

# SIS 620-003

## Syllabus

### Democracy and the Environment

#### 2022 Theme – Climate Change and Representation

Fall 2022

Course Day and Time: Tuesdays 5:30 to 8:00pm

**Professor:** Jesse Ribot

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**Office:** Zoom

**Office Hours:** By Appointment

**Preferred Communication Method:** e-mail

**Class Location:** International Service Building SIS 355

***Catalogue Course Blurb:*** Can local democracy improve environmental management, climate action, and human wellbeing? Democracy ostensibly enables people to influence the political, legal and economic infrastructure that shape their lives. If, as theory suggests, public accountability, the disciplining of leaders, or the internalizing of externalities, makes government more broadly responsive and effective, local democracy should matter for wellbeing, security, efficiency and equity. This course explores what we know about and how we research the positive effects and potentials of local democracy for sustainable, just and secure natural resource management.

The course provides students with a critical theoretical base and policy-analytic skills applicable to promotion of local representation in environmental decision making. In this course you should learn to: 1) evaluate local representation arrangements; 2) critically read and understand the literature on relations between representation and environmental care; 3) identify and ask policy-relevant social science research questions about how democracy and representation shape environmental management and wellbeing; and 4) to improve your writing.

### **SIS Undergraduate Program Learning Outcomes relevant to Capstones**

- Learning Outcome #1: Demonstrate critical thinking as evidenced through both written work and oral presentations.
- Learning Outcome #4: Understand and apply theories and models from appropriate disciplines including political science, history, and economics to international affairs.

### **AU Core Learning Outcomes required for Capstones**

- Application: Build on prior knowledge, skills, or dispositions in a new context.
- Synthesis: Identify and execute a significant project that addresses a substantive disciplinary or professional concern.
- Reflection: Articulate the knowledge, skills, or dispositions gained during the student's undergraduate experience or used in the project.

**Professor Bio:** Ribot is a professor of environmental politics with a focus on climate and vulnerability. He taught in the Department of Geography at University of Illinois in Urbana-Champaign from 2008 to 2018. Before 2008, Ribot was a senior associate of the World Resources Institute, and taught in the Urban Studies and Planning department at MIT. He is an Africanist studying local democracy, resource access and social vulnerability. More details are available at [www.jesseribot.com](http://www.jesseribot.com).

## **Expanded Course Description**

Democracy matters. It matters for wellbeing when people are able to influence the political economy that shapes their lives. It matters for risk reduction when it enables people to shape the legal and economic infrastructure of entitlements. It matters for efficiency and equity if, as theory suggests, public accountability, the disciplining of leaders, or the internalizing of externalities, makes government more broadly responsive and effective. It also matters because self-determination is a good in and of itself. It matters because democracy is empowerment – it is the ability to shape the political economy (power holders, rulers, rules, regulations and practices) that shapes people's entitlements (the assets and means they have to shape their security). Thus, it shapes security or allows vulnerability – in the face of environmental change, climate change or markets and wars that might leave people without sufficient assets to live full and productive lives.

In the theatre of sub-national democracy, decentralization reforms (transfer of powers from central government to lower levels in the political-administrative hierarchy of the state) have taken place across the developing world with the creation of new elected local governments. What is the nature of the resulting local 'democracies'? How would we evaluate whether such 'democracy' is democratic or not? How do we know if it is likely to be emancipatory or subordinating, or if it is to create citizens rather than maintain subjects? How would we know if democracy, even if real and emancipatory, is efficient or equitable?

Democratic decentralization of natural resources is lauded as a means of achieving efficiency, equity and justice. What does theory have to say about how to achieve these outcomes? Why are these outcomes so often celebrated but rarely achieved? This course analyzes the two-way relation between natural-resource management and three dimensions of local democracy: representation, citizenship, and the public domain. The course investigates theoretical foundations of democracy, localism and decentralization, and analyzes the policy processes by which discourse

is inscribed in law and project documents and then translated, at times, into practice. Through theoretical literature and natural resource case studies it explores local-democracy effects of environmental interventions and the environmental implications of local democratic decision making. Toward the end of the course we will focus on the relation of democracy to climate-related crises.

**Course Objectives:** The course examines these questions through the lens of democratic decentralization reforms involving natural resource management and use in the developing world. Many new local governments are legally empowered to manage and use the local natural resources on which their communities depend. 'Nature', when under local control, is important as a material basis of local democracy as it is a key asset for rural communities. This year we will also explore the role of local democracy and representation in the face of climate-related disasters – how local democracy buffers people against vulnerability in the face of climate and other environmental crises.

**Learning Outcomes:** The course also, in addition to learning outcomes listed above, aims to give you skills research proposal writing skills. By the end of this course you should be able to identify a good problem to study, questions to ask in order to solve that problem, how to apply theories to understanding how you might investigate the questions you are asking, and how to develop methods to collect the data you need to answer the questions so as to solve the problem. The main assignment of this course is a term paper in the form of a research proposal – for which most of these same skills are necessary. I use the term paper assignment to teach about how research is conducted for the solving of real-world problems.

## Table of Contents

Assignments and Grading.....	v
Course Assignments – Detailed in Annex A.....	v
Obtaining Weekly Assigned Readings.....	vi
Grading.....	vi
Week 1 – 30 August: Introduction.....	1
Week 2 – 6 September: Theory—Basic Readings on Democracy and Representation .....	2
Week 3 – 13 September: Democracy-Environment Linkages .....	3
Week 4 – 20 September: Democracy-Climate Linkages .....	4
View Climate Migrants Video.....	5
Discussion of your research project ideas .....	5
Schedule class presentations for the semester .....	5
Presentation Schedule Table.....	5
Week 5 – 27 September: Theory—On Deliberation & Participation.....	6
Discussion of your research project ideas .....	6
Week 6 – 4 October: YOM KIPPUR → NO CLASS.....	7
Assignment: Hand in Research Proposal Abstracts by Friday 7 October – see instructions in Annex A.....	7
Week 7 – 11 October: Ali Kaba – Indigenous Authority and the Liberia Case.....	7
Discuss in class the upcoming presentations and discussants roles .....	7
Continue to discuss your proposed topics .....	7
Week 8 – 18 October: Theory—On Accountability & Research Methods Discussion .....	7
PROJECTS: Project Discussions (20 minutes each with assigned discussant) .....	8
Week 9 – 25 October: Case Study – Dayna Cueva Alegria on Water Pollution Governance in Lake Titicaca: Creating Political Spaces of Democratization.....	8
Week 10 – 1 November: Theory—Access & the Material Basis of Authority.....	8
Week 11 – 8 November: Climate, Hunger and Democracy .....	9
Week 12 – 15 November: Climate Response – Justice, Representation and Human Rights.....	9
THANKSGIVING WEEK – No class on 22 November.....	10
Week 13 – 29 November: On Justice.....	10
Week 14 (Final Session) – 6 December: Knowledge, Power, Democracy and Environment? .....	10
Term Papers Due .....	10
Annex A: Research Proposal Assignment Term Paper .....	11
Class Presentations – How to Structure .....	15
Annex B: Themes of importance that will not be covered in this semester’s class.....	16
Cause and Responsibility in REDD+ and Forestry:.....	16
Implementation and its Discontents .....	17
India Case – Deliberation and Democracy.....	17
On Power and the Public Domain—Basic Readings in Political Philosophy.....	18
On Capabilities and Representation – Hunger and Social Protection.....	18
On Markets and Democracy.....	18
On Structure and Agency .....	19
Covid and Emancipation: .....	19
Annex C: University-Wide Policies You Should be Familiar With .....	19
Annex D: Academic Support Services You Should be Familiar With .....	21
Annex E: Student Support Services You Should be Familiar With .....	22

## Assignments and Grading

### *Course Assignments – Detailed in Annex A*

- **Weekly readings:** You *must* read the assigned readings. They inform class discussion. If, you do not find them on Canvas, write me immediately. I will send them to you and resolve the problem. No excuses for not reading.
- **Weekly written comments on readings:** Comments, including at least one discussion question and a quote from the readings that surprised or struck you are due each week. Comments should not exceed 100 words (one paragraph or set of bullet points). Comments must be posted on Canvas each week by noon the day prior to class. You can miss 4 of these comments during the semester without penalty. I expect 10 of them to be handed in. If you hand in more than 10, you will get extra credit.
- **Research Proposal Term Paper Abstract:** 150-word summary of the problem, question, methods and case.
- **Research Proposal Term Paper:** 2000-word (maximum) research proposal (word count does *not* include abstract, bibliography, budget or work plan). Term-paper abstract due by e-mail to me on Week 6. Final project due, in hard copy and electronically, at final class meeting of the semester. Well before submitting the final proposal, you will also have the opportunity to present your research proposal in class for discussion.

If you want feedback while writing, send me a draft. I will read and give comments on your proposal in draft, but *the draft must arrive in my box at least 3 weeks before the end of the semester* – I will then read and comment on it within 10 days. So, you can send a draft any time before that, but I will not be able to give feedback for drafts sent after.

**Class Assignment Format and Submission Procedures:** All assignments must be in **12-point font**. All must be submitted to me as **Word documents** sent **via e-mail** ([Ribot@American.edu](mailto:Ribot@American.edu)) and posted on Canvas. The electronic Word document submissions of your assignments must have a *file title that starts with your last name followed by first name followed by the assignment title*: So, if you are Ms. Firstname Lastname, then the **file should be titled: *Lastname Firstname Week 3 Reading Comment.docx***. Inside any file you send me, you must also have **your name and the date of submission written at the top of the first page**. I only use Canvas as a backup to recheck submissions if need be. I will receive and read and count for grades the e-mailed copies.

**Office Hours – Meeting on zoom with me about your work or any class concerns:** To set up a meeting with me, you can write me an e-mail. **In the subject line you must write “Office Hour Meeting”** – as I may not see it if you write it in an e-mail in which you sent an assignment. In the note, suggest times you would like to meet. My best times tend to be between 11:30am and 2pm any day of the week or before or after class (when we can meet in person).

## ***Obtaining Weekly Assigned Readings***

All required readings are available on Canvas under 'Course Reserves' or 'Files', or their URL is in this Syllabus. If they are not available or you cannot access them on the Canvas system, you are responsible to let me know (e-mail me), so I can fix the problem or send you a copy. Most readings should also be accessible through the library system, even if you cannot get them on Canvas. Note that I may change the readings as the semester progresses – as we discover new and interesting readings to include, and as our focus develops, we may drop some readings. Changes in the readings will be announced in class.

## ***Grading***

<b>Assignment</b>	<b>% of Grade</b>	<b>N.B.</b>
Weekly paragraph of comment and questions on readings	20% (2% each)	You can miss 4 without penalty – but you get extra credit for handing in all of them
Term Paper	45%	Includes abstract
Term-paper Presentation (including a 1-page abstract)	15%	Includes your one-page overview (this one can be single spaced)
Participation in class	20%	Includes discussant roles

Fifty percent of the grade in each assignment is based on the instructor's judgment of progress of students *from where each of you start* at the beginning of the semester and the *effort* you put into learning. The grades will then be based on resulting assignment scores. The course is not graded on a curve; thus, it is not possible to give a grading chart.

# Syllabus

...however generously devolution of power is practiced, there will be strengthening of power at the center, and, therefore, dangers to individual freedom.

Karl Polanyi 1944:255

## Week 1 – 30 August: Introduction

- Introduce TA – Ali Kaba of SIS
- Organization of the Course – this syllabus
- What is democracy? Substantive? Procedural?
- How does democracy relate to environment?
- Defining Decentralization, Deconcentration, Devolution, Privatization
- Actors, Powers and Accountability
- Scale, Subsidiarity, and Sub-national Sovereignities
- Food, famine and the ability to influence those who govern
- Democracy before development; redistribution with recognition – relations between representation and material wellbeing
- Term Paper – Research Proposal on Environment and Democracy
  - Country focused research – choose a case
  - Research questions – with practical and theoretical significance
  - Use an existing format – Fulbright Hayes, Boran, SSRC. But, must have all MY components.
- Flexibility with readings – they will evolve with time.
- Who am I?
- Who are you?
- Assignment of reading discussants
- Discussion – what do you think might be a good research question on ‘democracy and the environment’?
- Guest Speakers
  - Ali Kaba @ SIS at American University
    - On indigenous leaders in Liberia and their ability to represent local people
  - Dayna Cueva Alegria @ Geography at University of Kentucky
    - On “Water Pollution Governance in Lake Titicaca: Creating Political Spaces of Democratization”

***Required Readings –introducing decentralization theory, decentralization cases, ethics and proposal writing (18+12+10+5+10+11=66 pages) – All readings ‘should’ be on Canvas:***

- Ribot, Jesse. 2021. “Representation, citizenship and the public domain: choice and recognition in natural resource decentralization.” Ch. 27, pp. 503-521 in Crawford Young

and Abdul-Gafaru Abdulai (eds.) *Research Handbook on Democracy and Development*. Cheltenham: Edward Elgar. Pp. 18

- Concepts to retain from this piece:
  - Choice: Authorizing Authority
  - Recognition: Representation, Citizenship and Public Domain

**Required Readings on Research Proposal Writing and Sample Research Proposals:**

- Professor Michael Watts' essay "The Holy Grail: In Pursuit of the Dissertation Proposal" is, well, just that – a "holy grail" – essay dedicated to demystifying the process and offering concrete advice on the dos and don'ts: <https://iis.berkeley.edu/process-parameters>. Pp. 12

**Colette Sample Proposal and Accompanying Article**

- Sample Research Proposal 1: Colette – approximately Pp. 10 – on Canvas
- Colette, April L. 2016. "The politics of framing risk: Minding the vulnerability gap in climate change research," *World Development Perspectives* 1, Pp. 43-48. Pp. 5

**Fischer Sample Proposal and Accompanying Article**

- Sample Research Proposal 2: Fischer – approximately Pp. 10 – on Canvas
- Fischer, Harry W., & Syed Shoaib Ali. 2018. Reshaping the public domain: Decentralization, the Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), and trajectories of local democracy in rural India. *World Development*, <https://doi.org/10.1016/j.worlddev.2018.09.013>, Elsevier, vol. 120(C), pages 147-158. Pp. 11

## **Week 2 – 6 September: Theory—Basic Readings on Democracy and Representation**

Commentary Questions: What is representation? What is democracy? What are the basic elements of 'representation' and of 'democracy'? In essence we are going to get at what a 'substantive' definition is and how that enables us to use the definition to get to operational variables that we can then observe and measure through field work. Those observations are then used to interrogate theory and practice.

**Required Readings (17+54+8+20+9+11=119):<sup>i</sup>**

- Stanford Encyclopedia of Philosophy. 2011. *Political representation*. Pp. 17. See: <http://plato.stanford.edu/entries/political-representation/>
- Manin, Bernard, Adam Przeworski and Susan Stokes. 1999. "Introduction," pp. 1-28, and "Elections and Representation," Ch. 1, pp. 29-54, in A. Przeworski, S. Stokes, and B. Manin (eds). *Democracy, accountability, and representation*. Cambridge: Cambridge University Press. Pp. 54.
- Olson, Kevin. (ed.). 2008. *Adding insult to injury: Nancy Fraser debates her critics*. London: Verso.
  - Kevin Olson, "Editor's Introduction," pp. 1-8. Pp. 8.



- Nancy Fraser, "Prioritizing Justice as Participatory Parity: A Reply to Kompridis and Forst," pp. 327-346. Pp. 20.
- Mansbridge, Jane. 2011. "Clarifying the Concept of Representation" *American Political Science Review* Vol. 105, No. 3. Pp. 621-630. Pp. 9
- Dewey, John. "On Democracy." Excerpted from John Dewey, "Democracy and Educational Administration," *School and Society*, 45 (April 3, 1937); 457-67. Pp. 11. <http://wolfweb.unr.edu/homepage/lafer/dewey%20dewey.htm>

## Week 3 – 13 September: Democracy-Environment Linkages

Institutions are embodiments of human meaning and purpose.  
Karl Polanyi 1944:254

Commentary Questions: What are the implicit theories/definitions of participation, representation or democracy in each of these author's writings? What is their theory of the link between democracy and environment or democracy and environmental livelihoods? At the start we will review the concept of Actors, Powers and Accountabilities as well as Choice and Recognition – as the elements of democracy (Ribot 2021 from week 1). Also, ask yourself 'what is an institution?'

**Required Readings (26+20+22+16+14+6+16+16+15 = 129 pages) – Further readings for each week are listed in endnotes: "**

- Agrawal, Arun. 2010. The role of local institutions in adaptation to climate change. In: R. Mearns and A. Norton (eds). *Social dimensions of climate change: Equity and vulnerability in a warming world*. Washington, DC: The World Bank, pp. 173-198. Pp. 26. Available at: <http://documents.worldbank.org/curated/en/2009/01/11486596/social-dimensions-climate-change-equity-vulnerability-warming-world>
  - Representation as institutions / nature as sources of sustenance
  - Critique empirics that fill this model
- Milgroom, Jessica and Jesse Ribot. 2019. "Children of another land: social disarticulation, access to natural resources and the reconfiguration of authority in post resettlement," *Conservation and Society*. Pp. 20 Available at: <http://dx.doi.org/10.1080/08941920.2019.1590668>.
  - Natural resources as power
  - Power-authority relations
- Mason, Lisa Reyes and Jonathan Rigg. 2019. Climate Change, Social Justice: Making the Case for Community Inclusion. Ch. 1, pp. 3-19 in (Lisa Reyes Mason and Jonathan Rigg, eds.) *People and Climate Change: Vulnerability, Adaptation and Social Justice*. Oxford: Oxford University Press. Pp. 16
- Fraser, Nancy. 2013. "A triple movement? Parsing the politics of crisis after Polanyi," *New Left Review*, 81, pp. 119-32. Pp. 14 [In this piece, keep in mind Polanyi's notion of land (which can be read 'nature') as a fictive commodity.]

- Fictive commodities → Environment as distinct from market good
- Democracy (like social movement) as response (social re-action)
- Watts, Michael J. 2022. "Socialism and Plantation Futures" *Annals of the American Association of Geographers*. Special Issue. Pp. 6

Reading below is a head start on Next Week to be discussed today; it shows another dimension of Democracy-Environment relations:

- Drèze, Jean and Amartya Sen. 1989. *Hunger and public action*. Oxford: Clarendon.
  - Ch. 1: Introduction. Pp. 3-19. PP. 16
  - Ch. 2: Entitlements and Deprivation. Pp. 20-34. PP. 16
  - Ch. 4: Society, Class and Gender. Pp. 46-61. PP. 15

**Thought assignment for next week:** What question/problem do you want your research proposal to address? Think of a puzzle or problem concerning the causes of a climate-related disaster that you want to interrogate. Be sure that it is something we do not have an answer to and whose answer is important to have. Be sure that it is researchable – that is, that it is small enough and well-enough defined that you could go out and collect data in order to interrogate it. Think of where you will propose to conduct your research. Remember, this is a research *proposal* assignment. You do not have to *do* the research. You merely have to identify the problem and outline a plausible way (including a case and methods) to solve it. So, you can propose to go spend a year in New Guinea or to interview 300 people, conduct surveys, read archives, etc. Your proposal is a proposal and it must convince the reader that you will be able to answer an important question in a reasonable time frame and with a specified budget. So, next week, come to class with ideas in your head about what you will ask and where you will ask it – and why anyone might care about the problem you have identified.

## Week 4 – 20 September: Democracy-Climate Linkages

It is worth reading Amartya Sen to understand what an entitlement is so that you can think clearly about what causes food crises – and other moments in which people fail to have what they need to survive or live securely. Sen defines entitlements as the assets and endowments that one needs to feed oneself. What are these entitlements composed of and how does representation or democracy play a role in attaining and maintaining them? These readings give a smattering of broad and possible democracy-climate relations.

### **Required Readings (3+27+15+3+14+13+29+15=119 pages) – on climate and democracy:<sup>iii</sup>**

- Sen, Amartya. 1997. Editorial: Human Capital and Human Capability *World Development* Vol. 25, No. 12, pp. 1959-1961. Pp. 3
- Sen, Amartya. 2009. *The Idea of Justice*. Cambridge, MA: Belknap and Harvard University Press. Read in Part III, "The Materials of Justice:
  - Ch. 11: Lives, Freedoms and Capabilities, Pp. 225-252. Pp. 27
  - Ch. 12: Capabilities and Resources, Pp. 253-268. Pp. 15
- McDonald, Robert. 2006. "Sustainable development as freedom," *International Journal of Sustainable Development and World Ecology*, Vol. 13, pp. 445-7. Pp. 3
  - Democracy before development?

- Ecosystem as means of freedom
- Politicizing environment?
- Environment as one of many means of freedom
- Holland, Breena. 2008. "Justice and the environment in Nussbaum's 'capabilities approach': Why sustainable ecological capacity is a meta-capability," *Political Research Quarterly*, 61(2), 319-332. Pp. 14.
- Kusumasari, B., Q. Alam & K. Siddiqui. 2010. Resource capability for local government in managing disaster. *Disaster Prevention and Management*, 19(4), 438–451. <https://doi.org/10.1108/09653561011070367>. Pp. 13
- Ribot, Jesse. 2022. "Violent Silence: Framing out Social Causes of Climate-related Crises," *Journal of Peasant Studies*. Vol. 49, No. 4, Pp. 683-712. Pp. 29 <https://www.tandfonline.com/doi/full/10.1080/03066150.2022.2069016>
- Butler, Judith. 2016. "Rethinking Vulnerability and Resistance," pp. 12-27 in Butler, Judith Zeynep Gambetti and Leticia Sabsay (eds.) *Vulnerability in Resistance*. Durham: Duke University Press.<sup>iv</sup> Pp. 15

### View Climate Migrants Video

- <https://vimeo.com/292115641>

### Discussion of your research project ideas

**Suggestion: Sign up to discuss your research topic with Professor. E-mail me to schedule a meeting time.**

### Schedule class presentations for the semester

**Presentation Schedule Table**

Week	Presenter 1 + Discussant		Presenter 2 + Discussant		Presenter 3 + Discussant		Presenter 4 + Discussant	
7								
8								
9								
10								
11								
12								
13								
14								

**NOTE ON PROJECT:** Each of you may submit a full draft of your project any time between now and three weeks before the end of the semester (before 14 November) for feedback. Also feel free to schedule a zoom meeting to talk with me about your project. You are not required to submit a draft, but each of you is allowed to submit one draft when you think it most useful for the development of your project. Do not wait until the last two weeks—I will not have time. If we have fewer people in the class we will make more time per presentation & vice versa. See Annex A for description of research proposal term paper and instructions for your abstracts, presentations and for discussants' role.

## Week 5 – 27 September: Theory—On Deliberation & Participation

Commentary Questions 1: How is deliberative democracy different from representative democracy? Is deliberation practical? In what circumstances? Is it necessary? At what scales?

Commentary Questions 2: There is a schism between those who locate democracy in the state/government and those who locate it somewhere else – in what they call governance or civil society. Take a critical look at this displacement of democracy from the state. Saward and Hajer seem to think that government is passé. The others stand elsewhere. What is different about these authors and what changes do they assume. Are those changes in governing inevitable, real, natural, positive? What are they?

### **Required Readings (15+18+15+35+22+4+17=126):<sup>v</sup>**

- Arendt, Hannah. 1986[1969]. "Communicative Power," Ch. 4, pp. 59-74 in Steven Lukes (ed.) *Readings in Social and Political Theory: Power*. New York: NYU Press. Pp. 15
- Habermas, Jürgen. 1986[1977]. "Hannah Arendt's Communications Concept of Power," Ch. 5, pp. 75-93 in Steven Lukes (ed.) *Readings in Social and Political Theory: Power*. New York: NYU Press. Pp. 18
- Young, Iris Marion. 2000. *Inclusion and Democracy*. Oxford: Oxford University Press.
  - Introduction, Pp. 1-15. Pp. 15
  - Democracy and Justice, Pp 16-51. Pp. 35
- Sarmiento-Barletti, Juan Pablo and Anne M. Larson. 2019. The role of multi-stakeholder forums in subnational jurisdictions: Framing literature review for in-depth field research. Occasional Paper 194. Center for International Forestry Research (CIFOR). Pp. 22.
- Ribot, Jesse. 1996. 'Participation Without Representation: Chiefs, Councils and Forestry Law in the West African Sahel', *Cultural Survival Quarterly*, Vol. 20, No. 1, pp. 40-4. (Reproduced as a signature piece in *Encyclopedia Perseus Africana*. New York: Perseus. And republished in "The Participation Reader" London: Zed Books. 2011.) Pp. 4
- McDonnell, Siobhan. 2019. "Other Dark Sides of Resilience: Politics and Power in Community-Based Efforts to Strengthen Resilience," *Anthropological Forum*, 30(1-2): 55-72. DOI: 10.1080/00664677.2019.1647828 To link to this article: <https://doi.org/10.1080/00664677.2019.1647828>. [Brings 'participation' into question] Pp. 17

**Recommended readings:** Look at the section on REDD+ in Annex B: Themes of importance that will not be covered in this semester's class

### **Discussion of your research project ideas**

## **Week 6 – 4 October: YOM KIPPUR → NO CLASS**

**Assignment: Hand in Research Proposal Abstracts by Friday 7 October – see instructions in Annex A**

## **Week 7 – 11 October: Ali Kaba – Indigenous Authority and the Liberia Case**

[Professor Ribot is away at meetings, but will zoom into class.]

**\*\*\*\*\*READINGS TO BE ADDED** by Ali Kaba

**Discuss in class the upcoming presentations and discussants roles**

**Continue to discuss your proposed topics**

## **Week 8 – 18 October: Theory—On Accountability & Research Methods Discussion**

### **On Accountability**

Commentary Questions: How would you define accountability? What are its working parts? What would you measure if you had to go to the field to study accountability? How would you measure it – with what instruments?

#### **Required Readings (15+10+19+11+33+10+8 = 106):<sup>vi</sup>**

- Fox, Jonathan. 2015. "Social accountability: What does the evidence really say?" *World Development* 72,346-61. Pp 15
- Chhatre, Ashwini. 2008. "Political articulation and accountability in decentralization: Theory and evidence from India," *Conservation and Society*, 6(1), 12-21. Pp. 10.

### **On Research Proposals & Methods**

Commentary Questions: Who are you as a researcher? How do you place yourself in context? What do you bring with you that shapes how people react to you?

#### **Required Readings:<sup>vii</sup>**

- Bates, Robert H., Avner Greif, Margaret Levi, Nean-Laurent Rosenthal and Barry R. Weingast. 1998. *Analytic Narratives*. Princeton: Princeton University Press. Introduction, Pp. 3-22. Pp. 19
- Sayer, Andrew. 1992. *Method in Social Science: A Realist Approach*, Second Edition. New York: Rutledge.
  - Introduction, Pp. 1-11. Pp. 11

- Ch. 1, Knowledge in Context, Pp. 12-44. Pp. 33
- Lund, Christian. (2014). Of what is this a case? Analytical movements in qualitative social science research. *Human Organization*, 73 (3), 224-34. Pp. 10
- Przeworski, Adam and Frank Salomon. 2008. "The Art of Writing a Proposal." SSRC. [https://www.fordham.edu/download/downloads/id/3367/Social\\_Science\\_Research\\_Council\\_SSRC\\_On\\_the\\_Art\\_of\\_Writing\\_Proposals.pdf](https://www.fordham.edu/download/downloads/id/3367/Social_Science_Research_Council_SSRC_On_the_Art_of_Writing_Proposals.pdf). Pp. 8

**PROJECTS: Project Discussions (20 minutes each with assigned discussant)**

Four term-paper presentations and comments

**Week 9 – 25 October: Case Study – Dayna Cueva Alegria on Water Pollution Governance in Lake Titicaca: Creating Political Spaces of Democratization**

\*\*\*\*\*READINGS TO BE ADDED – By Dayna Cueva Alegria

Four term-paper presentations and comments

**Week 10 – 1 November: Theory—Access & the Material Basis of Authority**

Commentary Questions: How are people represented in matters of access? How are they able to influence the political economy that shapes their access? What is the material basis of representation? How is the analysis of access similar to analysis of vulnerability? Where does representation fit into each? What does the relation between materiality and democracy say about the relation between freedom and development? Where does this place us in the debate between Gunnar Myrdal and Friedrich Hayek? Think back to the Fischer and Ali case in India too.

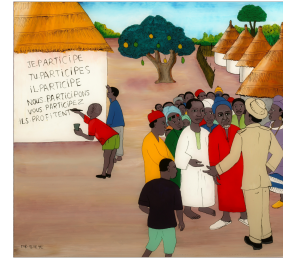
**Required Readings (4+27+22=75):** *viii[on access and representation], ix[on authority and belonging], x[on citizenship], xi[on indigenous authority]*

- Lund, Christian. 2011. "Property and Citizenship: Conceptually Connecting Land Rights and Belonging in Africa," *Africa Spectrum* Vol. 46, No. 3, 71-5. Pp. 4
- Latour, Bruno. 2005. From realpolitik to dingpolitik or how to make things public. Pp. 5-31. <http://www.bruno-latour.fr/sites/default/files/96-DINGPOLITIK-GB.pdf>. Pp. 27. [This piece is ostensibly about representation; it compares well with Saward's, below, twisting of the definition of representation in order to take the democratic meaning out of it while trying to claim to address it. Reflect on these two articles together.]
- Saward, M. 2009. Authorisation and authenticity: Representation and the unelected. *Journal of Political Philosophy*, 17(1), 1-22. Pp. 22

## Four term-paper presentations and comments

### Week 11 – 8 November: Climate, Hunger and Democracy

Does democracy reduce vulnerability? If so, how? This set of readings addresses the role of democracy in climate-related crises. Amartya Sen (1981) hypothesized in a comparison of India and China that India had fewer famines due to democracy. Is there more evidence on this relation than in his initial two country comparison?



#### **Required Readings (18+36+16+18+21 = 73):<sup>xii,xiii</sup>**

- Watts, Michael. 1991. "Entitlements or empowerment? Famine and starvation in Africa," *Review of African Political Economy* 51:9-26. Pp. 18
- Warren, M. 1992. "Democratic theory and self-transformation," *American Political Science Review*, 86(1), 8-23. Pp. 16
- Näsström, S. and S. Kalm. 2014. "Democratic Critique of Precarity," *Global Discourse*. Pp. 1-18. Pp. 18
- Agarwal, Bina. 2014. "Food sovereignty, food security and democratic choice: critical contradictions, difficult conciliations," *The Journal of Peasant Studies* Vol. 41, No. 6, 1247–68. Pp. 21

## Four term-paper presentations and comments

### Week 12 – 15 November: Climate Response – Justice, Representation and Human Rights

Rights are central to any policy response to anything. They have a great effect on how policy is made and received. This section gives us some sense of the current reflections on justice in the climate arena. I have added a few readings from a Latourian perspective as objects of critique.

#### **Required Readings (27+20+32 = 79):<sup>xiv</sup>**

- Parks, Bradley C. and J. Timmons Roberts. 2010. "Climate Change, Social Theory and Justice," *Theory, Culture & Society*, Vol. 27(2–3): 134–166. Pp. 32
- Colette, April L. 2019. "Normalizing Discourses: Urban Flooding and Blaming the Victim in Modern Santa Fe, Argentina," pp. 87-107 in Lisa Reyes Mason and Jonathan Rigg (eds.) *People and Climate Change: Vulnerability, Adaptation and Social Justice*. Cambridge: Cambridge University Press. Pp. 20
- Ayers, Jessica. 2011. "Resolving the adaptation paradox: Exploring the potential for deliberative adaptation policy-making in Bangladesh", *Global Environmental Politics*, 11(1), 62-88. Pp. 27.

**Four term paper presentations and comments**

**THANKSGIVING WEEK – No class on 22 November**

## **Week 13 – 29 November: On Justice**

How do different notions of justice make their way into local democracy? How are they affected by and how do they affect representation?

### **Required Readings (50+30+2+10 = 92):**

- Rawls, J. (1971). *A Theory of Justice*. Cambridge: Belknap Press of Harvard University Press. Ch. 1, "Justice as Fairness." Pp. 3-53. Pp. 50
- Sen, A. (2009). *The Idea of Justice*. Cambridge: Belknap Press of Harvard University Press. "Introduction: An Approach to Justice." Pp. 1-30. Pp. 30
- Grayling, A.C. (2011). The birth of a classic: A Review of Ronald Dworkin. 2011. *Justice for Hedgehogs*. Cambridge: Harvard University Press.) Pp. 2.
- Fraser, N. (2012). On justice. *New Left Review*, 74, pp. 41-51. Pp. 10

**Four term paper presentations and comments**

**Term papers are due next week!**

## **Week 14 (Final Session) – 6 December: Knowledge, Power, Democracy and Environment?**

### **Required Readings (12+20+14 = 46):**

- Leach, Melissa. 2008. "Pathways to Sustainability in the forest? Misunderstood dynamics and the negotiation of knowledge, power, and policy," *Environment and Planning A* Vol. 40: 1783 – 1795. Pp. 12
- Ekers, Michael and Alex Loftus. 2008. "The power of water: developing dialogues between Foucault and Gramsci," *Environment and Planning D: Society and Space*, 26: 698-718. Pp. 20
- Mohmand, Shandana Khan and Miguel Loureiro. 2017. "Introduction: Interrogating Decentralisation in Africa," *The IDS Bulletin* 48(2):1-14. Pp.14

**Four term paper presentations and comments**

**Term Papers Due**

**Submit your final term paper by e-mail before class today.**

**ENDS OF SEMESTER**



## Annex A: Research Proposal Assignment Term Paper

The Research Proposal term paper is 2000 word (not including the abstract), double spaced, 12pt font, with normal margins. Please identify a research question you would want to pursue were you doing a Ph.D. Write a full research proposal. The best approach is to identify a funding agency and use their template. You can also follow my outline of a research proposal presented below. The research proposals will be judged and ranked as if they were submitted to an actual funding agency. You will also be asked to present your proposal to the class (format for presentation is also below). For your presentation, you are required to assign one reading to the class. It can be a theory piece or case study that informs your research proposal. Everyone will read this in preparation for your presentation and discussion. You must have this assigned reading ready and distributed ten days prior to the date you are to present.

For sample research working papers on democratic decentralization see my web page [www.jesseribot.com](http://www.jesseribot.com) – and go to the section on research and the subsections on “Responsive Forest Governance Initiative (RFGI) Research Programme” ([https://www.jesseribot.com/Projects/RFGI---Responsive-Forest-Governance-Initiative-\(REDD%2B-and-Adaptation\)](https://www.jesseribot.com/Projects/RFGI---Responsive-Forest-Governance-Initiative-(REDD%2B-and-Adaptation))) and on “EAA – Environmental Accountability in Africa: Four Comparative Research Programs” ([https://www.jesseribot.com/Projects/Local-Democracy%3A-Environmental-Accountability-in-Africa-\(EAA\)---Four-Comparative-Research-Programs](https://www.jesseribot.com/Projects/Local-Democracy%3A-Environmental-Accountability-in-Africa-(EAA)---Four-Comparative-Research-Programs)). In these two programs you will find at least 80 reports. There are also many other related documents.

**To write a policy research proposal**, the assignment requires:

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

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

**Abstract:** You must submit a 100 to 150-word abstract of your intended project on the date specified in the above syllabus. Start with a title! Provide a good pithy title that reflects

something to catch the interest of the reader – a title that indicates to the reader that you are likely to find something new and interesting. In the abstract, please specify your research question and case to be studied and why it is important or interesting. Be specific. You may also present a hypothesis. Your problem needs to be something that can be studied in the real world. Please also include a bibliography with at least five key documents you will use for background – add a line under each that says what you expect to use that article/document for. I will provide feedback in the week after you submit your abstracts. Be prepared to informally discuss your abstract/project idea in class – tell us your main question or issue and why you think it is interesting.

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

- I. A preamble telling me who your audience is – that is who you imagine you are applying to for funding. I want to read your proposal knowing which kind of funding agency you are applying to. Also state in this preamble in one sentence for each: a) what the practical/applied contribution of your research will be, and b) how it will contribute to or test theory. [This preamble is not included in your word count.]
- II. Title – that captures the essence of your proposed research
- III. Abstract—under 150 words  
An abstract must tell the whole story – the problem, why it matters, the questions the case through which you will study it, the perspective from which you will frame and approach it, the methods you will use and the expected theoretical and practical implications of the research.
- IV. Introduction
  - a. Problem statement
    - i. What is the problem to be explored
    - ii. Why is it important and to whom is it important
  - b. Summary of debates around the problem
  - c. Summary of hypothesis and research questions
- V. Background—What does the literature have to say about your problem
  - a. This section should tell us what is already known about the problem (the foundational investigatory work you have done to be sure that you understand what is already known about the problem so we know you are the one to fund to go and study and solve it).
  - b. This section can also tell us what different theorists have said about the problem.
  - c. This section can include a theoretical frame that helps us understand how you will approach it, alternatively the theory can emerge in the methods so the theory can point you to the variables you will ultimately measure. Typically you will evoke the theory here and say why it is relevant and matters and you will then return to it in the methods for the variables and relations it indicates are the elements of the relations you will be studying.
- VI. Research Questions and Hypotheses
- VII. Case

- a. Where you are going to study your problem
- b. Why this is an advantageous place for studying your problem
- VIII. Methods
  - a. How you get from your questions to answers
  - b. Time line – schedule of preparation, research, analysis and writing.
- IX. Budget – must be realistic (enough to do what you propose and within the limits of the donor you are proposing to) – Budget is *not* included in your word count.
- X. Bibliography – NB: the reference list is *not* included in your word count. So, provide a thorough reference list. It must only include works you cite.

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

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

This table is just an example—in the problem definition or background section you would also have to define your variables and explain what theory has to say about the causal relations at play – and why you expect a particular kind of relation to matter.

For some literature on proposal writing, see:

- Professor Michael Watts' essay "The Holy Grail: In Pursuit of the Dissertation Proposal" is, well, just that – a "holy grail" – essay dedicated to demystifying the process and offering concrete advice on the dos and don'ts: <https://iis.berkeley.edu/process-parameters>
- NSF grant reviewer tells all  
<http://www.sciencemag.org/careers/2003/04/nsf-grant-reviewer-tells-all>
- NSF Merit Review – look over.  
Criteria that NSF grant reviewers hold the proposals to. Note that these are kind of flexible depending on what discipline and sub-discipline we may apply to. The section "Merit Review Facts" may be useful. [http://www.nsf.gov/bfa/dias/policy/merit\\_review/](http://www.nsf.gov/bfa/dias/policy/merit_review/)
- Some useful resources for helping in proposal writing – look over:  
<http://iis.berkeley.edu/DissPropWorkshop>
- Przeworski, Adam and Frank Salomon. 2008. "The Art of Writing a Proposal."  
<http://www.arch.mcgill.ca/prof/adams/arch627/fall2008/pdf/The%20Art%20of%20Writing%20Proposals.pdf>
- Sample Research Proposal 1: Colette – approximately 10 pages – on Canvas
- Sample Research Proposal 2: Fischer – approximately 10 pages – on Canvas

Some methods books that may be of help (also see methods section readings):

- Sayer, Andrew. 1992. *Method in Social Science: A Realist Approach*, Second Edition. New York: Rutledge.
- Flyvbjerg, Bent, Todd Landman, Sanford Schram. 2012. *Real Social Science: Applied Phronesis*. Cambridge: Cambridge University Press.
- Brady, H.E. and D. Collier. (2004). *Rethinking social inquiry: Diverse tools, shared standards*. London: Rowman & Littlefield Publishers.
- Becker, Howard S. 2017. *Evidence*. Chicago: University of Chicago Press.
- Ribot, J. and N. L. Peluso. 2003. A theory of access: Putting property and tenure in place. *Rural Sociology*. Vol. 68, pp. 153-181.
- Bennett, A. 2010. Process tracing and causal inference. Ch. 10 in Henry Brady and David Collier (eds.). *Rethinking Social Inquiry*. Rowman and Littlefield.
- Cronon, W. 1992. A place for stories: Nature, history, and narrative. *The Journal of American History*, (March), 1347-1376.
- Lund, Christian. 2014. "Of What is This a Case?: Analytical Movements in Qualitative Social Science Research." *Human Organization* 73(3): 224-234.

## ***Class Presentations – How to Structure***

Presenter: Each of you will be expected to present your project to the class. By noon on the day before the class meeting in which you are assigned to present, please distribute a 1-page MAXIMUM written overview of your project and one short article to assign to the class for the day you present. The article should not be an article that is among the assigned readings on this syllabus – choose something specific to your case. Assign a key article for framing your research. Everyone *must* come to class having read what you distributed. In class you will present your work in less than 15 minutes. Then the discussant will take 5 minutes to comment, and class will discuss your work for 20 more minutes.

Please use this outline (or the sample proposal outline above) for your 1-page overview:

- a. The problem you are addressing and why it matters
- b. The questions you are asking and any hypotheses you may be entertaining
- c. The case study you will examine
- d. The theoretical framing you will employ/interrogate/critique
- e. The data required to ask your question or interrogate your hypothesis  
[remember this is a research proposal, so you do not need the data or literature, you need to tell us what *kinds* of data.]
- f. The methods you will use to collect the data you have described.
- g. In addition, please include ten literature sources (not included in the 1page).

**Discussant:** The discussant, based on the presenter's written summary and presentation, will give a 5-minute comment. The discussant's role is to give some critical and constructive feedback on your project and to help lead a discussion. Discussants should ask about whether each of the elements of a proposal are present and what more needs to be done to develop the question, hypotheses, or a research proposal more generally. It is often helpful for the discussant to try to simply repeat back to the author what they understand the core research problem and question to be. This is usually a very productive exercise for the author.

**Structure of the sessions:**

- Presentation: 15 minutes
- Discussant: 5 minutes
- Discussion: Remaining 20 minutes

## **Annex B: Themes of importance that will not be covered in this semester's class**

### ***Cause and Responsibility in REDD+ and Forestry:***

- ***Required Readings (9+19+30+11+12+=120):*** <sup>xv [on REDD+]</sup>
- Skutsch, Margeret and Esther Turnhout. 2020. "REDD+: If communities are the solution, what is the problem?" *World Development* 130, 104942. Pp. 9
  - Asks how targeting communities implicitly blames them
- Ece, Melis, James Murombedzi, Jesse Ribot. 2022. "Disempowering Democracy: Local Representation in Community and Carbon Forestry in Africa." Ch. 24, pp. 397-416 in Janette Bulkan, John Palmer, Anne M. Larson and Mary Hobley (eds.) *Routledge Handbook of Community Forestry*. London: Earthscan from Routledge. Pp. 19
- Li, Tania Murray. 2007. "Practices of assemblage and community forest management." *Economy and Society* 36(2):263-293. Pp. 30
- Banana, Abwoli Y., Nathan D. Vogt, Joseph Bahati and William Gombya Ssembajjwe. 2007. "Decentralized Governance and Ecological Health: Why local institutions fail to

moderate deforestation in Mpigi district of Uganda,” *Scientific Research and Essay* 2(10):434-445. Pp. 11

- Temudo, Marina Padrão. 2012. “‘The White Men Bought the Forests’: Conservation and Contestation in Guinea-Bissau, Western Africa,” *Conservation and Society* 10(4):354-366. Pp. 12
- Libert-Amico A. and Larson Anne M. (2020) Forestry Decentralization in the Context of Global Carbon Priorities: New Challenges for Subnational Governments. *Front. For. Global Change* 3:15. doi: 10.3389/ffgc.2020.00015. Available at: <https://www.cifor.org/knowledge/publication/7560/>. Pp. 18
- McDermott, M., S. Mahanty and K. Schreckenber. (2011). Defining equity: A framework for evaluating equity in the context of ecosystem services. A working paper prepared for the project ‘Safeguarding local equity as global values of ecosystem services rise’ Pp. 48. Online at <http://redd-net.org/resource-library/A+framework+for+defining+equity>.

### **Implementation and its Discontents**

Supplementary readings in endnote.<sup>xvi</sup>

Commentary Questions: Is policy or the implementation of policy different in the developing world than in the US? Is corruption worse there or here? Who in the US is unaccountable?

- Faguet, Jean-Paul and Caroline Pöschl. 2015. “Is Decentralization Good for Development? Perspectives from Academics and Policy Makers,” Introduction, pp. 1-30 in Jean-Paul Faguet and Caroline Pöschl (eds.). *Is Decentralization Good for Development? Perspectives from Academics and Policy Makers*. Oxford: Oxford University Press. Pp. 30

### **India Case – Deliberation and Democracy**

There is so much written on India’s experiment with local democracy – the panchayat system – this week is a break from theory that will introduce us to and develop the India case. We can refer back to it, among other cases, all semester.

#### **Required Readings on Deliberative Democracy (26+9+19+11+9+2=95):<sup>xvii</sup>**

- Rao, Vijayendra and Paromita Sanyal. 2010 “Dignity through Discourse: Poverty and the Culture of Deliberation in Indian Village Democracies,” *Annals of the American Academy* 629, May. Pp. 146-172. Pp. 26
- Rao, Vijayendra. 2019. Process-Policy & Outcome-Policy: Rethinking How to Address Poverty & Inequality. *Dædalus*. Summer Issue, P. 181-190. Pp. 9
- Manor, James. 2013. When local government strikes it rich. Research Report No. 1, International Center for Local Democracy (ICLD). Available at: [http://www.icld.se/eng/pdf/James\\_Manor\\_Research\\_Report.pdf](http://www.icld.se/eng/pdf/James_Manor_Research_Report.pdf) Pp. 19.
- Chhotray, V. 2014. “Disaster Relief and the Indian State: Lessons for Just Citizenship,” *Geoforum*. Pp. 9
- Manor, James. 2020. COVID-19 and a Valuable Lesson from Grassroots India, Ignored. *The Wire*. 19 May 2020. Pp. 2

## **On Power and the Public Domain—Basic Readings in Political Philosophy**

- Green, P. (ed). (1993). *Key concepts in critical theory: Democracy*. New Jersey: Humanities Press.
- Dewey, J. (1927). The public and its problems” Read pp. 120-125.
- Fung, A. (2003). Survey Article: Recipes for public spheres: Eight institutional design choices and their consequences. *Journal of Political Philosophy*, 11(3), 338–367.
- Sivaramakrishnan, K. (2000). Crafting the public sphere in the forests of West Bengal: Democracy, development, and political action. *American Ethnologist*, 27(2), 431-461.
- Mustapha, A.R. (2012). The ‘missing’ concept: What is the ‘public sphere’ good for?” *Africa Development*, 37(1), 1-9.

## **On Capabilities and Representation – Hunger and Social Protection**

Commentary Question: Does capabilities theory move us any closer to understanding the role of rights and representation in hunger and famine in the face of climate variability and change?

### **Readings (24+14+11 = 49)<sup>xviii</sup>**

- Bebbington, Anthony. 1999. “Capitals and capabilities: A framework for analysing peasant viability, rural livelihoods and poverty,” *World Development*, 27(12), 2021-44. Pp. 24.
- Holland, B. 2008. “Justice and the environment in Nussbaum’s ‘capabilities approach’: Why sustainable ecological capacity is a meta-capability,” *Political Research Quarterly*, 61(2), 319-332. Pp. 14.

## **On Markets and Democracy**

- Sikor, T. (ed). (2013). *The justices and injustices of ecosystem services*. London: Earthscan.
- Lele, S., O. Springate-Baginski, R. Lakerveld, D. Deb and P. Dash. (2013). Ecosystem services: Origins, contributions, pitfalls, and alternatives. *Conservation and Society*, 11(4), 343-358.
- Vira, B. and W. Adams. (2009). Ecosystem services and conservation strategy: beware the silver bullet. *Conservation Letters*, 2(4), 158-162.
- Ghosh, J. (2010). The unnatural coupling: Food and global finance. *Journal of Agrarian Change*, 10(1), 72-86.
- Barnhart, S. (2013). From household decisions to global networks: Biogas and the allure of carbon trading in Nepal. *The Professional Geographer*. Published online: 24 Aug 2013.
- Islam, M.S. Recent. Development, power, and the environment: Neoliberal paradox in the age of vulnerability. London: Routledge.
- Sullivan, S. (2012). Banking nature? The spectacular financialisation of environmental conservation. *Antipode*, 45(1), 198–217.
- Büscher, B., S. Sullivan, K. Neves, J. Igoe. and D. Brockington. (2012). Towards a synthesized critique of neoliberal biodiversity conservation. *Capitalism, Nature, Socialism*, 23(2), 4-30
- C. Samii, Cyrus, M. Lisiecki, P. Kulkarni, L. Paler, and L. Chavis. (2013) Effects of payment for environmental services and decentralized forest management on deforestation and poverty in low and middle income countries: A systematic review. Campbell Systematic Reviews.
- Block, F. and M.R. Somers. (2014). *The power of market fundamentalism: Karl Polanyi’s critique*. Ch. 6 “From Poverty to Perversity: Ideational Embeddedness and Market Fundamentalism Over Two Centuries of Welfare Debate,” Cambridge: Harvard University Press. Pp. 150-192. Pp. 42



- Polanyi, Karl. *The Great Transformation*. Boston: Beacon Press.

### **On Structure and Agency**

- Sewell, W.H.J. (1992). Theory of structure: Duality, agency and transformation. *American Journal of Sociology*, 98(1): 1-29.
- Weigelt, J. (2010). Power and governance of topical forest commons: Learning for institutional analysis from Chronic Poverty Research. Draft dissertation chapter. Pp. 20.
- Ojha, H.R. (2008). *Reframing governance: Understanding deliberative politics in Nepal's terai forestry*. New Delhi: Adroit Publishers. Ch. 1 "Understanding Governance through the Languages of Bourdieu and Habermas," pp. 33-66. [Excellent structure-agency discussion concerning Bordieu.]
- Giddens, A. (1984). Elements of the theory of structuration. Chapter 1 in *The constitution of society: Outline of the theory of structuration*. University of California Press. Pp. 1-37.
- Pred, A. (1984). Place as historically contingent process: Structuration and the time-geography of becoming places" *Annals of the Association of American Geographers*, 74 (2) (Jun., 1984), pp. 279-297.
- Portes, A. (2006). Institutions and development: A conceptual reanalysis. *Population and Development Review*.32(2), 233-262.
- McLaughlin, P., and T. Dietz. (2007). Structure, agency and environment: Toward an integrated perspective on vulnerability. *Global Environmental Change*, 39(4), 99-111.
- Carr, Edward R. 2008. "Between structure and agency: Livelihoods and adaptation in Ghana's Central Region" *Global Environmental Change* 18 (2008) 689– 99.

### **Covid and Emancipation:**

- Adam Michael Auerbach, Tariq Thachil. 2021. "How does Covid-19 affect urban slums? Evidence from settlement leaders in India," *World Development*. Pp. 11
- Gupta, Divya, Harry Fischer, Suchita Shrestha, Syed Shoaib Ali, Ashwini Chhatre, Kamal Devkota, Dil Khatri, Pushpendra Rana. *Forthcoming*. Dark and bright spots in the shadow of the pandemic: Rural livelihoods, social vulnerability, and local governance in India and Nepal. *World Development*. Pp. 12

## **Annex C: University-Wide Policies You Should be Familiar With**

### **Academic Integrity**

Standards of academic conduct are set forth in the university's Academic Integrity Code. By registering for this course, students have acknowledged their awareness of the Academic Integrity Code and they are obliged to become familiar with their rights and responsibilities as defined by the Code. Violations of the Academic Integrity Code will not be treated lightly and disciplinary action will be taken should violations occur. This includes cheating, fabrication, and plagiarism.

### **Defining and Reporting Discrimination and Harassment (Title IX)**

American University expressly prohibits any form of discrimination and discriminatory harassment including sexual harassment, dating and domestic violence, sexual assault, and

stalking. The University is an equal opportunity, affirmative action institution that operates in compliance with applicable laws and regulations. AU does not discriminate on the basis of race, color, national origin, religion, sex (including pregnancy), age, sexual orientation, disability, marital status, personal appearance, gender identity and expression, family responsibilities, political affiliation, source of income, veteran status, an individual's genetic information, or any other bases under federal or local laws in its programs and activities.

As a faculty member, I am required to report discriminatory or harassing conduct to the university if I witness it or become aware of it – regardless of the location of the incident. There are four confidential resource on campus if you wish to speak to someone who is not required to report: Counseling Center, victim advocates in OASIS, medical providers in the Student Health Center, and ordained clergy in the Kay Spiritual Life Center. If you experience any of the above, you have the option of filing a report with [University Police](#) (202-885-2527), the [Office of the Dean of Students](#) (dos@american.edu or 202-885-3300), or the [Title IX Office](#) (202-885-3373 or TitleIX@american.edu). For more information, including a list of supportive resources on and off-campus, contact OASIS (oasis@american.edu or 202-885-7070) or check out the [Support Guide on the Title IX webpage](#).

### **Emergency Preparedness**

In the event of an emergency, American University will implement a plan for meeting the needs of all members of the university community. Should the University be required to close for a period of time, we are committed to ensuring that all aspects of our educational programs will be delivered to our students. These may include altering and extending the duration of the traditional term schedule to complete essential instruction in the traditional format and/or the use of distance instructional methods. Specific strategies will vary from class to class, depending on the format of the course and the timing of the emergency. Faculty will communicate class-specific information to students via AU email and Canvas, while students must inform their faculty immediately of any emergency-related absence. Students are responsible for checking their AU email regularly and keeping themselves informed of emergencies. In the event of an emergency, students should refer to the AU Student Portal, the [AU website](#), and the AU information line at (202) 885-1100 for general university-wide information, as well as contact their faculty and/or respective dean's office for course and school/college specific information.

### **Incomplete Policy**

At the discretion of the faculty member and before the end of the semester, the grade of I (Incomplete) may be given to a student who, because of extenuating circumstances, is unable to complete the course during the semester. The grade of Incomplete may be given only if the student is receiving a passing grade for the coursework completed. Students on academic probation may not receive an Incomplete. The instructor must provide in writing to the student the conditions, which are described below, for satisfying the Incomplete and must enter those same conditions when posting the grades for the course. The student is responsible for verifying that the conditions were entered correctly.

Conditions for satisfying the Incomplete must include what work needs to be completed, by when the work must be completed, and what the course grade will be if the student fails to complete that work. At the latest, any outstanding coursework must be completed before the end of the following semester, absent an agreement to the contrary. Instructors will submit the grade of I and the aforementioned conditions to the Office of the University Registrar when submitting all other final grades for the course. If the student does not meet the conditions, the Office of the University Registrar will assign the default grade automatically.

The Associate Dean of the Academic Unit, with the concurrence of the instructor, may grant an extension beyond the agreed deadline, but only in extraordinary circumstances. Incomplete courses may not be retroactively dropped. An Incomplete may not stand as a permanent grade and must be resolved before a degree can be awarded.

### **Student Code of Conduct**

The central commitment of American University is the development of thoughtful, responsible human beings in the context of a challenging yet supportive academic community. The [Student Code of Conduct](#) is designed to benefit the American University community and to assist in forming the highest standards of ethics and morals among its members. By registering for this course, students have acknowledged their awareness of the Student Code of Conduct and they are obliged to become familiar with their rights and responsibilities as defined by the Code.

### **Religious Observances**

Students will be provided the opportunity to make up any examination, study, or work requirements that may be missed due to a religious observance, provided they notify their instructors before the end of the second week of classes. Please send this notification through email to the professor. For additional information, see American University's [religious observances policy](#).

### **Use of Student Work**

The professor will use academic work that you complete for educational purposes in this course during this semester. Your registration and continued enrollment constitute your consent.

## **Annex D: Academic Support Services You Should be Familiar With**

### **Academic Support**

All students may take advantage of the [Academic Support and Access Center \(ASAC\)](#) for individual academic skills counseling, workshops, Tutoring and Writing Lab appointments, peer tutor referrals, and Supplemental Instruction. The ASAC is located in Mary Graydon Center 243. Additional academic support resources available at AU include the Bender Library, the Department of Literature's Writing Center (located in the Library), the Math Lab in the Department of Mathematics & Statistics, and the Center for Language Exploration, Acquisition, & Research (CLEAR) in Anderson Hall, Room B-101. A more complete list of campus-wide resources is available in the ASAC.

### **International Student & Scholar Services**

[International Student & Scholar Services](#) has resources to support academic success and participation in campus life including academic counseling, support for second language learners, response to questions about visas, immigration status and employment and intercultural programs, clubs and other campus resources. (202-885-3350, Butler Pavilion 410).

### **Writing Center**

The [Writing Center](#) offers free, individual coaching sessions to all AU students. In your 45-minute session, a student writing consultant can help you address your assignments, understand the conventions of academic writing, and learn how to revise and edit your own work. (202-885-2991, Bender Library – 1<sup>st</sup> Floor Commons).

## **Annex E: Student Support Services You Should be Familiar With**

### **Center for Diversity & Inclusion (CDI)**

[CDI](#) is dedicated to enhancing LGBTQ, multicultural, first-generation, and women's experiences on campus and to advancing AU's commitment to respecting and valuing diversity by serving as a resource and liaison to students, staff, and faculty on issues of equity through education, outreach, and advocacy. It is located on the 2nd floor of Mary Graydon Center (202-885-3651, MGC 201 & 202).

### **Counseling Center**

The [Counseling Center](#) offers counseling and consultations regarding personal concerns, self-help information, and connections to off-campus mental health resources. (202-885-3500, MGC 214).

### **Dean of Students Office**

The [Dean of Students Office](#) offers individual meetings to discuss issues that impact the student experience, including academic, social, and personal matters; making referrals to appropriate campus resources for resolution. Additionally, while academic regulations state that medical absences are to be excused, if faculty require documentation to verify the student's explanation, such documentation should be submitted to the Dean of Students. The office will then receive the documentation and verify the medical excuse. Faculty have the discretion to approve absences and do not need permission from the Dean of Students to excuse absences. Students should be sent to the Dean of Students only if faculty require further proof or if they have concerns about the impact of absences on the student's ability to succeed (202-885-3300, Butler Pavilion 408).

### **Food and Housing Insecurity Statement**

Any student who faces challenges securing their food or housing and believes this may affect their performance in the course is urged to contact the [Dean of Students](#) ([dos@american.edu](mailto:dos@american.edu))

for support. Furthermore, please notify the professor if you are comfortable in doing so. This will enable them to provide any resources that they may possess.

### **Office of Advocacy Services for Interpersonal and Sexual Violence**

[OASIS](#) provides free and confidential advocacy services for students who have experienced sexual assault, dating or domestic violence, sexual harassment, and/or stalking. Please email or call to schedule an appointment with a victim advocate in OASIS. ([oasis@american.edu](mailto:oasis@american.edu), 202-885-7070, Health Promotion and Advocacy Center – Hughes Hall 105). Students can also book an appointment with one of our two confidential victim advocates.

### **Respect for Diversity**

As stated in the [American University Discrimination and Sexual Harassment Policy](#):

"American University is an equal opportunity, affirmative action institution that operates in compliance with applicable laws and regulations. The University does not discriminate on the basis of race, color, national origin, religion, sex, pregnancy or parenting, age, sexual orientation, disability, marital status, personal appearance, gender identity and expression, family responsibilities, political affiliation, source of income, veteran status, an individual's genetic information or any other bases under applicable federal and local laws and regulations (collectively "Protected Bases") in its programs and activities. The University expressly prohibits any form of discriminatory harassment including sexual harassment, dating and domestic violence, rape, sexual assault, sexual exploitation and stalking."

The above website includes further details, including how to report instances of discrimination and your responsibilities as a member of the campus community in relation to the policy; you are strongly encouraged to familiarize yourself further with this policy.

Class rosters and University data systems are provided to faculty with the student's legal name and legal gender marker. As a student, you are able to change how your preferred/proper name shows up through email, Canvas, and on your AU ID Card. This option is helpful for various student populations, including but not limited to: students who abbreviate their first name; students who use their middle name; international students; and transgender students. As a faculty member, I am committed to using your proper name and pronouns. We will take time during our first class together to do introductions, at which point you can share with all members of our learning community what name and pronouns you use, as you are comfortable. Additionally, if these change at any point during the semester, please let me know and we can develop a plan to share this information with others in a way that is safe for you. Should you want to update your preferred/proper name, you can do so by looking at the [guidelines and frequently asked questions](#) from the Center for Diversity and Inclusion.

### **Students with Disabilities**

If you wish to receive accommodations for a disability, please notify me with a letter from the Academic Support and Access Center. As accommodations are not retroactive, timely

notification at the beginning of the semester, if possible, is strongly recommended. To register with a disability or for questions about disability accommodations, contact the Academic Support and Access Center at 202-885-3360 or [asac@american.edu](mailto:asac@american.edu), or drop by MGC 243. For more information, visit AU's [Disability Accommodations web page](#).

## Supplementary Readings for Each Class

### <sup>i</sup> On Democracy Theory

- Pitkin, Hanna Fenichel. 1967. *The Concept of Representation*. Berkeley: University of California Press.
- Sen, Amartya. 1999. *Development as freedom*. New York: Knopf. Introduction and "The Perspective of Freedom," pp. 3-34. Pp. 31.
- Green, Philip (ed.) 1993. *Key Concepts in Critical Theory: Democracy*. New Jersey: Humanities Press.
  - Introduction: Philip Green, "'Democracy' as a Contested Idea" pp. 2-18;
  - Selection 5: James Madison "The Federalist #10", pp. 44-49;
  - Selection 6: John Stuart Mill "Considerations on Representative Government" pp. 50-56;
  - Selection 7: Robert Dahl, "Democracy and its Critics" pp. 57-66.
- Vieira, Monica Brito. 2009. *The Elements of Representation in Hobbs: Aesthetics, Theatre, Law and Theology in the Construction of Hobbs's Theory of State*. Leiden: Brill. Introduction. Pp. 1-9. Pp. 14 [Feel free to also read pages 10-14, but they are just her description of the book chapters.]
- Vieira, Monica Brito and David Runciman. 2008. *Representation*. Cambridge: Polity Press.
- Mehta, PB. 2001. Is electoral and institutional reform the answer? Seminar 506:66-69.
- Rehfeld, Andrew. 2011. "The Concepts of Representation" *American Political Science Review* Vol. 105, No. 3. Pp. 631-641. Pp. 10
- Fraser, Nancy. 2008. "From Redistribution to Recognition? Dilemmas of Justice in a Postsocialist Age" pp. 11-44. In Olson, Kevin. (ed.) *Adding Insult to Injury: Nancy Fraser Debates her Critics*. London: Verso. Pp. 33
- Fischer, Harry W. 2016. "Beyond Participation and Accountability: Theorizing Representation in Local Democracy," *World Development* Vol. 86, pp. 111-122. Pp. 11

### <sup>ii</sup> Democracy-Environment-Livelihoods Linkages

- Agrawal, Arun, and Jesse C. Ribot. 1999. "Accountability in decentralization: A framework with South Asian and African cases." *Journal of Developing Areas* 33 (summer): 473-502. Pp. 29
- Forsyth, Timothy. 2011. Politicizing environmental explanations. Ch. 1, pp. 31-46 in M.J. Goldman, P. Nadasdy and M.D. Turner (eds). *Knowing nature: Conversations at the intersection of political ecology and science studies*. Chicago: Chicago University Press. Pp. 16
  - Positivism overrides diverse knowledges
  - Need for local appreciation – local knowledge and local values (frames as a function of purpose)
  - Democratization of knowledge
- Brockington, Dan. 2008. "Corruption, Taxation, Democracy and Natural Resource Management in Tanzania," *Journal of Development Studies* 44 (1): 103-126. Pp. 23
  - Taxation as relation between people, resources and government
  - Legitimation of government via a) power, b) motive to engage
- Holifield, Ryan. 2009. "Actor-network theory as a critical approach to environmental justice: A case against synthesis with urban political ecology," *Antipode*, 41(4), 637-58. 22

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- Representation around toxic waste
  - Privatization of public functions (monitoring) → no representation
  - Critique 'actor-network' theory
  - Geiser, Urs and Stephen Rist. 2009. "Decentralisation Meets Local Complexity: Conceptual Entry Points, Field-level Findings and Insights Gained," Ch. 1, Pp. 15-56 in Urs Geiser and Stephan Rist (eds.) *Decentralisation Meets Local Complexity: Local Struggles, State Decentralisation and Access to Natural Resources in South Asia and Latin America*. Bern: NCCR North-South.
  - Dove, Michael R., Percy E. Sajise, and Amity A. Doolittle (eds). 2011. "Changing Ways of Thinking about the Relation between Society and Environment," Introduction, pp. 1-36 to *Beyond the Sacred Forest: Complicating Conservation in Southeast Asia*. Chapel Hill: Duke University press.
  - Lund, Jens Friis, Kulbhushan Balooni and Thorkil Casse. 2009. "Change We Can Believe In? Reviewing Studies on Conservation Impact of Popular Participation in Forest Management," *Conservation and Society*, V. 7, No. 2, pp. 71-83.
  - Jens Friis Lund. 2007. Is Small Beautiful? Village Level Taxation of Natural Resources in Tanzania." *Public Administration and Development* Vol. 27, pp. 307-318.
  - Larson, Anne M., Pablo Pacheco and Fabiano Toni. 2007. "The Effects of Forestry Decentralization on Access to Livelihood Assets" *The Journal of Environment & Development* Vol. 16 No. 3, pp. 251-268.
  - Forest Governance Group of IIED. 2009. "Just Forest Governance: How Small Learning Groups can have Big Impact" October 2009. Pp. 4. <http://www.iied.org/pubs/display.php?o=17070IIED>.
  - Diaw, Chimère Mariteuw. 2010. "Elusive Meanings: Decentralization, Conservation and Local Democracy," Ch. 3, pp. 56-78, in Laura A. German, Alain Karsenty and Anne- Marie Tiani (eds.) *Governing Africa's Forests in a Globalized World*. London: Earthscan.
  - Ribot, J.C., Thorsten Treue and Jens Friis Lund. 2010 "Democratic Decentralization in Sub-Saharan Africa: Its contribution to forest management, livelihoods, and enfranchisement." *Environmental Conservation* Vol. 37. Pp. 1-10.
  - Roe, D., Nelson, F. & Sandbrook, C., eds. (2009) Community management of natural resources in Africa: impacts, experiences and future directions. Natural Resource Issues No. 18. London, UK: International Institute for Environment and Development. Pp. 183. <http://www.iied.org/pubs/pdfs/17503IIED.pdf>.
  - Ribot, J.C. (2004) *Waiting for Democracy: The Politics of Choice in Natural Resource Decentralization*. Washington, DC, USA: World Resources Institute.
  - Ostrom, Elinor. 1990. *Governing the Commons: The Evolution of Institutions for Collective Action*. Cambridge: Cambridge University Press.
  - Foster, Andrew D. and Mark R. Rosenzweig. 2004. Democratization and the Distribution of Local Public Goods in a Poor Rural Economy. Brown University and Harvard University. Mimeo. August 2004.
  - Tacconi, Luca. 2007. Decentralization, forests and livelihoods: Theory and narrative. *Global Environmental Change* 17 (3-4):338-348.
  - Crook, Richard C., and Alan Sturia Sverrisson. 2001. "Decentralization and poverty-alleviation in developing countries: A comparative analysis, or is West Bengal unique?" Working paper no. 130, Institute of Development Studies, Brighton. Pp. 60. See: <https://www.ids.ac.uk/wp-content/uploads/2001/01/Wp130.pdf>
  - Somanathan, E., R. Prabhakar, and Bhupendra Singh Mehta. 2009. Decentralization for cost-effective conservation. *Proceedings of the National Academy of Sciences* Vol. 106, No. 11, pp. 4143-4147. [www.pnas.org/cgi/doi/10.1073/pnas.0810049106](http://www.pnas.org/cgi/doi/10.1073/pnas.0810049106).
  - Agrawal, Arun. (2005). "Environmentality: Community, intimate government and environmental subjects in Kumaon, India," *Current Anthropology*, 46(2), April 2005, 161-190. Pp. 30.
  - Bumpus, A. and D. Liverman. (2011). Carbon colonialism? Offsets, greenhouse gas reductions, and sustainable development. In: R. Peet, P. Robbins and M. Watts (eds). *Global political ecology*. New York:



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Routledge, pp. 203-24. Pp. 22.

- Valdivieso, Patricio and Krister P. Andersson. 2017. "Local Politics of Environmental Disaster Risk Management: Institutional Analysis and Lessons From Chile," *Journal of Environment & Development* 26(1) 51–81. Pp. 30

A few other interesting readings to help contextualize inequality and resource access:

- Easterly, W. (2013). *The tyranny of experts: Economists, dictators, and the forgotten rights of the poor*. New York: Basic Books. Chs. 1 & 2 & intro. to part II, pp. 3-46, and Conclusion, pp. 339-52. Pp. 58.
- Piketty, T. (2014). *Capital in the twenty-first century*. Cambridge: Belknap Press of Harvard University Press. "Introduction," pp. 1-38, sub-section "Modern Redistribution: A Logic of Rights," pp. 479-81, and "Conclusion," pp. 571-7. Pp. 48.
- Polanyi, Karl. 1944. *The Great Transformation: The Political and Economic Origins of Our Time*. Boston: Beacon Press.
- Seuss, Dr. 1971. *The Lorax*. New York: Random House.

General Additional Readings for Introduction to Democracy and Environment

- Ribot, J.C., Ashwini Chhatre, and Tomila V. Lankina. 2008. 'The Politics of Choice and Recognition in Democratic Decentralization'. *Conservation and Society*. Vol. 6, No. 1, pp. 1-11. Accessible at: <http://www.conservationandsociety.org/downloadpdf.asp?issn=0972-4923;year=2008;volume=6;issue=1;spage=1;epage=11;aulast=Ribot;type=2>.
- Guttman, Amy (ed.) 1994. *Multiculturalism: Charles Taylor, K. Anthony Appiah, Jürgen Habermas, Steven C. Rockefeller, Michael Walzer, Susan Wolf*. Princeton: Princeton University Press. See Taylor, "The Politics of Recognition," pp. 25-75.
- Olson, Kevin (ed.) 2008. *Adding Insult to Injury: Nancy Fraser Debates her Critics*. London: Verso.
- World Bank. 2009. "Local Government Discretion and Accountability: Application of a Local Governance Framework. Social Development Department, June 2009.
- Lugard, Frederick D. 1926. *The Dual Mandate in British Tropical Africa*. Edinburgh and London: William Blackwood and Sons.
- Mawhood, P. 1983. *Local Government in the Third World*. John Wiley, Chichester, UK.
- Crook, Richard C. and James Manor. 1998. *Democracy and decentralization in Southeast Asia and West Africa: Participation, accountability, and performance*. Cambridge: Cambridge University Press.
- Crook, Richard C., and Alan Sturia Sverrisson. 2001. "Decentralization and poverty-alleviation in developing countries: A comparative analysis, or is West Bengal unique?" Working paper no. 130, Institute of Development Studies, Brighton.
- Conyers, Diana. 2000a. "Decentralisation: A conceptual analysis. Part 1." *Local Government Perspectives: News and Views on Local Government in Sub-Saharan Africa* 7, no. 3: 7–9, 13. Part 2." *Local Government Perspectives: News and Views on Local Government in Sub-Saharan Africa* 7, no. 4: 18–24.
- Ferguson, James. 1994. *The Anti-Politics Machine: Development, Depoliticization, and Bureaucratic Power in Lesotho*. Minneapolis: University of Minnesota Press
- Foster, Andrew D., and Mark R. Rosenzweig. 2004. *Democratization and the distribution of local public goods in a poor rural economy*. Mimeo. August 2004.
- Heller, Patrick, K. N. Harilal, and Shubham Chaudhuri. 2007. Building Local Democracy: Evaluating the Impact of Decentralization in Kerala, India. *World Development* 35 (4):626-648.
- Ndegwa, Stephen N. 2002. "Decentralization in Africa: A stocktaking survey." Africa Region working paper no. 40, Washington, D.C.: World Bank.
- Olowu, Dele, James S. Wunsch, and Joseph R. A. Ayee. 2004. *Local Governance in Africa: The Challenges of Democratic Decentralization*. Boulder, Colo.: Lynne Rienner Publishers.



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- Lankina, Tomila V. and Lullit Getachew. 2006. A Geographic Incremental Theory of Democratization: Territory, Aid and Democracy in Post-Communist Regions. *World Politics* 58 (4):536-582.
  - Lankina, Tomila V. 2004. *Governing the locals: local self-government and ethnic mobilization in Russia*. Lanham: Rowman and Littlefield Publishers.
  - Bardhan, Pranab and Mookherjee, Dilip (eds.). 2006. *Decentralization and Local Governance in Developing Countries*. Cambridge: MIT Press.
  - Grindle, Merilee S. 2007. *Going Local*. Princeton University Press: Princeton, New Jersey.
  - Mamdani, Mahmood. 1996. *Citizen and subject: Contemporary Africa and the legacy of late colonialism..* Princeton: Princeton University Press.
  - Olson, Mancur. 1965. *The Logic of Collective Action*. Cambridge: Harvard University Press.
  - Oxhorn, Philip, Tulchin, Joseph, and Selee, Andrew (eds.) 2004. *Decentralization, Democratic Governance, and Civil Society in Comparative Perspective: Africa, Asia, and Latin America* (Baltimore, MD: The Woodrow Wilson Center Press; The Johns Hopkins University Press, 2004), pp. x+351.
  - Törnquist, Olle. 2004. "The Political Deficit of Substantial Democratisation" in Harriss, John, Stokke, Kristian, and Törnquist, Olle (eds). 2004. *Politicising Democracy: the New Local Politics of Democratisation*. New York. Palgrave Macmillan.
  - Treisman, Daniel. 2007. *The Architecture of Government: Rethinking Political Decentralization*. Cambridge: Cambridge University Press.
  - Tulchin, Joseph S. and Andrew and Selee (eds.). 2004. *Decentralization and Democratic Governance in Latin America*. Washington: Woodrow Wilson International Center for Scholars.
  - Wittayapak, Chusak and Peter Vandergeest (eds.) 2010. *The Politics of Decentralization: Natural Resource Management in Asia*. Chaing Mai: Mekong Press.
  - Sen, Amartya. 1999. *Development as Freedom*. New York: Alfred A. Knopf.
  - Larson, Anne M., and Fernanda Soto. 2008. Decentralization of Natural Resource Governance Regimes. *Annual Review of Environment and Resources* Vol. 33, No. 1, pp. 1-27.
  - Olowu, Dele, James S. Wunsch, and Joseph R. A. Ayee. 2004. *Local Governance in Africa: The Challenges of Democratic Decentralization*. Boulder, Colo.: Lynne Rienner Publishers.
  - March, James G., and Johan P. Olsen. 1984. The New Institutionalism: Organizational Factors in Political Life. *American Political Science Review* Vol. 78, pp. 734-749.
  - Portes, Alejandro. 2006. "Institutions and Development: A Conceptual Reanalysis" *Population and Development Review* Vol. 32, No. 2, pp. 233-262.
  - Satyajit Singh and Pradeep K. Sharma (eds.) 2007. *Decentralization. Institutions and Politics in Rural India*. Oxford: Oxford University Press.

<sup>iii</sup> On Climate and Democracy additional readings are attached to later classes. One general reading for this class might be:

- Ribot, Jesse. 2019. "Social Causality of our Common Climate Crisis: Toward a Sociodicy for the Anthropocene," Ch. 2, pp. 34-53 in Tobias Haller, Thomas Breu, Tine De Moor, Christian Rohr and Heinzpeter Znoj (eds.) *Commons in a Glocal World: Global Connections and Local Responses*. London: Routledge. Pp. 19

<sup>iv</sup> Also see:

- Butler, Judith. 2009. *Frames of War: When is Life Grievable?* London: Verso.
  - Introduction, Pp. 30

<sup>v</sup> On Deliberative Democracy/Participation

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- Dewan, Camelia, Aditi Mukherjib and Marie-Charlotte Buisson. 2015. "Evolution of water management in coastal Bangladesh: from temporary earthen embankments to depoliticized community-managed polders," *Water International*, 2015 Vol. 40, No. 3, 401–416. Pp. 15
  - Gaventa, John. 2002. "Six propositions on participatory local governance," *Currents*, 29, 29-35. Pp. 7.
  - Dryzek, John S. 2012. "Green Democracy," Ch 19, pp. 243-256 in Raymond De Young and Thomas Princen (eds.) *The Localization Reader: Adapting to the Coming Downshift*. Cambridge: The MIT Press. Pp. 12
  - Disch, Lisa. 2011. "Toward a Mobilization Conception of Democratic Representation" *American Political Science Review* 105(1):100-115. Pp. 15
  - Evans, Peter. 2004. "Development as institutional change: The pitfalls of monocropping and the potentials of deliberation," *Studies in Comparative International Development*, 38(4), 30-52. Pp. 23.
  - Ojha, Hemant R., Mani R. Banjade, Ramesh K. Sunam, Basundhara Bhattarai, Sudeep Jana, Keshab R. Goutam, Sindhu Dhungana. 2014. "Can authority change through deliberative politics? Lessons from the four decades of participatory forest policy reform in Nepal," *Forest Policy and Economics*. Vol. XXX. Pp 9
  - Mouffe, Chantal. 2000. "Deliberative Democracy or Agonistic Pluralism." Reihe Politikwissenschaft Political Science Series, Institut für Höhere Studien, Wien Institute for Advanced Studies, Vienna. Pp. 17
  - Blakeley, Georgina. 2010. Governing Ourselves: Citizen Participation and Governance in Barcelona and Manchester *International Journal of Urban and Regional Research* Vol. 34.1, pp. 130–45. Pp. 15
  - Ayers, J. M. (2010) 'Understanding the adaptation paradox: Can global climate change adaptation policy be locally inclusive?', Ph.D., London School of Economics and Political Science.
  - Nightingale, Andrea and Hemant Ojha. 2012. "Rethinking Power and Authority: Symbolic Violence and Subjectivity in Nepal's Terai Forests" July 2012 Draft Article submitted to *Development and Change*.
  - Ojha, Hemant R. 2008. *Reframing Governance: Understanding Deliberative Politics in Nepal's Terai Forestry*. New Delhi: Adroit Publishers. Ch. 1 "Understanding Governance through the Languages of Bourdieu and Habermas," pp. 33-66. Also read Annex A, pp. 311-318. Pp.40
  - Dryzek, J. 2000. *Deliberative Democracy and Beyond: Liberals, Critics, Contestations*. Oxford University Press. Ch. 6, "Green Democracy" pp. 140-161.
  - Dryzek, J. 2000. *Deliberative Democracy and Beyond: Liberals, Critics, Contestations*. Oxford University Press. "Introduction, The Deliberative Turn in Democratic Theory" pp. 1-7, Ch. 1, "Liberal Democracy and the Critical Alternative" pp. 8-30, and Ch. 2, "Minimal Democracy: The Social Choice Critique" pp. 31-56.
  - Fung, Archon. 2004. *Empowered Participation: Reinventing Urban Democracy*. Princeton: Princeton University Press. "Democracy as a Reform Strategy" Ch. 1, pp. 1-30.
  - Agarwal, Bina. 2010. *Gender and Green Governance: The Political Economy of Women's Presence Within and Beyond Community Forestry*. Oxford: Oxford University Press.
  - Ojha, Hemant R., John Cameron, Chetan Kumar. 2009. "Deliberation or symbolic violence? The governance of community forestry in Nepal" *Forest Policy and Economics*. Vol. 11, Nos. 5-6, pp. 365-374.
  - Schönleitner, Gunther. 2004. Can Public Deliberation Democratise State Action? Municipal Health Councils and Local Democracy in Brazil, Ch. 4, pp. 75-106 in John Harriss, Stokke, Kristian, and Törnquist, Olle, eds. *Politicising Democracy: the New Local Politics of Democratisation*. New York: Palgrave Macmillan.
  - Grazia Borrini-Feyerabend, Michel Pimbert, M. Taghi Farvar, Ashish Kothari and Yves Renard. 2004. "Sharing Power: Learning-by-doing in Co-management of Natural Resources throughout the World" IIED Report. <http://www.diversefoodsystems.org/SharingPowerChapters.html>.
  - Cooke, Bill and Uma Kothari. 2001. *Participation: The New Tyranny*. London: Zed Books.
  - Manor, J. 2004. User Committees: A Potentially Damaging Second Wave of Decentralisation? *European Journal of Development Research* 16(1): 192–213.
  - Mansuri, G. and V. Rao. 2003. Evaluating Community-driven Development: A Critical Review of the Evidence. Development Research Group, World Bank. February. [http://www.cbnrm.net/pdf/mansuri\\_g\\_001\\_cddfina.pdf](http://www.cbnrm.net/pdf/mansuri_g_001_cddfina.pdf).

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- Mansuri, G. and V. Rao. (2013). *Localizing development: Does participation work?* A World Bank Policy Research Report. Washington, DC: The World Bank. Read: Overview, Pp. 1-13. Pp. 13. Available at: [http://siteresources.worldbank.org/INTRES/Resources/469232-1321568702932/8273725-1352313091329/PRR\\_Localizing\\_Development\\_full.pdf](http://siteresources.worldbank.org/INTRES/Resources/469232-1321568702932/8273725-1352313091329/PRR_Localizing_Development_full.pdf)
  - Sanyal, Paromita and Vijayendra Rao. 2019. *Oral Democracy: Theories of Institutional Design*. Cambridge: Cambridge University Press.
  - Lidskog, R, and I Elander. 2009. "Addressing climate change democratically. Multi-level governance, transnational networks and governmental structures" *Sustainable Development* Vol. 18, No. 1, pp. 32-41.
  - Swyngedouw, Eric. (2005). Governance innovation and the citizen: The Janus face of governance-beyond-the-state. *Urban Studies*, 42(11), 1991–2006. Pp. 16.
  - Hajer, M. (2003) Policy without polity? Policy analysis and the institutional void. *Policy Sciences*, 36, 175–195. Pp. 21.
  - Mason, Lisa Reyes and Jonathan Rigg. 2019. "Climate Change, Social Justice: Making the Case for Community Inclusion," Introduction, pp. 3-19 in *People and Climate Change: Vulnerability, Adaptation and Social Justice*. Cambridge: Cambridge University Press. Pp. 16

#### vi On Accountability

- Lindberg, Staffan I. 2009. "Accountability: the core concept and its subtypes" Working Paper No. 1 April, 2009. DFID & IRISH Aid. Pp. 52.
- Gaventa, John and R. McGee. 2013. "The impact of transparency and accountability initiatives," *Development Policy Review*, 31 (S1): s3-s28. Pp. 25
- Besley, Timothy and Robin Burgess. 2002. "The Political Economy of Government Responsiveness: Theory and Evidence from India." *The Quarterly Journal of Economics*, November. Pp. 1415-1451. Pp. 36
- Goetz, A. M., and R. Jenkins. 2005. *Reinventing Accountability: Making Democracy Work for Human Development*. Chippenham and Eastbourne: Palgrave Macmillan.
- Grant, R. W. and R. O. Keohane. 2005. Accountability and abuses of power in world politics. *American Political Science Review* 99(1): 29–43.
- Agarwal, Arun and Jesse Ribot. 2012. "Assessing the Effectiveness of Democratic Accountability Mechanisms in Local Governance." Working paper proucded for US Agency for International Development by Management Systems International. February 2012. Pp. 40 (of text – and look at annex of accountability mechanisms).
- Sundar, Nandini. 2001. "Is Devolution Democratization?" *World Development* 29(12): 2007-23.
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#### vii On Methods

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xviii On Climate and Representation

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