Country Indicators for Foreign Policy

# Extent and Sources of State Fragility and Failure:

# Core Factors in Fragility and Failure

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**Project on Leadership and State Building**
**www.carleton.ca/cifp**
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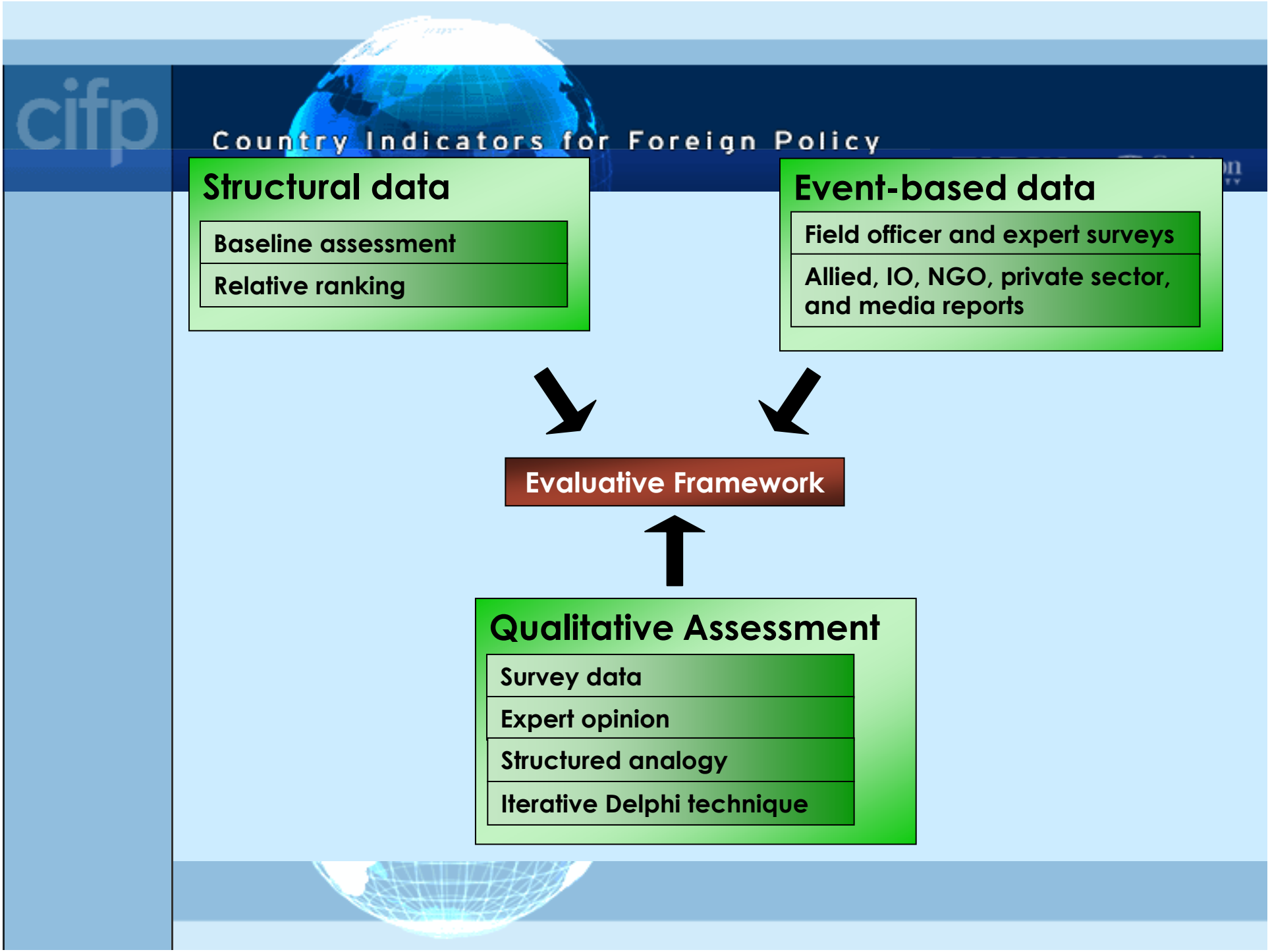
1. Key Findings
2. Concepts and Operationalization
3. Correlations, Causes, Aid impact and Small Developing States
4. Policy Implications





## Structural data

- Baseline assessment
- Relative ranking

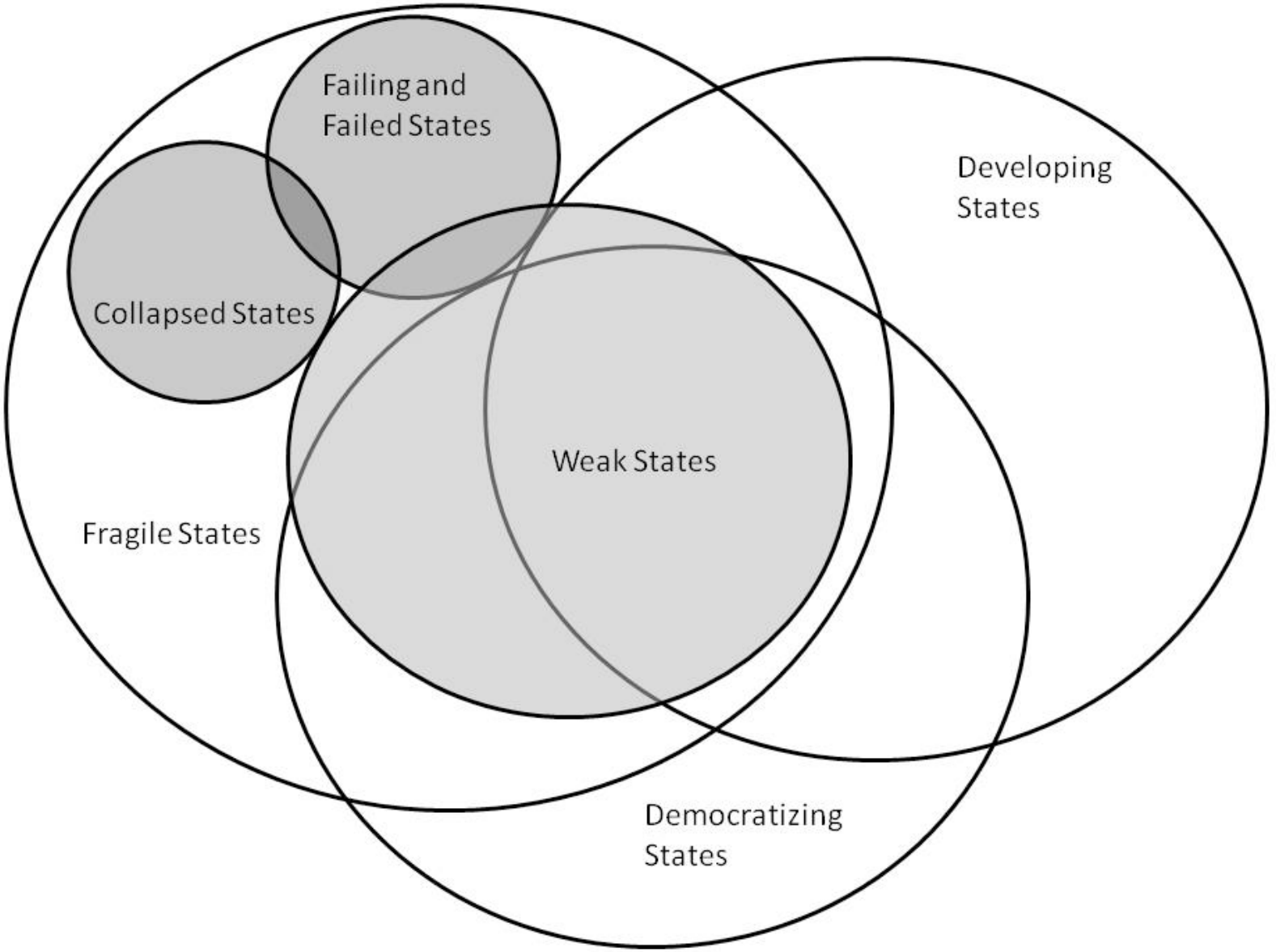
## Event-based data

- Field officer and expert surveys
- Allied, IO, NGO, private sector, and media reports

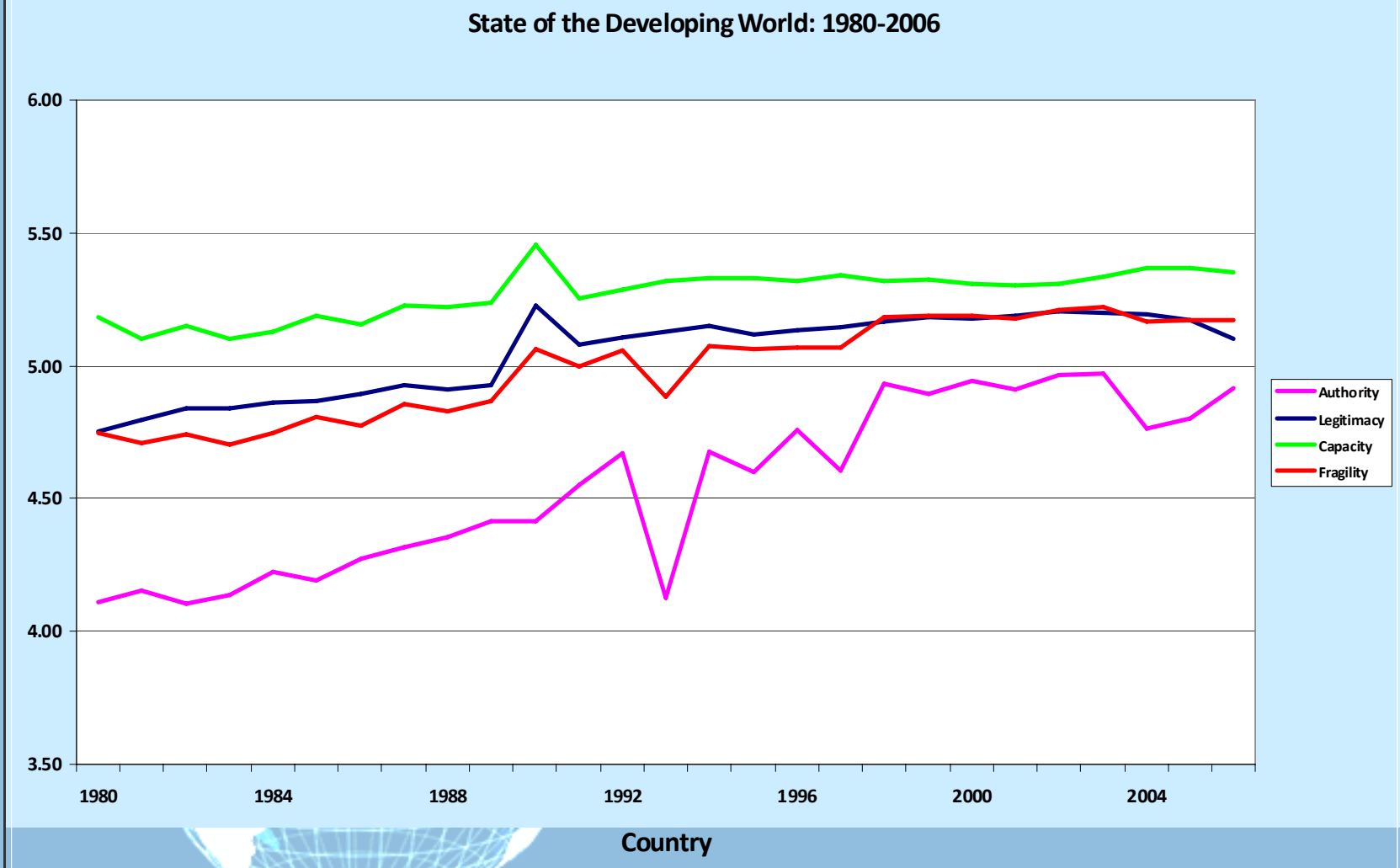
**Evaluative Framework**

## Qualitative Assessment

- Survey data
- Expert opinion
- Structured analogy
- Iterative Delphi technique


Failing and
Failed States
Developing
States
Collapsed States
Weak States
Fragile States
Democratizing
States

# The State of the World: Fragility Increasing Over Time



# Key Findings

-Fragility can be measured by looking at **authority, legitimacy and capacity indicators**

-Failure most often associated with challenges to **authority and capacity** structures

-Foreign Aid focusing on **capacity** can be effective

-Fragile states are **over and underfunded**

- Small states **have unique problems** and must be closely monitored (eg Collier's Bottom Billion)

# Key Findings

- Fragility and failure are distinct but related
  - States **become fragile and fail** for different reasons and entry points will be different
- Conflict is often a **symptom not a cause** of fragility
  - Not all fragile states experience conflict especially small developing states

# Key Findings

Three streams in current literature

- **Development**
  - World Bank, DFID, USAID etc
- **Conflict**
  - Agenda for Peace, Carnegie Commission, Fund for Peace, International Crisis Behaviour,
- **Stability**
  - Political Instability Task Force

All generate similar lists

## Key Findings

## Correlation Matrix (Developing Countries: 2006)

| | Marshall-Goldstone | Fund for Peace | Brookings | LICUS | CIFP |
|---|---|---|---|---|---|
| Marshall-Goldstone | 1.00 | | | | |
| Fund for Peace | 0.62 | 1.00 | | | |
| Brookings | -0.88 | -0.71 | 1.00 | | |
| LICUS | -0.58 | -0.56 | 0.76 | 1.00 | |
| CIFP | 0.80 | 0.69 | -0.84 | -0.59 | 1.00 |

# Key Findings

- Dependent variables often defined in terms of failure
  - Usually as a violent end state or sometimes low capacity
- Need framework to anticipate earlier turning points, entry, sequencing and timing

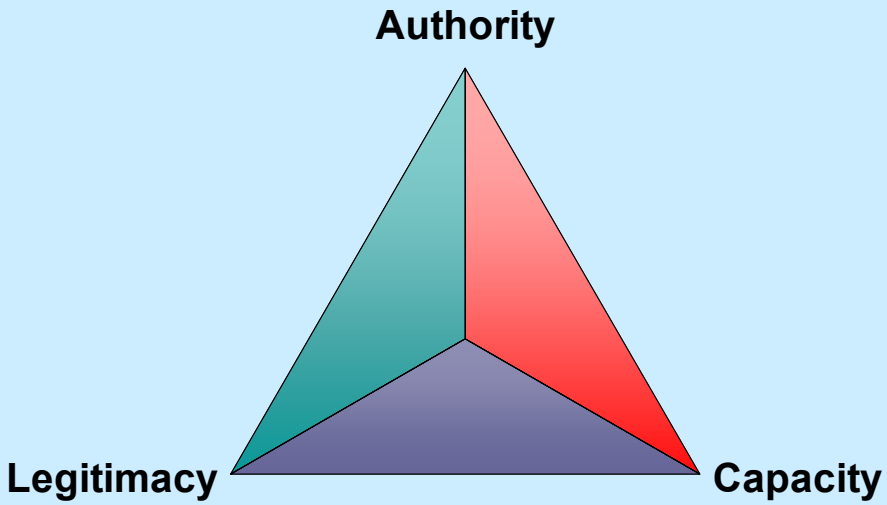
- Fundamental components of "stateness" to measure fragility
  - Authority
  - Legitimacy
  - Capacity
- Fragility connotes potential (dispositional property) involving all three components
- Fragility is a process not an end state

**Fragile states lack:**

**the *functional authority* to provide basic security within their borders;**

**the *institutional capacity* to provide basic social needs for their populations;**

**and the *political legitimacy* to effectively represent their citizens at home and abroad.**



# Pakistan's Entry Points for Programming: Governance, Economics, Security and Crime, Human Development, Demography and the Environment

| Table 1 Pakistan Fragility Rankings<br>*STRUCTURAL DATA (SOURCE AND SCALE OF RAW DATA IN PARENTHESES) 2007* | Cluster avg. | Fragility index score | Fragility index rank | Raw Data -- Five year avg | Trend Score |
|---|---|---|---|---|---|
| **1. Governance** | **6.74** | | | | |
| Freedom of the Press (FH, index, 0-100) | | 6.0 | 73 | 59.2 | s.q. |
| Gov't Effectiveness (WB Governance Matters, index, Deviation from mean) | | 6.1 | 70 | -0.5 | * |
| Level of Corruption (TI, index, 0-10) | | 7.9 | 27 | 2.3 | neg |
| Level of Democracy (Polity IV, index, (-10 - 10)) | | 7.6 | 29 | -5.4 | pos |
| Level of participation in international political organizations (CIFP) | | 5.8 | 68 | 7.0 | * |
| Percentage of Female Parliamentarians, index, (WB WDI) | | 2.6 | 154 | 21.8 | * |
| Permanence of Regime Type (Polity IV, years since regime change) | | 7.8 | 25 | 3.0 | s.q. |
| Refugees hosted (UNHCR, total) | | 9.0 | 1 | 1319167.8 | pos |
| Restrictions on Civil Liberties (FH, index, 1-7) | | 6.5 | 35 | 5.0 | s.q. |
| Restrictions on Political Rights (FH, index, 1-7) | | 6.9 | 23 | 6.0 | s.q. |
| Rule of Law (WB GM, Deviation from mean) | | 6.8 | 53 | -0.8 | * |
| Voice and Accountability in Decision-making (WB GM, Dev. from mean) | | 7.8 | 29 | -1.2 | * |
| **2. Economics** | **5.47** | | | | |
| Economic growth — Percentage of GDP (WB WDI) | | 4.0 | 125 | 4.8 | pos |
| Economic Size — Relative (WB WDI, GDP per capita, constant 2000 US$) | | 6.9 | 47 | 553.3 | s.q. |
| Economic Size — Total (WB WD, GDP, constant 2000 US$) | | 3.0 | 136 | 8.23E+10 | pos |
| External Debt — percentage of GNI (WB WDI) | | 3.4 | 92 | 35.3 | * |
| FDI — percentage of GDP (WB WDI) | | 2.8 | 141 | 0.8 | s.q. |
| Foreign Aid — percent of Central Government Expenditures (WB WDI) | | 6.5 | 25 | 11.6 | s.q. |
| Foreign Aid — Total per capita (WB WDI) | | 3.0 | 126 | 10.0 | s.q. |
| Inequality — GINI Coefficient (WB WDI) | | 2.3 | 101 | 30.6 | * |
| Inflation (WB WDI) | | 5.8 | 58 | 5.2 | neg |

| | | | | | |
|---|---|---|---|---|---|
| Informal Economy — Black Market (Heritage Fund, Index, 1-5) | 5.2 | 44 | 4.0 | s.q. |
| Informal Economy — Ratio of PPP to GDP (WB WDI) | 6.3 | 55 | 3.6 | pos |
| Infrastructure — Reliability of Electricity Supply (WB, % output lost) | 8.2 | 12 | 25.7 | s.q. |
| Infrastructure — Telephone mainlines per 1000 inhabitants (WB) | 7.0 | 49 | 25.4 | s.q. |
| Infrastructure — Internet Usage per 1000 inhabitants (WB) | 7.3 | 40 | 7.3 | s.q. |
| Investment Climate — Contract Regulation (Heritage Foundation, Index, 1-5) | 2.7 | 85 | 3.2 | pos |
| Level of participation in international economic organizations (CIFP) | 8.0 | 24 | 2.0 | * |
| Paying Taxes (WB Doing Business, global rank) | 7.4 | 32 | 141.5 | * |
| Regulatory Quality (WB GM, deviation from mean) | 7.2 | 42 | -0.8 | * |
| Remittances Received — percentage of GDP (WB) | 6.3 | 52 | 0.0 | neg |
| Reserve Holdings — Total (WB) | 3.4 | 121 | 9.33E+09 | s.q. |
| Trade Balance — percentage of GDP (WB) | 3.1 | 112 | 2.3 | s.q. |
| Trade Openness — percentage of GDP (WB) | 8.8 | 5 | 32.2 | s.q. |
| Unemployment — Total (WB) | 3.9 | 60 | 6.9 | neg |
| Percentage of Women in the Labour Force (WB) | 8.5 | 13 | 26.2 | pos |
| **3. Security & Crime** 7.44 | | | | |
| Conflict intensity (Uppasala PRIO, number of conflict-related deaths) | 1.0 | 35 | 0.0 | * |
| Dependence on External Military Support (FFP, Index, 1-10) | 8.1 | 12 | 8.9 | * |
| Human Rights — Empowerment (CIRI, Index, 0-10) | 8.0 | 29 | 2.0 | s.q. |
| Human Rights — Physical Integrity (CIRI, Index, 0-8) | 8.5 | 14 | 1.6 | s.q. |
| Military Expenditure — percentage of GDP (WDI) | 7.5 | 21 | 3.8 | s.q. |
| Political Stability (WB GM, deviation from mean) | 8.3 | 15 | -1.6 | * |
| Refugees Produced (WB, total) | 6.9 | 34 | 19191.6 | neg |
| Risk of ethnic Rebellion (CIFP, based on MaR dataset) | 8.7 | 5 | 13.0 | * |
| Terrorism -- Number of fatalities (US NCTC, number of fatalities) | 8.7 | 6 | 306.5 | * |
| Terrorism -- Number of Incidents (US NCTC, number of incidents) | 8.7 | 7 | 294.5 | * |

| 4. Human Development | 6.15 | | | | |
|---|---|---|---|---|---|
| Access to Improved Water (WB, percent of the population) | | 4.7 | 94 | 91.0 | * |
| Access to Sanitation (WB, percent of the population) | | 5.9 | 65 | 59.0 | * |
| Education — Primary Completion — female (WB, percent) | | .. | .. | .. | .. |
| Education — Primary Completion — total (WB, percent) | | .. | .. | .. | .. |
| Education — Primary Enrolment — total (WB. percent) | | .. | .. | .. | .. |
| Education — Primary Enrolment — Ratio Female to Male (WB) | | 8.8 | 5 | 69.8 | pos |
| Food Security — Aid as percentage of total consumption (FAO STAT) | | 5.0 | 64 | 0.8 | * |
| Gender Empowerment Measure (UNDP, index, 0-1 ) | | 8.0 | 10 | 0.4 | * |
| Gender-related Development Index (UNDP, index, 0-1) | | 7.4 | 30 | 0.5 | pos |
| Health Infrastructure — Expenditures as a percentage of GDP (WB) | | 8.6 | 11 | 2.8 | neg |
| HIV/AIDS — New AIDS Cases Reported (UN, total) | | 3.8 | 65 | 16.4 | * |
| HIV/AIDS — Percent of Adult Females Infected (WB) | | 1.3 | 107 | 15.0 | * |
| HIV/AIDS — Percent of Adult population infected (WB) | | 1.3 | 143 | 0.1 | * |
| Human Development Index (UNDP, index 0-1) | | 7.3 | 40 | 0.5 | pos |
| Infant Mortality (WB, per 1000 live births) | | 7.7 | 29 | 82.6 | * |
| Literacy (WB, percent of population age 15 and above) | | 8.2 | 13 | 49.9 | * |
| Literacy — female (WB, percent of female population age 15 and above) | | 8.2 | 11 | 36.0 | * |
| **5. Demography** | **6.62** | | | | |
| Life Expectancy — Female (WB) | | 6.5 | 58 | 65.2 | * |
| Life Expectancy — Total (WB) | | 6.3 | 66 | 64.2 | * |
| Migration — Estimated Net Rate (UN) | | 7.4 | 38 | -2.4 | * |
| Population Density (WB, population per square km) | | 7.6 | 35 | 192.7 | neg |
| Population Diversity — Ethnic (CIFP) | | .. | .. | .. | .. |
| Population Diversity — Religious (CIFP) | | 4.9 | 81 | 0.4 | * |

| | | | | | |
|---|---|---|---|---|---|
| Population Growth (WB, annual percent) | 7.5 | 34 | 2.4 | s.q. |
| Slum Population — proportion of population (WDI, UN) | 5.8 | 41 | 0.3 | * |
| Urban Growth Rate — Annual percent (WB) | 7.1 | 46 | 3.5 | s.q. |
| Youth Bulge — Percent aged 0-14 of total population (WB) | 6.4 | 59 | 39.5 | pos |
| **6. Environment** **5.64** | | | | |
| Arable/fertile land availability (WB, hectares per person) | 5.5 | 86 | 0.1 | s.q. |
| Consumption — Commercial energy consumption per capita (UN, kg of oil equivalent) | 3.4 | 127 | 284.3 | s.q. |
| Consumption — Use of solid fuels (UN, percent of population using) | 6.7 | 48 | 72.0 | * |
| Disaster Risk Index, (UNDP, average number of deaths per million) | 6.3 | 58 | 2.6 | * |
| Ecological Footprint — Global hectares per capita (WWF, Global Footprint Network) | 1.3 | 144 | 0.6 | * |
| Water — Annual withdrawal (FAO STAT, percent of total renewable) | 8.2 | 16 | 76.1 | * |
| Water — Available renewable per capita (FAO STAT, $m^3$/inhabitants/year) | 7.5 | 34 | 1433.5 | * |
| Forest — Annual percent change in area (FAO) | 8.5 | 10 | -2.1 | * |
| Pollution — $CO_2$ emissions per capita (WB, metric tons per capita) | 3.4 | 126 | 0.8 | s.q. |
| Pollution — $CO_2$ emissions per dollar PPP (WB, kg per 2000 US$ PPP) | 5.6 | 71 | 0.4 | s.q. |
| **TOTAL** | **6.18** | | | |

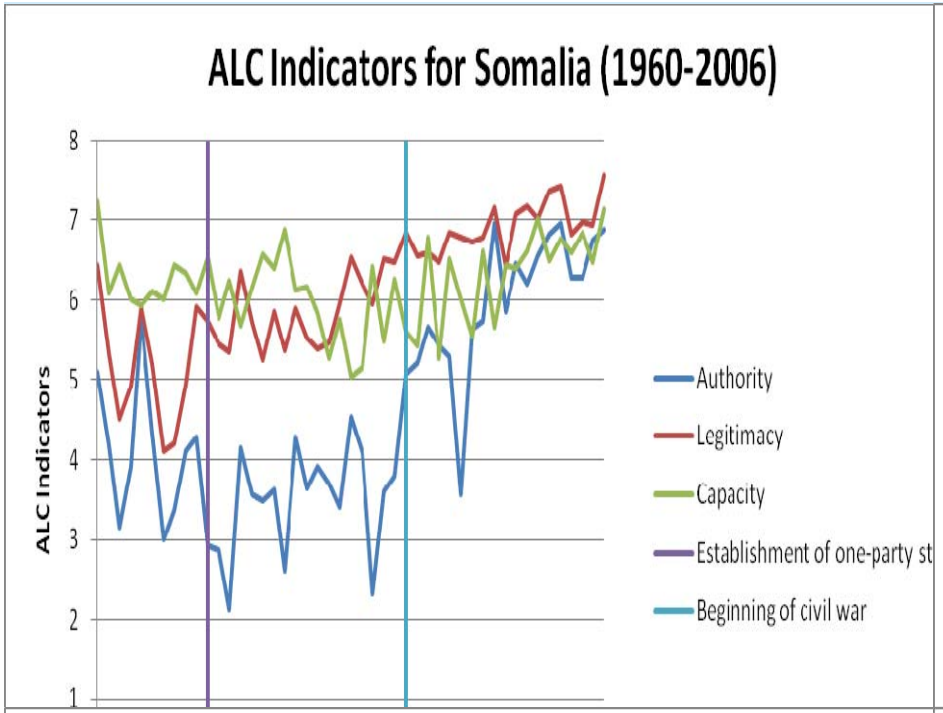
# Fragile States Index 2007

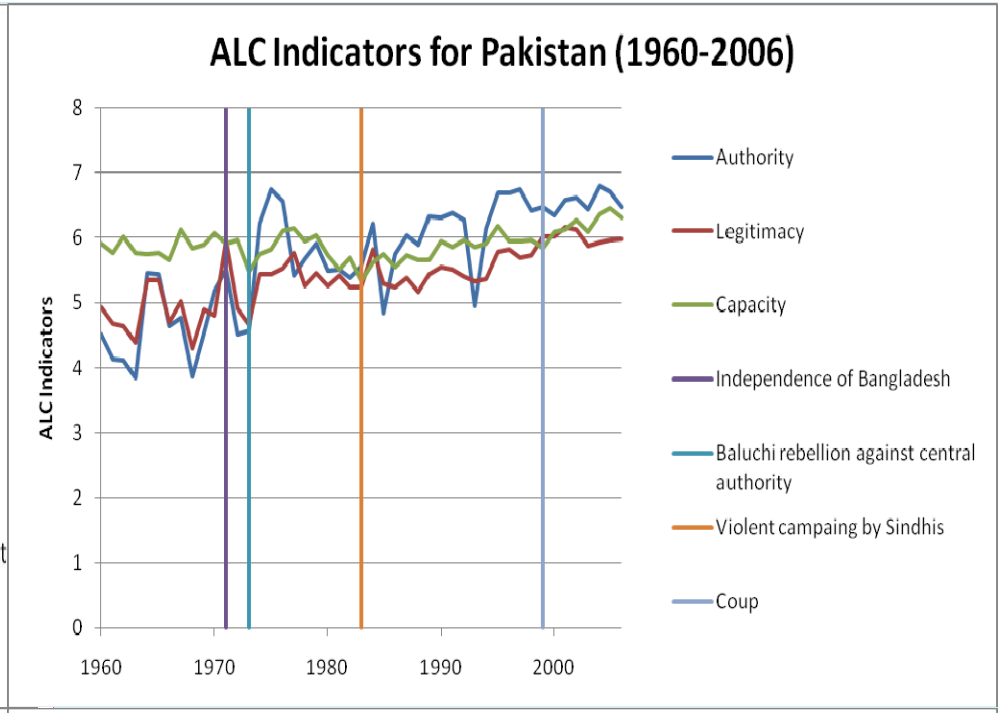
June 2007

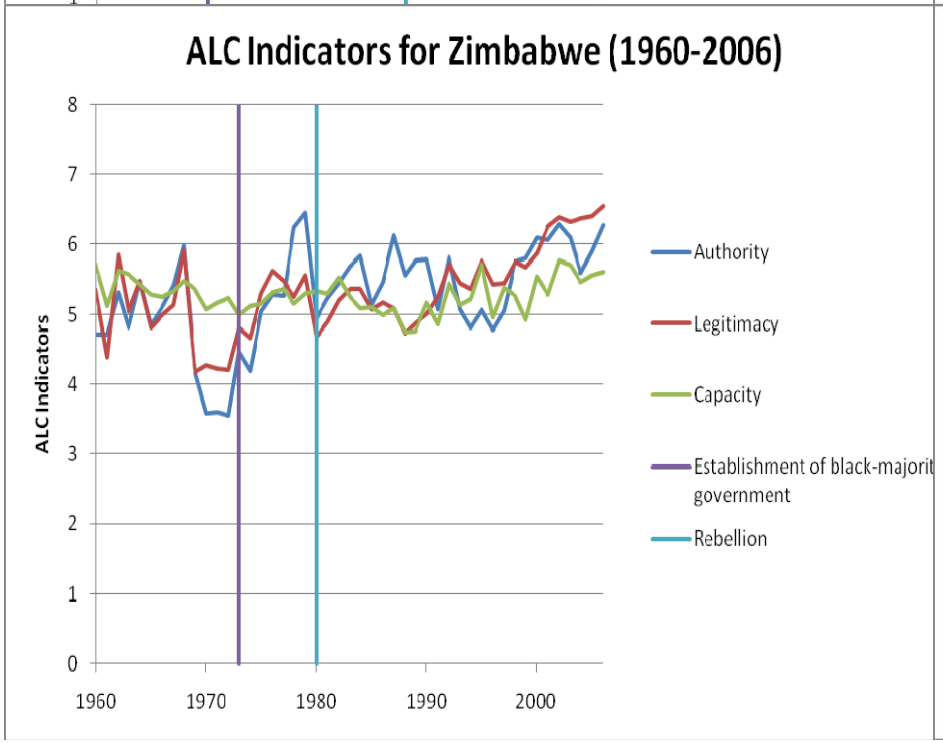
| Country | Index Score | Index Rank | Country | Index Score | Index Rank | Country | Index Score | Index Rank | Country | Index Score | Index Rank |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Afghanistan | 6.86 | 1 | Tanzania | 5.73 | 48 | Kazakhstan | 4.95 | 95 | Dominica | 3.92 | 142 |
| Sudan | 6.86 | 2 | Mali | 5.70 | 49 | El Salvador | 4.95 | 96 | Saint Kitts & Nevis | 3.91 | 143 |
| Burundi | 6.77 | 3 | Senegal | 5.66 | 50 | Libya | 4.93 | 97 | Greece | 3.88 | 144 |
| Somalia | 6.77 | 4 | Zambia | 5.65 | 51 | Peru | 4.92 | 98 | Mauritius | 3.87 | 145 |
| DRC | 6.61 | 5 | Guatemala | 5.64 | 52 | Ukraine | 4.92 | 99 | Costa Rica | 3.87 | 146 |
| Iraq | 6.54 | 6 | Papua New Guinea | 5.60 | 53 | Maldives | 4.90 | 100 | Poland | 3.86 | 147 |
| Haiti | 6.53 | 7 | Sao Tome and Principe | 5.59 | 54 | Paraguay | 4.86 | 101 | Latvia | 3.83 | 148 |
| Yemen, Rep. | 6.51 | 8 | Uzbekistan | 5.55 | 55 | Jordan | 4.86 | 102 | Bahamas | 3.83 | 149 |
| Liberia | 6.49 | 9 | Mozambique | 5.51 | 56 | Tonga | 4.84 | 103 | Slovakia | 3.75 | 150 |
| Ethiopia | 6.48 | 10 | Georgia | 5.51 | 57 | Jamaica | 4.82 | 104 | Korea, South | 3.75 | 151 |
| Eritrea | 6.41 | 11 | Madagascar | 5.50 | 58 | Macedonia | 4.81 | 105 | Estonia | 3.72 | 152 |
| Angola | 6.40 | 12 | Solomon Islands | 5.50 | 59 | Cape Verde | 4.80 | 106 | Chile | 3.71 | 153 |
| Cote d'Ivoire | 6.40 | 13 | Ghana | 5.50 | 60 | South Africa | 4.79 | 107 | Cyprus | 3.69 | 154 |
| Chad | 6.37 | 14 | Timor-Leste | 5.49 | 61 | Micronesia | 4.77 | 108 | Hungary | 3.69 | 155 |
| Nigeria | 6.37 | 15 | Indonesia | 5.48 | 62 | Cuba | 4.75 | 109 | Uruguay | 3.68 | 156 |
| Palestinian Terr. | 6.35 | 16 | Azerbaijan | 5.46 | 63 | Namibia | 4.74 | 110 | Italy | 3.67 | 157 |
| Sierra Leone | 6.34 | 17 | Honduras | 5.45 | 64 | Albania | 4.73 | 111 | Spain | 3.61 | 158 |
| Guinea | 6.26 | 18 | Kyrgyzstan | 5.43 | 65 | Qatar | 4.66 | 112 | Singapore | 3.60 | 159 |
| Nepal | 6.23 | 19 | Lebanon | 5.43 | 66 | Mexico | 4.66 | 113 | Czech Republic | 3.55 | 160 |
| Pakistan | 6.22 | 20 | Bhutan | 5.42 | 67 | Belize | 4.65 | 114 | France | 3.53 | 161 |
| Guinea-Bissau | 6.22 | 21 | Nicaragua | 5.40 | 68 | Brazil | 4.64 | 115 | United States | 3.51 | 162 |
| Central African Republic | 6.22 | 22 | Algeria | 5.36 | 69 | Samoa | 4.62 | 116 | Malta | 3.50 | 163 |
| Uganda | 6.20 | 23 | Lesotho | 5.35 | 70 | Fiji | 4.62 | 117 | Lithuania | 3.49 | 164 |
| Mauritania | 6.18 | 24 | Syria | 5.34 | 71 | Tunisia | 4.62 | 118 | Portugal | 3.49 | 165 |
| Equatorial Guinea | 6.17 | 25 | Sri Lanka | 5.34 | 72 | Thailand | 4.59 | 119 | United Kingdom | 3.46 | 166 |
| Togo | 6.17 | 26 | Egypt | 5.32 | 73 | Kiribati | 4.55 | 120 | Barbados | 3.32 | 167 |
| Kenya | 6.12 | 27 | Serbia and Montenegro | 5.27 | 74 | Saint Vincent and the Grenadines | 4.54 | 121 | Netherlands | 3.32 | 168 |
| Congo, Rep. | 6.11 | 28 | Colombia | 5.26 | 75 | UAE | 4.50 | 122 | Belgium | 3.29 | 169 |
| Djibouti | 6.08 | 29 | Saudi Arabia | 5.25 | 76 | Oman | 4.49 | 123 | Japan | 3.27 | 170 |

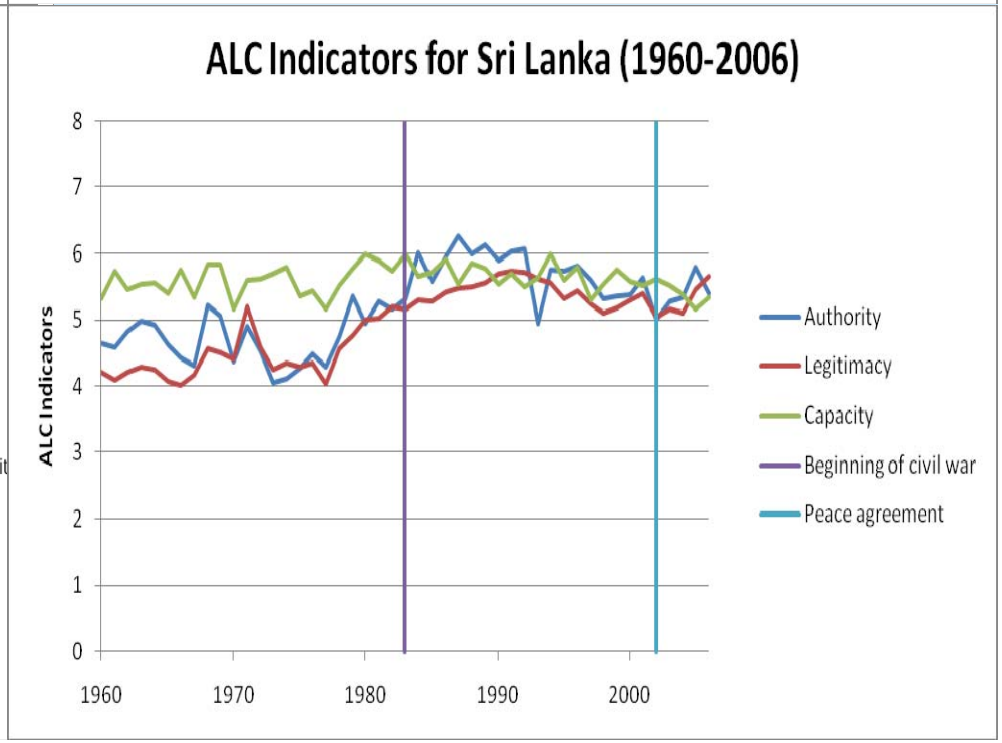
# ALC Top 40 Rankings

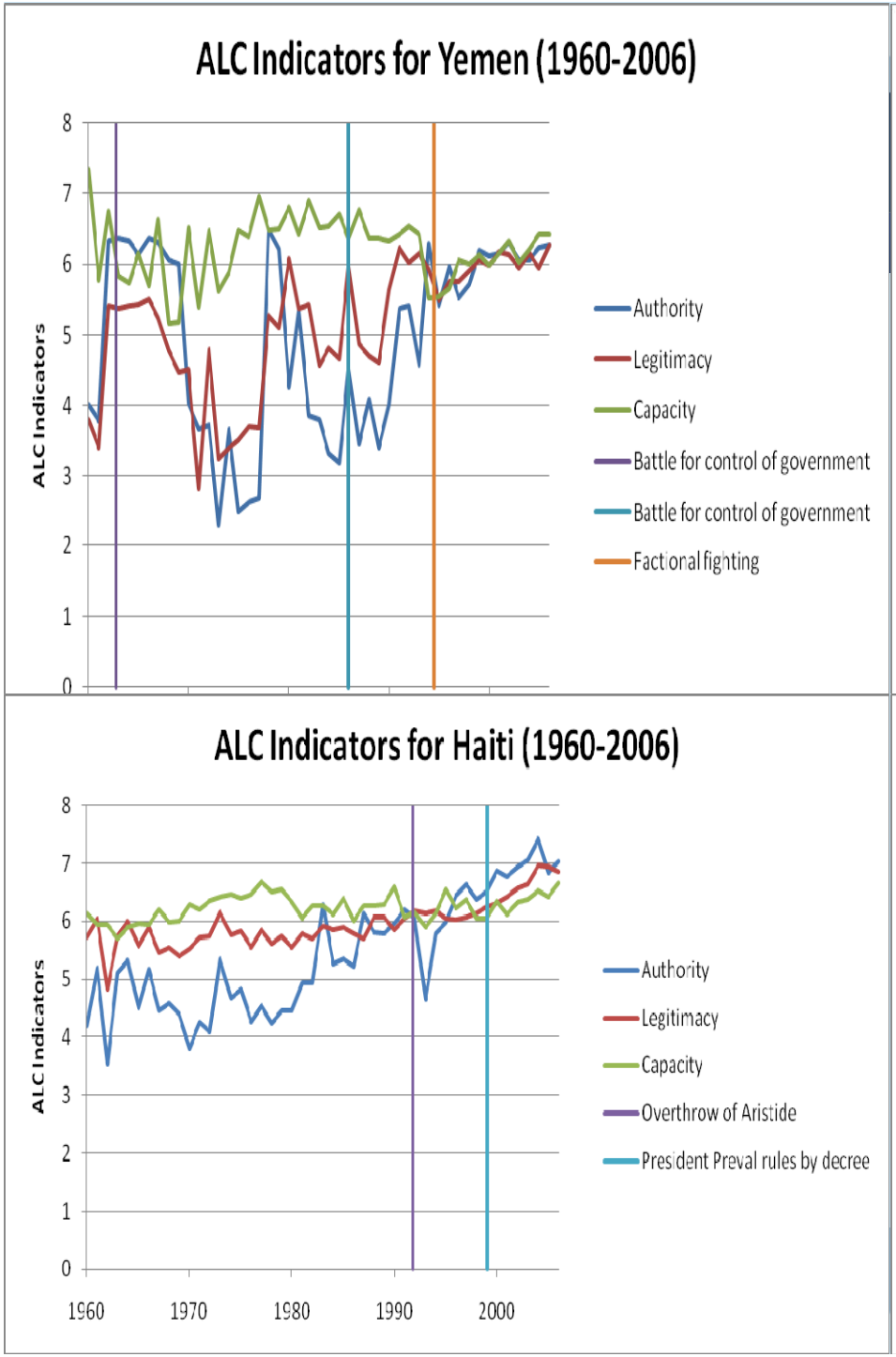
| Country | Authority Index Score | Authority Index Rank | Country | Legitimacy Index Score | Legitimacy Index Rank | Country | Capacity Index Score | Capacity Index Rank |
|---|---|---|---|---|---|---|---|---|
| Sudan | 7.20 | 1 | Saudi Arabia | 7.41 | 1 | Burundi | 7.08 | 1 |
| Afghanistan | 7.01 | 2 | Libya | 7.17 | 2 | Afghanistan | 7.04 | 2 |
| Iraq | 6.96 | 3 | Korea, North | 7.14 | 3 | Ethiopia | 7.04 | 3 |
| DRC | 6.91 | 4 | Yemen, Rep. | 7.06 | 4 | Niger | 6.96 | 4 |
| Palestinian Terr. | 6.79 | 5 | Somalia | 7.00 | 5 | Sierra Leone | 6.95 | 5 |
| Burundi | 6.77 | 6 | Iraq | 6.96 | 6 | Djibouti | 6.95 | 6 |
| Cote d'Ivoire | 6.76 | 7 | UAE | 6.92 | 7 | Mauritania | 6.87 | 7 |
| Angola | 6.75 | 8 | Turkmenistan | 6.89 | 8 | Sudan | 6.85 | 8 |
| Nigeria | 6.70 | 9 | Equatorial Guinea | 6.79 | 9 | Eritrea | 6.83 | 9 |
| Somalia | 6.62 | 10 | Iran | 6.76 | 10 | Burkina Faso | 6.83 | 10 |
| Liberia | 6.59 | 11 | Syria | 6.70 | 11 | Mali | 6.83 | 11 |
| Haiti | 6.58 | 12 | Belarus | 6.67 | 12 | Haiti | 6.80 | 12 |
| Myanmar (Burma) | 6.43 | 13 | Uzbekistan | 6.66 | 13 | Mozambique | 6.80 | 13 |
| Nepal | 6.42 | 14 | Qatar | 6.66 | 14 | Somalia | 6.75 | 14 |
| Pakistan | 6.32 | 15 | Palestinian Terr. | 6.60 | 15 | Benin | 6.74 | 15 |
| Guinea-Bissau | 6.31 | 16 | Lebanon | 6.57 | 16 | Chad | 6.73 | 16 |
| Indonesia | 6.27 | 17 | Bahrain | 6.51 | 17 | Sao Tome and Principe | 6.70 | 17 |
| Iran | 6.25 | 18 | Egypt | 6.48 | 18 | Zambia | 6.69 | 18 |
| Ethiopia | 6.22 | 19 | Eritrea | 6.47 | 19 | Yemen, Rep. | 6.68 | 19 |
| Central African Republic | 6.17 | 20 | Zimbabwe | 6.46 | 20 | Guinea | 6.68 | 20 |

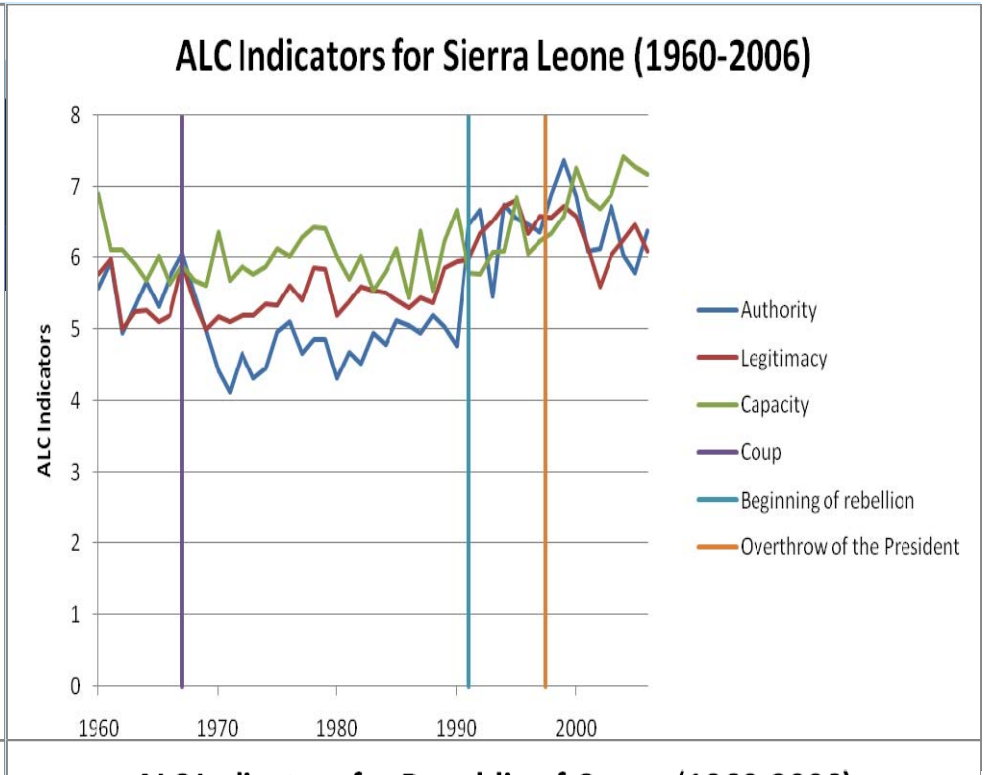

ALC Indicators for Somalia (1960-2006)
ALC Indicators
Authority
Legitimacy
Capacity
Establishment of one-party st
Beginning of civil war


ALC Indicators for Pakistan (1960-2006)
ALC Indicators
Authority
Legitimacy
Capacity
Independence of Bangladesh
Baluchi rebellion against central authority
Violent campaing by Sindhis
Coup

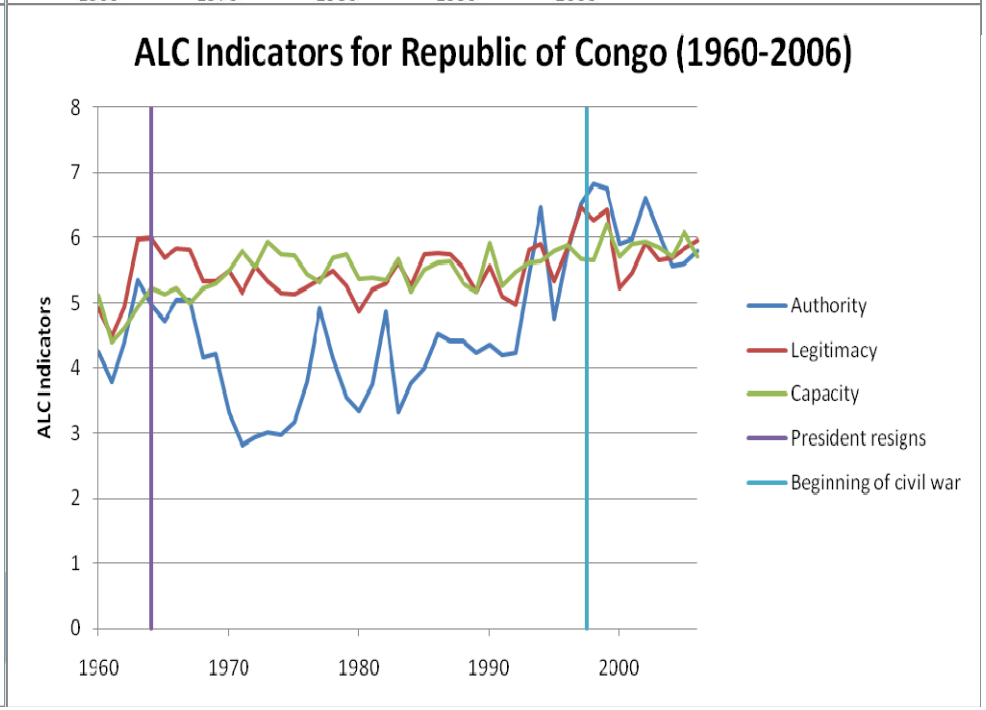

ALC Indicators for Zimbabwe (1960-2006)
ALC Indicators
Authority
Legitimacy
Capacity
Establishment of black-majorit government
Rebellion


ALC Indicators for Sri Lanka (1960-2006)
ALC Indicators
Authority
Legitimacy
Capacity
Beginning of civil war
Peace agreement


ALC Indicators for Yemen (1960-2006)
ALC Indicators
0
1
2
3
4
5
6
7
8
Authority
Legitimacy
Capacity
Battle for control of government
Battle for control of government
Factional fighting


ALC Indicators for Sierra Leone (1960-2006)
ALC Indicators
0
1
2
3
4
5
6
7
8
1960
1970
1980
1990
2000
Authority
Legitimacy
Capacity
Coup
Beginning of rebellion
Overthrow of the President


ALC Indicators for Haiti (1960-2006)
ALC Indicators
0
1
2
3
4
5
6
7
8
1960
1970
1980
1990
2000
Authority
Legitimacy
Capacity
Overthrow of Aristide
President Preval rules by decree


ALC Indicators for Republic of Congo (1960-2006)
ALC Indicators
0
1
2
3
4
5
6
7
8
1960
1970
1980
1990
2000
Authority
Legitimacy
Capacity
President resigns
Beginning of civil war

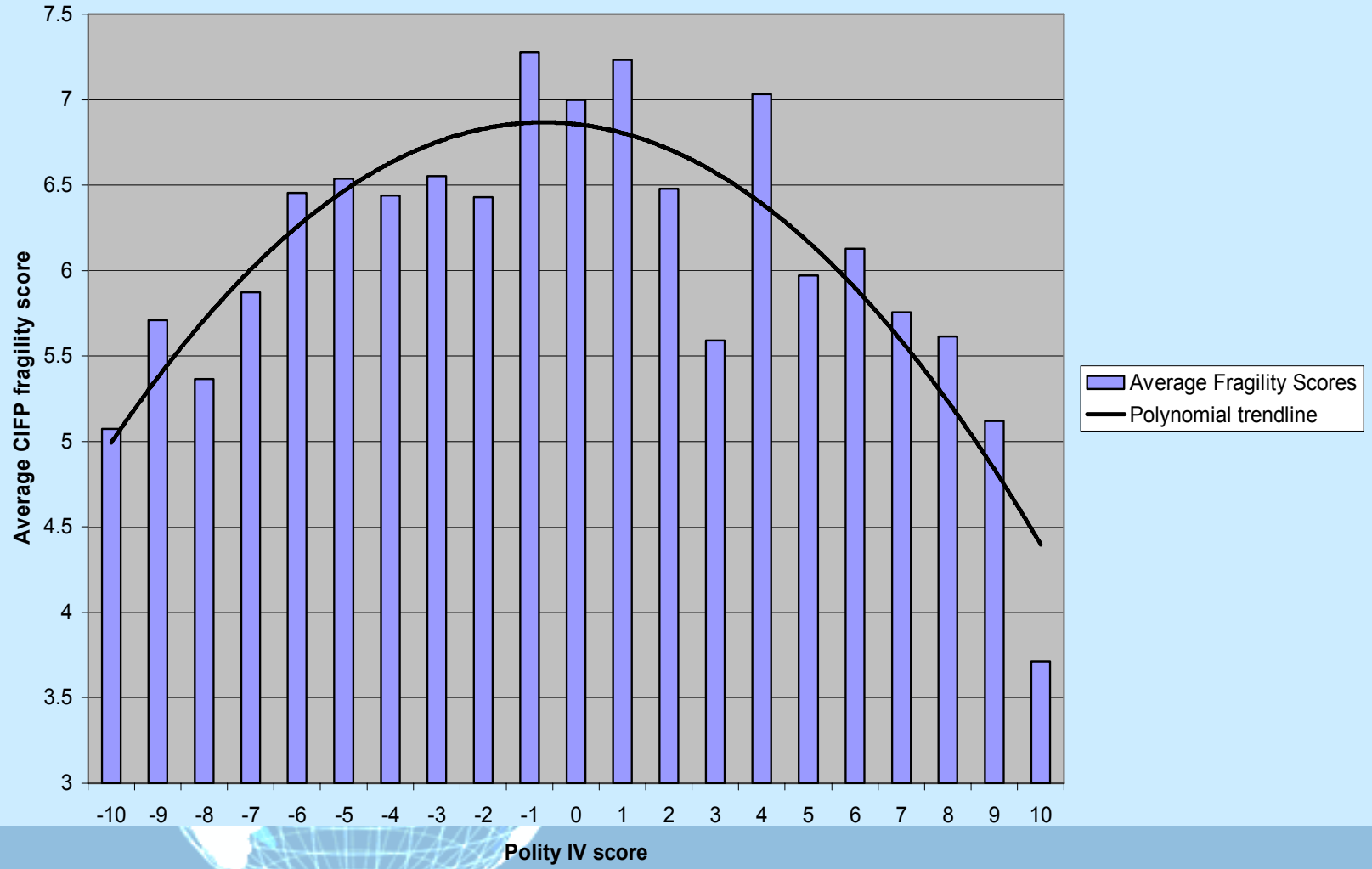
**Let us now look at some key findings in more detail**

- Causes and Correlates of Fragility

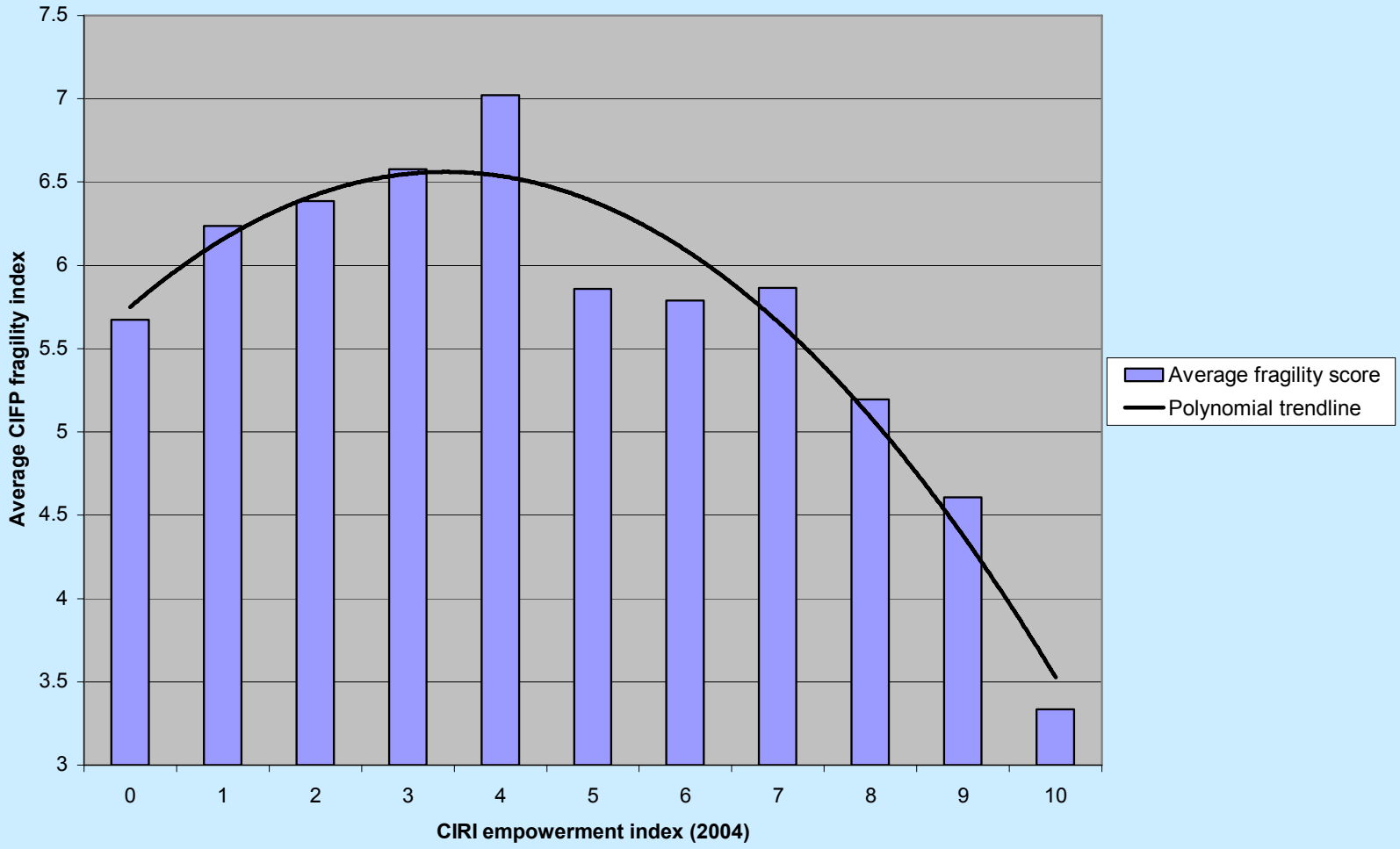
- Aid allocation and Fragility; Where to focus?

- Fragility of Small Developing States

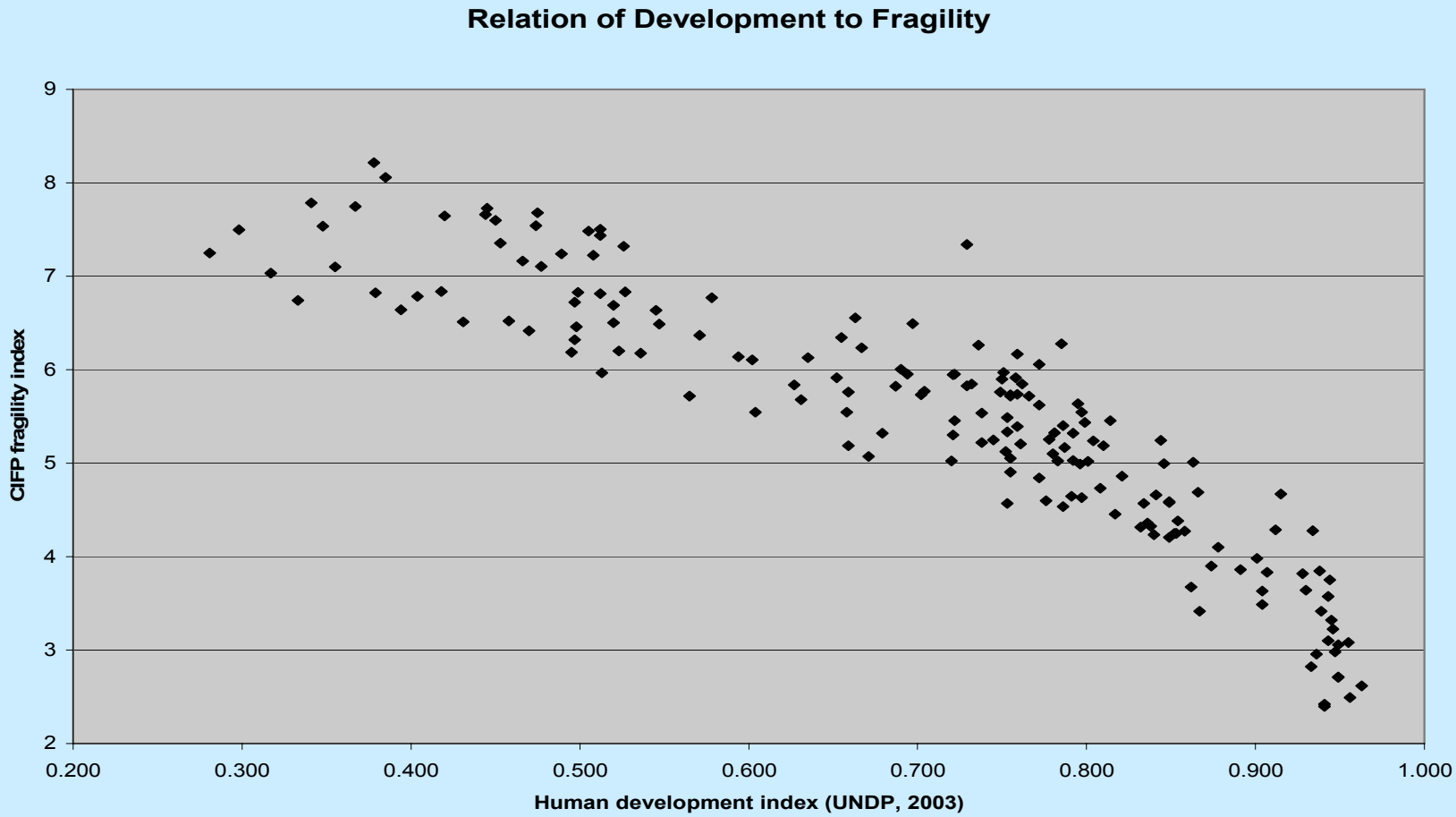
# Correlates of Fragility: Democracy Problems of Transitioning



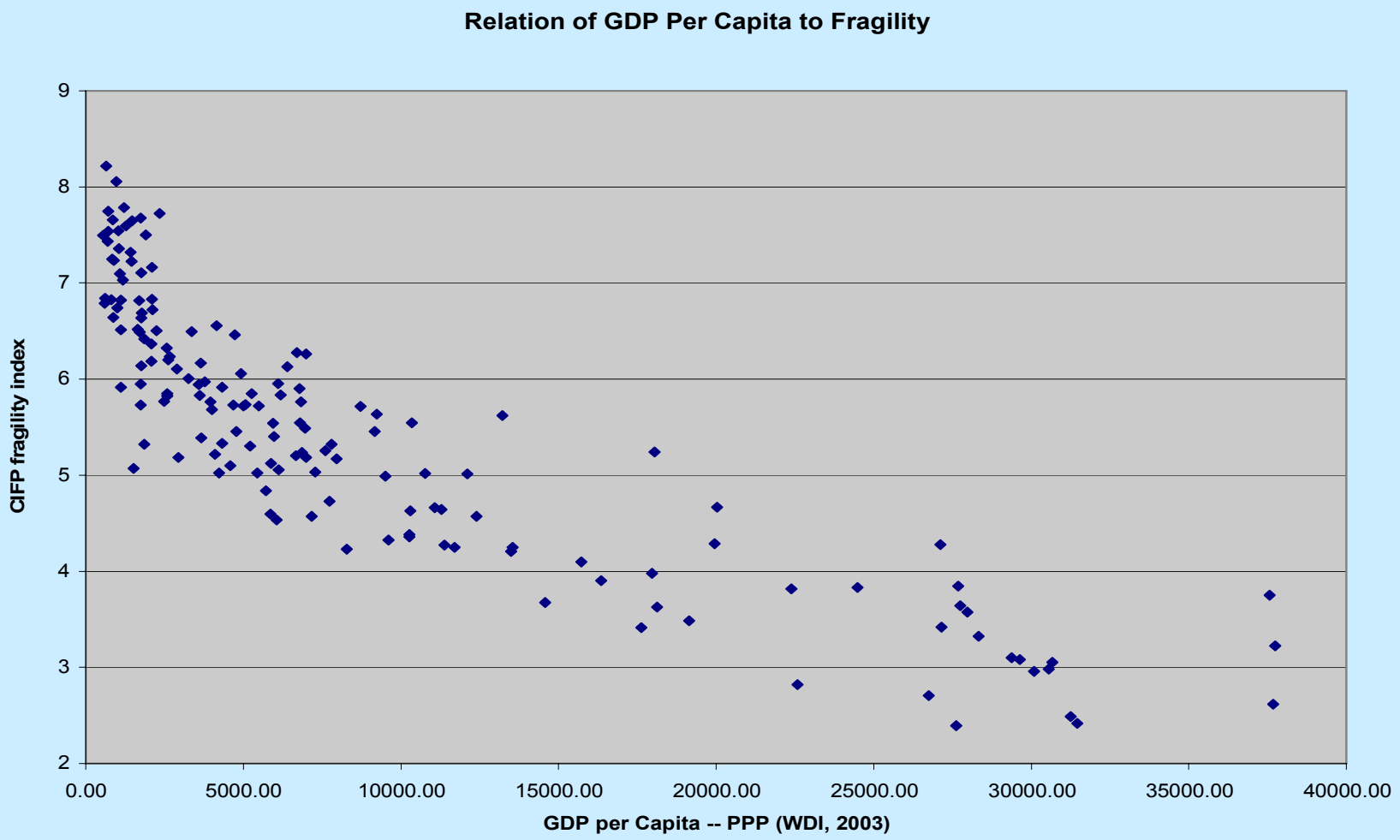
# Correlates of Fragility: Human Rights
# Fragile States Not the Least Free



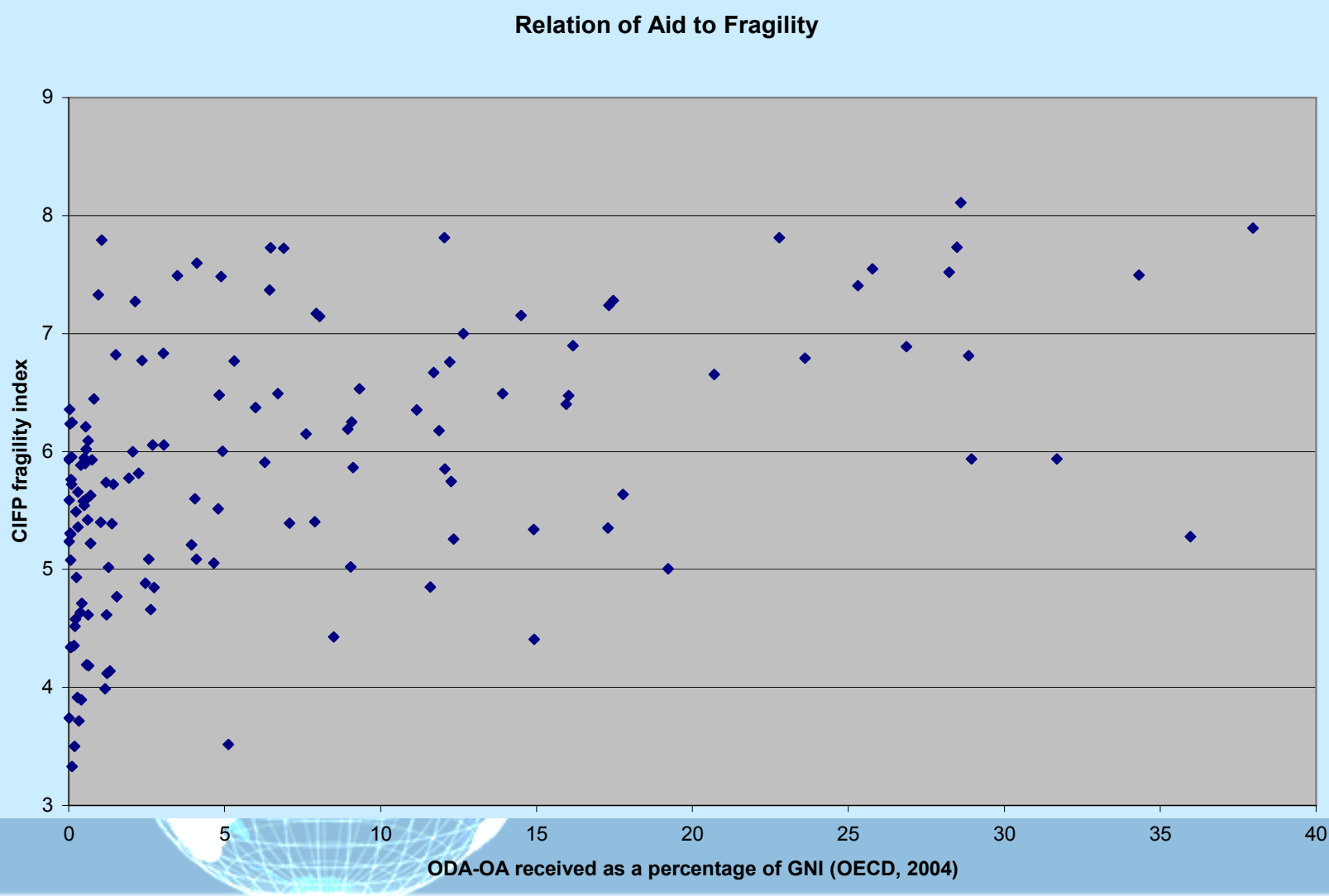
# Correlates of Fragility: Human Development Index
# Capacity is the Answer



# Correlates of Fragility: GDP
# Not all Poor States are Fragile



# Correlates of Fragility: Aid
# The Randomness of Aid



# Causes: Growth Matters

Determinants of state fragility using structural data:

-**Most highly significant factor is the level of development; robust to a barrage of tests (specification, estimation procedure, sample size, time period)**

-Other variables as specified above are also significant and with the expected signs

-Nonlinear relationship is confirmed in the case of “democracy level”

**-income inequality does not matter when compared to the level of development**

# Causes: A Simple Model Confirmed By Researchers

Determinants of state fragility using structural data

**Carment *et al* (2008): CMPS**

Cross-sectional analysis: 1999-2005

fragility = f (c, **income, growth, level of democracy, trade openness, infant mortality**)

-Together with **regional dummies, the model explains about 83% of the variation in fragility around the world** (using CIFP's measure of fragility)

# Causes

- DV: Fragility index, 4 and above

| Explanatory variables | Benchmark model | |
|---|---|---|
| Constant | 9.81** | (13.30) |
| Logged GDP per capita (PPP) | -0.47** | (-6.06) |
| Growth | -0.05** | (-3.47) |
| Level of democracy | -0.04** | (-4.67) |
| Trade openness | -0.01** | (-3.45) |
| Infant Mortality | 0.01** | (3.33) |
| Africa | 0.29** | (2.29) |
| Latin America | 0.17 | (1.33) |
| MENA | -0.01 | (-0.04) |
| N | 116 | |
| Adj $R^2$ | 0.83 | |

# Aid and Fragility: Effectiveness, Volatility and Capacity

Application to aid allocation and aid effectiveness (that is, usefulness of the ALC framework)

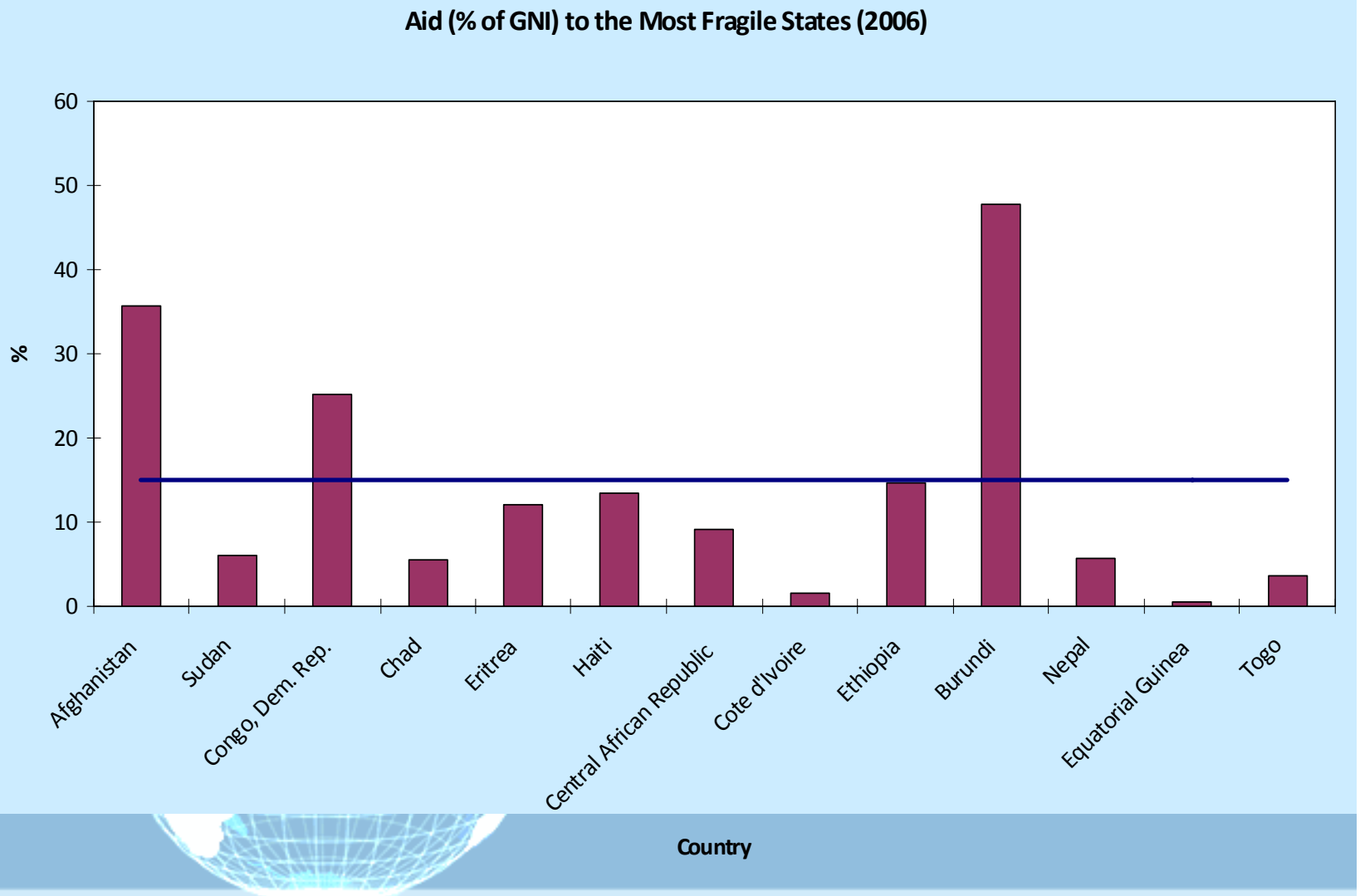
-Fragile states tend to be under-aided when compared to the overall sample of aid recipients (measured in terms of aid per capita)

-Volatility of aid flows to fragile states has increased over time

-Capacity is a significant determinant of aid allocation (not the authority or legitimacy of states)

-Aid effectiveness tends to decrease in more fragile environments

# Aid Policy: Orphans and Darlings



# Aid and Fragility: The Most Fragile are Underfunded

| | 1969-1978 | 1979-1988 | 1989-93 | 1994-1998 | 1999-2003 |
|---|---|---|---|---|---|
| All Aid Recipients | | | | | |
| Aid Per Capita (US $) | | | | | |
| -average | 22.4 | 51.5 | 56.7 | 106.4 | 80.8 |
| -standard deviation | 30.4 | 64.9 | 70.7 | 518.9 | 202.5 |
| Aid (%GNI) | | | | | |
| -average | 5.9 | 8.9 | 10.6 | 10.7 | 8.8 |
| -standard deviation | 6.8 | 10.5 | 14.7 | 16.7 | 11.9 |
| Top 40 Fragile States | | | | | |
| Aid Per Capita (US $) | | | | | |
| -average | 11.4 | 29.0 | 37.1 | 42.5 | 35.5 |
| -standard deviation | 10.3 | 21.6 | 23.8 | 38.6 | 46.1 |
| Aid (%GNI) | | | | | |
| -average | 6.5 | 11.3 | 15.7 | 16.0 | 13.8 |
| -standard deviation | 5.0 | 11.3 | 13.1 | 12.1 | 10.5 |
| Top 20 Fragile States | | | | | |
| Aid Per Capita (US $) | | | | | |
| -average | 9.9 | 29.5 | 37.7 | 49.5 | 41.0 |
| -standard deviation | 7.1 | 19.7 | 22.8 | 48.8 | 62.6 |
| Aid (%GNI) | | | | | |
| -average | 6.1 | 12.1 | 16.0 | 17.6 | 15.9 |
| -standard deviation | 5.1 | 14.5 | 14.0 | 14.2 | 11.8 |

# Aid and ALC: Capacity a Significant Determinant

**Determinants of Aid Allocation (Dependent Variable: Aid/GNI)**

| Explanatory Variables | All | 5> | 6> |
|---|---|---|---|
| *Constant* | -2.64 | 1.42 | -29.19** |
| | (-0.51) | (-0.16) | (-2.64) |
| *Authority* | -2.60** | -3.28** | -0.63 |
| | (-3.10) | (-2.95) | (-0.73) |
| *Legitimacy* | -1.54 | -1.56 | -1.55 |
| | (-1.53) | (-1.19) | (-1.03) |
| *Capacity* | 5.70** | 5.74** | 7.43** |
| | (-6.29) | (-6.14) | (-6.04) |
| N | 145 | 117 | 60 |
| Adj. R-squared | 0.33 | 0.31 | 0.36 |

# Fragility of SDS: Less Conflict But Still Very Vulnerable

- **Carment, Prest, Samy (2006): we find that Small (Island) Developing States (37) are at medium risk – small population, arbitrary borders, geographic isolation (Collier's Bottom Billion)**
- **Mitigating factors within SDS not found within the broad data set that serve to lessen the overall incidence of conflict**
- **As a group, they experience less conflict; in fact, they experience low-level conflict in ways that are not related to conventional war-based definitions and measurements of large scale violence**
- **Other patterns: demographic and environmental stress are usually above average, while economic performance is usually below average**

# Fragility of SDS

| Small Island Developing States | Risk Index (weighted average) | Small Island Developing States | Risk Index (weighted average) |
|---|---|---|---|
| Barbados | 3.53 | Palau | 4.54 |
| Malta | 3.56 | Tonga | 4.54 |
| Bahamas | 3.77 | Seychelles | 4.60 |
| Guyana | 3.90 | Belize | 4.76 |
| Antigua and Barbuda | 3.91 | Cape Verde | 4.77 |
| Jamaica | 4.01 | Dominican Republic | 4.83 |
| Cyprus | 4.07 | Singapore | 4.86 |
| Mauritius | 4.13 | Bahrain | 4.93 |
| Samoa | 4.15 | Cuba | 4.93 |
| Micronesia (Federated States of) | 4.17 | Maldives | 4.93 |
| Vanuatu | 4.19 | Papua New Guinea | 5.04 |
| St. Lucia | 4.20 | Kiribati | 5.09 |
| Trinidad and Tobago | 4.21 | Sao Tome and Principe | 5.18 |
| Grenada | 4.35 | Solomon Islands | 5.25 |
| Suriname | 4.36 | Comoros | 5.63 |
| Fiji | 4.39 | Timor-Leste | 5.82 |
| St. Vincent and the Grenadines | 4.40 | Haiti | 6.03 |
| St. Kitts and Nevis | 4.49 | Guinea-Bissau | 6.31 |
| Dominica | 4.50 | | |

# Policy Implications

By identifying the aspects of fragility that are associated with Authority. Legitimacy and Capacity, policies can be better targeted to structural weaknesses;

Various tool must be  used to Monitor and to Evaluate impact and to assess risk

In the case of aid allocation, authority and capacity are significant factors

Details and Results can be found in: Carment, Prest Samy ***Security, Development and The Fragile State: Bridging the Gap Between Theory and Policy*** (Routledge2009) and www.carleton.ca/cifp

## Project goals: www.carleton.ca/cifp

- To provide decision-support tools for desk officers **through reports and briefs**;
- To provide strategic and operational guidance for policy makers **through data analysis and country monitoring**
- To integrate problem-centred analysis into whole-of-government policy-making**– through training and outreach**
- To develop a network of research and policy capabilities**;**
- To develop evidence-based analysis of fragility in specific countries through **data gathering and model development ;**
- To provide coherent and focused decision-support to policy-makers in development, defence and diplomacy **through partnerships.**