

Development and Population Displacement

George Washington University

**Prof. Michael M. Cernea
Fall 2003
United States of America**

Course Description:

Development programs, large and small, frequently cause population resettlement, voluntary or involuntary. This course focuses on the study of development-induced *involuntary* population displacement, both economic and physical, and on post-displacement resettlement and reconstruction. Such population movements will be analyzed in the course not as idiosyncratic, accidental side-effects of particular projects, but as a category of complex social processes inherent to development. They exhibit distinguishable structural regularities in their content, unfolding, social mechanisms, and consequences, despite the wide spectrum of specific country and project contexts within which they occur.

By their high frequency, cumulative magnitude, and destructive socio-economic and cultural effects, forced displacements have come to be recognized as a severe pathology of development, of growing concern and visibility on international and national agendas. These processes give rise to massive socio-economic losses, to pain and suffering, to growing resistance movements, and also to policies and programs intended to restrict and temper their effects.

Anthropology and sociology are at the forefront of the social sciences exploring these processes. These disciplines have generated a massive body of scholarly knowledge about the patterns, content, and effects of displacement. Arguably, resettlement is the domain in which development anthropology has succeeded in exercising its single strongest influence on policies and practice. Therefore, understanding this body of knowledge is indispensable for anthropologists engaged in development. This study equips students theoretically and methodologically, and cultivates skills for influencing social practice.

The course will approach displacement/resettlement as a strategic window through which to explore broader theoretical and policy issues in development, especially “the makings of induced development.” Students are encouraged to take advantage in their learning and thinking of the fact that displacement processes are a propitious “site” for grasping the dialectic of development’s benefits and losses, its strengths and its pathologies, inner contradictions, conflicts, and trade-offs.

The course will place development-induced displacement and resettlement (DIDR) within the broader taxonomy of population displacements. It will compare development-displacees to other major categories of displaced populations, from conflict-generated refugees to environmentally related migrants, in order to identify common characteristics and substantive differences.

The course requires, and aims at, a deep immersion into the anthropological analysis of displacement processes, through consistent student reading, absorption, and discussion of the anthropological and sociological literature on resettlement—its empirical findings, concepts, and methods. The course bibliography also includes items of a different type—project appraisal reports, evaluation reports, policy statements on resettlement, development agency documents—intended to complement the scientific bibliography (available in the Course-pack or placed on reserve at GWU Library).

Finally, this course is given with a strong commitment to active engagement, rather than passive contemplation, towards avoiding or reducing displacements whenever possible, and towards improving the standards and processes of induced displacements. It also aims to convey and build this commitment among the participating students as—possibly—future practicing social scientists. The course and class debates will reach into the ethics of development and—vastly—into the political, policy and operational hard questions of how to prevent/reduce impoverishment risks and social disorganization in forced resettlement.

Education for Operational Work

Beyond academic knowledge, this course will explain project-design and operational issues in development interventions causing displacements. The aim is also to introduce students to the options and requirements of practical development work in possible future jobs in this domain. The study of real-life “Resettlement Action Plans” of some major development projects is included.

Course Syllabus:

September 8, 2003

1. Development and Human Settlement Patterns: The Place of Displacement in the Paradigm of Induced Development.

The first session will place development-induced displacement and resettlement (DIDR) within the broader perspective of induced development. The ethical challenges will be emphasized together with the reasons for studying the topic. Students will introduce themselves and their reasons for taking this course.

September 15, 2003

2. The Taxonomy of Population Displacement (I) Refugees and Internally Displaced People. The Continuum from Voluntary to Forced Migration.

Castles, S. “Towards a Sociology of Forced Migration and Social Transformation,” *Sociology* (UK), Vol. 77, No. 1, 2003 “Involuntary Resettlement: Social Research, Policy and Planning,” In Cernea, M. (ed.), 1991. *Putting People First*. New York: Oxford University Press.

Cernea, M. 1996. “Bridging the Research Divide: Studying Refugees and Development Oustees. In Search of Cool Ground: War, Flight & Homecoming in Northeast Africa,”. In Vol.: Tim Alan (ed.), (UNRISD: Geneva).

Deng, F.M. 1993. *Protecting the Dispossessed: A Challenge for the International Community*. Washington, DC: Brookings Institution Press

- Hansen, A. 1990. "Refugee Self-settlement vs. Settlement on Government Schemes: The Long-term Consequences for Security, Integration, and Economic Development for Angolan Refugees in Zambia". Disc. Paper 17 (UNRISD), Geneva.
- Harrell-Bond, B. E. and Monahan, L. 1998. "The Sociology of Involuntary Migration", *Current Sociology*, Vol. 36, 2
- Mahapatra, L.K. (1999). *Resettlement, Impoverishment and Reconstruction in India: Development for the Deprived Delhi*: Vikas
- McDowell, C. (ed.). 1996. *Understanding Impoverishment: The Consequences of Development-Induced Displacement*. Providence-Oxford: Berghahn Books.
- Pandey, B. (1998). *Depriving the Underprivileged for Development*. Bhubaneswar: Institute for Socio-economic Development
- Scudder, T. 1997. 'Resettlement'. In Biswas, A. (ed.). *Water Resources: Environmental Planning, Management and Development*. New York: McGraw-Hill
- Sherman, N. 2002. *Refugee Resettlement in Uganda*. Netherlands-Israel Research Programme (NIRP) Series 11. Amsterdam: Royal Tropical Institute.
- Turton, D. 2003. "Refugees and 'Other Forced Migrants': Towards a Unitary Study of Forced Migrants." (Course-pack)

September 22, 2003

**3. The Taxonomy of Population Displacement (II).
Alternative Typologies and Main IDP Sub-categories. Host Populations.**

- de Wet, C. J. (1995). *Moving Together, Drifting Apart*. Johannesburg: Witwatersrand University Press. (selected chapters).
- Mathur, H.M. and Marsden, D. (eds.) 1998. *Development Projects and Impoverishment Risks in India*. Oxford UP.
- Salem-Murdock, M. (1989). *Arabs and Nubians in New Halfa—A Study of Settlement and Irrigation*. Salt Lake City: UUPress.

September 29, 2003

4. History and Content of Resettlement Knowledge: From Empirical Research to Theory, and the Emergence of Resettlement Policies and Standards. State and Private Sector Policies.

Policies to study:

- The World Bank
- OECD Aid Agencies
- ADB
- China
- India
- Private Sector Corporations/IFC

- Asian Development Bank, 1995, *Involuntary Resettlement (Policy Statement)*, Manila
- Cernea, M.M. 1995. "Social Integration and Population Displacement: The Contribution of Social Sciences". *International Social Science Journal* 43 (1): 91–112.
- Fernandes, W. 1998. "The National Draft Policy for Rehabilitation: Principles of the NGO Alternative." In Mathur, H. and Marsden, D. (eds.) *Development Projects and Impoverishment Risks*. Delhi: Oxford UP
- Guoqing, S. and Shaojun, C. *China Resettlement Policies and Practices*. NRCR: Nanjing, China. (Available in Coursepack).
- Hakim, R. 2000. "Agricultural Land: The Case of Hill Vasavas Displaced by Sardar Sarovar Dam, India," In *The Eastern Anthropologist*, 53, No. 1&2, Pp. 73–94
- Morse, B. and Berger, T. *Sardar Sarovar: Report of the Independent Review*. Resource Future International (RFI), Inc, 1992.
- OECD Development Assistance Committee, 1992 *Guidelines for Aid Agencies on Involuntary Displacement and Resettlement in Development Projects*.
- Sapkota, N. Using the Risks and Reconstruction Model in Resettlement Planning: Kali Gandaki Dam, Nepal. In *The Eastern Anthropologist*, 53, No. 1&2, Pp. 201–212.
- Trembath, B. et al. 1998. *The Shuikou Hydroelectric Project in China—A Case Study of Successful Resettlement*. (Course-pack).
- World Bank Operational Manual, Operational Policies. 2001. *Involuntary Resettlement*. Washington DC.
- World Bank Operational Manual, Bank Procedures. 2001. *Involuntary Resettlement*. Washington DC.
- World Bank Operational Manual, Operational Policies. 2001. *Involuntary Resettlement Instruments*. Washington DC

October 6, 2003

5. Modeling Reality: Impoverishment Risks in Involuntary Displacement. The IRR Analytical Framework and Its Predictive Functions.

- Cernea, M. 2000. Risks, Safeguards, and Reconstruction: A Model for Population Displacement and Resettlement, In Cernea, M. & McDowell, C. (eds), *Risks and Reconstruction*, The World Bank
- Downing, T. (1996). "Mitigating Social Impoverishment when People Are Involuntary Displaced," In McDowell, C. (ed.) *Understanding Impoverishment—The Consequences of Development-induced Displacement*. Oxford: Berghahn Books.
- Mahapatra, L.K. 1999. "Testing the Risks and Reconstruction Model on India's Resettlement Experiences," In Cernea, M.M., (ed.), *The Economics of Involuntary Resettlement*. Washington: The World Bank.
- Marx, E. 1990. "The Social World of Refugees": A Conceptual Framework" *Journal of Refugee Studies*. 3(3): 189–203
- Nayak, R. 2000. Risks Associated with Landlessness: An Exploration Toward Socially Friendly Displacement and Resettlement. In vol.: Cernea and McDowell, *Risk and Reconstruction*. Pp. 79–106.

Scudder, T. 1991. "A Sociological Framework for the Analysis of New Land Settlements". In Cernea, M.M., ed., *Putting People First*. NY: Oxford UP.

October 13, 2003

**6. Structure and Process in Displacement and Resettlement (I)
In-depth Anthropological Analyses of Large-scale Hydropower Projects.**

Cases to Study:

- Aswan—Egypt; Narmada
- Sardar-Sarovar—India;
- Yacyreta — Argentina;
- Nangbeto — Togo;
- Arenal — Costa Rica
- Shuikou — China;
- Three-Gorges — China;
- Kali Gandaki — Nepal;
- Bayano — Panama

Colson, E. 1971. *The Social Consequences of Resettlement: The Impact of the Kariba Resettlement Upon the Gwembe Tonga*. Manchester UP.

Fahim, H.M. (1983). *Egyptian Nubians — Resettlement and Years of Coping*. University of Utah Press. (Asswan Dam project)

Picciotto, R. et al. 2001. *Involuntary Resettlement — Comparative Perspectives*. New Brunswick: Transaction Publishers. (Chapters 1, 3, 4 — about Shuikou- China and Nangbeto-Togo projects).

Scudder, T. 1993. "Development-induced Relocation and Refugee Studies: 37 years of Change and Continuity among Zambia's Gwembe Tonga". *Journal of Refugee Studies* 6, 3, 123–152.

Wali, A. (1989). *Kilowatts and Crisis: Hydroelectric Power and Social Dislocation in Eastern Panama*. Boulder: Westview

World Commission on Dams (2000). *Dams and Development — A New Framework for Decision-Making*. London: Earthscan. (Selected Chapters).

October 20, 2003

**7. Structures and Processes in Development and Resettlement (II).
In-depth Anthropological Analyses of Political Resettlement and
Conservation Resettlement.**

Continue prior sections' readings, plus:

Feeney, P. 1998. *Accountable Aid*. Oxfam: London. Chapter 4: Global Benefits-Local Costs: Expulsion from Kibale Forest, Uganda. (in coursepack).

Pankhurst, A. 1992. *Resettlement and Famine in Ethiopia: The Villager's Experience*. Manchester Univ. Press

October 29, 2003

**8. Structure and Processes in Development and Resettlement (III).
In-depth Anthropological Analyses of Mining and Urban Projects.**

Prior sections readings, plus:

Cernea, M. M. 1993. "The Urban Environment and Population Relocation". World Bank Disc. Paper No. 152, Washington.

Downing, T. E. (2002). *Avoiding New Poverty: Mining-Induced Displacement and Resettlement*. International Institute for Environment and Development.
(Free copy available at <http://ted-downing.com/AvoidingNewPovMMSD.pdf>).

November 03, 2003

**9. Reconstruction After Forced Resettlement: Risks Reversal Processes
and Livelihood Reconstruction.**

Abutte, W.S. (2000). *Social Re-Articulation After Resettlement: Observing the Beles Valley Scheme in Ethiopia*. In vol.: Cernea and McDowell, *Risk and Reconstruction*. Pp. 412–429.

Hakim, R. (2000). *From Corn to Cotton: Changing Indicators of Food Security Among Resettled Vasavas*. In vol.: Cernea and McDowell, *Risk and Reconstruction*. Pp. 229–252.

Mahapatra, L.K. and Mahapatra, S. (2000). *Social Re-articulation and Community Regeneration Among Resettled Displacees*. In vol.: Cernea and McDowell, *Risk and Reconstruction*. Pp. 431–443.

Meikle, S. and Youxuan, Z. (2000). *Employment for Displacess in the Socialist Market Economy of China*. In Cernea, M. and McDowell, C. (eds.). *Risks and Resettlement: Experiences of Resettlers and Refugees*. Washington, D.C.: The World Bank.

Mejia, M. C. 2000. *Economic Recovery After Involuntary Resettlement: The Case of Brick makers Displaced by the Yaciretá Hydroelectric Project*. In vol.: Cernea and McDowell, *Risk and Reconstruction*. Pp. 144–164.

Partridge, W. L. 1993. "Successful Involuntary Resettlement: Lessons from the Costa Rican Arenal Hydroelectric Project". In M.M. Cernea and S.E. Guggenheim, eds., *Anthropological Approaches to Resettlement: Policy, Practice, and Theory*. Boulder, Colorado: Westview Press.

Van Wicklin, W.A. 1999. *Sharing Project Benefits to Improve Resettlers' Livelihoods* In Cernea, M.M., ed., *The Economics of Involuntary Resettlement*. Washington: The World Bank.

November 10, 2003

**10. The Flawed Economics of Resettlement Projects and the
Compensation Principle in Resettlement: Expropriation Ethics, Law,
Economics, and Political Economy.**

Cernea, M. and Kanbur, R. 2002. *An Exchange on the Compensation Principle in Resettlement*. Working Paper, Department of Applied Economics and Management, Cornell University, Ithaca

Cernea, M. (1995). Understanding and Preventing Impoverishment from Displacement: Reflections on the State of Knowledge. In *Journal of Refugee Studies* Vol. 8 No. 3 (1995). Oxford: Oxford University Press.

Eriksen, J. H. 1999. Comparing the Economic Planning for Voluntary and Involuntary Resettlement. In Cernea, M.M., ed., *The Economics of Involuntary Resettlement*. Washington: The World Bank.

Pearce, D.W. 1999. Methodological Issues in the Economic Analysis for Involuntary Resettlement Operations. IN vol: Cernea, M.M., ed., *The Economics of Involuntary Resettlement*. Washington: The World Bank.

November 17, 2003

11. How to Design a Resettlement Action Plan (RAP): Planning for Displacement, Planning for Relocation.

World Bank Resettlement Actions Plans and resettlement plans for projects financed by transnational private corporations. Copies of resettlement action plans will be made available to students. Many RAPs can be downloaded from the World Bank's website and will be presented and discussed.

November 24, 2003

12. Resistance to Involuntary Displacement: Political Dimensions, States, and Civil Societies.

This session will also be dedicated to the presentation/group class discussion of the book: Pandey, Balaji, 1998. *Depriving the Under-privileged for Development* [see reading list]

Pandey, Balaji, 1998. *Depriving the Under-privileged for Development*

Dwivedi, R. Resisting Dams and 'Development': Contemporary Significance of the Campaign Against the Narmada Projects in India, In *European Journal of Development Research*, 1999.

Oliver-Smith, A. 1994. "Resistance to Resettlement: The Formation and Evolution of Movement" In Kreisberg, ed., *Research in Social Movements: Conflicts and Change*. Greenwich: JAI Press.

Paktar, Medha 1995. "The Struggle for Participation and Justice: A Historical Narrative". In W. Fisher, ed. *Toward Sustainable Development?* Armonk, New York: M.E. Sharpe.

December 01, 2003

13. Overview/Course Synthesis: Main Themes in the Anthropology of Involuntary Displacement and Resettlement.

**Anthropology 222.10
Development and Population Displacement
Fall Semester 2003
Masters Degree Course**

Suggested Themes for the Term Paper

A term paper 20–30 pages is intended to demonstrate how course participants have understood key ideas, concepts, and arguments developed by scholars, researchers, and policy makers working on resettlement, and are able to use them in their independent analyses of empirical data about displacements. Students can select from the list of topics below or, alternatively, propose other subjects with an abstract. Each of the themes, whether proposed below or by the student, must be anchored in ideas presented in lectures during the course. Each paper must cover the issues in-depth and critically, and include independent thinking by the student. Creative personal treatment, including iconoclastic views and “crazy ideas” are encouraged, with supporting argumentation.

For those who want to develop the material in more detail, an upper limit of 40 pages is acceptable.

The paper should be delivered in hard copy, typed double-spaced, between November 15–20, 2003, to allow for class presentation and discussion.

Proposed themes are:

1. Applying the Eminent Domain Principle to Land Acquisition for Displacements: “Pros” and “Cons,” Strengths and Weaknesses.
2. History of the “Eminent Domain Principle”: Origin, Contexts, and Issues in Its Contemporary Application. The student will research the origin of the principle and will analyze it in light of anthropological perspectives on state and social contexts.
3. Strengths and Fallacies of Compensation Expropriation and Displacement: Secondary Analysis of Empirical Research. (Three or four terms papers are possible on this topic)
 - Africa
 - South Asia (India)
 - China and East Asia
 - Latin America

Note: Three or four students can develop jointly or independently the methodology for secondary analysis and carry out their analyses separately. Findings will be presented for a comparative discussion in a class session.

4. Population Displacement for Biodiversity Parks Establishment: Synthesis, Analysis, and Discussion of Findings/arguments from Anthropological Research Literature.

Note: This topic can be taken up by two or three students, in distinct papers about research in:

- Latin America
- Asia
- USA/Europe

Findings will be presented and discussed in a comparative manner in a class session.

5. Ethics, Law, and Development: A discussion of forced displacement and the “greater good for the largest number” principle in light of John Rawls and Amartya Sen.

Note: If two students are interested, one can focus on Rawls “Theory of Justice,” the other on Amartya Sen’s theory of entitlements and on development as freedom.

Course Readings:

Cernea, M. (ed.) 1999. *The Economics of Involuntary Resettlement: Questions and Challenges*, The World Bank. (Articles by different authors covering a range of resettlement issues)

Cernea, M. & Guggenheim, S. (eds.) 1993. *Anthropological Approaches to Resettlement: Policy, Practice and Theory*. Boulder: Westview Press.

Cernea, M. and McDowell, C. (eds.) 2000. *Risks and Reconstruction: Experiences of Resettlers and Refugees*, The World Bank.

Cohen, R. and Deng, F.M. 1998. *Masses in Flight: The Global Crisis of Internal Displacement*. Washington, DC: Brookings Institution Press. (Selected sections).

Indra, Doreen (Ed.). 2003. *Engendering Forced Migration: Theory and Practice*. New York: Berghahn Books.

Pandey, Balaji, 1998. *Depriving the Under-privileged for Development*. Institute for Socio-economic Development: Bhubaneswar, India.

Ribeiro, G.L. 1994. *Transnational Capitalism and Hydropolitics in Argentina: The Yaciretá High Dam*: University Press of Florida.

Robinson, J. (Ed.) 2002. *Development and Displacement*. Oxford: The Open University.

Contact Information for Michael Cernea:

Anthropology and International Affairs
Department of Anthropology and
Elliot School for International Affairs
George Washington University
2110 G Street, NW
Washington, DC 20052
Tele: (202) 994-6075
Email: Mcernea@worldbank.org

