the benefits to be gained from drawing on the experience of traditional resource management systems, and the importance of designing projects that reflect local value systems and opinions. It calls for assistance from the international community in order to reinforce the capabilities and effectiveness of grassroots environmental organizations. In the final analysis it is argued that the promotion and support of democratic and equitable social and political systems is crucial to creating an environment in which sustainable development can flourish.

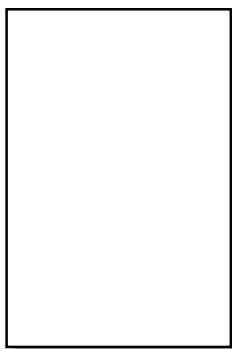
In Defense of Livelihood: Comparative Studies on Environmental Action

John Friedmann and Haripriya Rangan (eds.)

UNRISD AND KUMARIAN PRESS ■ 1993

2

This book presents case studies of innovative practices of local groups in Brazil, India, Mexico, Senegal and Tanzania in their attempts to protect the environment their livelihoods depend upon. It integrates both macro- and micro-level analyses, and questions some common assumptions about environmental degradation and human needs. The contributors argue that progress along a sustainable development path requires transferring resources, responsibility and power to local communities directly affected by processes of environmental change. They warn, however, against romantic visions of collective action—local action is constrained by economic, political and social circumstances, and progress made at the local level can easily be overwhelmed by national and international agendas. These obstacles to empowerment, it is concluded, can be addressed in part by local people's efforts to form themselves into a constituency that is able to demand accountability from leaders at different levels.

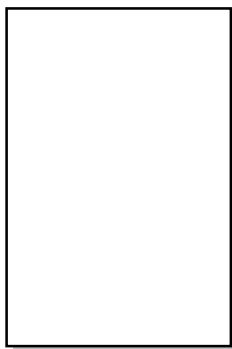


3 Development and Environment: Sustaining People and Nature

Dharam Ghai (ed.)

UNRISD AND BLACKWELL ■ 1994

This volume of essays sheds new light on the processes of environmental degradation in rural areas. It identifies some principal actors responsible for ecological destruction and looks at issues such as how ecological changes interact with local livelihood strategies, gender roles and social institutions. It also critically reviews individual and collective responses to conservation initiatives. Drawing on data and case studies from 14 countries, the essays present an analysis of the social dimension of conflicts commonly engendered by competition over natural resources.

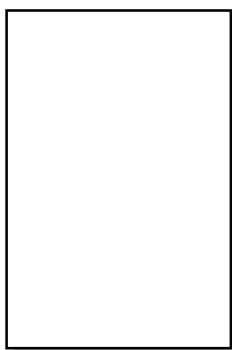


4 The New Frontier: Farmers' Response to Land Degradation — A West African Study

Kojo Sebastian Amanor

UNRISD AND ZED BOOKS ■ 1994

This book attempts to recast the environmental debate on African indigenous knowledge systems and resource use. It focuses on the regions of West Africa where monocropping has destroyed biologically diverse environments and sustainable, self-sufficient farming practices. The analysis offers an innovative perspective on environmental degradation, showing how local ecological knowledge is transformed and used in the face of changing economic, demographic and political pressures. Using social and biological data, the adaptation of indigenous technologies is placed in the larger framework of biodiversity, intellectual property rights and climate change. Amanor suggests new policies for creating an environmental agenda that is based on the regeneration of the local economy, the diversification of agricultural products and markets, and the use of community knowledge.



5 Ecology and Equity: The Use and Abuse of Nature in Contemporary India

Madhav Gadgil and Ramachandra Guha

UNRISD, ROUTLEDGE AND PENGUIN BOOKS INDIA ■ 1995

This book provides a historical interpretation of the environment debate in contemporary India. As such, it focuses not so much on the extent of environmental degradation in the country as on the question of balancing the conflicting policy objectives of economic growth and environmental protection. Conflicts, fuelled by unequal access to natural resources, have in turn led to a vibrant and varied environmental movement. Gadgil and Guha argue, however, that despite its vitality and rapid rise to prominence, the Indian environmental movement has been limited in its ability to contribute constructively to the debate on development policy. The authors believe that this debate could be enriched through integrating the insights gleaned from an ecological interpretation of the development experience in India into all stages of policy formulation and execution.

Discours et réalités des politiques participatives de gestion de l'environnement: Le cas du Sénégal **6**

Peter Utting and Ronald Jaubert (eds.)

UNRISD AND IUED ■ 1998

This volume, in French (with the opening chapter also in English), addresses whether recent discourse about people-centred conservation in governmental and international development agencies has been applied in practice. It finds that “participatory conservation” has a patchy record and confronts serious constraints. While noting that there has been some progress in terms of consensual policy making and greater policy coherency, doubts are raised about the sustainability of these developments given that they are largely donor-driven and that international thinking and approaches to conservation and development frequently change. Decentralizing responsibility for natural resource management has also proved difficult. A case study from central Senegal reveals that decentralization can create new sites of power and patronage, strengthen social divisions and result in the misappropriation of resources. Such findings support demands that decentralization go hand in hand with efforts to improve governance.

Custodians of the Commons: Pastoral Land Tenure in East and West Africa **7**

Charles R. Lane (ed.)

UNRISD, IIED AND EARTHSCAN ■ 1998

This book documents the importance of pastoralism as a way of life for over 25 million people in Africa. However, population increases, alienation of land, restrictions on migratory movements and a decline in rainfall have all made traditional forms of pastoralism difficult to sustain. The contributors to this volume argue that lack of understanding and support for pastoralism has had adverse impacts on economic growth, social development, environmental sustainability and human rights; pastoralists are suffering disproportionately in Africa, with many groups experiencing declining living standards and increasing poverty, insecurity and loss of land. The book's contributors call for a better understanding of ecological conditions in pastoralist areas, the needs of pastoralists to be taken into account when legal land tenure changes are formulated, and that attention be given to establishing mechanisms for conflict resolution in pastoralist areas where traditional social relations have been disrupted.

Forest Policy and Politics in the Philippines: The Dynamics of Participatory Conservation **8**

Peter Utting (ed.)

ATENEIO DE MANILA UNIVERSITY PRESS AND UNRISD ■ 2000

This book assesses the achievements, complexities and limitations of attempts to promote forest protection and people's participation in natural resource management. After the People Power Revolution of 1986, the Philippines gained international recognition as a country actively pursuing an agenda of people-centred sustainable development. The book asks how successful these attempts have been in reversing decades of plunder of the country's forest resources. The contributors use case studies of policies, programmes and projects to examine the ways in which participatory approaches to natural resource management might be implemented. The book concludes that progress in participatory conservation will depend not only on the presence of supportive institutions and structures at local, national and international levels, but also on the existence of a coalition of social and political forces that can mobilize and maintain such a presence.

PAPERS

9 Barabaig Natural Resource Management: Sustainable Land Use under Threat of Destruction

Charles Lane ■ UNRISD DISCUSSION PAPER NO. 12 ■ JUNE 1990

This paper reports on the traditional land management practices of the Barabaig—a semi-nomadic pastoralist group in Tanzania—and the impact of a large-scale wheat production scheme introduced by project developers in the 1970s. Lane calls into question two widely held assumptions regarding pastoralism in Africa: the notion of the “tragedy of the commons”, and the inefficiency of pastoralist techniques. He argues that the social and environmental costs of the development scheme—considerably subsidized by foreign aid—that have displaced the Barabaig and caused soil erosion must be repaired by a new direction of development. The paper concludes that new policies should be derived from a unit of social organization rooted in indigenous culture to cater for pastoralists’ needs and acknowledge the value of common land tenure.

10 Constraints to Environmental Rehabilitation through People’s Participation in the Northern Ethiopian Highlands

Michael Ståhl ■ UNRISD DISCUSSION PAPER NO. 13 ■ JULY 1990

This paper looks at the attempts to introduce new farming and soil conservation practices to the northern Ethiopian highlands and addresses the question of why peasant farmers in the region are reluctant to change agricultural practices. Ståhl emphasizes the structural factors of the situation, noting that while the peasants are fully aware of the destructive consequences of their current farming techniques, they do not own the land they till and have little security of tenure. Ståhl argues that rehabilitation of the highlands can come about only through local people’s participation based on incentives and empowerment, and in a combined effort with the government and international donors.

11 Organización social y lucha ecológica en una región del norte de México

Julio Moguel and Enrique Velázquez
UNRISD DISCUSSION PAPER NO. 20 ■ APRIL 1991

This paper, in Spanish, documents the successful efforts of the Comité de Defensa Popular (Popular Defence Committee) (CDP) in northern Mexico to prevent the pollution of the local environment. In the late 1980s, the CDP turned its attention to the problem of river pollution caused by outflows of inadequately treated chemical waste from a nearby factory. The paper stresses, however, that local political mobilization did not initially revolve around ecological issues but was based on demands for lower utilities prices, access to land for housing and provision of services for newly established communities. Similarly, the CDP campaign in the 1980s was centred on concerns for public health, the impact on agricultural production in the area and the cessation of recreational activities in the river. The paper details the struggle of local popular movements—against the government and the factory owners—to prevent further contamination of the river.

12 Greening at the Grassroots: People’s Participation in Sustainable Development

Jessica M. Vivian ■ UNRISD DISCUSSION PAPER NO. 22 ■ APRIL 1991

This paper focuses on dominant environmental problems in developing countries and the steps that can be taken at the local level to alleviate them. Opening with a discussion of the need for the full

participation of local communities in defining environmental problems and formulating solutions, the author argues that a more thorough understanding is needed of the ways in which people have traditionally managed their resources. Generalizations regarding the future of traditional resource management systems are noted to be inappropriate, and the paper examines the different types of collective action communities take to preserve resources. The success of grassroots action depends on a range of factors, including the ability to form coalitions with relevant interest groups. Finally, the author concludes that linkages between poverty and environmental degradation are incomplete without including the concept of empowerment.

Ruining the Commons and Responses of the Commoners: Coastal Overfishing and Fishermen's Actions in Kerala State, India

13

John Kurien ■ UNRISD DISCUSSION PAPER NO. 23 ■ MAY 1991

Documenting the ruin of the coastal commons in Kerala State caused by overintensive fishing techniques encouraged by official development plans, this paper examines the economic and social factors related to overfishing and the decline of fish stocks. The type and scale of this ecological crisis is analysed, along with the collective and individual responses of the fisherfolk. It is concluded that traditional artisanal fishing communities are the most affected by ecological damage to coastal resources, while the new trawler owners have a much smaller stake in the survival of this ecosystem. The author calls for a participatory collective commitment to a programme of action that will ensure a sustainable development process.

Fisheries Management in the Pacific: Tradition and the Challenges of Development in Marovo, Solomon Islands

14

Edvard Hviding and Graham B.K. Baines
UNRISD DISCUSSION PAPER NO. 32 ■ MARCH 1992

Can traditional resource management systems remain viable in the face of the commercialization of production systems, increasing population pressures and changing social relations? This paper addresses these questions in the context of the fishing communities of Marovo Lagoon, Solomon Islands. Historically, traditional systems have been able to maintain the productivity of the marine resource base by preventing overexploitation through a variety of social and legal mechanisms. Commercialization is putting a great deal of strain on customary methods, which were formulated to guarantee subsistence needs. The authors argue, however, that the system is proving adaptable to change, and that local community management is not only viable, it is the best option for management of the Pacific fisheries.

Conservation, Livelihood and Democracy: Social Dynamics of Environmental Changes in Africa

15

Dharam Ghai ■ UNRISD DISCUSSION PAPER NO. 33 ■ MARCH 1992

There has been a tendency in Africa, as elsewhere, to view environmental problems in ecological, physical and technical terms, largely neglecting the social aspects of environmental degradation in both analysis and policies. This has contributed to the high failure rate of official conservation programmes and policies in most African countries. This paper aims to provide a social perspective on the extent, emergence and amelioration of the environmental crisis in sub-Saharan Africa. Ghai argues that there is an urgent need for new approaches designed to integrate resource conservation with livelihood improvement. A key element of this approach is the progressive transfer of responsibility to local communities and organizations for the management of natural resources. Because of the scale of the challenge, these efforts can succeed only if they are fully supported by individuals, organizations, national authorities and the international community.

16 NGOs, Participation and Rural Development: Testing the Assumptions with Evidence from Zimbabwe

Jessica M. Vivian and Gladys Maseko

UNRISD DISCUSSION PAPER NO. 49 ■ JANUARY 1994

This study, conducted in Zimbabwe, compares the often idealized picture of development non-governmental organizations (NGOs) with evidence from the range of organizations that make up the rural development NGO sector. It constitutes a critique, not of the NGO approach, but of the overwhelming expectations placed on the sector in recent years. The authors argue that NGOs include diverse organizational types, with a correspondingly broad range of project strategies and outcomes. Some NGOs are creative, independent and committed to the egalitarian and participatory ideals on which they were founded. Others, to the contrary, essentially act as members of a service industry, developing and carrying out their activities in response to requests from donors. The paper concludes that—as a result of the current interest in NGOs—the latter type of NGOs are most likely to appear as agents of development, and that inaccurate perceptions of NGO capacities and constraints are dangerous and are leading to inappropriate policy formation.

17 Opposition and Resistance to Forest Protection Initiatives in the Philippines: The Role of Local Stakeholders

Howie G. Severino ■ UNRISD DISCUSSION PAPER NO. 92 ■ MAY 1998

The Philippines has an active environmental movement, which has undertaken major initiatives associated with forestry management. However, there is often a wide gap between the stated goals of government forest protection policy and actual implementation. The author presents four case studies that reveal how the goals of national forest policy and programmes have been undermined by the responses of diverse local actors, including logging companies and other commercial interests, politicians, bureaucrats, NGOs and community groups. He also identifies instances in which conflicts of interest and resistance to forest protection have been overcome through effective community organizing, improved community-NGO relations, alliances between local and national actors, and media exposure of corruption and malpractice.

18 Promoting Sustainable Human Development in Cities in the South: A Southeast Asian Perspective

Adrian Atkinson ■ UNRISD OCCASIONAL PAPER NO. 6 ■ MAY 2000

This paper considers the frequent discrepancies between theory and practice in Southeast Asian urban development programmes that emphasize local-level participation and sustainable resource management. It also highlights the challenges posed by current processes of urbanization, decentralization and economic liberalization. Referring to urban contexts in Indonesia, the Philippines and Thailand, the author points out that although international development agencies have increased their support for community organizations, external support has been too short term and too targeted at local-level interventions to achieve integrated urban programmes. In some cases, however, democracy is growing and serves as a potential focus for sustainable development management. Atkinson draws attention to the role that the new urban middle class may play in this regard. The paper concludes that more thought should be given to the national-level context to ensure that decentralized initiatives make genuine progress.

Sustainable Development Strategies in Mexico: Grassroots Perspectives and Responses 19

David Barkin

UNRISD PROGRAMME ON CIVIL SOCIETY AND SOCIAL MOVEMENTS
PAPER FORTHCOMING

This paper begins by reviewing the global macroeconomic and political conditions necessary for any sustainable development initiative to take place. It goes on to look at recent programmes in Mexico designed to draw rural communities into development activities, and examines some of the reactions of communities to these programmes. The paper calls for more work to identify the dynamics of communities' efforts to organize in defence of their livelihoods, the means at their disposal, and the obstacles they face. The concluding section looks in greater detail at the political process in which these strategies are currently being played out in Mexico.

People-Centred Development in South Africa: A Rethink of the "Community"-Based Approach 20

Eddie Koch

UNRISD PROGRAMME ON CIVIL SOCIETY AND SOCIAL MOVEMENTS
PAPER FORTHCOMING

This paper outlines the emergence of a new policy paradigm for promoting rural development in South Africa, based on the new climate of democratic openness, and examines popular responses to these new policy trends. The paper points out that there has been a paradoxical development in attempts to implement a "community"-based approach, and that government officials are increasingly using external agencies, including the private sector, to deliver development programmes to local communities. Koch suggests that external monitoring may often be necessary to limit manipulation of "community"-based organization for factional interests. However, he concludes that in many ways the emergence of community-private sector partnerships are proving to be an innovative adaptation of community-based natural resource management in South Africa.

African Decentralization: Local Actors, Powers and Accountability 21

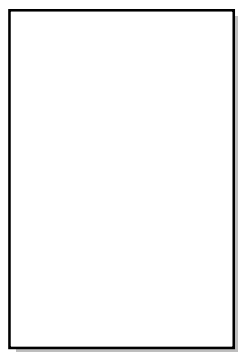
Jesse C. Ribot

UNRISD PROGRAMME ON DEMOCRACY, GOVERNANCE AND HUMAN RIGHTS
UNRISD AND IDRC ■ PAPER FORTHCOMING

Decentralization reforms across Africa are reorganizing the roles and powers of local actors in the name of increasing participation of local populations in governance. This review covers a portion of the literature on decentralization and attempts to explain the varying outcomes of the process in order to identify ways forward. It draws on the environmental decentralization literature, as well as cases from other sectors. The review concludes that there has been surprisingly little empirical research on the institutional forms growing out of the decentralization process, and available indications suggest that few strong or democratic institutions have so far been created. The author concludes that, until such institutions are in place, there will be no way of measuring the extent to which the theoretical benefits of decentralization can be delivered in practice.

Population, gender and the environment

BOOKS

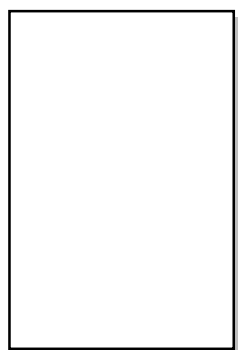


22 Linkages between Population, Environment and Development: Case Studies from Costa Rica, Pakistan and Uganda

Krishna B. Ghimire

UNRISD ■ 1993

This monograph explores the linkages between population growth, environmental change and development patterns in Costa Rica, Pakistan and Uganda. It suggests the need to take a cautious view of the relationship between population growth and environmental degradation. Case studies reveal that demographic changes have not been a significant factor in environmental deterioration, although the commercialization of production and certain state policies have undermined customary resource use and management practices. These policies have contributed to population concentrations in certain areas. Measures to reverse environmental damage have had limited success because of their narrow focus on fertility control and nature conservation. Ghimire recommends further study for a better understanding of the complicated interaction between environmental change, population dynamics and development processes.



23 People, the Environment and Responsibility: Case Studies from Rural Pakistan

F. Amalric and T. Banuri (eds.)

UNRISD AND PARTHENON PUBLISHING ■ 1995

This book is based on village case studies in three different ecological zones in Pakistan: the Gilgit District of the northern mountain region, the coastal area near Karachi, and the Punjab plains. Although the population of Pakistan is still growing at about 3 per cent per year, population growth is not perceived as a major issue in the villages. At the same time, what appears to the external observer as environmental degradation is not necessarily perceived as such by the local population. The book's contributors point out that this is not because of a lack of education about national priorities. Rather, the situation reflects a conflict between national and local goals. The volume concludes that dealing with issues of population and the environment must go beyond improving education or supporting family planning, although these factors are clearly important. The problem is one of ensuring that local people not only feel responsibility for preserving community resources, but also have the institutional capacity to do so.

Gender, Population and Environment in the Context of Deforestation: A Malaysian Case Study

Noeleen Heyzer

UNRISD AND APDC ■ 1996

24



This monograph documents the impact of top-down development planning on women in indigenous communities in Sarawak, Malaysia. It outlines the interaction between environment, population and development, and women's reproductive and productive choices. The social and economic consequences of macro-level forestry policies have created new patterns of wealth and poverty in the region. The study reveals that women are particularly affected in the context of environmental degradation and loss of community control over resources; they are having to work longer hours because fuel, food and water are unavailable or contaminated, and as a result their health is suffering. The author calls for a programme of political and economic change that will enable indigenous forest dwellers to adopt alternative modes of sustainable livelihood.

PAPERS

Gender, Environment and Poverty Interlinks in Rural India: Regional Variations and Temporal Shifts, 1971–1991

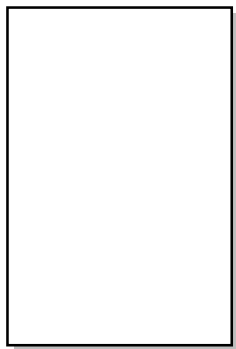
Bina Agarwal ■ UNRISD DISCUSSION PAPER NO. 62 ■ APRIL 1995

25

This paper analyses the interrelationships between gender, poverty and environmental change in rural India, focusing on regional variations across the country. The period 1971–1991 saw a considerable reduction in the natural resources available to the rural population. The author traces why and how degradation, coupled with loss of communal property, has particularly adverse implications for women and girls in poor rural households. Agarwal asserts that regions of high gender-environment-poverty vulnerability warrant special attention through schemes that give poor women greater control over economic resources, and especially over common property resources. It is argued that women's active participation in forest protection and wasteland development schemes not only improves family welfare, but also helps ensure scheme success.

Social dynamics of deforestation

BOOKS

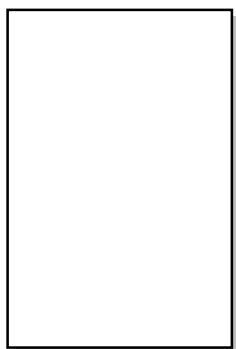


26 A Dinâmica Social do Desmatamento na Amazônia: Populações e Modos de Vida em Rondônia e Sudeste do Pará

Antonio Carlos Diegues (ed.)

UNRISD AND NUPAUB ■ 1993

This report, in Portuguese, looks at case studies from the Brazilian states of Rondônia and Pará. It demonstrates how rapid deforestation and related processes of environmental degradation are associated with the livelihood requirements of various low-income social groups, as well as with the quest for profit by other groups. Rural inequalities, poverty and economic crises elsewhere in Brazilian society have played important roles in causing deforestation. So too have government land settlement policies, infrastructure development, tax and credit incentives for crop production and cattle raising, and inflation and speculation. Certain Indian groups have been particularly affected by deforestation, and their livelihood and culture threatened despite their attempts to resist land invasions and to gain wider support. The report concludes that the Brazilian government has no clear strategy to deal with deforestation, as on one hand it has provided incentives that promote forest clearance, and on the other it has established protected areas such as indigenous and extractive reserves.



27 Trees, People and Power: Social Dimensions of Deforestation and Forest Protection in Central America

Peter Utting

UNRISD AND EARTHSCAN ■ 1993

THIS BOOK IS ALSO AVAILABLE IN SPANISH: **BOSQUES, SOCIEDAD Y PODER**, PETER UTTING, UNRISD AND UCA, 1996.

Drawing on case studies and examples from six Central American countries, this book considers the repercussions of deforestation on the environment and on the livelihoods of the rural and urban poor. Arguing that the debate on the future of the world's tropical forests has become bogged down with issues of sovereignty and economic growth, the author identifies the players, processes and policies that are causing deforestation, and the forces that are leading to the breakdown of traditional resource management systems. Particular attention is focused on how the lives of people living in or close to forests are affected. Utting takes a critical look at conservation programmes and projects designed to protect forests and promote tree planting, and considers how social and political factors affect the feasibility of such schemes. He concludes that many such initiatives have failed to balance concerns for the environment with those of human welfare and, until they do, it is unrealistic to expect any significant progress toward sustainable development.

Forests and Livelihoods: The Social Dynamics of Deforestation in Developing Countries **28**

Solon L. Barraclough and Krishna B. Ghimire

MACMILLAN AND ST. MARTIN'S PRESS,
IN ASSOCIATION WITH UNRISD ■ 1995

Approaching deforestation from a social rather than an environmental perspective, the central issue of this book is not how to halt deforestation but how to manage forest areas in order to meet social goals on a more equitable and sustainable basis. Arguing that most approaches to deforestation are overly simplistic and that institutional policy reforms and measures have failed to protect either the forests or their inhabitants, the authors draw on detailed case studies from Brazil, Central America, Nepal and Tanzania, as well as wider themes and regions. Conventional wisdom that attributes deforestation primarily to peasant ignorance and population growth is questioned, as are other single-factor explanations such as market and policy failures. Technical solutions to deforestation are only one element of what are essentially complex political questions.

The Social Dynamics of Deforestation: A Case Study from Nepal **29**

J. Soussan, B.K. Shrestha and L.P. Uprety

UNRISD AND PARTHENON PUBLISHING ■ 1995

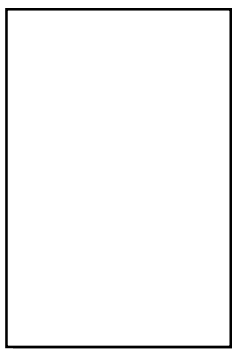
Nepal has seen a rapid decline in its forest resources in recent decades, although the scale and impact of deteriorating forest resources vary greatly by region and according to population density and mobility, and natural resource use patterns. The authors use case studies from hill and plain regions to analyse the relationship between deforestation and the evolution of local production systems. They also identify the external forces that affect the rate of deforestation and possibilities for forest management, such as national development programmes—especially road construction, urbanization, and commercial ventures (including often illegal, cross-border trade in forest products). The concluding discussion analyses the effectiveness of the community forest approach being implemented in Nepal and outlines possible future forestry policies.

Agricultura y bosque en Guatemala: Estudio de caso en Petén y Sierra de las Minas **30**

Ileana Valenzuela de Pisano

UNRISD, WWF AND UNIVERSIDAD RAFAEL LANDÍVAR ■ 1996

This book, in Spanish, analyses the relationship between agriculture, modernization and the expansion of agrarian frontier and deforestation in Guatemala, in particular in the Petén and Sierra de las Minas. It shows how these factors are not simply recent phenomena, but need to be understood in their historical context. The author looks at how Guatemalan society has been organized and its predominant values and development objectives, particularly during the phase of export-led growth of the last 50 years. There exists in Guatemala a deep socioeconomic and environmental crisis, in which the expansion of unsustainable farming systems and the destruction of tropical forests play an important role. The traditional model of economic development—based on the modernization of agriculture—has generated economic, technological, political and cultural processes resulting in the degradation of both the environment and the livelihoods of much of the population. By way of conclusion the author identifies key elements of a sustainable development strategy.



31 Agricultural Expansion and Tropical Deforestation: Poverty, International Trade and Land Use

Solon L. Barracclough and Krishna B. Ghimire

UNRISD, WWF AND EARTHSCAN ■ 2001

Arguing that there is no clear-cut causal relationship between tropical deforestation, international trade and agricultural expansion in developing countries, Barracclough and Ghimire undertake a multidisciplinary analysis of economic and agricultural development worldwide. This book draws on empirical data from case studies from Africa, East Asia and South America and proposes that national and regional policies have as much impact as the forces of globalization. It also notes that historical and contextual factors such as land tenure and farming systems must be incorporated in the analysis. The authors suggest that tropical deforestation is a systematic problem that requires deep policy and institutional reforms at all levels. The key issue, they conclude, is whether social actors can bring about the required institutional and policy reforms for the improvement of rural livelihoods, while at the same time protecting tropical forests.

PAPERS

32 The Social Dynamics of Deforestation in Developing Countries: Principal Issues and Research Priorities

Solon L. Barracclough and Krishna B. Ghimire

UNRISD DISCUSSION PAPER NO. 16 ■ NOVEMBER 1990

This paper examines some of the processes behind deforestation—which go beyond the conventional explanations of poverty, population growth and modernization—and questions some of the current definitions of deforestation. It highlights the importance of development policies, land tenure systems and large-scale domestic and foreign commercial interests in agriculture and livestock, all of which affect the spread of deforestation. The authors argue that effective environment policies are unlikely to be adopted in the absence of organized pressure from those adversely affected by deforestation processes. They recommend more research be carried out on the local-level social dynamics of deforestation in the broader national and international contexts to determine what social groups and forces could be mobilized in order to bring about desired changes.

33 The Social Origins and Impact of Deforestation in Central America

Peter Utting ■ UNRISD DISCUSSION PAPER NO. 24 ■ MAY 1991

This paper examines the principal processes underlying deforestation in Central America during the twentieth century. Particular attention is focused on the impact of patterns of export-led growth and more recent factors linked to militarization, agrarian reform and economic adjustment policies. The paper goes on to describe the ways in which deforestation has affected the lives and livelihood systems of different social groups in rural and urban areas. Three main groups are looked at: peasant populations in agrarian frontier regions; indigenous groups whose areas are being encroached on by logging companies and ranchers; and those in more densely populated areas experiencing shortages or the high cost of fuelwood. The paper concludes by considering some of the strengths and weaknesses of forest protection initiatives in the region in terms of environmental protection and social development.

Parks and People: Livelihood Issues in National Parks Management in Thailand and Madagascar 34

Krishna B. Ghimire ■ UNRISD DISCUSSION PAPER NO. 29 ■ DECEMBER 1991

Madagascar and Thailand have implemented ambitious environmental programmes aimed at protecting and conserving forest and wildlife resources in selected national parks. This paper looks at the impacts of these plans locally, concluding that although the national parks have made some contribution to preserving biodiversity and generating foreign exchange earnings, they have had adverse effects on the food security and livelihood systems of local populations. In the worst cases, people have been expelled from their settlements with no provision for alternative sources of income. Ghimire suggests the implementation of alternative conservation schemes that address the needs of the local population by giving them a greater share of the benefits generated by tourism, hunting and fishing rights, and access to forest products that are used on a sustainable basis.

Land Tenure and Deforestation: Interactions and Environmental Implications 35

Peter Dorner and William C. Thiesenhusen
UNRISD DISCUSSION PAPER NO. 34 ■ APRIL 1992

This paper examines the linkages and interactions between land tenure regimes and population dynamics in developing countries and includes a case study of a forest region in Zaire. The authors argue that land tenure problems, together with the commercialization of agriculture, are often the root cause of deforestation. Poverty and insecurity force many peasants to seek livelihoods in forest frontier areas unsuitable for agriculture and grazing. Their migration into forest areas frequently displaces indigenous peoples who have the local knowledge necessary for sustainable use of the land. Dorner and Thiesenhusen suggest that the key issue to be addressed in order to halt deforestation is the development of appropriate public policies and land tenure regimes, which would serve the needs of poor peasants and forest users.

Sustaining the Forests: The Community-Based Approach in South and Southeast Asia 36

Marcus Colchester ■ UNRISD DISCUSSION PAPER NO. 35 ■ MAY 1992
THIS PAPER IS ALSO AVAILABLE IN FRENCH AND SPANISH.

This paper demonstrates how the traditional resource management systems of forest communities in South and Southeast Asia have proved far more resilient and environmentally appropriate than the imposed national and international development strategies. Many of these communities have successfully opposed socially and environmentally destructive development schemes. However, changing circumstances such as population increase, market penetration and internal differentiation have required communities to seriously examine their livelihood strategies. Although some government initiatives have had positive results, the author concludes that successful forest management relies on the existence of open, accountable and equitable systems of decision making at the local level.

The Social Dynamics of Deforestation in the Brazilian Amazon: An Overview 37

Antonio Carlos Diegues, with an appendix by Paul Kageyama and Virgilio Viana
UNRISD DISCUSSION PAPER NO. 36 ■ JULY 1992

This paper presents a critical assessment of the social origins and social impacts of deforestation in Brazil. Diegues argues that the responsibility for deforestation lies principally with the government's development strategy of the past three decades, and stresses that deforestation in the Amazon should be analysed in the context of Brazil's integration with the world economy. He identifies some alter-

native forest or land use practices that have evolved from the movements of rubber tappers and other forest-based groups. The paper concludes with an appendix on technical, forestry and agroforestry alternatives for combating deforestation. As much of the knowledge about this area rests with the local population, more research at this level is called for in order to find solutions to the problem of deforestation in the region.

38 Les politiques publiques en matière de forêts dans l'Afrique francophone subsaharienne

José Trouvé ■ UNRISD DISCUSSION PAPER NO. 69 ■ OCTOBER 1995

Deforestation is increasing rapidly throughout sub-Saharan Africa, mainly as a result of the expansion of cultivated land, the use of forests for timber and firewood extraction, and the spread of urban areas. This paper, in French, focuses on francophone sub-Saharan Africa, where the countries have similar legislative and institutional traditions relating to forestry matters, even though their ecological conditions and sociological contexts differ. The author examines the extent to which recent attempts to address the problem of deforestation take into account the needs, traditions and skills of the populations most affected by forest loss. He also considers whether these new forestry policies are consistent with other development policies, particularly those relating to agriculture and energy.

39 La déforestation dans les zones de savane humide en Afrique centrale subsaharienne

Colette Bessat ■ UNRISD DISCUSSION PAPER NO. 70 ■ JANUARY 1996

Deforestation is not limited to forest areas in sub-Saharan Africa; it affects the transition and savannah zones of the region as well. Concerned by deforestation in these areas, public authorities and NGOs have initiated numerous development projects focused on agriculture, cattle raising and reforestation. This paper, in French, raises questions about the extent to which complex and frequently costly development projects respond to the needs of the population. Are technical approaches effective in dealing with deforestation? Does dissemination of information give rise to noticeable improvements in the livelihoods of the people most affected? Do the projects take traditional knowledge into account in their research? Affirmations of popular participation notwithstanding, has there been a change in the practices of those involved?

40 Forêts politique forestière et gestion des ressources naturelles en Guinée

Mamadou Oury Bah and Bernard Jean, with José Trouvé
UNRISD DISCUSSION PAPER NO. 71 ■ JANUARY 1996

This paper, in French, is based on a study carried out in Guinea on public forestry policy measures and the responses of the population to these institutional initiatives. The recent approach of the state to forestry matters aims not only to develop a strategy for the planning and management of forests, but also to return forest-related responsibilities to the local communities. The extent to which the state has succeeded in encouraging popular participation in these areas is considered in some detail by the authors. They point out that improvements could be made to the legal and institutional framework, and that more financial resources should be made available. The paper concludes that the populations most concerned must find new forms of grassroots collective organization appropriate to the changing situation if they are to participate meaningfully in the fight against deforestation.

Social and environmental dimensions of protected areas and tourism

BOOKS

Travail, culture et nature: Le développement local dans le contexte des parcs nationaux et naturels régionaux de France

Krishna B. Ghimire and Andrea S. Finger-Stich

UNRISD AND EDITIONS L'HARMATTAN ■ 1997

41



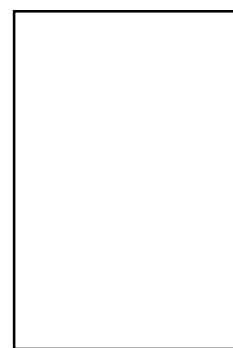
This publication, in French, looks at the links between work, culture and nature in the context of France's social crisis. Taking national parks and regional nature parks as case studies, it assesses the politics of conservation and their relation to changes that have been taking place in agriculture and rural areas. More specifically, it concentrates on the effect that these parks have had on local populations and the clashes between different interest groups. The work outlines the general social context of the country, with particular attention focused on depopulation, agricultural decline and unemployment, and analyses how social, economic and demographic factors have impacted rural populations. It also traces the history of conservation ideology and examines French approaches to local development.

Social Change and Conservation: Environmental Politics and Impacts of National Parks and Protected Areas

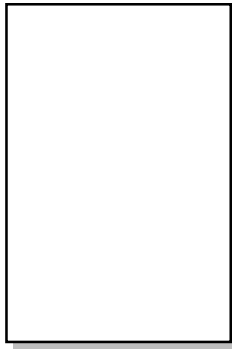
Krishna B. Ghimire and Michel P. Pimbert (eds.)

UNRISD AND EARTHSCAN ■ 1997

42



Protected areas tend to be established, and conservation policies implemented, with nature and wildlife in mind. Yet these initiatives can have far-reaching consequences for local people as well, often undermining their access to resources and their livelihoods. This book discusses trends in protected area management, and shows how local people have been affected. Drawing on case studies from Africa, Asia, Central Asia, Europe and North America, it points out that the loss of secure livelihoods threatens conservation, as poverty and environmental degradation intensify around protected areas. The authors argue that failure to respect social justice not only creates economic misery and conflict, but also makes it difficult to mobilize local participation for conservation. In conclusion, they call for a thorough overhaul of current conservation thinking and practice.



43 **The Native Tourist: Mass Tourism within Developing Countries**

Krishna B. Ghimire (ed.)

UNRISD AND EARTHSCAN ■ 2001

Domestic tourism in developing countries is rapidly outstripping international tourism and could soon involve 10 times as many people. This book looks at the effects of local mass tourism in various socioeconomic and environmental contexts and on diverse social groups. Based on case studies from Africa, Asia and Latin America, it looks at the numbers involved, examines the profile, behaviour and impacts of domestic tourism, and considers the policy implications for both governments and NGOs. Ghimire argues in his overview that, although tourism can never be a panacea for existing social deprivation and inequalities, it could be a useful tool if enough care is taken to prioritize local interests. He concludes, however, that for many local population groups, ensuring improved agricultural livelihoods—along with access to health and education—is more important than the seasonal income to be made from tourism.

PAPERS

44 **Management of Wildlife, Tourism and Local Communities in Zimbabwe**

Chris McIvor ■ UNRISD DISCUSSION PAPER NO. 53 ■ AUGUST 1994

As in other developing countries, the establishment of parks and reserves in Zimbabwe brought local communities into conflict with park management as, in addition to the alienation of their land, adjacent communities experienced extensive crop damage from marauding animals. Revenue from tourism tends to flow into the central treasury and local people receive little compensation, if any, for the destruction of their crops. Nor do they have access to park resources such as meat, grazing areas, wood or other products. The paper discusses the success of the CAMPFIRE programme, which began in the mid-1980s in an attempt to build institutional and managerial capacity at the local level. It is argued that the CAMPFIRE initiative must take a significant step toward transferring authority and ownership of park resources to the village level if it is to succeed in its aim of converting poachers into gamekeepers.

45 **Reality or Rhetoric? Ecotourism and Rural Reconstruction in South Africa**

Eddie Koch ■ UNRISD DISCUSSION PAPER NO. 54 ■ AUGUST 1994

In the eyes of local communities, the conservation movement in South Africa has historically been associated with forced relocation and deprivation of access to natural resources. The 1990s saw a wide variety of initiatives designed to diffuse the benefits of ecotourism to inhabitants of protected areas. This paper examines the economics of ecotourism in South Africa in an international context. It describes the varying approaches of different social groups in the country to conservation, and outlines a number of policy recommendations designed to integrate conservation with community empowerment and control over resources. The author recommends that this goal can be achieved only if ecotourism initiatives are accompanied by reforms such as the restoration of land rights to local communities; the construction of physical infrastructure; and investment in the technical and managerial skills of local people.

Salvaging Nature: Indigenous Peoples, Protected Areas and Biodiversity Conservation

46

Marcus Colchester ■ UNRISD DISCUSSION PAPER NO. 55
UNRISD, WORLD RAINFOREST MOVEMENT AND WWF ■ SEPTEMBER 1994

Conservation agencies have historically aimed to establish protected areas free of human habitation. However, most protected areas are already inhabited, many by indigenous peoples who often have quite a different view of the relationship between nature and civilization. This paper argues that mainstream conservationists have sought to impose their culturally bound vision of natural resource management on indigenous peoples without taking into account their rights under international law. These top-down tendencies have been reinforced by the Biodiversity Convention and the Global Environment Facility. Colchester concludes that the power of the state needs to be directed toward ensuring that conservation agencies become more accountable to indigenous peoples in the future.

Conservation and Social Development: A Study Based on an Assessment of Wolong and Other Panda Reserves in China

47

Krishna B. Ghimire ■ UNRISD DISCUSSION PAPER NO. 56 ■ DECEMBER 1994

This paper, based on research in panda reserves in China, argues that panda reserves provide a particularly auspicious setting for integrating the objectives of conservation with social development. There is little or no competition for resources between people and pandas, yet people continue to be regarded by conservation agencies as a threat to the viability of panda reserves. In some areas, communities have been forcibly removed; in others there have been restrictions on the use of land and forest products. The paper points out some of the alternative opportunities for enhancing the livelihood security and living standards of local inhabitants while preserving and improving the natural habitat, arguing that social development objectives must receive as much priority as the preservation of pandas.

Parks, People and Professionals: Putting “Participation” into Protected Area Management

48

Michel P. Pimbert and Jules N. Pretty
UNRISD DISCUSSION PAPER NO. 57 ■ UNRISD, IIED AND WWF ■ FEBRUARY 1995

This paper offers a critique of current protected area management systems: it argues that the present style of conservation has neglected the needs and aspirations of local people, and their indigenous knowledge, institutions and social organizations; as well as ignoring their dependence on wild resources. Policies and practices, while seeking to separate people from protected areas, have discouraged local participation in the management of protected areas. The authors assert that conservation itself needs rethinking and that ways must be found to integrate local participation with sustainable conservation. They call for a “new professionalism”, in which conservation professionals learn from local people, as well as supportive national and international policies.

Biodiversity and Human Welfare

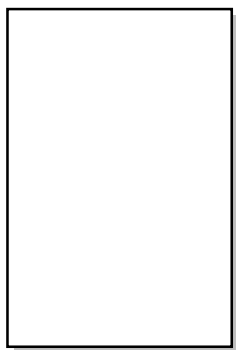
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Piers Blaikie and Sally Jeanrenaud ■ UNRISD DISCUSSION PAPER NO. 72
UNRISD AND OVERSEAS DEVELOPMENT GROUP, UNIVERSITY OF EAST ANGLIA ■ FEBRUARY 1996

This paper considers the complex relationships between biodiversity and human welfare. It examines how biodiversity has been understood by different groups of people, and how this affects proposals for remedial action. Blaikie and Jeanrenaud review three of the competing intellectual frameworks for explaining environmental degradation: the classic, neopopulist and neoliberal paradigms. The authors argue that although much of the debate is couched in moral terms, it reflects the current conflicts of interest between international, national and local concerns; between North and South; between science and politics; and along lines marked by differences of class, ethnicity and gender. To illustrate the specific impact of decreasing biodiversity on livelihood—as well as the political struggles surrounding this process of degradation—the paper draws on detailed case studies of forest areas in Russia, tropical forests and wildlife in Cameroon, and whaling in Greenland.

Business responsibility for sustainable development

BOOKS

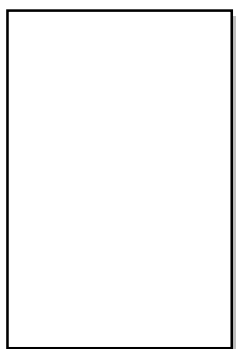


50 Voluntary Approaches to Corporate Responsibility: Readings and a Resource Guide

NGLS and UNRISD (eds.)

NGLS ■ 2002

Earlier emphasis on governmental regulation to improve the social and environmental performance of transnational corporations (TNCs) has ceded ground to “corporate self-regulation” and “voluntary initiatives” such as codes of conduct, corporate social investment in community development projects, and improvements in environmental management systems. Two of the papers in this volume identify some of the strengths and limitations of company codes of conduct and “multistakeholder” standard-setting, monitoring and certification schemes. Several such schemes, including the Global Compact, ISO 14000 and the Ethical Trading Initiative, deal with environmental aspects. This analysis suggests that such initiatives, like the corporate social responsibility agenda more generally, need to be more sensitive to developing country concerns and realities, and based on consultative processes that include labour and Southern actors as key participants. In addition, voluntary initiatives need to address the fact that global trade and policy regimes often restrict, rather than facilitate, the ability of developing countries to comply with higher labour and environmental standards. An alternative approach to TNC regulation based on a variety of “complaints procedures” is proposed. The volume also contains a comprehensive bibliography and listing of Web sites dealing with corporate environmental and social responsibility.



51 The Greening of Business in Developing Countries: Rhetoric, Reality and Prospects

Peter Utting (ed.)

ZED BOOKS IN ASSOCIATION WITH UNRISD ■ 2002

To what extent is the greening of business a reality in the South, what are its implications for sustainable development and what might be done to scale up and deepen corporate environmentalism in developing countries? These are some of the questions this book addresses. Drawing on case studies from several developing countries, the contributors identify the economic, political and structural forces that are encouraging large corporations in some sectors to address environmental concerns. It looks at the strengths and weaknesses of various regulatory and voluntary initiatives to improve the environmental performance of business. The book suggests that there remains a considerable gap between the rhetoric and practice of corporate responsibility, and that not only has change been piecemeal but that it is fraught with contradictions. Finally, alternative approaches to “corporate self-regulation” are considered that involve government, civil society organizations, citizens and consumers.

PAPERS AND REPORTS

Business Responsibility for Environmental Protection in Developing Countries 52

Report on the International Workshop, Heredia, Costa Rica, 22–24 September 1997
CONFERENCE REPORT ■ UNA AND UNRISD ■ MAY 1998

This international workshop discussed the contribution of big business to sustainable development and the conditions and measures needed to promote corporate environmental responsibility in developing countries. The report notes that although large firms in developing countries generally lagged behind those in richer nations in terms of corporate environmental management, stricter environmental standards, cleaner technologies and waste reduction practices were becoming more commonplace. However, it argues that it is dangerous to generalize about corporate behaviour and trends, as practice within firms and sectors can vary widely. The strengths and weaknesses of recent policy and partnership initiatives involving civil regulation and “negotiated agreements” between government and business are discussed in some detail, emphasizing the need for a continued role for international and governmental regulation.

Partners in Time? Business, NGOs and Sustainable Development 53

David F. Murphy and Jem Bendell
UNRISD DISCUSSION PAPER NO. 109 ■ AUGUST 1999

This paper examines why and how business-NGO relations changed in the 1990s, and how their strategies for sustainable development have evolved and interacted in different sectors and regions. In particular, it considers the potential for wider replication of NGO-driven corporate environmentalism in developing countries. The authors argue that growing corporate responsibility for the environment is neither a rational business response to so-called “win-win” opportunities, nor simply a public relations exercise. Rather, companies are responding to various forms of pressure from and collaboration with civil society organizations and movements, and such “civil regulation” is becoming increasingly important in motivating corporate environmental and social responsibility.

The Greening of Business in Mexico 54

David Barkin ■ UNRISD DISCUSSION PAPER NO. 110 ■ SEPTEMBER 1999

Since the 1992 Earth Summit and the signing of the North American Free Trade Agreement in 1994, there has been active encouragement for businesses in Mexico to improve their environmental performance. This paper suggests, however, that “corporate environmentalism” has focused too narrowly on technical solutions rather than on long-term restructuring of business. It points out that although there have been some successful new partnerships, the overall quality of the environment is deteriorating as a result of economic strategies being pursued by the government. The government is committed to economic liberalization, and the environmental and consumer movements continue to struggle to promote corporate responsibility for the environment.

Internetworking for Social Change: Keeping the Spotlight on Corporate Responsibility 55

Kelly O'Neill ■ UNRISD DISCUSSION PAPER NO. 111 ■ SEPTEMBER 1999

This paper looks at how NGOs have used the Internet to facilitate civil society communication on a global basis. Although a significant percentage of the public remains off-line, particularly in the South, there are many examples of the use of information and communication technologies in environmental and social justice campaigns. O'Neill suggests that, although business was caught off

guard in the battle for the “market share of the public mind”, corporate public relations departments are increasingly using the Internet to convey their own perspectives on corporate social responsibility. Citing factors that threaten the relatively democratic nature of the Internet, the author recommends a cautious embrace of on-line communications as a way of projecting all sides of social and environmental issues into the public domain.

56 **Business Responsibility for Sustainable Development**

Peter Utting ■ UNRISD OCCASIONAL PAPER NO. 2 ■ JANUARY 2000

An increasing number of large firms claim that they are adopting policies and practices conducive to sustainable development. This paper asks whether these assertions are valid. It assesses the range of their efforts and considers whether there are forces that might permit a scale-up of initiatives associated with corporate social and environmental responsibility. The author identifies the economic, political and structural factors and contexts that encourage corporations to engage with the corporate responsibility agenda. Arguing that the process of change remains fragmented—unevenly spread in terms of companies, countries and sectors—the paper calls for a rethinking of voluntary and partnership approaches. Utting points out the need for international regulatory frameworks to promote corporate responsibility, and a greater role for independent monitoring of codes of conduct, environmental management systems and United Nations-business partnerships. He concludes that rethinking partnerships involves recognizing the need to build a stronger civil society movement by reinforcing links between environmentalists, consumer groups, social-interest NGOs and trade unions.

57 **Corporate Environmental Responsibility in Singapore and Malaysia: The Potential and Limits of Voluntary Initiatives**

Martin Perry and Sanjeev Singh

UNRISD PROGRAMME ON TECHNOLOGY, BUSINESS AND SOCIETY, PAPER NO. 3 ■ APRIL 2001

The neighbouring Southeast Asian countries of Malaysia and Singapore have contrasting environmental reputations. Singapore is often seen as a model green city, while Malaysia has been accused of accelerating deforestation, reducing biodiversity and marginalizing indigenous populations. This paper discusses the influences that encourage voluntary environmental initiatives and the types of action taken in the region. The authors review the corporate voluntary environmental initiatives already in place in each country, asking whether such action should be seen as an alternative to government regulation. They suggest that although some TNCs are adhering to performance standards above local requirement levels, government regulation remains essential.

58 **Regulating Large International Firms**

E.V.K. Fitzgerald ■ UNRISD PROGRAMME ON TECHNOLOGY, BUSINESS AND SOCIETY, PAPER NO. 5 ■ NOVEMBER 2001

This paper explores the existing arrangements for multilateral regulation of large firms, and makes the case for balancing strengthened global corporate property rights with more explicit and enforceable social and environmental obligations. It points out that strengthened multilateral co-operation in the areas of investment, tax and competition is under way, but corporate conduct on environmental and labour issues is still regulated almost exclusively at the national level. Fitzgerald highlights the urgent need to extend regulatory systems to cover developing countries in a way that supports sustainable development. He suggests that a possible approach to regulation of large international firms would be a multilateral definition of the obligations of international firms that is explicitly linked to the guarantee of property rights.

Corporate Responsibility in Indonesia: Quixotic Dream or Confident Expectation? 59

Melody Kemp ■ UNRISD PROGRAMME ON TECHNOLOGY, BUSINESS AND SOCIETY,
PAPER NO. 6 ■ JANUARY 2002

This paper looks at corporate social responsibility (CSR) in Indonesia and asks whether it has the capacity to change the day-to-day behaviour of transnational corporations. It examines how CSR is viewed in Indonesia, and identifies the country's historic and cultural factors that inhibit significant changes in corporate social and environmental performance. Kemp also examines the environmental impact of big business, with particular reference to the mining and palm oil industries. She points out that while CSR may make a positive contribution to labour conditions, the environment and human rights, only a small minority of large firms have engaged with this agenda. The paper concludes that any effective implementation of CSR requires the machinery of democratic government and civil society, and that what Indonesia needs at the moment is overall structural reform.

Promoting Socially Responsible Business in Developing Countries: The Potential and Limits of Voluntary Initiatives 60

Report of the UNRISD Workshop, 23–24 October 2000, Geneva
UNRISD CONFERENCE NEWS ■ JANUARY 2002

This report of the UNRISD workshop reviews the issues discussed during the event, including the international regulation of transnational corporations; codes of conduct, certification, monitoring and verification; and the role of NGOs and trade unions in promoting corporate responsibility. It asks what drives companies to improve their social and environmental performance, whether corporate responsibility is relevant for the South, and whether “voluntary initiatives” or stronger regulatory mechanisms are appropriate for raising labour and environmental standards. The report refers to country case studies of Indonesia, Malaysia, Mexico, the Philippines, Singapore and South Africa that were presented at the meeting. The workshop concluded that if the corporate social responsibility agenda is to become more relevant for developing countries, it must become more attuned to their concerns and be pushed by groups from the South.

Other publications

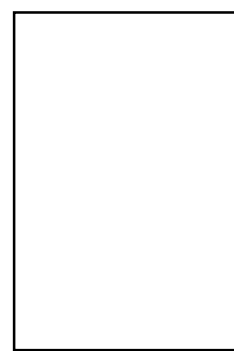
BOOKS

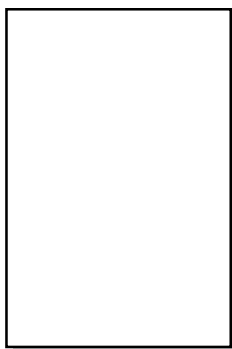
Social Aspects of Sustainable Dryland Management 61

Daniel Stiles (ed.)

UNEP AND JOHN WILEY AND SONS LTD. ■ 1995

This edited volume, with contributions from UNRISD, looks at problems of land degradation in dryland areas and its social impacts. It examines ways in which dryland productivity and viability can be increased and managed. Particular attention is focused on the need to involve local populations in developing methods of natural resource management, arguing that land management must develop around the priorities, knowledge, needs and objectives of the people directly concerned.



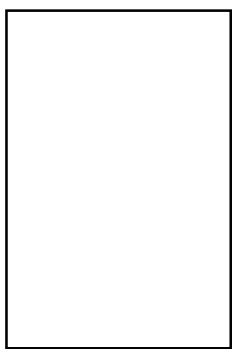


62 The Social Dimensions of Desertification: Annotated Bibliography and Literature Review

Yvette D. Evers

UNRISD, IIED AND UNEP ■ 1996

This collection of nearly 600 references is the product of a co-operative venture involving UNRISD, IIED and UNEP. It provides a structured summary of information on the social dimensions of desertification and identifies some of the main gaps and biases in the literature. The review sets out a broad historical perspective of the external forces and social processes behind desertification in the different regions of the world. It discusses the heterogeneity of social structures of the various dryland populations and highlights location-specific examples of the socio-cultural, economic and environmental impacts of desertification on particular communities. It also looks at the numerous coping strategies evolved by dryland communities to deal with the risk and uncertainty of arid environments, and lessons learned from the policies and programmes of national governments and international organizations aimed at combating desertification. The book concludes with a discussion of future research priorities and measures that should be undertaken in collaboration with local people.



63 Rural Development and the Environment: Towards Ecologically and Socially Sustainable Development in Rural Areas

Solon L. Barraclough, Krishna B. Ghimire and Hans Meliczek

UNRISD AND UNEP ■ 1997

This monograph analyses a wide variety of institutions and policies operating at local, national and global levels that influence patterns of interaction between rural development and the environment. Barraclough et al. argue that this complex set of interacting forces and institutions must be taken into account to reduce poverty and protect ecosystems. At the local level, the authors highlight the importance of production patterns, technology and farming systems, as well as population dynamics, social forces and land tenure. At the national and international levels, they consider the impact of market forces, development strategies and policies, and patterns of consumption associated with globalization. The book concludes that the development of accountable and democratic rural institutions, equitable and efficient land reforms, and popular-based national development strategies linked to reforms of debt policies at the international level, are essential for generating sustainable development in rural areas.

Visible Hands: Taking Responsibility for Social Development

64

UNRISD

UNRISD ■ 2000

THIS BOOK IS ALSO AVAILABLE IN ARABIC,
FRENCH, RUSSIAN AND SPANISH.THE EXECUTIVE SUMMARY HAS BEEN
PUBLISHED IN PORTUGUESE.

This book explores recent efforts to promote social development and reassert the value of equity and social cohesion through the “visible hands” of government and civil society. Two chapters dealing with transnational corporations and sustainable development look at environmental issues from a broad perspective. They question the sustainability of existing patterns of production and consumption, as well as attempts by large corporations to improve their environmental and social performance. The book covers in more detail issues of forest conservation, sustainable agriculture, water supplies and urban development. The term “people-centred sustainable development” implies that development demands more than economic growth, and requires new thinking about what is possible and what is right. Visible Hands argues that governments and international finance and trade organizations need to be more sensitive to the socio-environmental costs of their policies, and work to make their processes of decision making more democratic.

Land Reform and Peasant Livelihoods: The Social Dynamics of Rural Poverty and Agrarian Reform in Developing Countries

65

Krishna B. Ghimire (ed.)

UNRISD ■ 2001



This book offers a critical analysis of the performance of land reform programmes around the world. The contributors note that there is consensus on the need for reforming land tenure systems in developing countries. A few powerful landowners, including transnational corporations engaged in environmentally unsustainable farming, have control over much of the fertile land. However, while national and international bodies, as well as NGOs, agree on the need for action, they vary in their approaches to the problem. The contributors examine the reasons for success and failure of past reform efforts, and review the repercussions of the market-orientated approach to land reform linked to structural adjustment policies. They argue that a flexible approach to reform is the most appropriate strategy for alleviating rural poverty, and that comprehensive land redistribution is key to rural livelihood improvements.

PAPERS AND REPORTS

66 Development, Environment and People

Report of the Conference on the Social Dimensions of Environment and Sustainable Development, Valletta, Malta, 22–25 April 1992
 CONFERENCE REPORT ■ UNRISD ■ OCTOBER 1992

This report presents a synthesis of the international conference organized jointly by UNRISD and the Foundation for International Studies at the University of Malta. The conference highlighted the fact that environmental strategies must be based on a thorough analysis of social and political dimensions, as well as technical and economic factors of the environmental problem. The question of institutions, including organizations of the poor and property regimes, is highly significant in this regard, as is that of incentives and equity, especially for women. The report also stresses the crucial role that can be played by democratic and efficient institutions at the local level, if responsibility and resources are transferred downward.

67 Environmental Degradation and Social Integration

Jessica M. Vivian ■ UNRISD BRIEFING PAPER NO. 3 ■ NOVEMBER 1994

This paper examines the impact that different patterns of social relations have on the state of the environment, and the influence of the environment on social structures and institutions. Based largely on UNRISD research, the paper focuses primarily on rural areas in developing countries. It argues that social changes affecting the performance of local-level resource management systems—including population growth, the spread of national and international markets, and changes in land tenure systems—have undermined traditional mechanisms discouraging overexploitation of natural resources. However, social groups are affected by and respond to environmental decline in different ways, and the paper concludes that it is essential to avoid fundamentalist policy approaches that fail to differentiate societies and cultures.

68 Some Ecological and Social Implications of Commercial Shrimp Farming in Asia

Solon L. Barraclough and Andrea Finger-Stich
 UNRISD DISCUSSION PAPER NO. 74 ■ UNRISD AND WWF ■ MARCH 1996

This study takes a critical look at the roles played by market forces, institutions and policies in the growth of the shrimp industry, and assesses the social and environmental impacts of the industry. Shrimp aquaculture in Asia produces nearly 80 per cent of the cultured shrimp sold in global markets. New, intensive production systems, however, have adversely affected small shrimp farmers and workers in the region. Increased pollution, reduced access to natural resources and disrupted traditional social relations make it increasingly difficult for farmers and workers to earn a living. The partial, remedial actions of private and public actors to mitigate this are examined, but the authors conclude that effective policy and institutional reforms are required at all levels, and depend on active grassroots participation and alliances between concerned parties in both the producing and consuming countries.

Towards Integrated and Sustainable Development? 69

Solon L. Barraclough

UNRISD OVERARCHING CONCERNS, PAPER NO. 1 ■ FEBRUARY 2001

This paper looks at some of the interpretations, ambiguities and contradictions associated with the term “sustainable development”. Barraclough argues that the popularity of the term in the 1990s may have had less to do with its inherent value than with the practical politics of the era. The paper discusses recent attempts by a few mainstream international agencies to apply the concept of sustainable development in their operational programmes, concluding that agencies have often not succeeded in integrating socioeconomic and environmental issues into a unified approach. The paper argues that sustainability will not occur without a redistribution of wealth from rich countries to poor ones, and that identifying the social forces that could be mobilized to bring about the required reforms remains the key challenge to achieving sustainable development.

Confronting Environmental Racism in the Twenty-First Century 70

Robert Bullard

UNRISD PROGRAMME ON IDENTITIES, CONFLICT AND COHESION

PAPER FORTHCOMING

“Environmental racism” refers to any environmental policy or practice that differentially affects individuals or communities based on race. The author argues that government, legal, economic and military institutions continue to reinforce environmental racism. The paper looks mainly at the case of the southern United States, where studies have revealed that African Americans are exposed to greater health and environmental risks than other groups. The paper suggests that such evidence of environmental racism fits into a global pattern. Globalization makes it easier for transnational corporations and capital to exploit areas with the least environmental regulation, best tax incentives and cheapest labour. Bullard concludes that environmental legislation and regulation, and international co-operation, need to be strengthened, and emphasizes the need to build a global environmental justice movement.

Annex 1 — UNRISD projects on the environment and sustainable development

Sustainable Development through People's Participation in Resource Management

1989–1993 ■ This project was an investigation into how people react to environmental stress, how their activities can contribute to the alleviation of environmental problems, and what can be done to support their efforts. Studies included management systems of local farmers in Ghana; structural factors affecting people's participation in conservation projects in the Sahel; traditional fisheries management in Marovo Lagoon, Solomon Islands; pastoral land tenure in seven African countries; collective environmental actions to protect or rehabilitate the natural resource base; the Indian environment and environmental movement; and NGOs and sustainable development activities in Zimbabwe. The results of the studies point out the importance of local efforts and highlight the range of situations in which local input is crucial to sustainable development. The studies also demonstrate that a number of external factors can work to limit the options available to local people as they respond to environmental pressure, reducing their ability to cope with situations of environmental decline. Field work was carried out in a large number of African, Asian and Latin American countries.

Social Dynamics of Deforestation

1990–1994 ■ This project was initiated to provide an opportunity for comparative research on deforestation processes in different socioeconomic and ecological contexts and their impacts on the livelihoods of various social groups. Initial case studies were carried out in Brazil, examining the relationship between deforestation and social changes in Rondônia and Pará; Central America, including case studies from Costa Rica, Guatemala, Honduras and Nicaragua; Nepal, looking at the socioeconomic and environmental processes associated with deforestation in both the hill and plain regions; and Tanzania, making a detailed analysis of deforestation trends in four ecologically different regions of the country. A subproject, Social Dimensions of Deforestation in Francophone West and Central Africa, focused on the broad objectives of assessing changes in the levels of living, employment and income of different social groups most affected by deforestation processes. The subproject also investigated individual and collective strategies to protect livelihoods, and analysed the social origins and contents of public policies most influencing deforestation processes.

Population Dynamics, Environmental Change and Development Processes

1991–1992 ■ This project analysed the complex linkages between population, the environment and development processes, addressing the questions of environmental change occurring in specific local socioeconomic and ecological contexts; community management of resources; livelihood options available at the local level; and the role of external forces, such as the state, aid agencies and

markets, in promoting alternative livelihood opportunities. In-depth case studies were carried out in Costa Rica, Pakistan and Uganda. In each country, two or three major ecological zones were chosen; researchers then selected two communities in each zone that were comparable in terms of certain population and environmental variables. These local level situations were also analysed in the context of broader national, regional and international settings.

Women, Environment and Population

1991–1994 ■ This project looked at the impact of environmental stress on community livelihoods in Kenya, Malaysia, Mexico and Morocco, covering both rural and urban situations. The main purpose was to find out how women specifically were being affected by the environmental problems to which communities are exposed, and to more generally develop a gender analysis of the social dynamics of natural resource management in the study areas, with special consideration given to the relationship between environmental change and population growth. The project was designed to develop a coherent conceptual framework for addressing these questions and drawing policy lessons across a range of environmental resource situations, rather than to allow for rigorous comparative analysis.

Agricultural Expansion and Tropical Deforestation

1991–1996 ■ This project researched the impact of agricultural expansion and external trade on the sustainable use and management of tropical forests. The principal objective was to analyse both factors leading to the clearance of tropical forests for agricultural use, and technical and policy approaches to reduce the pressures on forests. The project was executed in two phases. Phase I included a review of literature and consultations with specialists to identify gaps in existing knowledge and to shed light on the relationship between deforestation and agricultural policies and practices. Phase II included case studies and the preparation of country reports. Research teams were set up in Brazil, Cameroon, China, Guatemala and Malaysia.

Social and Environmental Impacts of National Parks and Protected Areas

1992–1995 ■ The objectives of this multidisciplinary, comparative research project were to critically assess the ways nature reserves and parks are established and managed, and especially their ability to fulfil conservation, economic and other stated mandates; to investigate how the customary rights, livelihoods, living levels, resource use practices and social cohesion of local people are affected when protected area schemes are implemented; and to indicate how parks and reserves can benefit local communities, particularly those most affected by the establishment of strictly protected areas.

Social and Political Dimensions of Environmental Projects

1994–1997 ■ This project examined ways of minimizing the trade-off between environmental protection and human welfare that characterizes many environmental programmes and projects. It looked at how social and political factors influence the design and implementation of environmental protection programmes in selected developing countries and the social impact of such plans. It considered how different interests shape, facilitate or obstruct the process of design and implementation, how environmental schemes affect the livelihoods of different social groups at the local level, and how they in turn respond when their interests are affected. Research carried out in Costa Rica, the Philippines and Senegal examined the potential and limitations of implementing environmental protection plans that balance environmental and social objectives. Particular attention was focused on the way in which terms and concepts such as “participation”, “empowerment” and “community-based natural resource management” are being applied in practice.

Emerging Mass Tourism in the South

1997–2001 ■ This project investigated the socioeconomic, cultural and environmental trends and impacts of emerging Southern national and regional mass tourism. The project was developed to collect, examine and diffuse information on the nature, magnitude and impact of domestic and regional tourism in different socioeconomic and environmental contexts, and on diverse social groups. It also examined concrete attempts that were made to formulate policy to cope with national and regional mass tourism. The analysis of policy issues was especially important as national and regional tourism are likely to involve large numbers of people, thereby presenting challenges to the concept of sustainable, ecological or “managed” tourism. The project emphasized the need to address the negative impacts of national and regional mass tourism through appropriate information and awareness campaigns. It also stressed the importance of designing adaptive tourism policies that reflect the needs and interests of domestic and regional tourists, as well as their potential contribution to local employment and national output. Research was carried out in Brazil, China, India, Mexico, Nepal, Nigeria, South Africa, Thailand and the United Kingdom.

Business Responsibility for Sustainable Development

1997–2003 ■ This project examines the potential and limits of relying on big business and corporate self-regulation to deal with environmental and social problems in developing countries. Research and policy dialogues have examined the conditions, policies and pressures that lead to changes in corporate social and environmental responsibility, and the extent to which corporate policy statements in this field are consistent with company practice. Until 1998, attention focused on aspects of corporate responsibility related to environmental management and sustainable development. In recent years, issues associated with corporate social responsibility have also been considered. Current work is examining the potential and limits of “voluntary initiatives” for promoting corporate social and environmental responsibility. Country case studies are being carried out in Brazil, India, Mexico, Peru, the Philippines and South Africa.

People-Centred Sustainable Development Policies and Projects

1999–2001 ■ This project commissioned work on finding out how the concepts of sustainable development and people-centred conservation have been applied in practice by development agencies. It looked at how people-centred approaches to environmental protection have fared, and what experience was gained in relation to a variety of topics, including decentralization; water management; urban planning; community-based natural resource management; and sustainable agriculture. The project's papers draw on research and case studies from India, Indonesia, Mexico, the Philippines, South Africa, sub-Saharan Africa and Thailand.

OTHER COMMISSIONED STUDIES

Social Dimensions of Desertification

1994–1996 ■ There are many causes of desertification, ranging from the way land is used in a farmer's field, to the impact of land tenure regulations and agricultural pricing policy at the national level, and to world trade conditions and global warming. Desertification is also linked to larger social processes that create “push” and “pull” factors influencing resource use, such as the monetization of local economies, population growth, urbanization and the settlement of nomadic peoples. This project included the publication of an extensive annotated bibliography, and contributions to a UNEP publication on social aspects of sustainable dryland management.

Social Aspects of Shrimp Aquaculture Development in Asia

1995 ■ When this study was commissioned, a number of media reports had given vivid accounts of the existing and potential environmental impacts of shrimp farming in Asia and South America. These included the destruction of mangroves, the destruction of fish stock, pollution and other forms of land and water degradation. However, the social impacts on local communities—those of the tropical coastal regions where shrimp aquaculture was a growing source of income—had received only scant attention. This study highlighted the social dimensions of shrimp aquaculture, including how it affected livelihoods by disrupting traditional systems of production, distribution and social relations. The partial remedial actions undertaken by private and public actors to mitigate the negative outcomes of the industry were also examined.

Rural Development and the Environment

1996–1997 ■ This study analysed a wide variety of institutions and policies operating at the local, national and global levels that influence patterns of interaction between rural development and the environment. There is a complex set of interacting forces and institutions that must be taken into account to reduce poverty and protect ecosystems. At the local level, the study highlighted the importance of production patterns, technology and farming systems, as well as population dynamics, social forces and land tenure. At the national and international levels, it considered the impact of market forces, development strategies and policies, and patterns of consumption associated with globalization.

Annex 2 — Principal country case studies

UNRISD research described in this report was carried out mainly in these countries and regions. For a brief description of the relevant publication, see the corresponding entry number in Part 2.

Country	Publication entry number(s) in Part 2
Brazil	1 • 2 • 26 • 27 • 28 • 37 • 31 • 43 • 51 • 52
Cameroon	33
Canada	42
Central America	3 • 28 • 33 • 51 • 65
China	31 • 42 • 43 • 47
Costa Rica	22 • 27 • 42 • 52
East and West Africa	4 • 7
El Salvador	27
Ethiopia	1 • 10
France	41 • 42
Germany	42
Ghana	3
Guatemala	27 • 30 • 31
Guinea	40
Honduras	27
India	1 • 2 • 3 • 5 • 13 • 25 • 42 • 43
Indonesia	18 • 59
Kenya	3 • 7
Madagascar	3 • 34
Malaysia	3 • 24 • 31 • 51 • 52 • 57
Mali	7
Mauritania	7
Mexico	1 • 2 • 3 • 11 • 19 • 43 • 51 • 52 • 54
Nepal	28 • 29
Nicaragua	27
Nigeria	43
Pakistan	22 • 23
Panama	27
Philippines	1 • 8 • 17 • 18
Senegal	2 • 6 • 7
Singapore	51 • 57
Solomon Islands	3 • 14
South Africa	20 • 42 • 43 • 45 • 51 • 52
South and Southeast Asia	3 • 18 • 36 • 68
Sub-Saharan Africa	7 • 15 • 21 • 39 • 38
Sudan	7
Tanzania	1 • 2 • 7 • 9 • 28
Thailand	3 • 18 • 34 • 43
Uganda	7 • 22
United States	70
Zimbabwe	3 • 16 • 42 • 44

Annex 3 — Authors and editors

For a brief description of a publication, see the entry in Part 2 that corresponds to the number in parentheses preceding its title.

Agarwal, Bina

- (25) Gender, Environment and Poverty Interlinks in Rural India: Regional Variations and Temporal Shifts, 1971–1991, UNRISD Discussion Paper (DP 62), 1995.

Amalric, F. and T. Banuri (eds.)

- (23) People, the Environment and Responsibility: Case Studies from Rural Pakistan, UNRISD and Parthenon Publishing, 1995.

Amanor, Kojo Sebastian

- (4) The New Frontier: Farmers' Response to Land Degradation—A West African Study, UNRISD and Zed Books, 1994.

Atkinson, Adrian

- (18) Promoting Sustainable Human Development in Cities in the South: A Southeast Asian Perspective, UNRISD Occasional Paper (OPG 6), 2000.

Bah, Mamadou Oury and Bernard Jean with José Trouvé

- (40) Forêts politique forestière et gestion des ressources naturelles en Guinée, UNRISD Discussion Paper (DP 71), 1996.

Barkin, David

- (19) Sustainable Development Strategies in Mexico: Grassroots Perspectives and Responses, UNRISD Programme Paper (PP CSSM), forthcoming.

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- (54) The Greening of Business in Mexico, UNRISD Discussion Paper (DP 110), 1999.

Barracough, Solon L.

- (69) Towards Integrated and Sustainable Development?, Programme Paper (PP OC 1), 2001.

Barracough, Solon L. and Andrea Finger-Stich

- (68) Some Ecological and Social Implications of Commercial Shrimp Farming in Asia, UNRISD and WWF, UNRISD Discussion Paper (DP 74), 1996.

Barracough, Solon L. and Krishna B. Ghimire

- (31) Agricultural Expansion and Tropical Deforestation: Poverty, International Trade and Land Use, UNRISD, WWF and Earthscan, 2001.

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- (28) Forests and Livelihoods: The Social Dynamics of Deforestation in Developing Countries, UNRISD, Macmillan and St. Martin's Press, 1995.

(32) The Social Dynamics of Deforestation in Developing Countries: Principal Issues and Research Priorities, UNRISD Discussion Paper (DP 16), 1990.

Barraclough, Solon, Krishna Ghimire and Hans Meliczek

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Bessat, Colette

(39) La déforestation dans les zones de savane humide en Afrique centrale subsaharienne, UNRISD Discussion Paper (DP 70), 1996.

Blaikie, Piers and Sally Jeanrenaud

(49) Biodiversity and Human Welfare, UNRISD and the Overseas Development Group, University of East Anglia, UNRISD Discussion Paper (DP 72), 1996.

Bullard, Robert

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(46) Salvaging Nature: Indigenous Peoples, Protected Areas and Biodiversity Conservation, UNRISD, World Rainforest Movement and WWF, UNRISD Discussion Paper (DP 55), 1994.

(36) Sustaining the Forests: The Community-Based Approach in South and Southeast Asia, UNRISD Discussion Paper (DP 35), 1992.

Diegues, Antonio Carlos (ed.)

(26) A Dinâmica Social do Desmatamento na Amazônia: Populações e Modos de Vida em Rondônia e Sudeste do Pará, UNRISD and NUPAUB, 1993.

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(35) Land Tenure and Deforestation: Interactions and Environmental Implications, UNRISD Discussion Paper (DP 34), 1992.

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(62) The Social Dimensions of Desertification: Annotated Bibliography and Literature Review, UNRISD, IIED and UNEP, 1996.

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(58) Regulating Large International Firms, UNRISD Programme Paper (PP TBS 5), 2001.

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(2) In Defense of Livelihood: Comparative Studies on Environmental Action, UNRISD and Kumarian Press, 1993.

Gadgil, Madhav and Ramachandra Guha

(5) *Ecology and Equity: The Use and Abuse of Nature in Contemporary India*, UNRISD, Routledge and Penguin Books India, 1995.

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(15) *Conservation, Livelihood and Democracy: Social Dynamics of Environmental Changes in Africa*, UNRISD Discussion Paper (DP 33), 1992.

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(3) *Development and Environment: Sustaining People and Nature*, UNRISD and Blackwell, 1994.

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(1) *Grassroots Environmental Action: People's Participation in Sustainable Development*, UNRISD and Routledge, 1992 and 1995 (paperback edition).

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(47) *Conservation and Social Development: A Study Based on an Assessment of Wolong and Other Panda Reserves in China*, UNRISD Discussion Paper (DP 56), 1994.

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(34) *Parks and People: Livelihood Issues in National Parks Management in Thailand and Madagascar*, UNRISD Discussion Paper (DP 29), 1991.

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(65) *Land Reform and Peasant Livelihoods: The Social Dynamics of Rural Poverty and Agrarian Reform in Developing Countries*, UNRISD, 2001.

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(43) *The Native Tourist: Mass Tourism within Developing Countries*, UNRISD and Earthscan, 2001.

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(9) Barabaig Natural Resource Management: Sustainable Land Use under Threat of Destruction, UNRISD Discussion Paper (DP 12), 1990.

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(44) Management of Wildlife, Tourism and Local Communities in Zimbabwe, UNRISD Discussion Paper (DP 53), 1994.

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(11) Organización social y lucha ecológica en una región del norte de México, UNRISD Discussion Paper (DP 20), 1991.

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(50) Voluntary Approaches to Corporate Responsibility: Readings and a Resource Guide, NGLS, 2002.

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(48) Parks, People and Professionals: Putting “Participation” into Protected Area Management, UNRISD, IIED and WWF, UNRISD Discussion Paper (DP 57), 1995.

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(10) *Constraints to Environmental Rehabilitation through People's Participation in the Northern Ethiopian Highlands*, UNRISD Discussion Paper (DP 13), 1990.

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(6) *Discours et réalités des politiques participatives de gestion de l'environnement: Le cas du Sénégal*, UNRISD and IUED, 1998.

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Vivian, Jessica M. and Gladys Maseko

(16) *NGOs, Participation and Rural Development: Testing the Assumptions with Evidence from Zimbabwe*, UNRISD Discussion Paper (DP 49), 1994.

Annex 4 — Contributors to edited volumes

For a brief description of a publication, see the entry in Part 2 that corresponds to the number in parentheses preceding its title.

(26) **A Dinâmica Social do Desmatamento na Amazônia: Populações e Modos de Vida em Rondônia e Sudeste do Pará**

Antonio Carlos Diegues (ed.) ■ UNRISD and NUPAUB ■ 1993

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(7) **Custodians of the Commons: Pastoral Land Tenure in East and West Africa**

Charles R. Lane (ed.) ■ UNRISD ■ 1998

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- Peter Utting — Social and Political Dimensions of Environmental Protection in Central America

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Peter Utting and Ronald Jaubert (eds.) ▪ UNRISD and IUED ▪ 1998

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(8) Forest Policy and Politics in the Philippines: The Dynamics of Participatory Conservation

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- Marvic M.V.F. Leonen — NGO Influence on Environment Policy
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(1) Grassroots Environmental Action: People's Participation in Sustainable Development

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**(65) Land Reform and Peasant Livelihoods:
The Social Dynamics of Rural Poverty
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Krishna B. Ghimire (ed.) ■ UNRISD ■ 2001

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**(43) The Native Tourist: Mass Tourism
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- Nina Rao and K.T. Suresh — Domestic Tourism in India

(23) People, the Environment and Responsibility: Case Studies from Rural Pakistan

F. Amalric and T. Banuri (eds.) ▪ UNRISD and Parthenon Publishing ▪ 1995

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- F. Amalric and T. Banuri — Population, Environment and De-Responsibilization
- F. Amalric, S. Hameed, S. Javeed and M. Mahmood — The Uncoupling of People from their Environment: Two Case Studies from the Punjab
- F. Amalric and S. Javeed — De-Responsibilization in Two Coastal Villages
- F. Mahmood, D. Mustafa, S. Javeed and M. Hussein — Limits to Local Participation: A Case Study from the Northern Areas
- F. Amalric and T. Banuri — Population Dynamics, Environmental Changes and Economic Development in Pakistan: A Case for the Restoration of Local Responsibility

(61) Social Aspects of Sustainable Dryland Management

Daniel Stiles (ed.) ▪ UNEP and John Wiley and Sons Ltd. ▪ 1995

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- Daniel Stiles — An Overview of Desertification as Dryland Degradation
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- Daniel Stiles — Government Policies to Promote Good Dryland Management

**(42) Social Change and Conservation:
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of National Parks and Protected Areas**

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- James Morrison — Protected Areas, Conservationists and Aboriginal Interests in Canada
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**(50) Voluntary Approaches to Corporate Responsibility:
Readings and a Resource Guide**

NGLS and UNRISD (eds.) ▪ NGLS ▪ 2002

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- Rhys Jenkins — Corporate Codes of Conduct: Self-Regulation in a Global Economy
- Peter Utting — Regulating Business via “Multistakeholder Initiatives”: A Preliminary Assessment
- Renato Alva — Corporate Social and Environmental Responsibility: Selected Sources of Information (a bibliography and list of Web sites)

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