



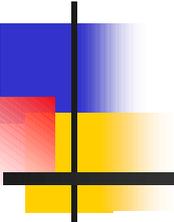
**Global Monitoring  
for Stability and Security**

**3rd AFES-PRESS GMOSS Workshop,  
The Hague, Netherlands, 9 Sep. 2004**

**A F E S  P R E S S**

**<http://www.afes-press.de/html/download.html>**

**5<sup>th</sup> Pan-European Conference  
on International Relations  
CONSTRUCTING WORLD ORDERS  
The Hague, 9-11 SEPTEMBER 2004  
Netherlands Congress Centre**



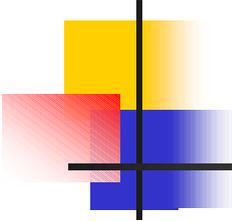
**© Hans Günter Brauch**

**AFES-PRESS & Free University of Berlin, Germany**

**Conceptual Quartet:**

**Security Linkages with Peace,  
Development and Environment**

**[http://www.afes-press.de/html/download\\_hgb.html](http://www.afes-press.de/html/download_hgb.html)**

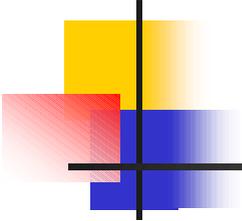


# Financial Support & Disclaimer

---

- ? This presentation was made possible by a travel grant in the framework of a EU-Network of Excellence: Global Monitoring for Security and Stability (GMOSS).
- ? The views expressed in this talk do not represent the official political views of the European Commission, nor any policy perspective of the GMOSS Network or of AFES-PRESS. They reflect solely the views and personal assessment of the author. They are made available as a contribution to the international scientific discourse.

# Copyright Notice

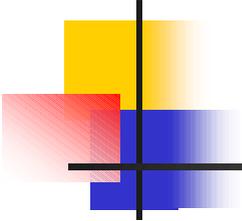


? The talk contains copyrighted material from unpublished drafts to be published in: **Brauch - Grin – Mesjasz – Behera Chadha – Chourou - Oswald Spring – Liotta - Kameri-Mbote (Eds.): *Facing Global Environmental Change and Globalisation - Reconceptualising Security in the 21<sup>st</sup> Century* (Berlin – Heidelberg – New York – Hong Kong – London – Milan – Paris – Tokyo: Springer Publishers 2006).**

? No part of this talk and none of the material contained herein may be reproduced in any other publication, talk or website without the permission of the author and without full credit to the copyright holder.

? Links to this website are permitted with the consent of the copyright holder (**[afes@afes-press.de](mailto:afes@afes-press.de)**).

# Conceptual Quartet: Security linkages with peace, development and environment



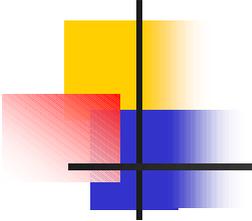
## Outline of the Talk

---

- ? **Basic Research Questions**
- ? **Concept of Security**
- ? **Concept of Peace**
- ? **Concept of Development**
- ? **Concept of Environment**
- ? **Combined Wordview and Standpoint**
- ? **Model: GEC, environm. stress & fatal outcomes**
- ? **Goals of 4th phase of research on human & environmental security and peace**
- ? **Conclusions**

# 1. Basic Research Questions

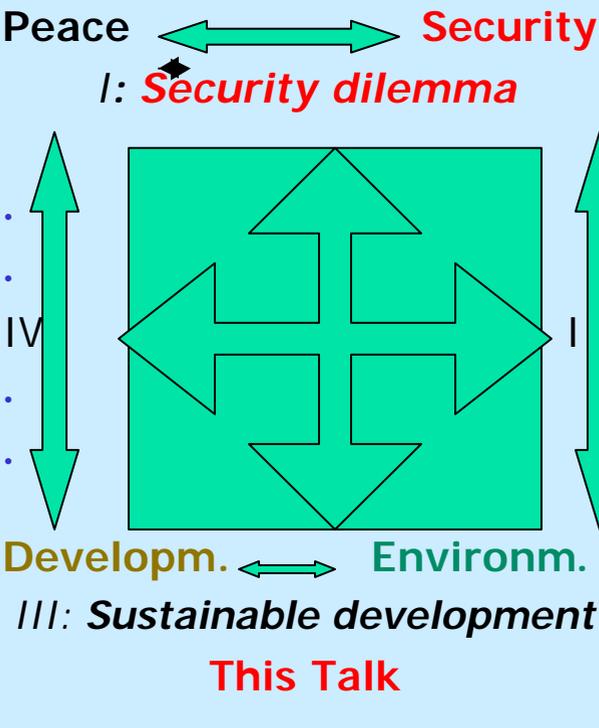
## 1.1. Focus, questions & purpose

- 
- ? **Assumptions:** a. Ideas and concepts matter, b. concepts (to analyse & interpret reality) and reality are socially constructed.
  - ? **Focus:** Four key concepts in the social & political sciences, in international relations and its related sub-programmes.
  - ? **Questions:**
    - ? Did the global contextual change of the end of the East-West conflict bring about a rethinking or a reconceptualisation of these four concepts?
    - ? Has the reconceptualisation of the conceptual quartet been global/regional?
    - ? Did this reconceptualisation impact on policy programmes & outcomes?
  - ? **Purpose:** Global mapping of conceptual thinking on security.
  - ? **Requirements:** a. Such an effort must be *multicultural* (global), b. *multidisciplinary*, and c. reflect *many worldviews*.

# 1. Basic Research Questions

## 1.2. Focus and conceptual context

### ? Pillars & linkage concepts within the quartet

IR research programs	Conceptual Quartet	Conceptual Linkages
<p>? Peace Research</p> <p>? Security Studies</p> <p>? Development Studies</p> <p>? Environment Studies</p> <p>4 conceptual pillars</p> <p>? I: <i>Security dilemma</i></p> <p>? II: <i>Survival dilemma</i></p> <p>? III: <i>Sust. developm.</i></p>	 <p>Peace ↔ Security I: <i>Security dilemma</i></p> <p>IV</p> <p>Developm. ↔ Environm. III: <i>Sustainable development</i></p> <p><b>This Talk</b></p>	<p>• Policy use of concepts &amp; Theoretical debates on six dyadic linkages</p> <p>• L1: Peace &amp; security</p> <p>• L 2: Peace &amp; development</p> <p>• L 3: Peace &amp; environment</p> <p>• L 4: Devel. &amp; security</p> <p>• L 5: Devel. &amp; environment</p> <p>• L 6: Security &amp; environm.</p> <p>[six chapters reviewing &amp; assessing the debates]</p> <p><b>Montreal talk</b></p>

# 1. Basic Research Questions

## 1.3. Concepts matter & are socially constructed

- ? **Reality** in international politics (IP) and international relations (IR) is **subjective**: It is what the observer perceives it to be.
- ? Thus, the **perception of reality matters**: i.e. **worldviews, mind-sets, conceptual lenses and theories of observer**.
- ? In the **social science concepts** (to structure, explain & interpret reality) are **socially constructed**. **Stef. Guzzini** (2000): *„social construction of knowledge, construction of social reality“*
- ? Thus, there are **no objective** (constant, ubiquitous) **concepts of Security, Peace, Development & Environment**.
- ? However, in the **natural sciences** there is an **objective reality** that does not change: laws of physics, chemistry etc.

# • Basic Research Questions

## 1.4. Did the global contextual change lead to fundamental changes in concepts?

### ? 4 Major global changes of international order since 1789

- ? French Revolution and order of Vienna (1815-1914)
- ? Versailles Peace Treaty: Wilsonian & Hobbesian Compromise
- ? Order of Yalta & San Francisco: Collective Self-Defence
- ? **9 November 1989**: Fall of the Berlin Wall – not **11 Sept. 2001**

### ? 1989: Global peaceful change: End of the bipolar symmetric world (US vs. USSR) triggered reunification of Germany & Europe

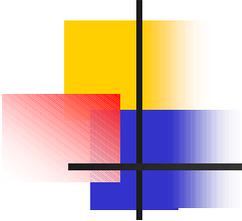
### ? Since 1989: collective self-defence vs. collective security system

### ? Since 1989 the concept(s) of security have experienced a:

- ? **Widening**: 5 dimensions: mil., political, econ., societal, environmental
- ? **Shrinking**: to the narrow Hobbesian national military security concept
- ? **Deepening**: global, regional, national, societal, individual
- ? **Changes in the referents of security**: „state“ to the “individual“
- ? **Sectorialisation of security**: energy, food, health, water et al.

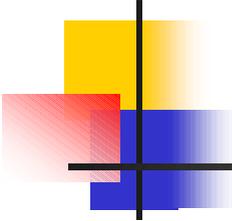
# 1. Basic Definitions and Research Questions

## 1.5. Which contextual change matters?

- 
- ? **Perception of contextual change is socially (nationally) constructed.**
  - ? Was the **contextual change of 1989/1990** global and for whom?
  - ? Was **30 January** or **11 September 2001** a major turn for whom?
  - ? **What did change:** a) **international order**, b) **threat by non-state actors**, c) **level, brutality and sophistication of terrorism**?
  - ? **For whom (who are referents):** a) world of nation states, b) humankind, c) societal & ethnic groups, or d) individual, family, clan, village, tribe?
  - ? Did **the turn** contribute to a **fundamental reconceptualisation** of four basic concepts: **security, peace, development & environment**?
  - ? **Did the reconceptualisation occur globally/regionally/nationally?**
  - ? Or did several simultaneous but not identical reconceptualisations occur?
  - ? **This requires not a European but a truly global intellectual effort!**

# 1. Basic Definitions and Research Questions

## 1.6. Basic questions for chapters 4-10



? Since French Revolution (1789) the two political concepts of *peace and security*) were fundamentally reconceptualised, the concepts *development & environment* gradually evolved since the 1950s and 1970s on national and international political agendas.

? Authors of ch. 5-10 are invited to discuss the following questions:

? a) Did the first *peaceful global change of 1989/1990* initiate a process of a fundamental or incremental reconceptualisation of 4 basic concepts: **Security, Peace, Environment** and **Development (SPED)** & of 6 dyadic linkages?

? b) Has the old **classic agenda of peace and security** in the UN Charter been adapted to a global contextual change of a single superpower?

? c) Have the classic concepts affecting peace and security: sovereignty, **non-use of force (Art. 2,4)** and **non-intervention (Art. II,7)** fundamentally changed, e.g. with the rapid increase of peacekeeping operations?

? d) Why have the efforts of the early 1990s to adapt the **system of collective self-defence by military alliances with the classic global and regional collective security** systems failed?

# 1. Basic Definitions and Research Questions

## 1.7. Basic questions for chapters 4-10 (2)

? **Authors of ch. 5 - 10 are invited to discuss the following questions:**

? e) Which impact did the **increase in violence**, e.g. in Europe, the emergence of new asymmetric, ethno-religious, internal conflicts, and the challenge by non-state actors in a rapidly **globalising world** have on the theoretical debates on the six dyadic linkages within the conceptual quartet?

? f) Which impact did the fundamental change in the **peace-security dyad** have on **environment and development concepts** and policies?

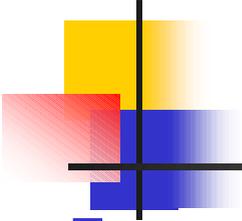
? g) Did **environment and development policies** benefit from the global turn of 1990? Or was the end of bipolarity instrumental for the increase in “failing states”, such as Somalia and Afghanistan?

? h) Have the **summits** in Rio de Janeiro (1992) and in Johannesburg (2002), as well as the formulation of the *Millenium goals* benefited from the turn?

? i) Has the **attack on 11 September 2001** on the US changed the **priorities of global and regional security and development policies**?

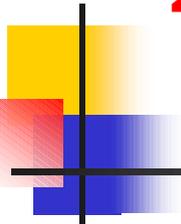
# 1. Basic Definitions and Research Questions

## 1.8. Linkages within the quartet

- 
- ? Four concepts stand for 4 IR Research areas: peace & security, environmental & developmental studies
  - ? Each concept has a complex history, different value orientation in different cultures and religions.
  - ? Scientific goal is to contribute to 4th phase of research on human & environmental security & peace (HESP).
    - ? This requires conceptual clarity on 4 key concepts & linkages:
      - ? peace with security (**security dilemma**),
      - ? development & environment;
      - ? development with peace, security & environment (**sustainable development and sustainable peace**);
      - ? security and environment (**survival dilemma**) with a brief survey of the first three phases of research on environmental security.

# 2. Concept of Security

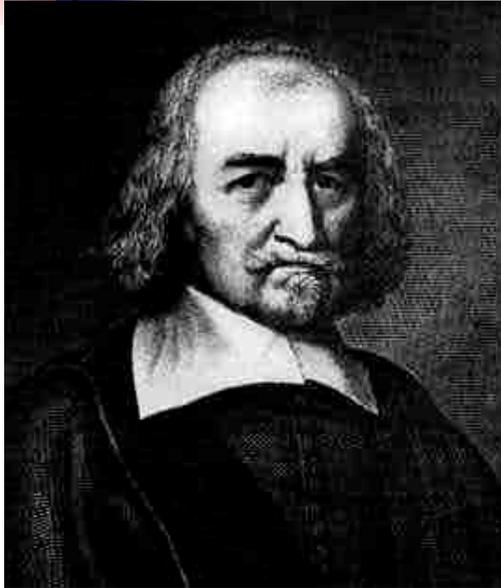
## 2.1. Security as a basic value and goal



- ? **Security** (lat.: *securus, se cura*; it. *Sicurezza*, fr.: *sécurité*, sp.: *seguridad*, p.: *segurança*, g: *Sicherheit*). **Cicero & Lukrez** referred to a philosophical & psychological status of mind, since 1<sup>st</sup> cent. as a **polit. concept** ( '**Pax Romana**' ).
- ? **'Security'** is associated in dictionaries with many **different meanings** that refer to **frameworks & dimensions**, apply to **individuals, issue areas, societal conventions & changing historical conditions & circumst.**
- ? **Security as a term is associated with:** the state of being, feeling safe, secure, free from fear, care, danger; b) safety of a country or organisation against espionage or theft or other danger; c) freedom from doubt, danger & anxiety; d) assured freedom from poverty & want; e) a person or thing that secures or guarantees; f) precautions taken against theft, espionage; g) certificate of creditorship, pledge of repayment, fulfilment of promise, guarantee; h) synonyms: asylum, care, cover, custody, immunity, preservation, protection, refuge, retreat, safe-keeping, safety, sanctuary, shelter; i) defence, guards, precautions, protection, safeguards, safety measures, surveillance, assurance, certainty, confidence, conviction, freedom from doubt, reliance, sureness; j) guarantee, insurance, pledge, surety; k) overconfidence, carelessness; l) something that gives or assures safety, protection safeguard.
- ? **Security as an individual or societal political value has no independent meaning** and is always **related to specific individual or societal value systems and their realisation.**

## 2. Concept of Security

### 2.2. English School: Hobbes, Grotius & Kant



Hobbes (1588-1679)



Grotius (1583-1645)



Kant (1724-1804)

Security perceptions depend on worldviews or traditions

- ? **Hobbesian pessimist:** *power* is the key category (narrow concept)
- ? **Grotian pragmatist:** *cooperation* is vital (wide security concept)
- ? **Kantian optimist:** *international law* and *human rights* are crucial

## 2. Concept of Security

### 2.3. Classical definition of security

**Arnold Wolfers (1962)** distinguished objective vs. subjective security

„Security, in an *objective sense*, measures the *absence of threats* to acquired values, in a *subjective sense*, the *absence of fear* that such values will be attacked.“

**Buzan/Waeaver/de Wilde: On Security (1998):** narrowers vs. wideners

Table: Dimensions (Sectors) & Levels of a Wide Security Concept

Security dimension? ? Level of interaction	Mili- tary	Political	Economic	Environ- mental ?	Societal
Human individual ?				victim	
Societal/Community				??	
National (State)	Security dilemma			Survival d.	
Internat./Regional				??	
Global/Planetary ?				GEC	

## 2. Concept of Security

### 2.4. Soft security challenges & concepts: environmental & human security

Label	Reference object	Value at risk	Source(s) of threat
National security	The State	Territ. integrity	State, substate actors
Societal security	Societal groups	Nation. identity	Nations, migrants
Human security	Individ., mankind	Survival	Nature, state, global.
Environmental sec.	Ecosystem	Sustainability	Mankind

Source: B. Møller: in Brauch et al. (2003): *Sec. & Env. in Mediterranean*, 277-288.

**Env. Security:** Referent: Ecosystem; Value at risk is *sustainability*.

? Major challenges: *global environmental change & humankind*,

? Focus: Interactions between ecosystem & humankind,

**Human security:** Referent: individuals and humankind.

? Values at risk: survival of human beings and their quality of life.

? Major source of threat: nature (*global environmental change*), globalisation, nation state with its ability to cope with dual challenge.

## 2. Concept of Security

### 2.5. Security concepts & systems in UN Charter

? **UN Charter** used **security** only for the **internat. level & with peace**, **Preamble**: “to unite our strength to maintain international peace and security”, **Art. 1 (1)**: “to maintain international peace and security”, as functions of GA (Art. 11, 1), SC (Art. 24,1).

? **Three systems of security in UN Charter:**

? (a) a universal system of *collective security* contained in Chapt. VI on pacific settlement of disputes (Art. 33-38) and in Chapt. VII on “Action with respect to threats to the peace, breaches to the peace and acts of aggression” (Art. 39-50);

? (b) “*regional arrangements or agencies*” for regional security in Chapt. VIII (Art. 52-54), Arab League, CSCE/OSCE; but also to

? (c) “*individual or collective self- defence*” (NATO) Art. 5, Ch. VII.

? **With end of the Cold War from collective self-defence back to collective security system and back to collective self-defence?**

## 2. Concept of Security

### 2.6. Increasing heterogeneity of security concepts due to mindsets, worldviews & referents

---

- ? Today we have several parallel debates on security!
- ? We have a coexistence of pre-modern, modern and post-modern views on national sovereignty & security.
- ? No agreement on global change: 1989 or 2001?
- ? **On 30.1.2001 a basic shift in mindset & worldview in USA: Return of a Cold War mindset & Hobbesian worldview & shrinking to a narrow national military, political concept**
- ? Self-defence (Art. 51) vs. Art. 2,4 and Art. 2,7 UN Charter
- ? Power to decide on legitimacy of pre-emptive use of force.
- ? Continuation of a widened security agenda in Europe & a coexistence of 3 worldviews of Hobbes, Grotius & Kant
- ? UN system: continuation of a sectorialisation of security.
- ? Shift in referent: „state“ vs. „human-centred perspective“.

# 3. Concept of Peace

## 3.1. Peace as a basic term in English

? **Peace, Latin ‘pax’; French ‘paix’, Ital.: pace; Span./Portug: ‘paz’.**

? **‘Peace’ is associated with:** “1. no war, a) a no war between countries or in a country, b) a period of time where there is no war: *a lasting peace*; 2. agreement that ends a war; 3. a peaceful situation with no unpleasant noise; 4. feeling of calmness, lack of worry & problems; 5. a situation in which there is no quarrelling between people who live or work together; 6. disturb the peace, to behave in a noisy and violent way.

? **‘Peace’ as** 1. freedom from disturbance, tranquillity, 2. freedom from or ending of war, 3. an action such as a handshake, signifying unity, performed during Eucharist

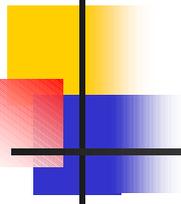
? **‘Peace’ means:** 1 freedom from war or civil strife; 2. a treaty or agreement to end war; 3. freedom from public disturbance or disorder, public security, law and order; 4. freedom from disagreement or quarrels, harmony, concord; 5. an undisturbed state of mind; absence of mental conflict, serenity; 6. calm, quiet tranquillity

? **‘Peace’:** 1. the state existing during the absence of war ..., 2. a treaty marking the end of war, 3. a state of harmony between people or groups, 4. law and order within a state ..., 5. absence of mental anxiety, 6. a state of stillness, silence, or serenity.

? **Dictionaries combine a state of no war with a positive state of harmony.**

# 3. Concept of Peace

## 3.2. Peace as a basic term in other languages



? German term **‘Frieden’** derives from old German **‘fridu’** meaning **protection & security**, closely related to Dutch term **‘vrede’** and Swedish: **‘frid’**.

? In old German law **‘Friede’** referred to a state where a legal order prevailed as basis for life in a community or in the whole country (**of land, of king, in castle or on the market**).

? Middle high German, **‘Frieden’** was also used to refer to an armistice.

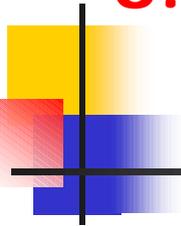
? While Latin **pax** & German **Frieden** are rather narrow concepts, Greek **eirene**, Hebrew **shalom**, Arab **salam** seem to approach **‘peace with justice’** including an absence of direct and structural violence”.

? Hindi **ahimsa** “no harm” adds the ecological dimension that is missing in the Occident. For Gandhi basis for his non-violent struggle.

? Different values, goals and other concepts (law, security, justice, harmony with nature) are associated with **‘peace’**.

# 3. Concept of Peace

## 3.3. Peace as a Greek and Roman concept



? **Different concepts of peace in different time periods, disciplines & within disciplines during the same time. Peace** requires a minimum of order & consensus, closely associated with law that presupposes freedom. Peace is no state of nature but **must be created** by human beings, & often relies on legal agreements that are in most cases backed by power. Internal peace corresponds closely with defence of territory against outside infringements.

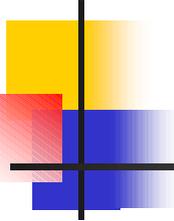
? For **Platon** war and conflicts were to be avoided within the polis. **Aristotle** combined peace (**‘eirene’**) with politics, emphasised that all political goals may only be realised under conditions of peace, war is only a means for defence of polis. **Greek sophism** distinguished among 3 levels of peace, a) within the polis, b) within Hellas and c) with other peoples and barbarians.

? During the **Roman period**, **‘pax’** was closely tied to law & contracts and with the emergence of the Roman Empire,

? **Pax Romana** relied on the contractual subjugation under the emperor in exchange for protection against external intruders.

# 3. Concept of Peace

## 3.4. Peace as a medieval & modern concept



? **Augustine** developed a Christian concept of peace that distinguished between the **peace on earth** (*pax humana*) and the **peace of God** (*pax divina*).

? **Thomas of Aquino** stressed the close connection of peace with justice (*iustitia*) & with the love for other human beings (*caritas*). For him peace is a political good & the goals of the state, a pre-condition for a good life. During the 14<sup>th</sup> and 15<sup>th</sup> centuries, several convents called for a peace among Christians (*pax Christiana*).

? **Westphalian peace of 1648** requested that all parties adhere to the ‘**pax Christiana universalis perpetua**’. After the peace of **Utrecht (1713)**, **Abbé de Saint-Pierre** called for a federation of princes to secure a ‘paix perpétuelle’ in the tradition of peace proposals from Thomas **Morus’ Utopia (1516)** to **William Penn’s Essay towards the present and future peace in Europe (1693)**, and by utilitarian (**Bentham**) and socialist authors (**Fourier, Saint-Simon**).

? In the **tradition** of the movement for a **peace of the land** the ruler was considered as the ‘defensor pacis’ who was unconstrained by religious powers. **Defence of territorial peace** was linked to **monopoly of force by sovereign rulers**.

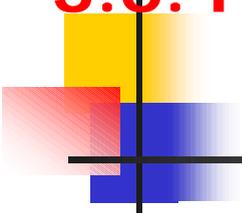
# 3. Concept of Peace

## 3.5. Peace as an international legal concept

- ? 'Peace between and among states': a major concern of **modern international law** since the 16<sup>th</sup> (**de Vitoria, Suárez**) & 17 century (**Grotius, Pufendorf**). They considered war still a legitimate means for the realisation of interests among states (*ius ad bellum*) but at the same time they called for constraints during war, such as a continuation of diplomacy & of the activity of neutral organisations (*ius in bello*).
- ? **Kant** in his *eternal peace* (1795) went further and proposed a ban of war itself and developed a legal framework for a permanent peace based on six preliminary articles and three definite articles that called for a democratic system of rule, an international organisation (league of nations) and the respect for human rights.
- ? During **age of nationalism** in 19<sup>th</sup> and early 20<sup>th</sup> century, **Treitschke, Nietzsche, Sorel** contributed to a glorification of war (**bellicists**) while simultaneously radical **pacifists** & peace movement of late 19<sup>th</sup> century requested a condemnation of war.
- ? After World War I, **Woodrow Wilson** (**Kantian tradition**) at Versailles peace conference, was instrumental for the creation of the **League of Nation**,
- ? After WW II, **Hobbesian lessons** from collapse of League of Nations. **United Nations** with teeth, a **bipolar power system** based on **military alliances** prevailed.
- ? With **end of Cold War** war as a **social institution** has returned as resource, **ethnic/religious conflict** within states & **pre-emptive wars** unsupported by UNSC.

# 3. Concept of Peace

## 3.6. Peace: Basic value & goal of Peace Research



? **Peace research as a value-oriented academic programme** emerged during the Cold War in the **U.S. & in Northern/Central Europe** as an intellectual challenge to prevailing **Hobbesian perspectives in international relations** and in newly emerging programmes of **war, strategic and security studies**.

? **Johan Galtung**, one of the founders of peace research, has defined peace narrowly

? **“as absence of warfare**, i.e. organized violence, between groups defined by country, nation (culture, ethnicity), race, class or ideology. International or external **peace is the absence of external wars**: inter-country, inter-state, or international. ... **Social or internal peace is absence of internal wars**: ethnic, racial, class, or ideological groups challenging the central government, or such groups challenging each other.

? **Galtung** has distinguished between **direct, personal** or institutionalised violence and **structural violence** taking the form of “economic exploitation and/or political repression in intra-country and inter-country class relations”.

? **Czempiel: “peace research does not have a clarified peace concept”.**

# 3. Concept of Peace

## 3.7. Preconditions for peace as a process of no-war

**For Ernst-Otto Czempiel, peace as an institutionalised patterned process of no-war, has to comply with six preconditions:**

- ? the anarchy of the international system must be changed by cooperation of the states in system-wide international organisations;
- ? the dominance of power must become more equal due to a higher distributive justice of societal opportunities for development;
- ? the systems of rule must be democratised to permit that the demands of society will be better reflected in the decisions of a society;
- ? interest groups must become more transparent and their access to the decision-making process must be better controlled;
- ? the opportunities to steer complex interactions with a regional and global scope must be improved by new forms of governance in which the societies should participate;
- ? the strategic competence of the actors must be improved, their education must be modernised and become more professional.

# 3. Concept of Peace

## 3.8. Peace: Goal of policy, diplomacy, and international institutions

? UN Charter, peace among the purposes of the UN in Art. 1,1:

? to **maintain international peace and security**, and to that end: to take **effective collective measures for the prevention and the removal of the threats to the peace**, & for the suppression of acts of aggression or other breaches of the peace, and to bring about by peaceful means, and in conformity with the principles of justice and international law, adjustment or settlement of international disputes or situations which might lead to a breach of peace.

? **R. Wolfrum** pointed to a narrow & wide interpretations of **peace in UN Charter**:

? If 'peace' is narrowly defined as the mere absence of a threat or use of force against the territorial integrity or political independence of any states (Art. 2(4)) ('negative peace'), the term 'security' will contain parts of what is usually referred to as the notion of 'positive peace'. This latter notion is generally understood as encompassing the activity which is necessary for maintaining the conditions of peace. The preamble and Art. 1(1). (2), and (3) indicate that **peace is more than the absence of war**. These provisions refer to an evolutionary development in the state of international relations which is meant to lead to the diminution of those issues likely to cause war.

# 3. Concept of Peace

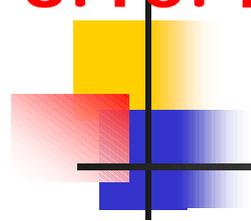
## 3.9. Proclamation of International Year of Peace

? A wider concept of peace basis for International Year of Peace in GA Res. 40/3, of 3 Oct. 1985 the promotion of international peace & security required **continuing & positive action by peoples & states on these goals:**

? **The prevention of war;** the removal of various threats to peace (including the nuclear threat); **respect for the principle of the non-use of force;** the **resolution of conflicts and the peaceful settlement of disputes;** the **development of confidence-building measures;** agreement on **disarmament;** the **maintenance of outer space for peaceful purposes;** respect for the **economic development of states;** the **promotion and exercise of human rights and freedoms;** decolonisation in accordance with the principle of self-determination; the **elimination of racial discrimination and apartheid;** the **enhancement of the quality of life;** satisfaction of human needs; and the protection of the environment.

# 3. Concept of Peace

## 3.10. Impact of context change on peace concept



- ? The global contextual change of 1989 – 1991 coincided with changes in the way the **security concept** has been understood, defined and used in politics, by international organisations and in the social sciences
- ? Did changes occur in the related **peace concept** since 1990?
- ? What impact did these changes have on the security concept?
- ? Peace and security were two basic concepts of the UN Charter!
- ? Since 1945, the **concepts of development** (UNDP, UNIDO) and **environment** (UNEP) have evolved as new goals and tasks on the new agenda of international organisations.
- ? Have these 2 concepts also been reconceptualised since 1990?

# 4. Concept of Development

## 4.1. Basic definitions

? “**Development**” (Fr.: *développement*; Sp.: *desarrollo*; Port.: *desenvolvimento*; It.: *svolgimento*; G.: *Entwicklung*): 1 act or **process** of growing or developing; 2. **Product** of developing; 3. a **fact or event**, esp. one that changes a situation; 4. an **area of land** that has been developed.

? These definitions do not cover the specific content of scientific concepts of development in the *biological* and *social sciences* since the 18<sup>th</sup> century.

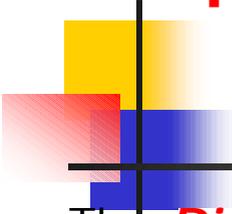
? *New Encyclopædia Britannica* a concept in biology as “**the progressive changes in size, shape, and function during the life of an organism by which its genetic potentials are translated into functioning adult systems**”.

? The *German Brockhaus Enzyklopädie* uses the concept development with 5 different disciplinary contexts in biology, philosophy, photography, politics and economics and in psychology. In **politics and economics development** is defined as

? the building-up, expansion and working to full capacity of the production potential for the population with goods and services in the context of a social and political order that relies on human and citizens rights as well as other basic values such as freedom, social justice, domestic and external peace, and that preserves the cultural heritage in national independence and that protects the natural conditions for life. Thus, the term development has an economic, a social and a political dimension.

# 4. Concept of Development

## 4.2. Development as a scientific concept



? The **Dictionary on Basic Historical Terms** traced the historical development of the German term “**Entwicklung**” to the sphere outside the political & social world that was first used in the **philosophy of history** & in historiography that was gradually introduced into the political language & used by the public, ever since 1770.

? Noting that **no accepted definition** of the term exists, **Wieland** pointed to these common features of the development concept as used in philosophy and history:

? a) development of an irreversible, gradual, longer-term change in time; b) this change may not exclusively be understood as an object of deliberate action and planning, but it follows its own laws; c) the change is based on an identical and insisting subject ...; d) no sensible use of development can neglect the use of teleological concepts.

? He reviewed the early use of the concept by philosophers **Möser, Herder & Kant**, by poets Schiller & Goethe, especially since 1800 by Romantic authors, by Savigny **Adam Müller & Hegel**, prior to 1848 & by **Marx**. In 1878 **Rudolf Eucken** warned that the concept could hardly be used any longer as a scientific term. Based on **Darwin & Haeckel**, the German concept of “**Entwicklung**” was widely used in the late 19<sup>th</sup> & 20<sup>th</sup> century often synonymously with the biological concept of “**evolution**”.

? But the **concept “development” in historiography is irrelevant for the modern concept** in economics, sociology & political science, especially with regard to a political goal and policy area.

# 4. Concept of Development

## 4.3. Development as a social science concept

? **Hillmann in sociology** „development“ refers to “**processes and forms of movement & change of social structures** to other or higher relatively stable conditions”. Continuous, abrupt, evolutionary or revolutionary quantitative & qualitative developments are distinguished whose causes can be endogenous or exogenous to structures & systems.

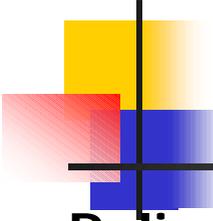
? **Grüske/Recktenwald in economics** avoided a definition of the concept but introduced instead several applied concepts of the secular development of the state, of development assistance, policy and theories as well as of developing countries.

? **Manfred Schmidt in political science**: development as a concept “for events or results of societal, econ. & political change directed at a level of progress and public welfare often with regard to econ. resources of Western industrial countries. **Political dev.** is a technical term for the analysis of developing countries in comparative government focusing on the institutional conditions & the process of the evolution of differentiated, pluralist political systems compared with Western democracies.

? **All these definitions excluded environmental factors** contributing to & constraining economic development, especially natural hazard & disasters. The concept of “**sustainable development**” was introduced in the international political and scientific development discourse by the **Brundtland report of 1987**.

# 4. Concept of Development

## 4.4. Development as a key political goal



? **Policy goals of development have been as varied as the definitions of development concept.**

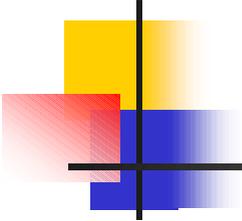
? The goals differed with regard to the vantage point of policy makers, in the **industrial** (Group of 7, OECD countries) or **developing countries** (Group of 77 and China) or between those who supply or receive development aid.

? During the Cold War these goals were closely associated with the prevailing economic systems in a bipolar world of capitalism and socialism. The goals also differed with regard to import-substitution or export-led industrialisation, capital or labour intensive strategies.

? **Stallings** who used the development concept primarily for economic dev., i.e. for growth and equity of distribution, pointed to **five new elements** of the new international context for development after the global turn of 1990: **“the end of the Cold War, new relations among advanced capitalist powers, increased globalisation of trade and production, shifting patterns of international finance, and new ideological currents”** .

# 4. Definitions of the Concept Development

## 4.5. Development as an object of social science research & theories

- 
- ? **Development research** as an academic effort emerged with the process of decolonisation after World War II as an objective of social and political science while before it had been a domain of anthropological & ethnological research. The initial focus of the interest in the economic and social sciences was on **analysis of the preconditions and features of development processes, especially on the economic, social, political and cultural factors that enhance or restrain development.**
  - ? Later **goals of developm. & causes of underdevelopment** were added.
  - ? **Two major groups of theories can be distinguished:** a
  - ? **theories of modernisation** that emerged and were widely used by scientists in the United States and in other OECD countries, and
  - ? **critical approaches** that were influenced primarily by Marxist theories of **imperialism** and **dependencia**.
  - ? All social science methods were also used in development research, from models, statistics to individual to comparative case studies.
  - ? **With end of the Cold war, many authors noted a crisis of developm.theories.**

# 5. Concept of Environment

## 5.1. Basic definitions of environment & ecology

? **Environment** (fr.: *environnement*; sp.: *medio ambiente*; it: *ambiente*; p.: *meio ambiente*; g: *Umwelt*)

? **Ecology** (fr.: *ecologie*; sp: *ecología*; p: *ecologia*; g: *Ökologie*).

? In English dictionaries ‘environment’ & ‘ecology’ were given many different meanings. The ***Encyclopaedia Britannica*** has defined ‘environment’ :  
“the complex of physical, chemical, and biotic factors that act upon an orga-nism or an ecological community & ultimately determine its form & survival”.

? **Aspects of the natural environment** of human beings are covered under *atmosphere, hydrosphere, biosphere, geosphere*.“

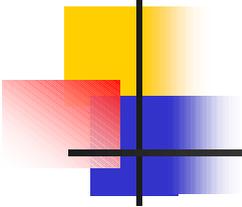
? ***Brockhaus Encyclopaedia*** distinguished among different environments of an organism: a) psychological, b) physiological, c) ecological and d) cosmic.

? For humans physical (natural), technical (manmade), & societal factors are of importance. ‘**Ecology**’ – according to ***Encyclopaedia Britannica*** refers to:

„**study of the relationship between organisms and their environment**“.

# 5. Concept of Environment

## 5.2. Scientific concepts of environment & ecology



? For **O’Riordan** ‘environment’ is: “a metaphor for the enduring contradictions in the human condition; power of domination yet the obligation of responsibility; drive for betterment tempered by the sensitivity of humility; manipulation of nature to improve the chances of survival, yet the universal appeal of sustainable development; the individualism of consumerism and the social solidarity of global citizenship.”

? **Ted Munn** in: ***Encyclopedia of Global Environmental Change (2002):***

? In the 1960s, the scientific community began to use the word **environment** in this new **non-specialist sense**. ... In the ensuing decades, the world community has come to see the ‘environment’ in many different ways, **as a life-support system**, as a **fragile sphere hanging in space**, as a **problem**, a **threat and a home**. ... In the 1970s and 1980s; ... **global environmental change** acquired a popular currency. ... Another vital insight began to emerge about 1980: the inescapably interlinked nature of the-se many environmental changes. ...

? **Global environmental change** has come to encompass a full range of **globally significant issues** relating to both nature and human-induced changes in Earth’s environment, as well as their socio-economic drivers. ... Analyses of global environmental change therefore demand input from the social sciences as well as natural sciences.

# 5. Concept of Environment

## 5.3. IR and the international environment

? **Ronald Mitchell** reviewed the history of the research field ‘international environment’, causes of internat. environmental problems with a special focus on four steps of the political process of: a) **agenda setting**, b) **policy formulation**, c) **policy implementation & effectiveness** and d) **policy evolution & social learning**.

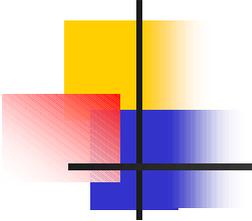
? *Theoretically*, we need a framework to make sense, for each stage of the policy process, of which factors are influential under a wide range of circumstances, which are influential only in limited circumstances, and which are simply not influential despite earlier theorising. *Methodologically* we need to supplement the almost exclusive use of case studies with quantitative methods, formal modeling and simulation. ... *Empirically*, we need to develop data for quantitative and large-n quantitative comparisons across issues. ...

? If scholars of IEP are to contribute to *global environmental management*, we must begin developing contingent knowledge that identifies how the choices actors make promote environmental protection, the structural constraints on their ability to do so, and the conditions under which the former can help us overcome the latter.

? **For the analysis of national & international environm. governance & regime formation all 3 stages of the policy process are relevant.**

# 5. Concept of Environment

## 5.4. Scientific traditions, schools, approaches & frameworks

- 
- ? Environmental & ecological concerns are lacking in the UN charter of 1945 and also in English school on peace & security concepts.
  - ? On population growth & resource constraints two traditions have evolved:
  - ? a *pessimist **Neo-Malthusian*** view stimulated by Malthus' *Essay on Population* limited carrying-capacity of the Earth to feed the growing population;
  - ? *optimist **Cornucopian view*** – influenced by **Condorcet**– that believed an increase in knowledge, human progress & breakthroughs in science & technology could cope with these challenges.
  - ? These two *ideal type* positions have dominated the environmental debate since the **Club of Rome's *Limits of Growth***, and **Lomborg's *Skeptical Environmentalist***
  - ? I added a third reformist and pragmatist environmental standpoint that requires multilateral cooperation for problem solution

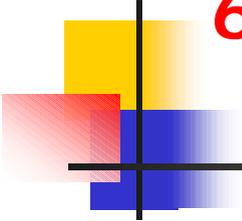
# 6. Combined Security & Environment Perspectives

## 6.1. Ideal type worldviews on security and standpoints on environment

Worldview/Tradition on security (ff)	Machiavelli, Hobbes, Morgenthau, Waltz (pessimist, realist school)	Grotius, Cooperation is needed, matters (pragmatist)	Kant International law matters and prevails (Democratic peace) (neoliberal institutionalistoptimist)
Standpoints on environmental issues (ff)			
Neomalthusian Resource scarcity (pessimist)	I George W. Bush-Administration ?	II ffi	III ffi
Reformer, Multilateral cooperation solves challenges (pragmatist)	IV	V UN system most EU states (my position)	VI
Cornucopian Technological ingenuity solves issues (neoliberal optimist)	VII George W. Bush-Administration ?	VIII Bill J. Clinton Administration ?	IX Wilsonian liberal optimism

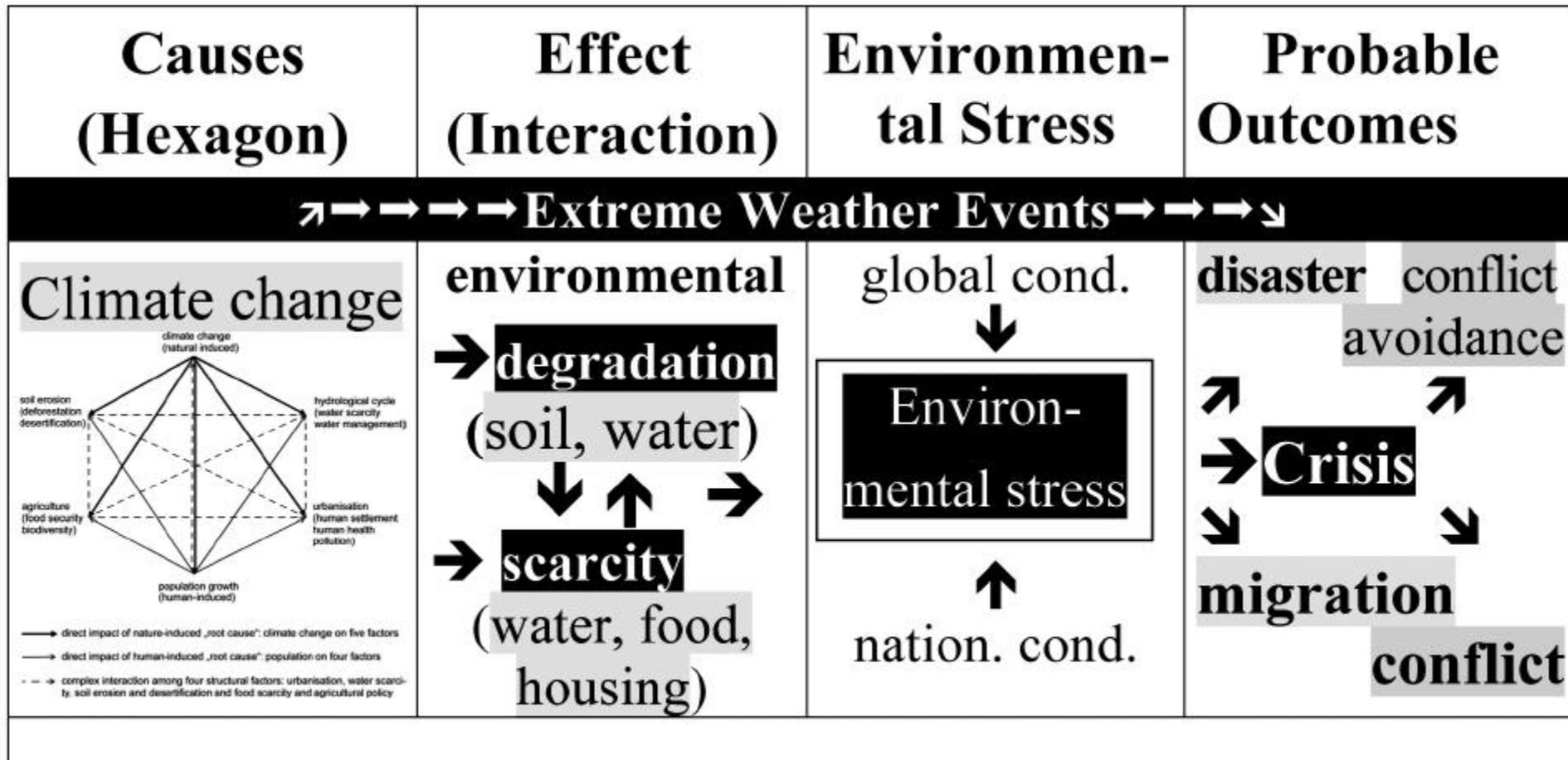
# 6. Combined Security & Environment Perspectives

## 6.2. Changes in the conceptual quartet

- 
- ? Since the global turn of 1990 major changes have occurred in the understanding of the four basic political concepts in the quartet: peace, security, development & environment (SPED).
  - ? The analysis of changes that have occurred since 1990 among six dyadic linkages in the conceptual quartet will be of importance for the analysis of causal relations between global environmental change, environmental stress and fatal outcomes.
  - ? The analysis of the „survival dilemma“ for the environmental security dimension and from a human security perspective may lead to new insights on environmental-security linkages.
  - ? **GMES** may contribute to an **early recognition** of fatal events and to improved disaster preparedness and response activities.

# 7. Model: Global Environmental Change, Environmental Stress and Fatal Outcomes

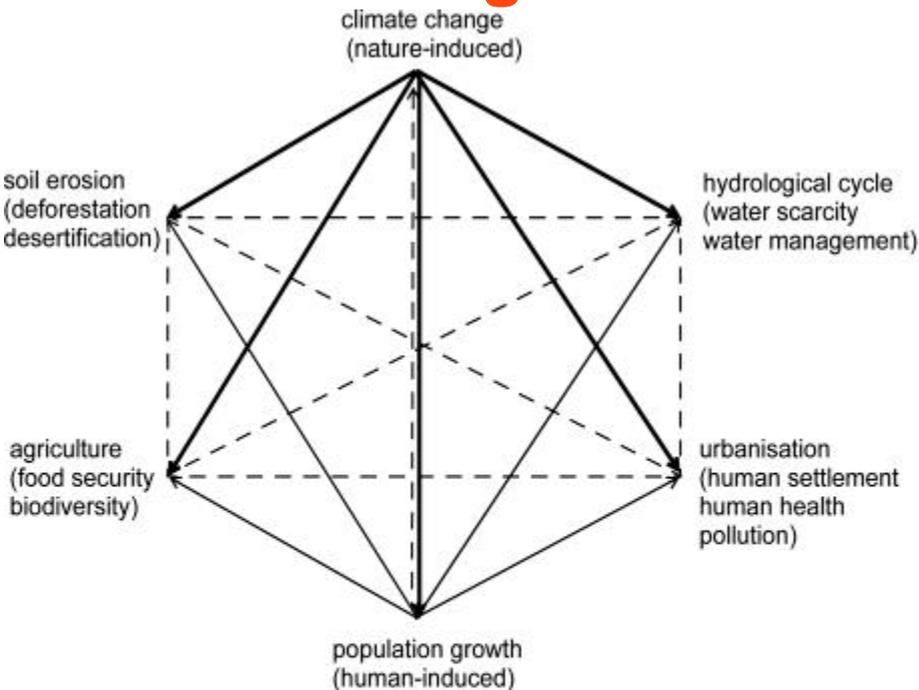
## 7.1. Coping with the survival dilemma



# 7. Model: Global Environmental Change

## 7.2. Environmental Challenges in the 21<sup>st</sup> Century: Survival Hexagon

### Survival Hexagon: 6 factors



Causes of „survival dilemma“

Nature & human-induced

? **Air:** Global climate change

? **Soil** degrad.,  
desertification

? **Water** scarcity, hydrological  
cycle

Human-induced factors

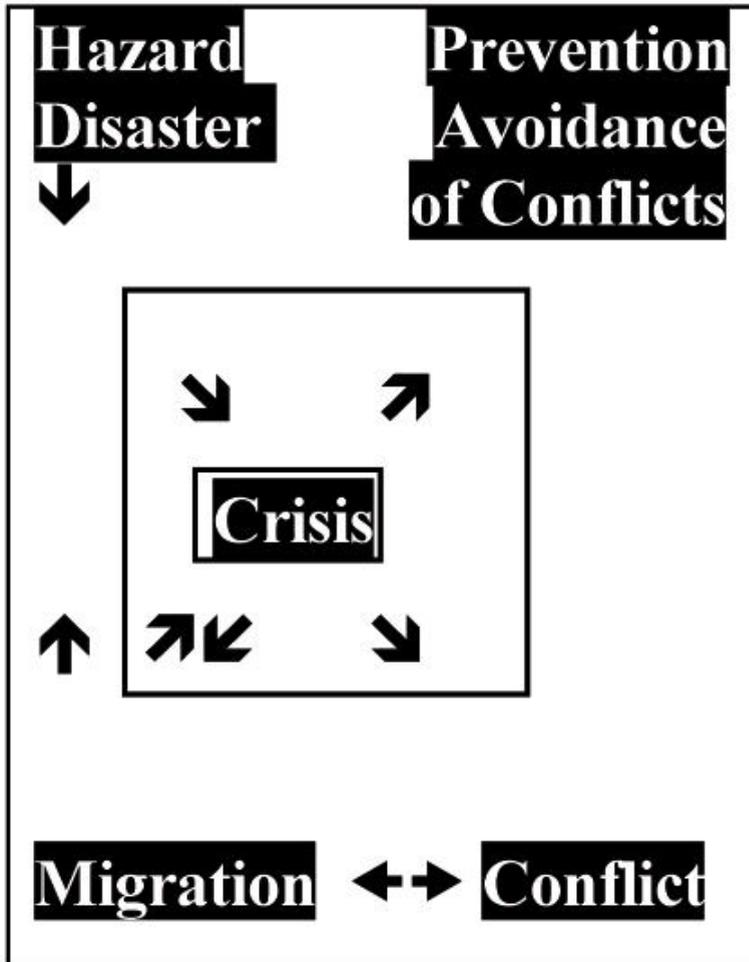
? **Population** growth

? **Urbanisation**

? **Food & Agriculture**

# 7. Model: Fatal Outcomes: Linking Natural Disasters with Societal Consequences:

## 7.3. Posing a „Survival Dilemma“



GEC & environm. stress result in hazards, migration, conflicts

Affect: individual & humankind

Pose a „survival dilemma“ for highly vulnerable humans:

- ? To stay at home, starve & die
- ? To move & clash over water & food

Vulnerable: women & children

Abrupt climate change may pose a „survival dilemma“ for affected regions (North Atl.)

Need for coping strategies to reduce societal & environmental vulnerability.

# 8. Fourth Phase of Research on Human & Environmental Security & Peace (HESP)

## 8.1. Three Stages of Research on Environmental Security

---

- ? **First conceptual phase (1983-1990)**: Impacts of wars on environment (**Westing**), since 2001: **UNEP-PCAU** debate on env. security as a **national security issue** (Ullman, 1983; Mathews, 1989, N. Myers, 1989)
- ? **Second empirical phase (1991-2000)**: Canadian (Th. **Homer-Dixon**) & Swiss (**ENCOP**, **Bächler**): case studies on env. scarcity, degradation as causes of environmental stress & conflicts and env. cooperation (**ENCOP**)
- ? **Third Phase**: methodological diversity (since ca. 1995: e.g. **GECHS**, state failure project, **Swiss project**: mitigating syndroms of global change, **PRIO**: Civil War research: **ongoing, many directions, little synthesis**)

# 8. Fourth phase of research on HESP

## 8.2. Three Key Goals

### 4th phase of research on HESP should aim at:

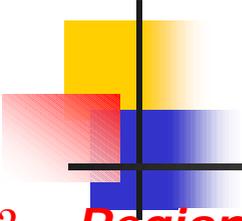
- ? A **“people-centred” human security perspective** from the individual to the global level to develop **strategies for adaptation and mitigation to reduce both the likelihood and the impact of and the vulnerability** to these outcomes by strengthening resilience.
- ? The **normative orientation** at the dual policy goals of **sustainable development and sustainable peace** requires the scientific development of complex knowledge, a **societal and political problem awareness, anticipatory learning** and “ingenuity” in the framework of a **“culture of prevention”**.
- ? **Practical purpose & policy relevance** of a 4th phase of research is to recognise **early-warning indicators**, to **examine both the environmental consequences of wars and the existing conflicts over scarce resources** that may lead to **environmental stress** to prevent that they escalate into violence and, to **develop longer-term priorities for European countries**, as well as for **international organisations to avoid fatal environmental outcomes** from occurring, and to contribute to regional environmental **good governance**.

# 8. Fourth phase of research on HESP

## 8.3. Normative Context: HESP Essentials

A 4th phase of research on human and environmental security and peace (HESP) may aim at ten conceptual and policy goals:

- ? **Orientation:** Analyst is influenced by worldviews & ecological standpoints. An **equity-oriented pragmatic Grotian perspective** may be best suited to support multilateral environmental efforts in the framework of international organisations & regimes with the **goal to avoid harmful and conflictual outcomes**.
- ? **Causes:** Research should broaden scope & include both **environmental degradation & scarcity** & their impact on environmental stress. This requires a close interaction between social & natural sciences, a multi- & interdisciplinary approach.
- ? **Policy Process:** Case studies should include respective policy processes, how the state & society have responded to challenges & outcomes, they should emphasise the role the knowledge factor (learning, capacity building) has played in developing adaptive & mitigation strategies to reduce vulnerability & strengthen resilience.
- ? **Outcomes:** The research should focus not only on environmental conflict but it should include disasters, distress migration and environmental refugees and the complex interactions among these outcomes.



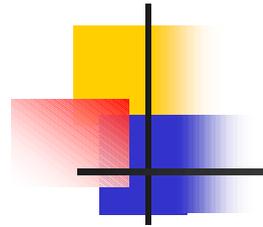
# 8. Fourth phase of research on HESP

## 8.4. Additional HESP Essentials

---

- ? **Regional Orientation:** A regional perspective both on causes, policy process & on outcomes is needed. This requires a regional resolution for natural science models & comparative social science case studies on the policy processes within the region.
- ? **Spatial Approach.** The analysis of environmental security issues on a regional level requires a spatial approach. As neither the approaches of *globalisation* & *geopolitics* have included environmental factors & problems of environmental security, a new approach of a **political geo-ecology** has been suggested.
- ? **Human Security Focus:** Referent for research & policy should be human beings, individual victims & communities of distress migration, disasters, crises & conflicts.
- ? **Policy Goals on individual level:** Environmental security studies should aim at contributing to strategies for reducing the **impact** of outcomes of environmental stress, decreasing **vulnerability** & strengthening the coping capacities & *resilience*.
- ? **Policy Goals on national & international level:** Strategies for coping with national & regional outcomes of env. stress by improving disaster response & integrating disaster reduction into national & local development planning. Resolution, prevention & avoidance of violent outcomes from env. stress should become a policy goal.
- ? **Sustainable Development & Sustainable Peace:** A human security perspective to analysis of environmental security issues may aim at “sustainable peace.

# 9. Conclusions: Project Tasks & Questions to be Addressed



**Let me return to the key questions of this project and workshop?**

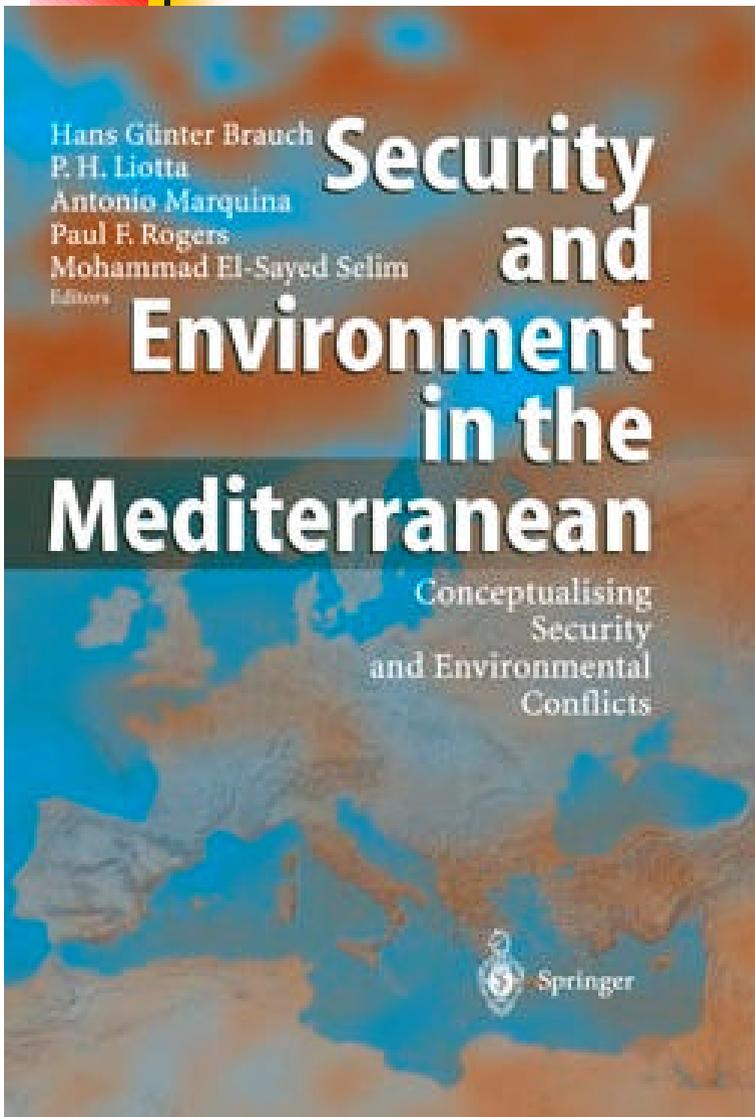
- ? **Perception of contextual change is socially (nationally) constructed.**
- ? Was the **contextual change of 1989/1990** global and for whom?
- ? Was **30 January** or **11 September 2001** a major turn for whom?
- ? **What did change:** a) **international order**, b) **threat by non-state actors**, c) **level, brutality and sophistication of terrorism?**
- ? **For whom (referents):** a) world of nation states, b) humankind, c) societal & ethnic groups, or d) individual, family, clan, village, tribe?
- ? Did **the turn** contribute to a **fundamental reconceptualisation** of four basic concepts: **security, peace, development & environment?**
- ? **Did the reconceptualisation occur globally/regionally/nationally?**
- ? Or did several simultaneous but not identical reconceptualisations occur?
- ? **This requires not a European but a truly global intellectual effort**

# Sources

[[http://www.afes-press.de/html/the\\_hague\\_programme.html](http://www.afes-press.de/html/the_hague_programme.html)

or: [http://www.afes-press.de/html/download\\_hgb.html](http://www.afes-press.de/html/download_hgb.html)]

Comments to: [brauch@afes-press.de](mailto:brauch@afes-press.de)



- ? Brauch-Liotta-Marquina-Rogers-Selim (Eds.): *Security and Environment in the Mediterranean* (Berlin – New York – Paris – London -Milan: Springer 2003) ([http://www.afes-press.de/html/bk\\_book\\_of\\_year.html](http://www.afes-press.de/html/bk_book_of_year.html))
- ? Brauch: *Climate Change and Conflicts* (Berlin: BMU 2002) *free download* : ([http://www.bmu.de/en/800/js/download/b\\_climges/](http://www.bmu.de/en/800/js/download/b_climges/))
- ? The Hague Workshop, 9-11 Sept. 2004: **Reconceptualising Security in an Era of Globalisation**  
([http://www.afes-press.de/html/the\\_hague.html](http://www.afes-press.de/html/the_hague.html))