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*Human security, climate change and
pastoralism in the Horn of Africa.* [MSc]

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Human Security, Climate Change and Pastoralism in the Horn of Africa

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If the drumbeat changes, the dance must also change

Hausa proverb

Introduction

Reports by the International Panel on Climate Change (IPCC) confirm that anthropogenic climate change¹ is contributing to dramatic transformations of the biophysical environment that affect human settlements, ecosystem services, water resources, and food production (O'Brien & Leichenko 2007:1). A changing climate that significantly alters these conditions is expected to have an impact on human life and society (Hsiang 2011; Scheffran & Battaglini 2011; Barnett 2003).

Discussion and debate surrounding climate change has predominantly been between scientists and policy makers. They have focused on the environmental elements of climate change, its scientific basis and predicted political and economic implications rather than the threat that climate change poses for individuals and communities. However this is beginning to change, as the consequences of climate change are increasingly recognised as an unprecedented threat to human security (O'Brien & Leichenko 2007:1). This has corresponded with a growing momentum on efforts to better understand the vulnerability of human societies to the impacts of future climate and how resilience can be built to enable adaptation.

Human security is essentially a concept for identifying global vulnerability. A product of the reconceptualization of traditional security it refocuses security away from a state-centred approach to one that places the individual at its core. Through a human security lens the state is responsible for protecting and empowering the security of its citizens. However when states fail to provide human security for their citizens the responsibility falls to other actors, predominantly international organisations and Non-Governmental Organisations (NGOs). As the prominence of NGOs within international development expands and NGOs engage with a variety of new issues

¹ Anthropogenic climate change refers to the production of greenhouse gases emitted by human activity.

and vulnerabilities, their role as human security service providers has been questioned. Nevertheless there remain vast gaps in our understanding of the conceptualisation of human security, its practical utility and the relationship between human security and NGOs.

This dissertation aims to contribute to our understanding of a broad conceptualisation of human security and the relevance that human security frameworks have to NGOs by investigating the following research questions:

- How are NGOs working with pastoral communities in the Horn of Africa (HoA) framing issues of climate change using human security?
- Is the concept of human security relevant to the practice of NGOs?

These questions are important within current human security debate as despite literature stating that NGOs are using human security for policy advocacy and to frame programmatic approaches (Fukuda-Parr & Messineo 2012:2) aside from Hadiwinata (2004) there has been little case study research to substantiate these claims. In addition NGOs are widely cited as “essential actors” in providing services to logistically deliver human security through development programmes (Kerr 2010:134). Yet there is little research examining NGO engagement with human security, and particularly none from the perspective of NGOs. Rather an implicit assumption seems to have been made in the literature that by virtue of the fact that NGOs are engaged with poverty, development and human rights, that they are engaged specifically with human security. As such this dissertation provides a unique and valuable contribution to academic debate by exploring how NGOs are framing a contemporary issue using human security and how NGOs see human security as relevant.

Case Study

This research is informed through the context-specific experiences of three international NGOs: Mercy Corps, Oxfam and Care who are working in the HoA with pastoralist communities. In recent years human security has been used as a conceptual

framework for policy analysis and advocacy of climate change therefore the ‘*context*’ (i.e. climate change impact on pastoralism in the HoA) provides a relevant lens through which to view NGO engagement with human security; the primary focus of this research. Pastoralism is a way of life based primarily on raising livestock, characterised by systems with a high degree of mobility guided by a need for managed access to water and grazing land, often without regard for borders (OCHA 2007:1). In the HoA pastoralism is the main livelihood for over 30 million people and provides around 40% of the GDP, although the actual economic contribution is likely to be greater, but unrecorded, as pastoralists manage between 70-90% of livestock in the region. Within both academic and policy literature pastoralists have been connected independently and dependently with human security, and increasingly in the context of climatic change in the region. Pastoralist issues in the region are characterised by insecurities which fall under both the *broad* (poverty, marginalisation, disempowerment) and *narrow* (conflict, personal security, aggression) conceptualisation of human security. This context provides ample opportunities for NGOs to engage with human security concept and practice.

Geographical Context

Rather than a country specific focus a regional approach covering the whole HoA is taken; Figure 1 illustrates the geographical extent of this research. This approach is deemed necessary when discussing issues that concern pastoralism in the HoA as many of the poverty-related and other concerns in the region are cross-border (Oxfam 2009:16). As Cately *et al.* (2013:6) explains the HoA can be envisaged as a complex network connecting production areas, intermediary markets, ports and terminal markets, that almost without exception cut across borders. To address common concerns and the cross-border nature, NGOs working in the region typically implement strategies, interventions and policies at a regional level (Oxfam 2009:16). It is worth noting that although adopting a regional approach in much of their programming case NGOs predominantly operate in Kenya, Ethiopia, Somalia and South Sudan and Sudan.

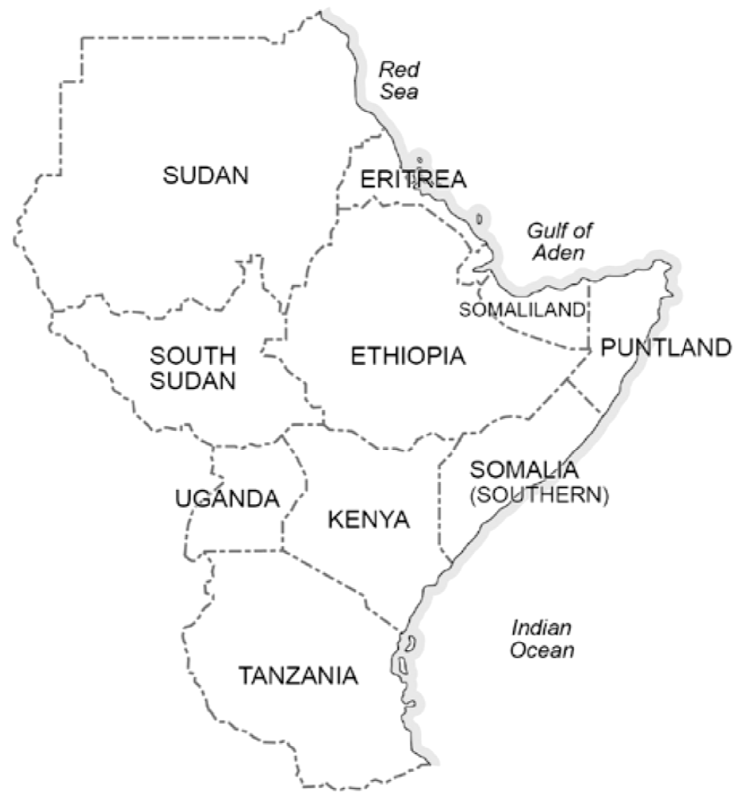


Figure 1 Map illustrating the geographical extent of this research. Source: CAADP 2012.

Dissertation Structure

This dissertation is divided into four main sections. The first chapter is a review of relevant literature, focusing on human security concepts and formulation, and the relationships between human security, climate change, pastoralists and NGOs. Chapter two outlines the methodology used to address the research question and outlines the theoretical framework used for analysing case studies. The theoretical framework draws upon findings of the literature review and publications by the case organisations. Chapter three analyses publications authored by the NGOs against the theoretical framework to deduce the extent to which these organisations are using human security to frame issues in discourse, as well as the extent to which their approaches fit with the broad conceptualisation of human security. This chapter seeks to understand what the NGOs normative principles are in relation to human security and how human security is used to frame issues in their literature. This links to the fourth Chapter which provides insight, through the analysis of key participant interviews into the approaches and concepts that NGOs use in relation to human security that were found implicitly and explicitly in the analysis of NGO publications. In addition to analysing how NGOs are engaging with human security. The final chapter draws conclusions based on key research findings, before making suggestions for future work in this field.

Chapter 1 Literature Review

This dissertation focuses on human security, and exploring the extent to which NGOs are engaging with human security and using it to frame issues of pastoralist vulnerability to climate change. Human security is recognised (by its proponents and opponents) as a response to a commonly held belief that the traditional state-based security paradigm is failing in its primary objective – to protect people (Owen 2004:374). Under a traditional ‘realist’ view the state exchanges loyalty of its citizens in return for their protection from external aggression. This however fails to acknowledge or include the possibility that the state may be a threat to, unwilling or incapable of protecting its own citizens. In recognition of new emerging security concerns such as poverty, environmental degradation and health pandemics traditional security paradigms have been challenged, as none of these complex issues fall within the traditional mandate of security thinking.

Why Human Security? Why Now?

Human security evolved *as a response* to changes in international relations and the increased interdependency of nations and individuals, emerging at the end of the Cold War and in parallel to the globalisation of economic markets and technology. This led many analysts and policy makers to re-consider “threats” to international peace and security and the means in which conflicts and insecurities are addressed.

Human security shifts the question of ‘security’ from its traditional concept of safety of states from military aggression to one that concentrates on the security of individuals, their protection and empowerment (UNTFHS 2009). Table 1 illustrates the main differences in these approaches. Placing individuals as the referent of security results in a reprioritisation of threats, and introduces new issues and vulnerabilities. Including: “vulnerability to oppression and physical violence due to deliberate action and neglect by the state to its own citizens; vulnerability to poverty and destitution; development and ending poverty as a means to achieve human security; vulnerability to downside risks from multiple sources including natural disasters, economic downturns and climate change; actors other than states as sources

of threat and global inter-connectedness of security threats” (Fukuda-Parr & Messineo 2012:4).

Through this lens the maintenance of international security is viewed as dependent upon the security of individuals, rather than states. With international security perceived to be as strong as its weakest link and weakness viewed as a threat to the entire global network of individual interdependence. Such an understanding draws upon the concepts of globalisation, and the implications it has not only at the state level but at the individual level through daily social consequences (Thomas 2007). So by introducing a human security framework the individual becomes the central focus, or as Tadjbakhsh (2005:27) describes an ‘agent’ that can actively participate in defining potential security threats and their mitigation.

Table 1 Comparison of traditional vs. human security: Adapted from: Liotta & Owen (2006:38) and Tadjbakhsh (2005:28).

	Traditional Security	Human Security
<i>Referent Object</i>	The State In a Hobbesian world, if the state is secure, then those who live within it are also secure.	The Individual Considered co-equal with the state, as such state security is the means, not the end.
<i>Responsibility to protect</i>	The Integrity of the state	The Integrity of the individual
<i>Security Value</i>	Sovereignty, power, territorial integrity, national independence	Personal safety, well-being and individual freedom. Physical safety and provision for basic needs Personal freedom (liberty of association) Human rights; economic and social
<i>Possible Threats</i>	Intrastate war, nuclear proliferation, revolution	Disease, poverty, natural Disaster, violence, landmines, human rights abuses
<i>By what means</i>	Retaliatory force or threat of use, balance of power, military means, strengthening of economic might, and disregard of law or institutions	Promoting human development: basic needs plus equality, sustainability, and great democratization and participation at all levels Promoting political development: global norms and institutions plus collection use of force as well as sanctions if and when necessary, cooperation between states, reliance on international institutions, networks and coalitions, and international organisations.

Human Security: Concepts Criticisms and Characterisation

Despite its straightforward claim and the active engagement of institutions and scholars human security concept, framework, or policy agenda has no consensual definition (Tadjbakhsh & Chenoy 2007:9). This has resulted in much controversy within the literature, which focuses around three main debates: the theory, the practice and the critique (Owen 2004:374).

The main theoretical debate within human security focuses on the broad vs. narrow conceptualisations of human security. Both of which are founded, and represent smaller or larger versions of the original introduced by The United Nations Development Programme (UNDP) in their 1994 Human Development Report. In this report, rather than providing a succinct definition, human security is described as: “safety from such chronic threats as hunger, disease and repression, and protection from sudden and hurtful disruptions in the patterns of daily life whether in homes, in jobs or in communities” (UNDP 1994:23). Furthermore threats are distinguished by seven categories: “economic security, food security, health security, environmental security, personal security, community security and political security” (UNDP, 1994:24-25) with human security further associated with four principles: people-centred, multidimensional, interconnected and universal.

This definition presents human security as a concept that is concerned with human vulnerabilities and threats from a range of different sources, both man-made and natural. Although accepted by those dissatisfied with the state-centred concept of human security and its inadequacy in addressing human vulnerabilities, the lack of conceptual clarity by the UNDP has been a source of criticism and blamed for resulting ambiguity surrounding human security’s core concepts. As King & Murry (2001:591) identify, the seven categories create potential overlap which make it difficult to distil into a coherent framework. This has resulted in an array of alternative, and sometimes conflicting, definitions used by governments, policy makers and academics. Alkire (2003) estimates there to be over thirty definitions in use (see Appendix 1 for a selected summary of definitions and Chapter 2 of Tadjbakhsh & Chenoy (2007) for a comprehensive review).

Theoretical disagreement exists between proponents of human security regarding the types of threats that should be prioritised (Kerr 2010:124). This has resulted in two parallel discourses around which competing definitions are debated: the *narrow* and *broad*.

Proponents of the *narrow* conceptualisation of human security argue that human security should constitute '*freedom from fear*' that is, threats from violence or aggression. This approach is taken by the Government of Canada, the Human Security Network and academics such as Krause, Mack, Macfarlane and Khong. For example Mack (2005, in Kerr 2010:124) defines human security as "the protection of individuals and communities from war and other forms of violence". These advocates argue that a narrow focus creates a more powerful, coherent and pragmatic agenda, in contrast to the broad approach which "sacrifices precision for inclusiveness" (Thakur 2004:347). Advocates of the narrow approach criticise the broad specifically for this reason describing it as expansive and diffusive (Paris 2001:88), to the extent that it is ineffective to action (Krause 2004, Mack 2004).

In contrast, proponents of the broad conceptualisation believe human security goes beyond '*freedom from fear*' to include '*freedom from want*'. They see substantive importance in including a wider range of concerns, and argue that such issues necessarily fall under the broad umbrella of human security (Owens 2004:275-6). Advocates include the UNDP, United Nations appointed Human Security Commission (HSC), the Government of Japan and several academics including: Alkire, Thakur, Leaning, King and Tadjbakhsh. Although there is mutual agreement in the overarching approach the degree to which threats are included varies by definition and author.

At the broad end of the spectrum sit academics such as Alkire and Thakur who include psychological, social, political and economic aspects of vulnerability, and present human security as "including all critical and pervasive threats to protect the vital core of all human lives, in a way that advances human freedoms and fulfilment" (Alkire 2004:360). Such definitions expand the scope of human security to include subjective and variable threats, in contrast to reductionists such as King & Murray (2001) who only include threats from disease and natural disasters. The main criticism of this approach is that broadness creates normative and analytical

difficulties. For instance, in expanding the scope to include all threats no threats are prioritised. However proponents see human security as a general concept, with strength in the ambiguity and breadth of the concept, which allows flexibility in the identification of priority issues within the context it is applied.

Although the narrow approach provides greater conceptual and analytical clarity, by separating dependent (political violence) and independent variables (underdevelopment), it overlooks the primary objective of human security as providing safety and protection from more than just violent threats (UNDP 1994). In doing so it fails to address the interdependent nature of threats, or marginal concerns such as food and economic security which have greater relevance on a daily basis for many people in comparison to the threat from intrastate conflict. In the context of this research, which explores the role of NGOs who are engaged in development, poverty eradication and understanding human vulnerabilities to a plethora of insecurities that go beyond the narrow conceptualisation; a broad approach is more relevant.

However adding 'freedom from want' into the human security framework creates overlap with human development and human rights (Dokos 2008:69). This has led to tensions regarding the conceptual difference of human security, as human security shares many of the same elements: people-centred, empowerment, participation and dignity as well as material and physical concerns (Holliday & Howe 2001:78). Despite this, critics argue that declaring a common connection does not necessarily lead to consistent policies and cooperation between these fields (Gruiters 2008). However proponents of human security continue to view human security as mutually reinforcing and complementary to human rights and development, identifying its conceptual difference in the methods used to identify and consequently improve gaps in the infrastructure of protection (Abass 2010).

Such a lack of conceptual and definitional clarity within academic debate has left unease between theory and normative practice. This has led to questions over the practical utility of human security, as theoretical debates have resulted in little normative practice. Owen (2004:376-378) poses the valid question of what should come first "policy norms built on lucid theoretical grounding or do we act first and adjust the theory later through 'real world' lessons learned?". Debates concerning the

practice of human security typically fall into either policy or analytical and theoretical tools.

Proponents of policy-approach appear less concerned with theoretical clarity and more with its utility in policy. Uvin (2004) for example recognises human security as the intersection between interdisciplinary fields of humanitarian relief, development assistance, human rights advocacy and conflict resolution. Describing human security in this context as a bridge between intersecting fields of social change and suitable for practitioners seeking to understand the different relations between these fields; a particularly pertinent example for this research. Whilst several analytical and theoretical tools have been developed as indicators of human security, for example Owen (2004) suggests a threshold-based approach and King & Murray (2001) present a poverty-based ranking index, few have been applied in ‘real world’ contexts. This lack of experimentation in policies and practice is identified as a key limitation in the development of the human security concept. Such examples are recognised as necessary to push theoretical debates forward toward a better understanding, definition and normative practice of human security. As Paris (2001:88) summarises the present lack of guidance has left little insight for academics and policy makers on where to prioritise research, and led others to believe that human security is “impossible to operationalize” (Glasius 2008:32).

Climate Change and Human Security

Climate is viewed as one of the most pressing concerns of our time with increasing emphasis placed on climate change as a threat to human security and well-being. Central to this is the issue of vulnerability, a concept that is widely used in general discussions of global environmental change (Dokos 2008:69-71; Detraz 2011:106).

Vulnerability is recognised by Gaillard (2010:220) as dependent on structural constraints that are exogenous to the community, such as unequal distribution of wealth and resources within the society, market forces, political systems and governance. As such insecurity to climate change is not simply viewed as the result of biophysical changes in the environment but the ability of the populations experiencing those changes to cope. This therefore relates climate change impact to pre-existing social vulnerabilities, with climate change expected to have the greatest

impact on those that are already socially vulnerable. In particular those living in developing countries as they have fewer resources to adapt: socially, technologically and financially, with institutions often weak or uncoordinated (UNFCCC 2007). Two main fields of debate surround climate change and human security discourse: climate change as a cause of violent conflict and climate change as a threat multiplier.

Climate Change and Violent Conflict

Policy makers and academics, along with the media, have pushed climate change onto the security agenda, amidst speculation that climate change will incite violent conflict and migration (Theisen *et. al.* 2011). These perceptions have also informed national security policies of the US and UK, despite concerns that focusing on such links can have negative implications (OECD 2012:130).

The causal chains are narrated as such: climate change results in a reduction of essential resources for livelihood, such as food or water, which can have one of two consequences: those affected by the increasing scarcity may start fighting over the remaining resources, or people may be forced to migrate which causes further conflict (Nordas & Gleditsch 2007:631). Arguments focus around whether environmental scarcity could precipitate into violent civil or international conflict, and under what circumstances. Like human security the concept suffers from a lack of definitional consensus, confused by a multitude of sub-themes: ‘water conflicts, land conflicts, territorial disputes’ (Hagmann 2005:3), as well as definitional tensions surrounding “conflict”, “armed violence” and the threshold for “scarcity”. This approach is increasingly popular as the ties between peoples access to natural resources and vulnerabilities to environmental change are made (Khagram *et al.* 2003:289).

However despite a growing body of literature inferring causation the empirical evidence linking conflict and migration to climate change suggests that it is unlikely to be the “single or isolating factor” (UNEP 2011:14). Rather climate change, migration and conflict are interlinked through complex influencing factors including economic, social and political issues. Barnett (2003) states that it is a theoretical debate, with the securitisation of climate change in international and national politics being a means of elevating environmental and human problems from low to high politics. Some fear this could lead to the militarisation of climate change, rather than

it staying within the realm of foreign policy. However, as Trombetta (2008:598) argues these concerns are also widely unsubstantiated. Rather securitisation of climate change has succeeded in mobilising political action and institutional debate at the international level, and led to the mainstreaming of mitigation and adaptation strategies within development programs.

Climate Change as a Threat Multiplier

Climate change when considered as a ‘threat multiplier’ takes into account complex relationships between vulnerability and climate change impact, to emphasises the complexity of the relationship between climate change and security.

The analytical framework provided by Scheffran *et al.* (2012) (see Appendix 2) illustrates this well by identifying the multiple pathways and feedbacks between climate, natural and social systems. The framework identifies six elements of human security relating to human needs (water, food, energy, health, income, and livelihood) and connects climate impact with issues of adaptation, impact, response, adaptive capacity, resilience and vulnerability to natural, social and climate systems. Each component is understood to have a varying degree of impact on human security depending on the context in which they occur, for instance pastoralists in the HoA are considered highly vulnerable (Morton 2007:19681) as they are heavily dependent on climate sensitive forms of “natural capital” (Barnett 2007:641); pasture, water and mobility.

As McNeely emphasises “trying to tease out causality in the relationship between security, conflict and resources is highly complex, because individuals make multiple, mutually constraining decisions that are shaped by interacting environmental and social conditions, all of which themselves have multiple interrelations” (2005:148-149). Accordingly climate change is increasingly referred to as a “threat multiplier” or “stressor” that exacerbates existing vulnerabilities (O’Brien & Leichenko 2007:7). A key question in this debate is whether development, resilience and adaptive capacity, just some of the methods proposed to tackle climate change, will compensate for increasing exposure and sensitivity to climate change. There is concern that such challenges will overburden already fragile, poor, and vulnerable states that, in addition, have limited state capacities to respond (ACCES 2010:43). Consequently, it

is emphasised that policy responses to climate change will need to focus on issues of vulnerability, justice and adaptation such as those privileged by human security (Adger 2010; Barnett 2003; Buckland 2007).

Climate Change Impact in the Horn of Africa in Relation to Pastoralism

It is widely recognized that drought and other climate-related disasters are increasing in both frequency and intensity in the HoA, and that pastoralist groups are among those most exposed and vulnerable to these shocks (Alinovi *et al.* 2010). Although droughts such as those experienced in 2005/6, 2007/8, 2009/10, 2011/12 cannot be directly attributed to climate change, due to the complexity of the local climate and underlying context, it shows the vulnerability of pastoralists within the region to climate variability (Oxfam 2011:1).

Climate Change in the HoA

The exact impacts of climate change in the HoA is uncertain as accurate regional and local climate projections are unavailable. However the Intergovernmental Panel on Climate Change (IPCC 2012) expects the region to be particularly affected, and to experience an overall increase in the incidence and severity of drought and flood, alongside increased temperatures. Predictions based on weather station data in Kenya indicate temperature increases in the range of 1-3°C and increased precipitation, with increased intensity, and changes in onset and cessation of rainy seasons (ODI 2009:2). Changes over the last 40 years within the region have been seen by many (e.g. UNEP 2011) as an indication that climate change is already having an impact in the region.

Climatic variation in the HoA is determined by the movement of the Intertropical Convergence Zone (ITCZ), its biannual migration resulting in two climatological rainy seasons which control seasonal variation in climate (Wolffe *et al.* 2011:743). The inter-annual migration of the ITCZ is largely driven by the El Niño Southern Oscillation (ENSO) and its related western Indian Ocean sea surface temperature (SST) and anomalies. Extreme ENSO events are often associated with large-scale rainfall anomalies, including drought, over many parts of Africa including the Horn (Haile 2005:2171). Such events are distinguished by anomalies of cool (la Niña) or warm (el Niño) sea surface temperatures (SST) in the eastern equatorial Pacific

(Hsiang 2011:438). Under climate change scenarios the functioning of the ITCZ and frequency of anomalous el Niño and la Niña events are expected, this will result in increased rainfall variability with a concordant increase in extreme weather events in the HoA.

Climate Change and Human Security of Pastoralists

In the context of a human security framework, academic debate concerning pastoralist vulnerability or insecurity to climate change relates most strongly to the theory of climate change as a ‘threat multiplier’. There is general agreement within literature of the underlying causes of social vulnerability in pastoralist communities: local environmental conditions and political marginalisation.

Resource scarcities, due to changes in local environmental conditions, have the potential to lead to economic, livelihood and food insecurity. This is because pastoralists are highly sensitive to changes in rainfall which is necessary for the distribution of water resources and grazing for livestock (Morton 2007:1; Haile 2005:2169-2170). Additionally resource scarcity can negatively impact personal safety due to increased potential for local conflict and cattle raiding between communities contending for the same resources and grazing territory. This has implications for personal safety and also for wider political instability in the cross-border regions. Secondly, government led political and economic marginalisation, and inappropriate development policies compound vulnerabilities and hinder the ability of pastoralists to adapt to changes in their external environment. Tensions in border regions between countries in the HoA, a lack of interstate policies addressing mobility and unfavourable land rights further limit pastoralist’s ability to move to adapt. Chronic vulnerabilities faced by pastoralists in the HoA are believed to related to the imbalance of political power between pastoralists and their governments (ODI 2009:13). Here pastoralists illustrate an example of where states are failing in their primary objective to protect, through a lack of social protection and targeted marginalisation.

In response to drought and other climate-related disasters national government, donors, and humanitarian agencies are increasingly prioritizing programming that can mitigate the effects of these shocks and build resilience (Mercy Corps 2012:25).

However organisations working in the region have yet to identify the most effective strategies, interventions and policies to address vulnerability and that strengthen pastoral resilience to climate change. This means that human security, which is recognised as a tool for assessing global vulnerabilities, warrants exploration as a relevant framework through which to view climate change impact on pastoralists in the HoA.

Human Security and the Role of Non Governmental Organisations (NGOs)

Since the 1980s, NGOs have been increasingly advocated as a means through which citizens' needs and existing services can be bridged (Banks & Hulme 2012:3). This has resulted in the role of NGOs in human security service provision to be questioned. With their relevance perceived, by some, to be as important as governments or other international organisations.

Although global figures on the prominence of NGOs are limited, such figures can be used to illustrate the importance of the size and scale of their contemporary activities: between 1991-2 and 2002 official development assistance to NGOs rose by 34% from US\$928 million to US\$1246 million, with the number of NGOs increasing by almost 20% over this time (Banks & Hulme 2012:4). Armstrong *et al.* (2004:256) attributes the increasing prominence and role of NGOs in providing human security to the rising number of complex emergencies since the cold war. Whereas Michael (2002:3) relates this to the decentralisation of governments and cut backs in social spending which has left NGOs to fill gaps in social services, for example in Kenya NGOs provide over 90% of services (Brass 2011). Interests in the contribution of NGOs to service delivery arise not only because of the rollback of state services as Michael describes, but also because NGOs are perceived to have a comparative advantage over other actors. They are described as adaptive and flexible, with the ability to innovate and experiment, and create linkages and networks with grassroots organisations (Michael 2002). Attributes that offer participation and foster self-reliance and sustainability (Banks & Hulme 2012:8).

Despite the UNDP (1994) identifying the role of NGOs as important in the development of human security frameworks there lacks a body of research examining what this role has been. The most prominent example concerns the role of NGOs in

exerting pressure, alongside the government of Canada, in banning land mines and in lobbying for the creation of the International Criminal Court. These both target the narrow conceptualisation of human security, focusing on aggression and personal safety. Hadiwinata (2004) also recognises NGOs activities to be relevant to the broader conceptualisation of human security, relating their objectives to the concept of human security provided by Alkire (2003) and the Commission on Human Security (2003:2).

Although NGOs can be involved in development without being involved in human security the extent to which NGOs are engaging with human security isn't known. Within academic literature the role of NGOs in protection of human security is theorised, however only Sato (2004), Hadiwinata (2004) and Michael (2002) provide a critical assessment of the practical role of NGOs in the protection and empowerment of human security. Whilst the role of NGOs in service provision and advocacy is debated widely in development spheres literature specifically addressing the connection to human security is limited. This is despite several authors stating that improved research efforts are necessary, especially those that involve NGO specific case studies (Sato 2004).

In summary despite literature citing the importance of NGOs and their suitability in providing the means and services for developing and facilitating human security, particularly to fill gaps left by state failure, there is little research examining NGO engagement with human security, and particularly none from the perspective of NGOs. Rather an implicit assumption seems to have been made in the literature that by virtue of the fact that NGOs are engaged and providing services that address poverty, development and human rights that they are explicitly engaged with human security. Furthermore there is little discussion of whether NGOs perceive a human security approach as valuable or relevant to their operations. Such an assumption necessitates consideration from the perspective of NGOs as their engagement with human security has the potential to add 'real world' experiences to human security debate.

Conclusion

Several key themes emerge from the literature, the most prominent of which is the lack of conceptual clarity associated with human security. With most literature concerned with arguing the concept rather than its theoretical coherence, policy agenda or practical implementation. This has hindered the development of human security from theory into practice. As the narrow conceptualisation supports a more easily defined framework literature on the operation of human security frameworks exist within this realm. However there are few frameworks available or case studies to inform the broad conceptualisation of human security.

Within literature climate change impact is prominently believed to be a ‘threat multiplier’, having the greatest impact on communities and individuals that are already socially vulnerable. Such an approach aligns with the broad conceptual approach of human security and the multidimensional nature of vulnerabilities facing pastoralist communities in the HoA.

Furthermore NGOs, purveyors of the broad approach, continue to be cited as important human security service providers, a fact that is made clear by their increasing involvement in international development and the reliance by governments on NGOs to provide social public goods. However on review of literature there exists extensive gaps in our understanding of the nature of this engagement, how NGOs are using human security and their relevance to the concept.

Chapter 2 Methodology

This research aims to contribute to human security discourse by addressing knowledge gaps in our practical understanding of human security, by addressing the research questions posed in the introduction. To do so this dissertation uses an exploratory case study approach and the lens of climate change impact on pastoralists in the HoA to gain context-specific data.

Case NGOs

Care International, Mercy Corps and Oxfam International have been strategically selected as NGOs “doing applied work in the field of human security” (Ford Institute 2012). In addition all three work with pastoralist communities and climate change issues (adaptation, mitigation, capacity development, and risk management) in the HoA. Each share a number of similarities which allows comparison between organisations: international NGOs, mature (over 25 years of experience), employ international and national staff, and work (to a varying degree) through partner organisations. In addition all three operate climate change specific programmes, and each contribute to research on climate change and pastoralism individually and as part of wider regional networks. Although the organisations share similarities their development approaches differ. Oxfam takes a rights-based approach, Care a gender-transformative, and Mercy Corps market strengthening and economic security (see Appendix 3 for full details). The differences in their development approaches add depth to the research and allow for more applicable generalisations and conclusions to be drawn regarding NGO engagement with human security.

Although in the past case studies have been held in low regard or simply ignored (Gerring 2004:341) there is a growing body of support that emphasises the valuable contribution that case studies make to knowledge generation and learning (Flybberg 2004; Yin 1983). Like Flybberg (2011:301) this dissertation recognises that case studies cannot generate incontrovertible proofs but that they are an effective method of learning and of inspiring new focal points for discussion through the experience of others. Thus, in the context of this dissertation a case study approach provides an appropriate method to generate new ideas and understanding regarding human

security and the context in which its application is relevant to NGOs to add richness, detail, completeness and variance that would be unavailable through other means.

Sources of Evidence

Multiple sources of evidence are used to strengthen the results of this study (Yin 1984:21). These are publications and reports produced by each of the NGOs as well as responses from semi-structured interviews with representatives from each NGO. The separate analysis of publications and interviews with respondents allows for triangulation between sources (Mathison 1988).

Publications have been sourced from the relevant sections of NGO websites using the following keywords to filter results: *climate change, pastoralism, Horn of Africa, human security, security and food security* (see Appendix 4 for a list of included publications). The number of publications included in the study depended on their positive “hit” result from NGO publication pages. As such this resulted in a difference between the numbers of publications analysed per NGO: Oxfam 11, Care 12 and Mercy Corps 5. Unlike Oxfam and Care who provide an extensive list of publications Mercy Corps have fewer publications available on their website. The difference in number of publications analysed between organisations could be seen as a source of data bias. However as the publications already vary in length, type and year between sources it is likely to be negligible.

Responses from semi-structured interviews provided the second source of evidence with telephone interviews conducted with relevant participants from each NGO. This method was chosen as one considered as effective for measuring the important concerns or ‘salient’ issues of respondents (Geer 1991). In addition to providing a flexible framework for the production of rich detailed answers. As semi-structured interviews are recognised as methods which encourage responses that reflect the respondent’s point of view and provide an opportunity to explore fully all the factors that underpin a participants’ answers including: reasons, feelings, opinions and beliefs (Richie & Lewis 2010:141). In order to ensure that methods could be repeated and to increase the external validity of data, interviews followed the guidance of Kvale (1996). An example interview schedule is provided in Appendix 5.

Participants

Snowball sampling was used to gain access to semi-structured respondents using gatekeepers from professional and academic networks. A list of respondents can be found in Table 2. Although concern has been raised regarding the limitations gatekeepers place on the scope of access to an organisation, its data and resulting parameters of study, these were considered and felt to be negligible. Despite snowball sampling not conducive to the production of statistically representative samples, as it relies on social contacts between individuals to trace additional respondents (Bearswoth and Keil 1992:261, in Bryman 2008:459), in the context of qualitative research that is strategically seeking participants relevant to a particular research context it is a valid research technique.

The research was limited by the number of respondents that could be sourced. Initially two individuals from each organisation had been sourced to allow triangulation between participants from the same organisations, and to increase the reliability and validity of the data. However, due to unforeseen challenges including cancellations, only one participant from each organisation was interviewed, plus another respondent who wished to remain anonymous. Consequently triangulation relied on information published by NGOs. In addition to NGOs an independent researcher working on pastoralism in the HoA was interviewed at the beginning of the research process. This provided insight into contemporary issues threatening human security of pastoralists and current strategies, policies and organisations working in the HoA.

Table 2 Respondents to semi-structured interviews.

Organisation	Participant name and title (as agreed with respondent)
Consultant to the International Institute of Environment and Development (IIED)	Research Consultant
Oxfam International	Joanna Trevor - Humanitarian Policy and Campaigns Advisor in the Horn, East and Central Africa
Care International	Maurine Kasuvu - Community Based Adaptation Specialist at Care International (Kenya)
Mercy Crops	Jim Jarvie – Director of Climate and Environment
Anonymous participant	-

Ethics

It was recognised that for interviews to be granted by the organisations and their representatives there needed to be some perceived benefit (or at least no damage) to the representatives and participating organisations. To reassure, and ensure that, research findings do not have a negative impact on organisations or individuals this dissertation went through University of Glasgow ethical clearance. In addition participants were provided with verbal and written information on: data storage, use and dissemination; anonymity within research and the opportunity to pull-out at any stage (see Appendix 6 for an example). Although participants were requested to forgo work time to conduct interviews they were not compensated in any way, nevertheless the impact on participants was minimised by keeping interviews to under an hour.

Documentary Analysis of NGO Publications

Classifying the data is an integral part of the analysis, laying the conceptual foundations upon which interpretation and explanation are based (Dey 2005:41). As

such a systematic approach to analysis of NGO publications was taken; documents were classified using a code and retrieve method, before being examined to find regularities, variations and singularities between case data (Dey 2005:48). ‘Code’ words were deduced from relevant language appearing in the literature review, participant interviews and by reading over sample publications written by NGOs. The following code words were applied: *human security, security, insecurity, food security, livelihood security, marginalized, threat, vulnerable, vulnerability, external shock, human (rights) and stress*. This range of ‘codes’ was selected to cover the implicit and explicit use of human security language by organisations. Coding was done manually and connections made qualitatively, in addition to a quantitative record of data, e.g. number of instances of the word ‘security’, dates and publication types.

Theoretical Framework of Analysis

To determine the extent to which NGOs are using human security to frame issues a theoretical framework has been created.

The framework has been developed through a review of human security literature and available, yet limited, human security frameworks. It is predominantly informed by the conceptual framework provided by Alkire (2003), the application of human security by Tadbakhsh (2005) and the work of the Commission on Human Security (CHS) and the UNDP. The framework is also guided by Michael (2002) who makes the important distinction between NGO practice as ‘development and rights’, and NGO practice as ‘human security’. Michael (2002:7) defines programmes and campaigns implemented by NGOs with a human security objective as those which seek to “*secure social protection against risks and vulnerabilities*”. In the context of this research social protection is understood as “public actions taken in response to levels of vulnerability, risk and deprivation which are deemed socially unacceptable within a given polity or society” (ODI 2001).

This dissertation shall adopt the definition of human security as programs and projects with the objective of safeguarding the “*the vital core of all human lives from critical and pervasive threats, in a way that is consistent with long-term human fulfilment*” a definition provided by the CHS (2003:4). This definition is the most cited as relevant to NGOs, as well as covering the broad conceptual approach to human security (see

CHS 2003 and Michael 2002). Alkire (2003:2-4) provides clarification of the elements within this definition, summarised in Table 3, these can be used as indicators of engagement with human security by NGOs. Furthermore, in accordance with UNTFHS (2009) human security practice shall be considered as activities which seek to protect and enlarge people's choices by promoting their individual and collective empowerment, their rights and responsibilities to political, social and economic freedoms. In the context of climate change impact this shall refer to assessment of vulnerabilities and threats, and the creation of capacity and resilience to address underlying social vulnerabilities which hinder a community's ability to cope with changes in climate.

Table 3 Summary of elements used in the CHS definition of human security as defined by Alkire (2003)

Term	Description of element
<i>Safeguard</i>	Human security is deliberately protective. Safeguarding human lives implies that practitioners recognise events that are beyond individuals and communities control, and build resilience to withstand such shocks. In addition safeguarding requires human security practitioners to take a proactive people-centric approach to threats: identify threats, prevent them from materialising and mitigating harmful effects for those that eventuate.
<i>Vital core</i>	Simply refers to scope that contains human security practice. Implying that practitioners will be guided by practice that protects and promotes the most important elements or <i>vital core</i> of well-being for the people in question.
<i>All human lives</i>	Human security is “people- centred” and is not limited by gender, ethnicity, race or any other distinguishing characteristic.
<i>Critical and pervasive threats</i>	Critical threats refer to – threats which have depth, these may be sudden such as economic collapse or natural disaster/ Pervasive threats refer to - large scale and recurrent threats
<i>Human fulfilment</i>	Refers not only to initial protection, but the creation of environments which harbour long term protection that is consistent with long term good.

Chapter 3 Framing within Literature

Review of the case NGOs normative principles provided in mission statements gives insight into the potential extent to which NGOs may engage with human security. In addition analysis of relevant publications against the theoretical framework provides insight into the extent that NGOs are framing climate change impact using human security, and the aspects of their work this relates to. Three main areas of interest were identified across the case organisations: human security within NGOs normative principles; food security and; use of vulnerability for addressing risks. Findings have been amalgamated across publications with discussion focusing around themes rather than by organisation; quotations refer to direct citations taken from publications.

Human Security: Is it on the agenda?

Review of the NGOs normative principles provides a starting point in understanding the extent to which each organisation is likely to engage with human security, as these statements, DeMars clarifies (2005:6), provide us with insight into what NGOs say, and therefore what they in theory are doing. Such principles are likely to inform overarching NGO programming and therefore practice.

Across all mission statements none of the organisations directly refer to human security however, both Care and Mercy Corps refer, respectively, to *security* and *secure* when outlining their organisations goals. For instance Care “seeks a world of hope, tolerance and social justice, where poverty has been overcome and people live in dignity and *security*”. It could be said that Care links poverty with security in a mutually reinforcing way; implying that overcoming poverty creates security. Whereas Mercy Corps claims it “exists to alleviate suffering, poverty and oppression by helping people build *secure*, productive and just communities”. The phrasing here implies that Mercy Corps connects security with productivity and justice, and that these are required to alleviate poverty. A statement that aligns with Kofi Annan’s (2005) observations of the relationship between security and development who wrote “we will not enjoy security without development, development without security, and neither without respect for human rights. Unless all these causes are advanced, none will succeed.”

In comparison Oxfam does not use any language that implies an engagement with human security. Rather Oxfam iterates its central focus as rights-based and connects poverty alleviation with a respect for human rights and dignity. To clarify a rights-based approach is understood as practices formed from rights and corresponding obligations established in international law; incorporating values of justice, equity, equality, dignity, respect and inclusion (UNDP 2006:15-19). Human rights are perceived to be a relevant component of human security (Adger 2010).

A comparison of NGOs mission statements against the theoretical framework allows further parallels to be drawn, see Table 4 for a summary. All of the NGOs normative principles imply agreement with the understanding of “*all human lives*” and “*human fulfilment*” used in the definition with NGOs making reference to people-centric, empowerment based and resilience focused approaches in their overall programming. This does not necessarily imply a relationship with human security, as both human security and human development are people-centric (Holloday & Howe 2011:6-7). Rather it illustrates the difficulty in deducing, from the language used and its corresponding implications, where the lines between these two concepts intersect. Michael (2002) suggests that activities that focus on social protection against risks and vulnerabilities are an indicator of human security over human development. Although none of the NGOs make a direct reference to practices that ensure social protection, by nature of their engagement with poverty and the “most poor” they are by proxy ensuring and advocating for social protection (ODI 2001). However, as we have previously seen the broad conceptualisation of human security covers an array of elements which create overlap between human development and human rights concepts, as such it is hard to deduce from literature to what depth this engagement lies, and what rational underpins the application of these terms.

Table 4 Alignment of NGO mission statements against elements of the definition used in the theoretical framework.

Elements of human security	References in the text		
	Oxfam	Mercy Corps	Care
<i>Safeguard</i>	Resilience to future disasters	Human resilience	-
<i>Vital core</i>	-	Participation	-
<i>All human lives</i>	People, full citizens	People, human life	People, individuals and families,
<i>Critical and pervasive threats</i>	-	Peaceful communities	-
<i>Human fulfilment</i>	Control, lives and livelihoods	Human resilience	Strengthening capacity for self-help, lasting change

Climate Change and Food Security

Within publications, which included briefing notes, evaluation reports and regional updates, NGOs predominantly use human security to frame climate change by referring to the impact of climate change on food security. All organisations used the terms *food security* or *food insecurity* extensively to frame issues of climate change, and in particular pastoral vulnerability to climate change, for example:

Oxfam: “Climate change – will have significant impacts on food security, and will exacerbate the challenges they face”

Mercy Corps: “Mercy Corps’ climate and environment sector is helping to address one of the greatest risks to long-term food security – climate change”

Care: “Climate change poses an unprecedented threat to people in developing countries who are already struggling to sustain their

livelihoods and maintain food security. Community level research conducted by Care in Ethiopia indicates that climate change is already having significant impacts on food and income security”

Of the publications reviewed there were 14, 17 and 22 citations of the term ‘food security’ by Care, Oxfam and Mercy Corps respectively, in comparison to human (rights) which was cited only by Oxfam 14 times and Care 9 times (see Appendix 7 for quantitative summary of terms). Although the reliability of such figures is questionable, as the length and specific focus of the publications varied by author, these numbers are indicative of an ease and pervasive use of the term food security by the NGOs. This is significant as food security is one of the seven pillars of human security outlined by the UNDP (1994). Despite this none of the organisations place ‘food security’ under the broad umbrella of human security when discussing the impact of food (in)security on wider ‘human conditions’ and welfare concerns of pastoralists.

There could be a number of possible explanations for why NGOs use ‘food security’ without making the explicit connection to human security. It may be because of the historical connection that NGOs have with ‘food security’ terminology and practice; conceptually ‘food security’ pre-dates human security being first introduced at the World Food Summit in 1974. With both Care and Oxfam founded on the premise of addressing ‘global hunger’ it is likely that these organisations have a historical connection and appreciation of the term. This makes it unlikely that they have overlooked the evolution of food security into its present multidimensional approach and appreciation as a human security concern. Alternatively NGOs could be using ‘food security’ as a tool to gain political salience and recognition; one of the most cited reasons for securitizing climate change in such a way is to capture attention and needed resources (Detraz 2011:116). With food security firmly on the international political agenda being seen to address this issue may be a necessary ‘tick box’ of NGOs to ensure donor funding and to increase the impact of campaigns through an engagement with high politics (Barnett 2003). For instance Oxfam refer on several occasions to the importance of “continued donor investment” and “flexible funding” illustrating their political sensitivity to continued donor funding, a condition of NGOs that is well documented within literature (Riddell 2007).

Regardless of the rationale behind NGOs use of ‘food security’, it is important to highlight that NGOs have not been explicit in its connection with human security, furthermore questions should be raised about why NGOs have chosen to draw the boundaries on their activities to just concern food security. Rather than appreciating food security as an output that contributes to the wider outcome of human security NGOs appear to view food security as the final outcome. Delimiting the scope of their operations to cover just food security is not unreasonable as NGOs cannot be expected to cover all scopes or aspects of human well-being. However, as discussed in the literature review, the impact of climate change will differ depending on other ‘context’ of communities regarding their vulnerabilities and adaptive capacity. So to focus on food security as the final outcome has the potential to overlook the “interlinked and interconnected” nature of threats or vulnerabilities and the “domino effect” that these threats create on other aspects of human security, development and rights (Tadbakhsh 2005:30). Regardless of the conceptual approach an NGO adheres to this has the potential to undermine wider development objectives and impact on the long-term ability of communities to build resilience to climate change.

Another point of interest was the different strategies revealed in NGOs literature. For instance Oxfam directly engaged with social protection through advocacy, using publications (on several occasions) to call on states to “extend social protection” and that “national governments should recognise their primary responsibility to meet food security needs” (in the HoA and to pastoralists) through a range of mechanisms including “preventative humanitarian work and livelihood protection”. It is interesting to note that such statements have been made by the UN in relation to human security, which they regard as more easily achieved through prevention than recovery. In contrast Care and Mercy Corps predominantly described their approaches and strategies to address ‘food security’ in terms of frameworks and programme perspectives. Using the classification of NGO strategies proposed by Korten (1987) Oxfam’s advocacy could be seen to engage with human security through “sustainable system development”, whereas Care and Mercy Corps appear predominantly to be engaging with “first generation strategies”; direct delivery of services and building of local self reliance.

The strategies that NGOs seem to be using provide insight into the broader role that NGOs are playing in relation to the creation of human security. It could for example be inferred that Oxfam is both *advocating* and *facilitating* human security between the state and citizens, whereas Mercy Corps and Care appear to be acting as *agents* of human security through service provision. These, of course are broad generalisations made from a range of varying texts, however such deduction outlines the different roles that NGOs may be fulfilling in relation to human security within certain contexts.

Vulnerability vs. Threats

As a tool for understanding vulnerabilities human security analysis recognises the relevance of examining and assessing 'vulnerability'. With actions that address these vulnerabilities and risks often related to social protection of marginalised groups (ODI 2001) such as pastoralists. As previously emphasised social protection against risks and vulnerabilities can be used as an indicator of human security over human development. Furthermore O'Brien and Leichenke (2007), suggest that examining and assessing vulnerability is both relevant and applicable to policy issues concerning human security, and can identify regions and peoples at risk. So understanding the way that NGOs are engaging with vulnerability may indicate the extent to which their approaches to vulnerability, threats and risk relate and frame issues in the context of human security.

Within reviewed literature NGOs place importance on their role in assisting the most vulnerable and understanding the contexts that make individuals, households and communities vulnerable, for example:

Care: *"Our overarching goal is to increase the capacity of vulnerable households in Sub-Saharan Africa to adapt to climate variability and change"*

Mercy Corps: *"We are integrating strategies to help the most vulnerable adapt to the potential impacts of climate change while providing people with new tools and technology jobs for the hope and realization of a more secure future livelihood"*

Oxfam continues its advocacy stressing the importance of national governments and donors in addressing the issues that make people vulnerable in the first place. Clarifying it in the context of this research “if pastoral communities are supported by the right kind of investment it is more likely that they will be able to cope with external shocks including climate change”. In addition NGOs use ‘vulnerability’ and ‘vulnerable’ extensively in literature, describing pastoralists as having: “vulnerability to climate change”, “vulnerability to climate related shocks”, “vulnerability to water related shocks”, “vulnerability to personal safety issues”.

All NGOs explicitly state the importance of identifying vulnerabilities to their work, for addressing resilience and risk management to climate change and for identify regions and people at risk, and target groups within these communities. The approaches NGOs take align with human security vulnerability analysis proposed by Adger (2012:282-3), in addition both Care and Mercy Corps have adopted risk categories which correspond with the UNDP (1994) pillars of human security and the identification of threats proposed by Tadbakhsh (2005:21). For example Care states “understanding who is vulnerable and why requires a context-specific analysis of biophysical, socio-economic and political dimensions of vulnerability”. Whilst Mercy Corps defines the risk categories through which vulnerability is assessed as: “environmental, market, political, social and health”. By discussing vulnerability in the context of marginalisation, as all organisations do, it could be deduced that a consideration of the equity and justice elements of vulnerability are being made. Furthermore, Care identifies the importance of a holistic and multidimensional approach to assessing vulnerability to be crucial for addressing elements of pastoralists’ vulnerability, showing an alignment with human security thinking.

Although Alkire (2003) identifies the “fusion of risk and vulnerabilities” as important for underscoring human security it is difficult to identify the extent NGOs are engaging with this because of human security, or because of development objectives that address poverty. As understanding and addressing these issues has also independently arisen within development and poverty discourse. For instance the World Bank (1999) in their World Development Report 2000/1 identifies three pillars of poverty reduction efforts: facilitating empowerment, enhancing security, and promoting opportunities. They clarify security to mean “addressing the issues of risk

and vulnerability, at the micro and the macro levels, so that reversals and risks of reversals do not trap households and nations into poverty” (World Bank 1999).

Conclusion

NGOs normative principles have been examined for alignment with human security thinking and frameworks, and to understand the extent to which NGOs are using human security to frame climate change impacts of pastoralists within the context of human security. From this it can be deduced that both Mercy Corps and Care engage to a degree with “security” however the rationale behind this is unclear; is it for human development, human rights or human security purposes? In contrast Oxfam makes their position as a human rights focused organisation clear.

It was found that NGOs, regardless of their conceptual approach (i.e. human rights, people-centred, gender or human security) frame climate change impact on pastoralist communities using ‘food security’ and to a lesser extent livelihood and economic security. The term ‘food security’ was used pervasively by all organisations, whether this relates to an adherence with human security principles is uncertain as there was no specific reference to human security. The rationale for NGOs not linking these two concepts was unclear from an analysis of discourse.

The pervasive use and referral to vulnerabilities, alongside detailed advocacy and strategies for incorporating vulnerability into programming indicates an alignment between the strategies and approaches that NGOs use to assess vulnerabilities and those used to identify both vulnerabilities and threats in human security practice.

In summary reviewing NGO literature on climate change and pastoralism in the HoA implies that climate change is being framed using food security, but not human security. In addition the importance that NGOs place on vulnerability assessment, and the way in which vulnerability, risk and resilience are addressed aligns closely to the identification of threats and vulnerabilities within a human security framework. This may indicate the relevance of human security frameworks to NGOs.

Chapter 4 Relevance of Human Security to NGOs

This chapter of the dissertation seeks to provide insight, through the analysis of key participant interviews, into the approaches and concepts that NGOs use in relation to human security that were found implicitly and explicitly in the analysis of discourse. Rather than providing an evaluation of each NGOs individual engagement with human security² the concepts and approaches to human security taken by case NGOs are discussed together. This provides a greater contribution to our overall understanding of NGO engagement with human security. Discussion is formed around the following themes: NGO understanding of the concept and the engagement of NGOs with human security.

Human security: Understanding, Concept and Relevance

Discussion with respondents from each NGO provided insight into how NGOs understand the concept and its application in a range of contexts. Overall discussion with NGOs highlighted a varying degree of understanding regarding the general concept and its application. Understanding was deduced from how NGOs discussed the differences between conceptualisations and how NGOs applied human security to different contexts.

All of the NGOs stated a familiarity with the term ‘human security’, yet how NGOs described human security varied between organisations. For instance Oxfam had a good understanding of the broad and narrow conceptual approaches to human security identifying areas within their work that fall under these categories. In comparison Care appeared most familiar with the narrow concept of human security, discussing its relevance in the context of conflict, security sector reform and violence against women. The most well considered response came from Mercy Corps who described human security as a process of “outputs” and “outcomes” blurring the distinction between broad and narrow conceptual approaches and taking an holistic approach (Acharya 2004). Mercy Corps described this approach in the context of different programs. In Goma (Democratic Republic of Congo) Mercy Corps work with women

² Overall Oxfam saw no relevance in human security despite acknowledging conceptual overlaps, as their approach is firmly rights-based. Similarly Care identified some relevance but with the narrow conceptual approach rather than as an approach to address poverty alleviation. In contrast Mercy Corps are actively engaging with human security by exploring its relevance to their overall mission.

in refugee camps to reduce incidents of rape and kidnap by providing energy security. Whereas in the HoA programs have a food security focus concentrating on the economic development of agricultural products and value chains and resilience building. So in one context the ‘output’ is energy security and personal safety and in the other food security, yet both contribute to an overall ‘outcome’ of “securing societies”. As the Mercy Corps respondent illustrates “building equitable, just societies – that’s human security”. Such approaches have helped to shape Mercy Corps “Vision of Change”, a graphic representation of the way in which Mercy Corps views the interactions between key actors, operating principles, and external conditions in the service of their mission to create secure, productive and just communities. This framework is closely aligned to human security, with the outer circle including justice, human rights and sustainable resource management as pillars to create “secure societies”. Mercy Corps vision of change is provided in Appendix 8.

Despite all NGOs having a degree of conceptual understanding and an ability to situate human security in different contexts none of the NGOs cite human security as an approach they are explicitly using; corroborating with findings from the review of publications. Even Mercy Corps who is exploring human security is cautious in this respect “it’s not really done in an explicit way but it’s an implicit in everything we do”. When challenged on why this was the case, even when using terminology associated with human security (e.g. food, livelihood and economic security) to frame issues, the NGOs gave a variety of responses.

Predominantly organisations felt they already had established approaches for addressing vulnerabilities and insecurities. Particularly those used to address issues falling under the *broad* conceptualisation of human security (poverty, marginalisation, disempowerment etc.). This means that activities or approaches are not ‘called out’ as relating specifically to human security. The example of Oxfam illustrates this well. Oxfam doesn’t “use the term human security particularly; we work very definitely on a rights based approach”. Despite the respondent seeing overlap in terms of their programming contexts and objectives, this was “less about whether we put ourselves in or outside of that box (human security) and more about working from a rights based approach”. When applying terms associated with human security this was also done from a rights-based perspective in that “it is a right to have livelihoods and

within that right it is then looking at the threats to that right". For Care the message was similar "we are just not calling it human security". So even if it appears on first observation that there is an alignment with human security, in language used to describe issues, NGOs do not see this as "framing" an issue using human security. Rather it relates to their existing approaches and understanding. Additionally even though NGOs are using this language, they are not interested in associating themselves with human security. With NGOs concerns lying not in the substance, but in the packaging. NGOs were also hesitant to acknowledge other political or donor driven reasons why they were using these terms. Although one NGO did indicate that donor sensitivity, more generally, was important with regard to the approaches and positions that the organisation takes. The respondent however saw this as a challenge rather than a limitation, presenting an opportunity to "educate their donor base" and to work together to meet new development challenges.

Other rationales for why NGOs are not explicit in their association with human security were also provided: negative connotations of using "security" in relation to longer term climate programming in relation to food and nutrition security as such terms were "associated with rapid onset climate change and migration"; the perception that "human security has no relation to poverty" and; human security "lacks a framework that could be applied programmatically". The first two rationales imply a misunderstanding of the concept; the third however has some traction. Firstly human security is not necessarily associated with alarmist climate-security connotations that the respondent is referring to. Such notions of climate-security were popular in the 1990s but have been widely superseded by the concept of climate change as a threat multiplier, as discussed in Chapter 2. This does however indicate the sensitive nature of NGOs to the causes and viewpoints that they choose to support, and how this influences their behaviour. Secondly contrary to the respondents comment, poverty alleviation is widely cited as a key component in achieving human security (Dokos 2008), even from within development discourse.

However the lack of a consensually developed framework to support human security clearly fosters scepticism and hinders its uptake by those outside of academic theoretical debate. NGOs related scepticism to the concept lacking "political or academic support" and "programming experiences" which meant that human security

“does not warrant exploration”. Especially as, one respondent emphasised, there are a “glut” of other frameworks and approaches available that have considerably more “merit”. Here “merit” was attributed to “academic validation” by prominent authors and organisations alongside “testing and feedback”. With a comparison made between human security frameworks and the livelihood framework. A well established framework used widely in development, that is validated by association with the Institute of Development Studies (IDS) and Robert Chambers.

Interestingly the respondent also highlighted the importance of “various donors, NGOs and civil society” that “chipped in” to develop the framework. This comment confirms the importance of NGOs in developing frameworks, and the potential contribution of NGOs to human security frameworks. With NGOs such as Mercy Corps exploring “how to do human security properly” such programmatic experience has the potential to contribute to the development of human security frameworks through ‘real world’ experiences. As Owens (2004:374) writes “consensus will only emerge through long term theoretical debate and policy experimentation”.

NGO Engagement with Human Security

As highlighted in Chapter 3 differences were observed in the type of engagement NGOs appeared to have with human security. These findings were corroborated by respondents. NGOs identified their role in service provision, but also outlined other approaches that they preferred to take: “capacity building” “advocacy”, “facilitation” and “creating opportunities and change”.

All NGOs, in line with human security thinking, identified service provision to be the primary responsibility of the state and governments. As Mercy Corps illustrates when this ideal isn’t met “sadly we have to fill the role of governments in terms of services”. Oxfam relates the level of service provision to the degree a state is unwilling or fragile. For instance in Somalia where there is “not a brilliantly functioning government” approaches are more service delivery led, versus Tanzania where there is an effective government and “so less service delivery” given to pastoralist communities. As such NGOs identify their role in human security as prescribed in literature, in fulfilling the role of states when they are unable or unwilling (Tadbakshs 2005:24-26).

NGOs have been implicated as playing a “key role in improving people’s human security” through service provision. However, Oxfam highlights the challenges this presents when working in countries where “governments essentially don’t care or are actively targeting one portion of the population”. In such situations Oxfam indicate that because of the nature of NGOs, with a mandate of ‘helping the poorest’ they will provide services. However this doesn’t always provide human security, as although NGOs are providing services the long term well-being of communities are not provided for. Rather NGOs are “barely keeping people alive” through food for work schemes. These schemes provide emergency relief whilst also addressing problems of dependence (Kilby 2003) as food is given in return for labour. However in doing so such schemes take pastoralists away from activities that are needed to preserve livelihoods. This has an overall negative impact on human security by disrupting traditional land management practices and failing to prepare or enable communities to sustainably develop resilience to climate vulnerability during times of drought. However the nature of NGOs engagement mean they are unlikely to exit from such service provision as this “gamble” will not necessarily see governments step up to their responsibilities to provide for citizens in the absence of NGOs. This is especially the case where governments are complicit in the marginalisation of communities. Oxfam indicate that at these times governments take an “an air of impunity” and “rely on the basis that we are going to bail them out, and pastoralists are a very good example of that”. Such an account implies that governments have the capacity to intervene contrary to the notion that they are unable.

This example illustrates the importance of states and their government as primary providers of human security in the protection and empowerment of citizens. As they have the ultimate power to influence the situation. Whereas the role of an NGO is tenuous, their presence in a country is determined on agreement with the government, which questions the extent that NGOs are able to engage in human security. In addition this challenges the perception that NGOs play a positive role in creating human security. Rather “barely keeping people alive” sits uncomfortably with the concept of “saving lives and saving livelihoods” (ODI 2009) and is contrary to human security notions of “long term human fulfilment” (Alkire 2003).

All of the NGOs recognised these failings; hence their preference for alternative approaches that move away from service provision, and engage with development and human security by other means. For instance Care and Mercy Corps indicate the importance of “capacity building” and “facilitation” when working with pastoralists communities to build resilience. Such examples provide a more positive engagement with NGOs and human security. In addition NGOs see this role as a process rather than a one-off service, again contributing to longer term sustainability and well-being. For instance Care described their role in building climate change adaptation through the Action Learning Programme (ALP). Here Care works “hand in hand” with local communities and institutions to understand the context specific nature of vulnerabilities, and to build resilience against these. Using this information Care then facilitates “sustainable linkages between service providers, resources and services”. The approach Care takes sits well within the theoretical framework proposed by this research as Care are informed by longer term sustainability, consider the main actors necessary for creating long term human fulfilment, and incorporate bio-physical, socio-economic and political dimensions of vulnerability.

Similarly Mercy Corps discussed alternatives to service provision, drawing on experiences from Asia. Here Mercy Corps has been approached directly by governments to facilitate capacity development within institutions to address risks associated with climate change. In such instances Mercy Corps similarly define their role as a facilitator, creating capacity through shared learning dialogues with country institutions to provide human security for citizens, rather than just service provision. These examples indicate the importance of ‘context’ to the type of engagement an NGO has with human security.

Conclusion

NGO experiences were varied, for some there was a good general understanding of human security whereas others associated human security only with the narrow conceptual approach. Mercy Corps’ appreciation and re-conceptualisation of human security to suit their objective of building “just and secure communities” indicates a deeper level of engagement with the concept than other NGOs. However despite all NGOs seeing a relevance and overlap in addressing climate change impact using the broad conceptual approach to human security there was a hesitance in explicitly

referring to, and adopting, human security frameworks. This was related to the lack of programmatic evidence and political and academic validation in the concept. In addition to concerns regarding the negative connotations associated with engaging in “security” when the objective is poverty alleviation.

Although review of the discourse indicated that NGOs were using human security to frame issues concerning climate change impact to pastoralist communities, NGOs did not acknowledge that this indicative of an engagement with human security. Rather NGOs saw such terms as ‘food security’ as falling within already existing frameworks and approaches, such as human rights. Nor were NGOs forthcoming with other reasons to explain their use of the terms.

Discussion with NGOs also reinforced the work of Michael (2002) in identifying the relevance of NGOs as human security service providers. All three NGOs confirmed that they engage in these activities when a state was either unavailable, or unwilling. However this raised concerns around the negative implications NGOs have on human security by perpetuating government marginalisation. Furthermore interviews highlighted the important role NGOs are fulfilling outside of service provision, through advocacy and capacity development in institutions and governments. These approaches provide bridges between civil society and governments to facilitate human security. Such approaches are being explored because of the contribution they make to longer term resilience and wellbeing in pastoralist communities, especially in light of impending climate change.

Chapter 5 Conclusions

Discourse analysis of NGO publications found that NGOs appeared to frame issues of climate change impact to pastoralist communities using human security terms. This was regardless of a NGOs overarching conceptual approach. Such deductions were based on the pervasive use of terms such as ‘food security’ and to a lesser extent ‘livelihood security’ and ‘economic security’ used in publications. In addition an alignment was observed between NGOs normative principles and human security terms and practice when compared against the theoretical framework. NGOs approaches and frameworks for assessing vulnerability were also found to correspond with the assessment of risk in human security practice.

However, interviews with key participants from the same NGOs found that NGOs did not consider the use of terms such as ‘food security’ to be framing issues using human security. Nor was this perceived by NGOs to be indicative of a broader engagement with human security; despite NGOs having a good understanding of the concept and its alternative approaches. Rather NGOs saw such terms as falling within the scope of already existing frameworks and approaches such as human rights. This raised further questions regarding conceptual overlaps between human security, development and rights. Highlighting the difficulty in determining where these concepts intercept without a deeper understanding of how NGOs applied concepts. This depth of understanding was not available from one interview and the review of documents. Rather the research would have benefited from additional respondents and more sustained engagement with the NGOs. For instance it could have been beneficial to have developed the theoretical framework in conjunction with an NGO.

NGO were found to be engaged with human security through service provision when a state was either unavailable, or unwilling. However negative experiences of NGOs in the HoA during periods of pervasive drought indicated where both NGOs and governments could be complicit in perpetuating human insecurity. This highlights the importance of states in the protection and empowerment of citizens over NGOs. Nevertheless it was also found that NGO engaged with human security through other means, such as capacity building and facilitation, which challenges the perception that NGOs only engage with human security through service provision.

The UNDP (1994) identified NGOs as important for developing human security frameworks. Yet the experience of this research indicates that NGOs are sceptical of exploring human security because it lacks programmatic experience, and political and academic validation. This is true even for organisations such as Mercy Corps who are actively, and positively, exploring its relevance. Furthermore some NGOs expressed hesitation because of a perceived negative association between human security and poverty and climate change securitization. Unfortunately such perceptions create deadlock in the development of human security theory as these experiences, from NGOs, civil society and government are necessary to inform and expand presently stale and cyclical debates.

However, programmatic experience exists, for example Mercy Corps 'vision of change' and Care's Adaptive Learning Programme. These examples illustrate NGOs engagement with practices relevant to human security, which contribute to social protection and the empowerment of citizens. Even though such frameworks and programmes are not explicitly 'called out' as human security focused. Where human security theorists have struggled to address the prioritisation of threats such programmes are working with communities in the HoA, on a daily basis, to identify, prioritise and address threats to communities and individuals. Furthermore they are doing so from a perspective that aligns with the broad conceptual approach of human security and accounts for multidimensional and interdependent threats.

This research demonstrates the wealth of experience that is available from just three case studies. Indicating, that if facilitated appropriately, insight from approaches and frameworks taken by NGOs have the potential to drive human security forward. Through the provision of practical experiences that can contribute to the alignment of theory with normative practice. However integration of practical experience into theory is being constrained by a lack of knowledge transfer between human security theorists and NGOs. This needs to be addressed if NGOs are going to contribute to the development of human security frameworks. In addition NGOs need to perceive some benefit in incorporating human security into their normative principles, as this will require time and expense. This requires better facilitation of the ideas and concepts of human security between NGOs and human security theorists. Particularly to relevant NGOs engaged with issues that require the consideration of interdependent threats such as poverty or environmental change. For instance research outputs from this

dissertation could be presented as a policy note, in partnership with the practical experience of an NGO such as Mercy Corps, to outline human security frameworks in relation to existing pastoralist policy programming by NGOs. Such knowledge transfer and action research is needed to address uncertainty within development associated with human security, and to provide practical information for human security theorists.

This needs to be supported within academia through further case study research to better inform human security theory and to clarify conceptual discrepancies between human security, human development and human rights. In addition research is needed that compares and contrasts these approaches explicitly with human security to determine the programmatic value of human security frameworks. As at present arguments surrounding normative and policy practice all sit within theoretical debate but are not informed through 'real world experiences' which adds to scepticism of the concept.

In summary this research has provided a unique and valuable contribution to human security and development research by exploring how NGOs are framing issues using human security. In addition, this dissertation provides insight from 'real world' case studies to inform academic debate on the engagement of NGOs with human security. However further research is needed to inform the development of human security frameworks relevant to NGOs.

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Appendix 1 Selected Summaries of Human Security Definitions

<i>Human Security in Major Reports of International Institutions</i>	
<p><i>Human Development Report</i></p> <p>United Nations Development Program 1994 (1994, p. 23)</p>	<p>The UNDP 1994 <i>Human Development Report</i> articulated a universal, preventive, “people-centred” approach to human security that focused on “freedom from fear and freedom from want.” The Report defined human security as:</p> <p>1) Safety from chronic threats such as hunger, disease and repression.</p> <p>2) Protection from sudden and hurtful disruptions in the patterns of daily life – whether in jobs, in homes or in communities.</p>
<p>Commission on Human Security (2003) <i>Human Security Now</i>.</p>	<p>The Report for the Commission on Human Security (CHS) defines human security as to protect "the vital core of all human lives in ways that enhance human freedoms and fulfilment". Human Security was clarified as meaning the protection of: fundamental freedoms, people from critical and pervasive threats and situations, using processes that build on people's strengths and aspirations and creating political, social, environmental, economic, military and cultural systems that, when combined, give people the building blocks for survival, livelihood and dignity.</p> <p>Human security is realised by joint strategies of <i>protection</i> – crafting institutions that protect and advance human security – and <i>empowerment</i> – enabling people to act on their own behalf.</p>
<p><i>Millennium Report</i></p> <p>The United Nations Kofi A. Annan 2000</p>	<p>Human security in its broadest sense, embraces far more than the absence of violent conflict. It encompasses human rights, good governance, access to education and health care and ensuring that each individual has opportunities and choices to fulfil his or her own potential. Every step in this direction is also a step towards reducing poverty, achieving economic growth and preventing conflict. Freedom from want, freedom from fear and the freedom of future generations to inherit a healthy natural environment –these are the interrelated building blocks of human – and therefore national security.</p>
<p><i>Responsibility to Protect</i></p>	<p>Human security means the security of people – their</p>

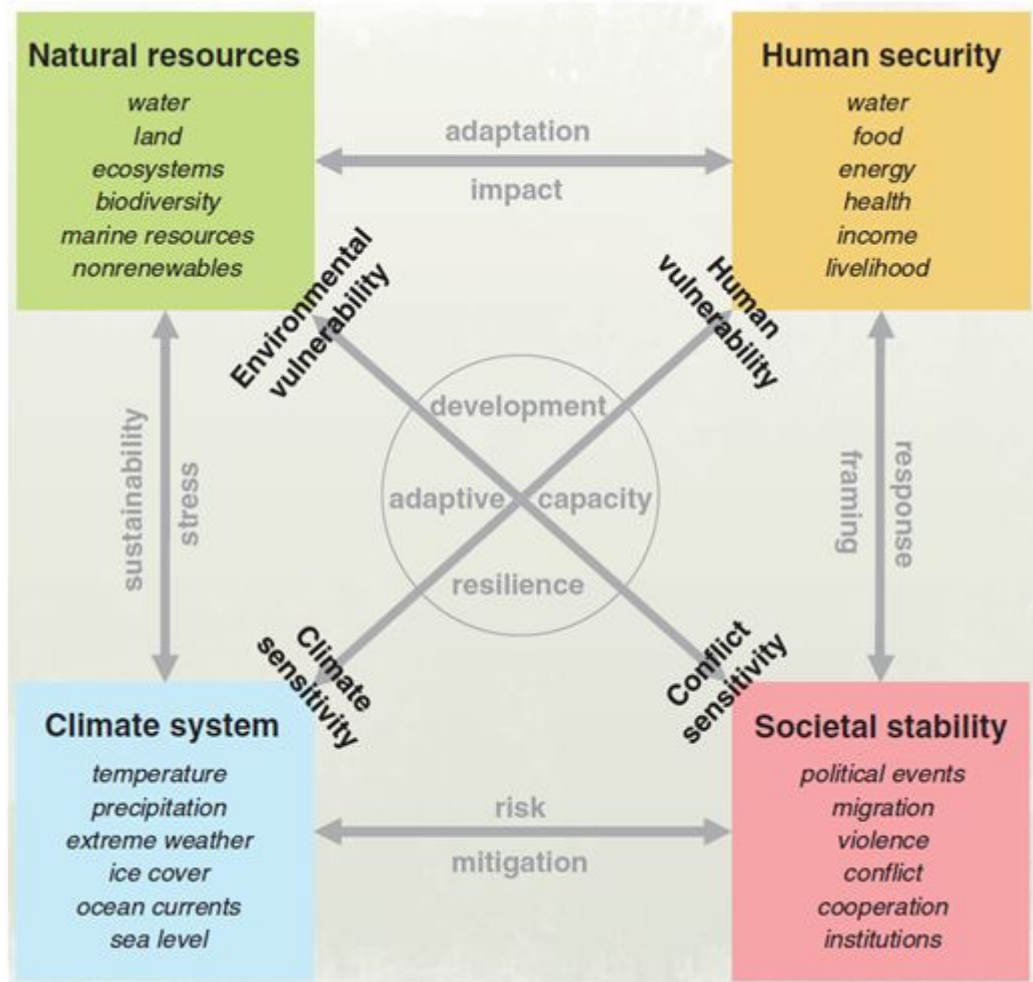
<p>2002 International Commission on Intervention and State Sovereignty (2002, p. 15)</p>	<p>physical safety, their economic and social well-being, respect for their dignity and worth as human beings, and the protection of their human rights and fundamental freedoms.</p>
<p><i>World Development Report</i> The World Bank 2000/2001</p>	<p>Today, security comprises two interrelated concepts: the state's role in protecting its borders from external threats and its role in ensuring 'human security' for its citizens under the broader umbrella of human rights – meaning that every person is entitled to be freedom of oppression, violence, hunger, poverty, and disease and to live in a clean and healthy environment.</p>
<p><i>Human security in Nations and NGOs</i></p>	
<p>Canadian Foreign Ministry Human Security Agenda</p>	<p>Focuses on Freedom from Fear. Human Security is a people-centred approach to foreign policy which recognizes that lasting stability cannot be achieved until people are protected from violent threats to their rights, safety or lives. Five thematic areas of Human Security include protection of civilians; peace support operations; governance and accountability; public safety; and conflict prevention.</p>
<p>Global Environmental Change and Human Security Project</p>	<p>Human security is achieved when and where individuals and communities:</p> <ul style="list-style-type: none"> • Have the options necessary to end, mitigate, or adapt to threats to their human, environmental, and social rights; • Actively participate in attaining these options; and • Have the capacity and freedom to exercise these options.
<p>Japanese Government – New Medium Term ODA Policy (2005)</p>	<p>Focuses on Freedom from want.</p> <p>Giving the definition of Human Security to be a focus on individual people and building societies in which everyone can live with dignity by protecting and empowering individuals and communities that are exposed to actual or potential threats. In which they include: conflicts, terrorism, crime, human rights violations, displacement, epidemics of infectious diseases, environmental destruction, economic crises, and natural disasters; and deficiency, such as poverty, hunger, and lack of</p>

	educational and health/medical services.
In current literature	
Lloyd Axworthy 1999.	Safety for people from both violent and non-violent threats.
Fen Hampson <i>et al.</i> <i>Madness in the Multitude</i> 2002, p.4	The concept of ‘security’ can be defined as the absence of threat to core human values, including the most basic human value, the physical safety of the individual.” They identify core human values as physical security and the protection of basic liberties, economic needs and interests.
Jessica Mathews “Power Shift” (1997, pg. 51)	Human security “is creeping around the edges of official thinking, suggesting that security be viewed as emerging from the conditions of daily life – food, shelter, employment, health, public safety – rather than flowing downward from a country’s foreign relations and military
Rob McRae in <i>Human Security and the New Diplomacy</i> 2001.	The concept of human security is, in principle, quite broad. It takes the individual as the nexus of its concern, the life <i>as lived</i> , as the true lens through which we should view the political, economic and social environment. At its most basic level, human security means freedom from fear.
Caroline Thomas. <i>Global Governance, Development and human security.</i> 2000, pg. xi	Human security describes a condition of existence in which basic material needs are met and in which human dignity, including meaningful participation in the life of the community, can be met
Bajpai 2000, pg 48	Human security relates to the protection of the individual’s personal safety and freedom from direct and indirect threats of violence. The promotion of human development and good governance, and, when necessary, the collective use of sanctions and force are central to managing human security. States, international organizations, nongovernmental organizations, and other groups in civil society in combination are vital to the prospects of human security.
Tadjbakhsh & Chenoy 2007, pg. 3	Broadly define human security as the protection of individuals from risks to their physical or psychological safety, dignity and well being. An environment that is said to provide its members with human security is one which affords individuals the possibility to lead stable, self determined lives.

	<p>Analysing social phenomena – be they wars, post conflict situations, financial crisis, or development model - from a human security perspective, thus means to focus on the consequences they have on stability and dignity of lives of human beings.</p>
<p>Alkire, S. 2003, pg. 2 -3</p>	<p>Human security is to safeguard the vital core of all human lives from critical pervasive threats, in a way that is consistent with long term human fulfilment.</p> <p>Alkire (2003) compliments this with working definitions for “safeguard”, “vital core”, “human lives”, “ critical and pervasive threats” and “human fulfilment”.</p>

Appendix 2 Scheffran *et al.* 2012 Analytical Framework

Analytical framework provided by Scheffran *et al.* 2012 through which multiple pathways and feedbacks between climate, natural and social systems can be viewed



Appendix 3 Case Study Normative Principles from Mission Statements

Organisation	Overview:
<p>CARE International</p>	<p>CARE is a leading humanitarian organization fighting global poverty. It has a special focus on women. It seeks a world of hope, tolerance and social justice, where poverty has been overcome and people live in dignity and security.</p> <p>Care’s mission is to serve individuals and families in the poorest communities in the world. Promoting innovative solutions and being an advocate for global responsibility. Care facilitates lasting change by: strengthening capacity for self-help, providing economic opportunity, delivering relief in emergencies, influencing policy decisions at all levels, addressing discrimination in all its forms.</p> <p><i>Focus areas include:</i></p> <ul style="list-style-type: none"> ● Responding to Emergencies - immediate emergency response and rebuilding post emergencies ● Helping Children Get Their Education - help improve education for all, special focus on girls ● Safeguarding Health for Mothers and Families - reducing maternal mortality, working with women, communities and policies through training health workers, equip local clinics, carry out education campaigns, respond to disease outbreaks etc. ● Expanding Economic Opportunity – focus on household income through increased access to financial and non-financial services, participation in village savings and loan associations, market linkages and diversified livelihoods. ● Advocating for Effective Policies - promote effective economic, political and social policies. At local, national and international levels to bring about legislation that addresses the underlying causes of poverty and promotes empowerment ● Gender-Based Violence - gender equity is included in all CARE's programming, our approach addresses underlying causes of gender-based violence. Seek to improve legal, health and support services for survivors and advocate for laws and policies to better protect and empower women. ● Helping Communities Adapt to Climate Change – focus on vulnerable communities, programs include sustainable farming, income diversification and resilience building. Emphasis placed on gender equality and women's

	<p>empowerment.</p> <ul style="list-style-type: none"> Enhancing Water Access, Use and Management 				
Oxfam International	<p>Oxfam is an international confederation of 17 organizations networked together in 92 countries, as part of a global movement for change, to build a future free from the injustice of poverty.</p> <p>Oxfam works with thousands of local partner organizations, and people living in poverty striving to exercise their human rights, assert their dignity as full citizens and take control of their lives. They also seek to influence the powerful to ensure that poor people can improve their lives and livelihoods and have a say in decisions that affect them. Their aim is to end poverty and injustice, and believe that respect for human rights will help lift people out of poverty.</p> <p><i>Their focus areas include:</i></p> <ul style="list-style-type: none"> Development - in particular poverty and combating injustice Emergencies – natural disasters, conflict and resilience to future disasters Campaigning – global movement for change, raising public awareness Advocacy – Pressure decision makers to make changes in policies and practices that reinforce poverty and injustice Policy Research - Research and analysis Within this Oxfam have campaigns on Climate Change and Conflicts and Disaster. 				
Mercy Corps	<p>Mercy Corps exists to alleviate suffering, poverty and oppression by helping people build secure, productive and just communities. Mercy Corps believes in the intrinsic value and dignity of human life. They are awed by human resilience, and believe in the ability of all people to thrive, not just exist. Mercy Corps believe that all people have the right to live in peaceful communities and participate fully in the decisions that affect their lives. They value stewardship of the earth's health, pledging to accountably and efficiently preserve and manage its resources. They also believe that it is their duty to be effective stewards of the financial resources entrusted to them.</p> <p><i>Their focus areas include:</i></p> <table border="1"> <tr> <td> <ul style="list-style-type: none"> Child protection Climate </td> <td> <ul style="list-style-type: none"> Economic development Emergency response </td> <td> <ul style="list-style-type: none"> Good governance Health </td> <td> <ul style="list-style-type: none"> Urban initiatives Water Women's empowerment </td> </tr> </table>	<ul style="list-style-type: none"> Child protection Climate 	<ul style="list-style-type: none"> Economic development Emergency response 	<ul style="list-style-type: none"> Good governance Health 	<ul style="list-style-type: none"> Urban initiatives Water Women's empowerment
<ul style="list-style-type: none"> Child protection Climate 	<ul style="list-style-type: none"> Economic development Emergency response 	<ul style="list-style-type: none"> Good governance Health 	<ul style="list-style-type: none"> Urban initiatives Water Women's empowerment 		

	<p>change</p> <ul style="list-style-type: none"> • Conflict management • Disaster risk reduction 	<p>Environmental stewardship</p> <ul style="list-style-type: none"> • Food security 	<ul style="list-style-type: none"> • Microfinance • Social innovations 	<ul style="list-style-type: none"> • Youth development
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Appendix 4 Case Study Publications used in the Analysis

Organisation: CARE		
Code*:	Title:	Date:
1	Assessing Climate Change Vulnerability in East Africa	2011
2	The Human Face of Climate change	?
3	The Accra Local Adaptive Capacity Framework	?
5	Care's Adaptation Learning Program for Africa	?
6	Building Pastoralist Resilience Against Drought	2012
7	Toolkit for Integrating Climate Change Adaptation into Development Projects	2010
8	Update: Horn of Africa Food Security Emergency	2012
10	Overview of Cares response in the Horn of Africa [webcontent]	2011
11	Overview of Cares response in the Horn of Africa 2 [webcontent]	2011
12	Pastoralists Vulnerability in the HoA	2009
13	Rules of the Range	2011
15	HOA Emergency Six Month Report	2012
	Total:	12
Organisation: Oxfam		
Code:	Title:	Date:
1	Briefing on the Horn of Africa Drought: Climate Change and Future Impacts on Food	2011
2	Empowerment of Pastoralists Women, partner PENHA, Sudan	2012
3	Evaluation of the Regional Pastoral Programme in the HECA Region: Full Report	2009
4	The State of Pastoralism.	2004
7	East African Food Crisis: Poor rains, poor response	2011
20	Escaping the hunger cycle pathways to resilience in the Sahel 2011	2011
21	Survival of the Fittest Pastoralism and climate change in East Africa	2008
15	Oxfam DDR Climate change adaptation resources reducing disaster risk in Turkana District	
18	YOU HAVE BEEN WARNED One year on from UN declaration of famine, Somalia faces worsening food crisis 2012	2012
14	COMPARATIVE STUDY FOR THE REPORT ON THE STATUS OF PASTORALISM PROJECT	2006
10	Joint Agency Briefing A dangerous delay: The cost of late response to early warning in the 2011 drought in the horn of Africa	2012
	Total:	11
Organisation: Mercy Corps		
Code:	Title:	Date:
1	Food Security Sector Approach	2009
4	From Conflict to Coping: Evidence from Southern Ethiopia on the Contributions of Peace Building to Drought Resilience	2012

2	Climate Change in Context: Climate Change and Environmental Resource Management Unit	2009
7	Plight of the Pastoralists drop out – [blog reports]	2011
6	Building Bridges to Peace– Uganda	2011
	Total:	5

* Codes applied for analysis purposes only

Appendix 5 Sample Interview Schedule

Name/ position/ contact: Jim Jarvie

Role within the organisation: Director, Climate Change, Environment and Natural Resources

Check whether it's still ok to record

General Overview of the work of Mercy Corps

I'm aware that Mercy Corps works in Ethiopia, Somalia and Kenya – Can you give me a quick overview of the work that they conduct in the HoA with pastoralists, in which thematic areas are programmes?

Development approaches

What approaches guide Mercy Corps in its overall programming? i.e. rights-based, human development, human security, livelihoods?

Does Mercy corps generate its own frameworks or draw upon those of other people

Are you familiar with the broad concept of human security? Is it discussed and used by Mercy Corps?

- why/ why not?

Is Mercy Corps engaging with human security – for example mercy corps specifically talks about creating “secure, productive communities”

“Mercy Corps exists to alleviate suffering, poverty and oppression by helping people build secure, productive and just communities.”

How does mercy corps build secure productive communities?

Do you think human security is a relevant approach for Mercy corps?

In which contexts is it most relevant?

I appreciate that Mercy Corps has a specific food security programme, that looks at both short and long term issues and shocks - is this informed by the concept of human security?

How does the program factor in climate change?

How does Mercy Corps deal with short term project periods and ensuring longer term sustainability of projects?

Mercy Corps discusses food security, what other elements of security do mercy corps work with?

Operation

Does Mercy Corps work on it own, through local NGOs and civil society and as broader networks?

How do Mercy crops view the impact of climate change on human security in pastoral programs?

The programmes in the horn of Africa deal with ameliorating short term “shocks” such as drought with “sustainable approaches” to longer term food security?

What are the challenges associated with this?

How do you identify vulnerable populations that you are working with?

Do you subscribe a base level of vulnerability – is this based on human rights or some other proxy?

What are the most effective methods for building long term resilience to climate change in the HoA/ pastoralists

Engagement with Human security – by what means

Who’s responsibility?

Conflict with state?

What about the “keeping people alive” vs “maintaining livelihoods”? for instance cash for work programmes have some negative repercussions particularly for the livelihood security of pastoral communities - how is this delt with. Do you think this highlights a limitation of the approaches that you take?

How does he see the role of NGOs as development actors in promoting peace and security?

Challenges? Relevance?

How important is peace building to effective sustainable development?

How does DRR, climate change, and other livelihood programs fit together – would an overarching human security approach aid this

Does he have an opinion of why NGOs are comfortable to engage in food security and peace building but not adopt “human security” frameworks?

What would make these valid for an organisation such as mercy corps to use?

Thanks, Clarifications of Disclosure, Any Questions

Appendix 6 Sample Contact Email, Plain Language Statement and Participant Consent Form

Dear Sir or Madam,

I was referred to the campaigns department by your colleague in Glasgow, XX. I am currently completing my masters in Human Rights and International Politics at the University of Glasgow and hoped you might be able to refer me to a relevant colleague who I could interview as part of my dissertation research.

I'm conducting research on the broad topic of human security, pastoralism and climate change in the Horn of Africa. I know that XX have been heavily involved in both climate change and dryland issues and I wanted to use XX as one of my case studies. I have already interviewed XX based in the Horn so I am interested in speaking with someone more broadly about programmatic approaches and campaigns. For instance if XX is being informed by human security in its programming i.e. Food Security, Livelihood Security and Secondly, the more general approaches that XX adheres to i.e. people centred approaches, human-rights based approach and how they relate to human security and whether human security is an approach XX is thinking about at all.

Interviews will be informal and should last no longer than an hour, as I am based in Edinburgh they will also be conducted over the phone.

Any help you can offer would be greatly appreciated. Please can you get back to me by Monday the 13th at the latest as I am trying to complete interviews by the end of that week. If you need any more information feel free to contact me at this email address. I have also attached an overview of the research and document that outlines how data is stored, managed and disseminated as well as respondent's level of disclosure.

All the best,

XX

MSc Student University of Glasgow

Attachment - Plain Language Statement



Plain Language Statement

You are being invited to take part in a research study. Before you decide whether you wish to participate it is important that you understand what is being done and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish. Take time to decide whether or not you wish to take part in this study, if there is anything that is not clear to you or if you would like more information feel free to get in touch.

Thank you for your time.

Study Title: *Climate Change and Human Security in Africa*, with a focus on the HoA and pastoral communities

Researcher Details: xxxxxxxx, MSc Human Rights and International Politics, University of Glasgow. Contact details - email: xxxxxxxx@student.gla.ac.uk

What is the purpose of the study?

The study aims to examine the relationship between climate change and human security in the Horn of Africa (HoA), with a specific focus on pastoral communities. The study will focus on how this is being addressed through NGO interventions.

Why have I been chosen?

You have been chosen to participate as you have been identified as an individual or organisation that works with or researches a discipline relevant to the study.

Do I have to take part?

Participation is voluntary, therefore you may choose whether you wish to participate or not. If you chose to participate you are also welcome to withdraw at any time, and withdraw any data you have previously submitted.

What will happen to me if I take part?

If you choose to participate you will be asked to take part in an informal interview with the researcher, which should take no more than an hour. This will be conducted at your convenience by telephone, skype or in person.

An informal interview involves a discussion led by the researcher on topics relevant to the research. This is likely to cover questions regarding the organisation that you work

for, what work you conduct with pastoral communities and questions regarding climatic changes in the HoA and human security issues of pastoralists.

Will my taking part in this study be kept confidential?

The degree to which your participation is disclosed within public documents is up to you. It is up to you what level of confidentiality you wish the information that you provided to be cited as. You will be offered the following options:

___ by name and title

___ by organisation (e.g. UNHCR official)

___ by generic functional designation (e.g. humanitarian official)

___ completely anonymously

___ other: _____

In addition data received by participants shall be limited to the researcher and supervisor only. In line with the 5th Principle of the Data Collection Act (1998) personal data will not be kept longer than is necessary based on the purpose of the research, in this case, until the end of the research project in September 2012. At this time electronic data will be deleted and paper data shredded and recycled.

What will happen to the results of the research study?

The results of the research will be compiled into a masters dissertation study. A summary of results will also be made and circulated to all participants. An electronic copy of the completed dissertation will be available to participants on request.

Further information

You can contact me by email or telephone if you wish to discuss this further. In addition *if you have any concerns regarding the conduct of the research project you contact the College of Social Sciences Ethics Officer: Dr Valentina Bold at valentina.bold@glasgow.ac.uk*

Attachment - Interview consent form:



Title of Project: Climate Change and Human Security in Africa, focusing on the HoA and pastoral communities

Name of Researcher: xxxxxxxxxx, University of Glasgow (xxxxxxx@student.gla.ac.uk)

- 1) I confirm that I have read the project description for the above study and have had the opportunity to ask questions.
- 2) I understand that my participation in the interview is voluntary and that I am free to withdraw at any time, without giving a reason.
- 3) I understand that the proposed interview may be recorded with my permission and that xxxxxxxxxx may produce a transcript of the interview. I understand that she would be the only person to listen to the recording and read the transcripts.

I agree to have the interview recorded.

I do not agree to have the interview recorded.

- 4) Should xxxxxxxxxx cite any information from the interview in a public document, I request to be cited:

by name and title

by organisation (e.g. UNHCR official)

by generic functional designation (e.g. humanitarian official)

completely anonymously

other: _____

I do not want any information provided in the interview to be publicly divulged.

- 5) I agree to take part in the above study.

Name of Participant _____ Date _____ Signature _____

Researcher xxxxxxxxxx Date _____ Signature _____

Appendix 7 Quantitative Record of Terms Found in NGO Publications

Term	Mercy Corps	Oxfam	Care
<i>External shock</i>	22	14	5
<i>Food security</i>	22	17	14
<i>Human rights (rights)</i>	0	14	9
<i>Human security</i>	0	0	0
<i>Insecurity</i>	11	18	7
<i>Livelihood security</i>	0	0	3
<i>Marginalised</i>	0	3	11
<i>Security</i>	48	18	10
<i>Stress</i>	2	6	1
<i>Threat</i>	5	8	10
<i>Vulnerable</i>	7	34	39
<i>Vulnerability</i>	13	15	23

Appendix 8 Mercy Corps 'Vision of Change'



Our vision for change framework is a graphic representation of the way in which key actors, operating principles, and external conditions interact in the service of our mission: creating secure, productive and just communities. The vision for change represents a process, informed by 25 years of work in the field, that allows for sustainable change to occur.

The vision for change framework provides answers to some essential questions.

Why?

At the center of the framework lies the goal, our core mission. Why does Mercy Corps exist? To help create more secure, productive, and just communities.

How?

Surrounding the goal are the principles by which we operate. How do we pursue our mission? Through the principles of Accountability, Participation and Peaceful Change, as adapted from the Universal Declaration of Human Rights. We believe these principles form the basis for healthy interactions between all stakeholders in the development process. Without them, change is unlikely to lead to secure, productive and just communities.

Who?

Beyond the operating principles are the actors who uphold them. Their involvement is critical to pursuing our mission. These actors are: the Private Sector/business, the Public Sector/government and Civil Society/voluntary civic organizations.

Individuals, institutions and organizations within these three sectors need to be strong, accountable and participatory. Beyond that, they need to be able to interact effectively with one another and with their constituents. Mercy Corps often seeks to build the capacity of one or more of these sectors, at the same time strengthening their capacity to work with each other.

Even with those questions answered, our experience has shown that sustainable development is difficult, if not impossible, if key external conditions are not in place. These conditions appear on the outside ring of the diagram. Our programs aim to strengthen one or more of these key conditions, while at the same time reaching out to form partnerships with agencies working to strengthen other external conditions.

Using the Framework

We use the framework in many ways in our daily work. It helps us design the most effective interventions in any particular situation and ensures that we understand the complexity of the relationships where we are working. We use it with communities, local organizations, new staff and colleagues to explain our theory of change.